

Panalpina Supply Chain Security
Supply Chain Partner Self-Assessment Tool

GENERAL INFORMATION	
Company Name:	
Completed by (Name, Title):	
Date Completed:	

This Document is for your internal use, and should be maintained as part of your company records as demonstration of your commitment to supply chain security.

DO NOT RETURN TO PANALPINA

IF A PARTICULAR MEASURE IS NOT APPLICABLE, PLEASE INDICATE “NO” AND PLACE “N/A” IN THE COMMENT FIELD WITH A BRIEF EXPLANATION (Example: “Container Security” N/A: Do not handle containers at this particular location)

1. BUSINESS PARTNER REQUIREMENTS		Yes	No	Comments
1.1	Are you a participating and certified member under a AEO Customs Supply Chain Security Program recognized by the World Customs Organization (WCO) (e.g. AEO Europe, C-TPAT, PIP, STP, etc.			
1.2	If you answered “YES” to 1.1, ensure your company records are current with certifications, etc. according to your specific AEO program			
1.3	Do you have a written process to screen business partners, customers, service providers, and contractors to determine “risk factors” to assess financial stress, quality of service, or security processes?			
1.4	Do you monitor or conduct periodic reviews of business partners’ security practices in order to detect and/or correct weaknesses?			
1.5	Do you keep documentation demonstrating business partners’ certified status if they directly participate and are certified under a AEO Customs supply chain security program?			
1.6	Do you require business partners who are <u>not eligible</u> for direct participation in AEO Customs supply chain security programs to keep documented evidence that they are meeting Customs supply chain security standards? (e.g. self-assessments, security surveys, or other correspondence confirming compliance)			
1.7	Do you require that business partners who are <u>not eligible</u> to directly participate in a AEO Customs supply chain security programs are subject to verification of compliance with AEO Customs supply chain security standards?			
1.8	Do you ensure your business partners have documented risk assessment procedures in place?			

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2. RISK ASSESSMENTS AND AUDITS		Yes	No	Comments
2.1	Do you conduct periodic self-audits to ensure compliance with AEO Customs supply chain security standards?			
2.2	Do you conduct risk assessments to determine security vulnerabilities and categorize risks as “High”, “Medium”, or “Low”?			
2.3	Do you document corrective action plans to correct security weaknesses?			
2.4	Do you conduct periodic audits / testing of security systems? (e.g. alarms, CCTV, access control systems, etc.)			
2.5	Do you map cargo flows to monitor cargo routing and supply chain business partners’ exposure to risk?			
2.6	Do you conduct threat assessments focused on: contraband, human smuggling, organized criminal activity, and conditions in a country or region prone to high risk of these activities and rates them as “High”, “Medium”, or “Low” risk?			

3. CONTAINER AND SEAL SECURITY		Yes	No	Comments
3.1	Do you have written container security policies and procedures for container storage, inspections, and sealing to prevent unauthorized access?			
3.2	Do you apply the 7-point container inspection process prior to loading containers to check the following for false or hidden compartments and to ensure container integrity?: (1) front wall (2) right side (3) left side (4) ceiling/roof (5) inside/outside doors (6) outside/undercarriage (7) floor			
3.3	Do you document training provided to personnel on how to conduct container inspections (inbound and outbound) and the handling and reporting of discrepancies, if discovered?			
3.4	Do you have written procedures governing seal security (storage, inventory, issuance, affixing, and verification; notification to importer/ shipper/other parties, recording new seal numbers, etc.)?			
3.5	Do you have written procedures for recognizing and reporting compromised seals/ containers to Customs officials or the appropriate authorities?			
3.6	Do you notify business partners (subcontractors and agents) of their obligation to carry out container inspections and/or complete checklists and keep documentation of such notification?			
3.7	Do you have a written process to ensure high security seals are affixed to all loaded containers to include evidence (certification) that seals meet or exceed the current PAS ISO 17712 standards?			
3.8	Do you have a documented process to track and monitor drivers (e.g. GPS, radios, cell phones or other 2-way communication)?			

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3.9	Do you maintain logs or other recording process to document outbound cargo while in transit to port or consolidation points?			
3.10	Do you have written policies, procedures, and checklists with instructions to drivers, transportation service providers, or consolidators regarding container tracking, check-in times, routes they are required to follow, confirmation of delivery, etc.?			
3.11	Do you have copies of contracts and/or agreements with truckers that stipulate security requirements expected to be followed?			

4. PHYSICAL SECURITY AND ACCESS CONTROLS		Yes	No	Comments
4.1	Do you keep logs and/or records of issuance and retrieval of access devices and company property? (e.g. key cards, keys, badges, passwords, uniforms, etc.)			
4.2	Do you have written procedures to check all visitor identification and document all visits? (e.g. logs, recordings, visitor management systems, etc.)			
4.3	Do you have written procedures and/ or training for employees on challenging unauthorized and/or unidentified persons?			
4.4	Do you have written procedures for physical security maintenance? (e.g. cameras, alarm systems, fencing inspections, security guards, etc.)			
4.5	Do you have sufficient lighting to allow clear CCTV recording in day or night conditions?			
4.6	Do you have sufficient lighting to provide safe and secure visibility?			
4.7	Do you restrict access to areas where cargo is stored or handled and limit routine access only to personnel who need to be there to perform regular job functions? (all others are escorted at all times)			

5. PROCEDURAL SECURITY		Yes	No	Comments
5.1	Do you have documented packing, shipping and/or receiving policies and procedures?			
5.2	Do you maintain accurate documentation of shipments received and tendered for transportation? (imports/exports/brokerage/ etc.)			
5.3	Do you have documented procedures to notify Customs officials, law enforcement, or other parties in the supply chain if anomalies or suspicious activities are discovered?			
5.4	Do you have documented procedures addressing how cargo is manifested? (e.g. content, timeliness and accuracy of information, etc.)			
5.5	Do you have written post orders for security guards?			
5.6	Do you have written procedures to notify Panalpina when suspicious activities occur and when theft, pilferage, or cargo compromise is suspected or found?			

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6. PERSONNEL SECURITY		Yes	No	Comments
6.1	Do you have written personnel procedures for employee selection and pre-employment screening consistent with local laws and restrictions?			
6.2	Do you have written personnel procedures for conducting background checks on new employees?			
6.3	Do you have documented personnel termination procedures? (e.g. checklist showing company property issued / returned, physical / IT accesses rescinded, access cards and ID's retrieved, etc.)			
7. INFORMATION TECHNOLOGY (IT) SECURITY		Yes	No	Comments
7.1	Do you have written procedures for securing IT systems? (individual user passwords, system access level restrictions, monitoring the system, etc.)			
7.2	Do you have a process to require periodic change of individual user passwords?			
7.3	Do you have a documented IT security training program for employees?			
7.4	Do you have a documented Code of Conduct and system in place to monitor and identify abuse, improper access, tampering or altering of business data?			
7.5	Do you have a "clean desk" policy to ensure sensitive and/or proprietary information related to shipments is limited only to those with an authorized need to know the information? (limited access to sensitive data)			
8. SECURITY TRAINING AND THREAT AWARENESS		Yes	No	Comments
8.1	Do you have a written policy and documented security awareness program for employees?			
8.2	Do you have a policy and/or documentation of specialized security training given to shipping/ receiving/ warehouse employees and those who handle mail?			
8.3	Does your security awareness training include general awareness of contraband and protocols for reporting suspicious activities and incidents to law enforcement and Panalpina?			
8.4	Are you informed of the Panalpina eLearning Driver Security Awareness Program			
8.5	Has your organization participated in the Panalpina eLearning Driver Security Awareness Program			

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9. OBSERVATIONS AND NOTES: