

Manage completed copies of this form as Confidential Information.
Return completed form to GlobalSecurity@lilly.com – attention CTPAT Program Manager.

General Information

The completion of this questionnaire supports Lilly’s certification with the U.S. Customs Trade Partnership Against Terrorism (CTPAT) program. Depending on risk, it may be completed in conjunction with a site visit by Lilly Global Security, or as a self-assessment (I.e. no site visit).

Purpose

This questionnaire is intended to address the CTPAT requirements/recommendations for shippers.

Scope

Lilly or Third-Party Suppliers that ship from outside the U.S., to Lilly sites inside the U.S.

General Information: Facility & Point of Contact		Date:	Select a Date
Company Name			
Address / City / Country			
1st Contact: Name / Title			
Phone Number / Email			
2nd Contact: Name / Title			
Phone Number / Email			

Note: Facilities that have previously completed a Lilly CTPAT form may wish to refer to it when completing this new questionnaire. Contact the Lilly CTPAT Program Manager for a copy of the previously completed questionnaire.

IMPORTANT NOTE:
 Completing the remainder of this questionnaire is **not required** if the Lilly site or 3rd party supplier is certified in one of the CTPAT-approved supply chain security programs (listed below). Please enter the certification number (below) and return this questionnaire to your Lilly contact. In addition, if the parent company is a U.S. based - CTPAT member, please indicate that information (I.e. CTPAT member number) in the comment box.

Country Program	Certification Number / ID	Country Program	Certification Number / ID
Canada: PIP		Korea: AEO	
Dominican Republic: AEO		Mexico: NEEC	
European Union: AEO		New Zealand: SES	
Israel: AEO		Peru: AEO	
Japan: AEO		Singapore: STP	
Jordan: Golden List		Taiwan: AEO	
Latin America: BASC			

General Comments

Section 1: Transportation Security – Destination - U.S.

Item #	Security Control	Yes, No, or N/A	Please explain any “No” or “NA” Answers																																				
1.1	<p>Are shipping containers (empty or full) stored in a secure area to prevent unauthorized access, or tampering with the seal / doors, which could allow prohibited cargo and/or persons entry into shipping containers?</p> <p>Ref. MSC # 5.1</p>	Choose an item.																																					
1.2	<p>Inspections: Containers/trucks must be visually inspected prior to loading.</p> <p>Security Risks Include:</p> <ul style="list-style-type: none"> • damaged or missing locks & doors • hidden compartments, un-manifested cargo <p>Agricultural Risks Include:</p> <ul style="list-style-type: none"> • insects / eggs / larvae, snails, slugs • soil, seeds, fruit, plant debris, birds <p>Are the below listed inspections completed?</p> <p>Intermodal Containers: 7 Point Inspection:</p> <table border="1" data-bbox="215 919 906 1077"> <tr> <td>• Front Wall</td> <td>• Left Side</td> <td>• Ceiling/Roof</td> </tr> <tr> <td>• Right Side</td> <td>• Floor</td> <td>• Outside/Undercarriage</td> </tr> <tr> <td colspan="3">• Inside/Outside Doors/Locking Mechanisms</td> </tr> <tr> <td colspan="3">• Fan housing on refrigeration units (if applicable)</td> </tr> </table> <p>Trucks / Trailers: 17 Point Inspection:</p> <table border="1" data-bbox="215 1129 906 1444"> <tr> <td>• Exterior - front/sides</td> <td>• Right side</td> <td>• Front wall</td> </tr> <tr> <td>• Exterior - front/sides</td> <td>• Left side</td> <td>• Faring/roof</td> </tr> <tr> <td>• Rear - bumper/doors</td> <td>• Floor</td> <td>• Ceiling/roof</td> </tr> <tr> <td>• Bumper/tires/rims</td> <td>• Fuel tanks</td> <td>• Air breather</td> </tr> <tr> <td colspan="2">• Doors, tool compartments & locks</td> <td>• Undercarriage</td> </tr> <tr> <td colspan="2">• Interior cab compartments/sleeper</td> <td>• Battery box</td> </tr> <tr> <td colspan="3">• Fifth wheel area: compartment/skid plate</td> </tr> <tr> <td colspan="3">• Inside/outside doors & locking mechanisms</td> </tr> </table> <p>Ref. MSC # 5.3</p>	• Front Wall	• Left Side	• Ceiling/Roof	• Right Side	• Floor	• Outside/Undercarriage	• Inside/Outside Doors/Locking Mechanisms			• Fan housing on refrigeration units (if applicable)			• Exterior - front/sides	• Right side	• Front wall	• Exterior - front/sides	• Left side	• Faring/roof	• Rear - bumper/doors	• Floor	• Ceiling/roof	• Bumper/tires/rims	• Fuel tanks	• Air breather	• Doors, tool compartments & locks		• Undercarriage	• Interior cab compartments/sleeper		• Battery box	• Fifth wheel area: compartment/skid plate			• Inside/outside doors & locking mechanisms			Choose an item.	
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1.3	<p>Are the doors, handles, rods, hasps, rivets, brackets, etc. inspected to detect tampering or damage, prior to attaching the seal?</p> <p>Note - Known Risks:</p> <ul style="list-style-type: none"> • <i>Cutting off the rivet at the door hasp: a person can remove the pin, rotate the door-locking rod with the handle detached and open the door <u>without</u> disturbing the seal.</i> • <i>Removing the container or trailer doors from their hinges: this is more difficult due to the weight of the doors. However, it is a known risk.</i> <p>Ref. MSC # 5.4</p>	Choose an item.																																					

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
1.4	Are the trucks inspected in an area where access is controlled, and if available, monitored by CCTV? <i>Ref. MSC # 5.6</i>	Choose an item.	
1.5	Does the inspector sign a checklist and document any anomalies or modifications to the container or truck? <i>Ex: Container/Truck #, Date, Time, Name of Employee / Inspector, Items Inspected, Notes</i> <i>Ref. MSC # 5.5</i>	Choose an item.	
Section 1 Comments: Please enter any additional notes or information you wish to share.			

Section 2 – Seal Security

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
2.1	Immediately after stuffing, is the container sealed with a high security bolt seal, that meets or exceeds PAS ISO 17712? <i>Note: PAS ISO 17712 certification information should be available from the seal vendor/supplier.</i> <i>Ref. MSC # 6.2, 6.5</i>	Choose an item.	
2.2	Are the seals inspected to assure they are applied properly? Ex: <ul style="list-style-type: none"> • View seal and container locking mechanisms; • Verify seal number against shipment documents; • Tug on seal to make sure it is affixed properly; • Twist and turn the bolt seal to check for loose parts. <i>Ref. MSC # 6.7</i>	Choose an item.	
2.3	Are seal numbers written / printed on the shipping papers? <i>Note: Electronic printing is preferred. Seal numbers should be printed on the manifest, even though the bill of lading (BOL) may not be generated at the point of stuffing.</i> <i>Ref. MSC # 7.30</i>	Choose an item.	
2.4	Is there a seal log to document seal #, container #, date, customer name, carrier name, name of warehouse employee who applied seal, receipt of new seals in inventory? <i>Note: A good practice is to take a digital photograph of the seal applied at point of stuffing and file the photograph with the above information documented.</i> <i>Ref. MSC # 6.1</i>	Choose an item.	

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
2.5	Are seals stored in a secure place (locked) with access limited to authorized personnel only? Ref. MSC # 6.1	Choose an item.	
2.6	Are employees / personnel who manage seals trained on seal procedures? Ref. MSC # 12.1	Choose an item.	
2.7	Does a warehouse supervisor or security officer periodically conduct documented audits to include checking seal inventories, and seals used on shipments? This helps detect if any seals are missing. Ref. MSC # 6.6	Choose an item.	
2.8	Does the site have written seal procedures / controls to include the relevant requirements of this section? Note: <i>The seal procedure can be part of a general shipping procedure (I.e. it is not necessary to have a specific procedure for seals only).</i> Ref. MSC # 6.1	Choose an item.	
2.9	If during transit, a seal is removed, is a new one applied (by the carrier) with timely notification to dispatch and shipper, customs broker, and/or importer? The notification must contain the reason for removing the seal, and the new / replacement seal number. Ref. MSC # 6.1	Choose an item.	
2.10	As applicable, does the company hold any altered or tampered seals for evidence to aid investigations? Note: <i>Report compromised seals to the appropriate government agency to aid in the investigation.</i> Ref. MSC # 6.1	Choose an item.	
Section 2 Comments: Please enter any additional notes or information you wish to share.			

Section 3: Procedures

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
3.1	Is shipping information legible, complete, accurate, and protected against unauthorized changes or sharing? Ref. MSC # 7.6	Choose an item.	
3.2	Are shortages, overages, or other discrepancies, investigated, and resolved as appropriate? <i>Ex: check manifests, bill of lading (BOL), purchase orders, etc.</i> Ref. MSC # 7.27	Choose an item.	

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
3.3	Are new / blank forms (ex: manifests) secured from theft or unauthorized use? Ref. MSC # 7.	Choose an item.	
3.4	Does the shipper, or shipper's agent, check that bill of ladings (BOLs) and/or manifests are correct, before the information is provided to the carrier? Note: BOLs and manifests must be filed with U.S. Customs and Border Protection (CBP) in a timely manner. BOL information filed with CBP must show the first foreign location/facility where the carrier takes possession of the cargo destined for the United States. The weight and piece count must be accurate Ref. MSC # 7.8	Choose an item.	
Section 3 Comments: Please enter any additional notes or information you wish to share.			

Section 4: Agricultural Security

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
4.1	Are cargo staging, and nearby areas, regularly inspected for visible pest contamination? Ref. MSC # 7.2	Choose an item.	
4.2	Are there written procedures and training to prevent visible pest contamination & comply with Wood Packaging Materials (WPM) regulations for pallets, crates, boxes? International Plant Protection Convention. https://www.ippc.int/en/ International Standards Phytosanitary Measures. https://www.ippc.int/en/publications/640/ Countries that have implemented ISPM 15: https://www.ippc.int/en/countries/all/ispm15/ Ref. MSC # 8.1, 12.7	Choose an item.	
Section 4 Comments: Please enter any additional notes or information you wish to share.			

Section 5 – People and Physical Security

Item #	Security Control	Yes, No, or N/A	Please explain any “No” or “NA” Answers
5.1	<p>Are physical barriers or controls in place to prevent unauthorized access to the facility perimeter, including container staging areas?</p> <p><i>This may include fences, walls, gates, barbed wire, natural barriers, security guards, security cameras or alarms, etc.</i></p> <p>Ref. MSC # 9.1, 9.2</p>	Choose an item.	
5.2	<p>If gates are used for vehicle or personnel entry / exit, are they manned or monitored?</p> <p>Note: Facilities with no gates should check N/A.</p> <p>Ref. MSC # 9.4</p>	Choose an item.	
5.3	<p>Are controls in place to prevent / detect unauthorized entry to the facility buildings, docks, offices, production areas?</p> <p><i>Ex: key locks, padlocks, electronic locking systems, guards, security cameras, and alarms.</i></p> <p>Ref. MSC # 9.7</p>	Choose an item.	
5.4	<p>If security cameras are used, do they cover key facility areas used for the import / export processes?</p> <p><i>Ex: cargo handling, container inspections, loading, sealing, conveyance arrival / exit?</i></p> <p>Ref. MSC # 9.12, 9.13, 9.15</p>	Choose an item.	
5.5	<p>If security cameras are used, are there periodic random reviews conducted to verify compliance with the site’s cargo security procedures, to include date of review, cameras viewed, any findings or corrective actions?</p> <p>Ref. MSC # 9.15</p>	Choose an item.	
5.6	<p>If security cameras are used, is there an alarm or signal if the camera stops working or recording data?</p> <p>Ref. MSC # 9.14</p>	Choose an item.	
5.7	<p>If security cameras are used, is the video data saved for a minimum number of days to complete investigations?</p> <p>Note: this is typically 30 days.</p> <p>Ref. MSC # 9.16</p>	Choose an item.	
5.8	<p>If alarm monitoring is done by a third-party security company, are there written procedures, or a contract, that details security code changes, adding or deleting site personnel, password revisions, and system access?</p> <p>Ref. MSC # 9.8</p>	Choose an item.	
5.9	<p>If security guards are used, are their work instructions documented?</p> <p><i>Ex: procedures, post orders</i></p> <p>Ref. MSC # 10.10</p>	Choose an item.	

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
5.10	If security guards are used, does management periodically verify procedure use / compliance and effectiveness? Ref. MSC # 10.10	Choose an item.	
5.11	Is there a procedure to identify, challenge, or report suspicious people or activities? Ref. MSC # 7.24, 12.1	Choose an item.	
5.12	Is there a general procedure or plan for managing security incidents? Ref. MSC # 12.1	Choose an item.	
5.13	Are there written procedures (I.e. maintenance program) to inspect, test, repair, & replace non-functioning, damaged, or missing security devices? Ref. MSC # 9.8	Choose an item.	
5.14	Is access to security technology & hardware controlled / limited to authorized personnel? <i>Ex: control panels, video recorders, power supplies, video recordings, server/computer rooms etc.</i> Ref. MSC # 9.8, 9.10	Choose an item.	
5.15	Are private passenger vehicles prohibited from parking in cargo handling and storage areas? Ref. MSC # 9.5	Choose an item.	
5.16	Is lighting provided to cover entrances, exits, cargo handling / storage areas, docks, perimeter, and parking areas? Note: Automatic or motion activated is acceptable. Ref. MSC # 9.6	Choose an item.	
5.17	Does the facility have back up power &/ or an alarm to notify staff of power losses? Ref. MSC # 9.11	Choose an item.	
Section 5 Comments: Please enter any additional notes or information you wish to share.			

Section 6 – Physical Access Controls & Visitors

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
6.1	Is there a system that identifies, records, and controls individual's access to the facility perimeter and/or interior areas, to assure access is granted in accordance with the person's job duties? Note: Access devices include badges, biometrics, key cards, codes, and keys. Ref. MSC # 10.1	Choose an item.	

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
6.2	Are access privileges removed when workforce members are terminated? <i>Note: Tools include a termination procedure, exit checklist to include keys/access devices and deactivating system access</i> Ref. MSC # 10.1	Choose an item.	
6.3	If applicable, are access privileges updated when an individual's job or role changes in the company? Ref. MSC # 10.1	Choose an item.	
6.4	Visitors: General Does the access control process identify all non-workforce visitors such as service providers, guests, or vendors? <i>This includes verification of photo-ID (for people not known to their host), and a visitor log including name of host, date / time of arrival / time of departure.</i> Ref. MSC # 10.2, 10.3	Choose an item.	
6.5	Are visitors issued a temporary visitor badge? Ref. MSC # 10.2	Choose an item.	
6.6	Are visitors escorted? Ref. MSC # 10.2	Choose an item.	
6.7	Visitors: Truck Drivers Are truck drivers, who are picking up cargo, identified either with a government issued photo ID (preferred) or their company / employer ID? <i>Note: It is preferred that cargo pick-ups are pre-scheduled to avoid fictitious pick-ups.</i> Ref. MSC # 10.3, 10.7	Choose an item.	
6.8	Cargo Log: Does the facility document / log details about outbound cargo? Ex: <ul style="list-style-type: none"> • Driver's Name; Employer; Date & Time of arrival; • Truck Number; Trailer Number (if applicable) • Time of Departure • Seal Number Ref. MSC # 10.4	Choose an item.	
6.9	Are access control procedures (for the facility) documented? Ref. MSC # 10.1	Choose an item.	
6.10	Is access controlled to computer/server rooms, and other critical areas? Ref. MSC # 9.10	Choose an item.	

Section 6 Comments: Please enter any additional notes or information you wish to share.

Section 7 – Personnel Security

Item #	Security Control	Yes, No, or N/A	Please explain any “No” or “NA” Answers
7.1	Consistent with country and local laws, are pre-employment checks conducted to include employment history and references? Ref. MSC # 11.1	Choose an item.	
7.2	Consistent with country and local laws, are pre-employment checks conducted to include criminal background screenings? Ref. MSC # 11.1	Choose an item.	

Section 7 Comments: Please enter any additional notes or information you wish to share.

Section 8 – Education, Training, and Awareness

Item #	Security Control	Yes, No, or N/A	Please explain any “No” or “NA” Answers
8.1	Is there basic security awareness training for the general workforce? <i>Ex: reading procedures, on-line and/or classroom training, tests or exercises, & bulletin boards/posters.</i> Ref. MSC # 12.1	Choose an item.	
8.2	Does the training cover how to manage and report unauthorized access / trespassers, suspicious activities, and other security incidents? Ref. MSC # 12.10	Choose an item.	
8.3	Is there training for warehouse personnel, and drivers (if applicable), that focuses on: <ul style="list-style-type: none"> • access to dock and warehouse, • inspection/recognition/reporting of unauthorized cargo or hidden compartments • visible signs of pest contamination; pest prevention • reporting of people paying cash for unusual truck routing • piece count; document and manifest review? Ref. MSC # 7.10, 12.1, 12.2, 12.7	Choose an item.	
8.4	As applicable to the job/function, is there training on the company’s cybersecurity policies, to include protecting passwords / passphrases and computer access? Ref. MSC # 12.8	Choose an item.	

Item #	Security Control	Yes, No, or N/A	Please explain any "No" or "NA" Answers
8.5	Do personnel who operate / manage security systems (Ex: cameras, alarms, etc.) receive training in system operation and maintenance? <i>Note: Self-training, via operational manuals, is acceptable.</i> Ref. MSC # 12.9	Choose an item.	
Section 8 Comments: Please enter any additional notes or information you wish to share.			
Empty space for comments			

Resources

CTPAT Resource Library and Job Aids: <https://www.cbp.gov/border-security/ports-entry/cargo-security/c-tpat-customs-trade-partnership-against-terrorism/c-tpat-resource-library-and-job-aids>

WCO SAFE Standards: <http://www.wcoomd.org/-/media/wco/public/global/pdf/topics/facilitation/instruments-and-tools/tools/safe-package/safe-framework-of-standards.pdf?la=en>

US Customs and Border Protection / USDA: Carrier Conveyance Contamination Trade Outreach:
https://www.cbp.gov/sites/default/files/assets/documents/2018-Feb/Web%20Version%20Carrier%20Conveyance%20Contaminant%20Trade%20Outreach_March%202016.v.2.pdf

References

The questions in this form were sourced from the following documents, and then customized to focus on foreign providers (Lilly or Non-Lilly) shipping to Lilly sites, located in the U.S.

CTPAT security profile criteria for point of origin:
https://www.cbp.gov/sites/default/files/documents/importer_security_profile_overview_3.pdf

CTPAT Highway Carrier Security Criteria
https://www.cbp.gov/sites/default/files/documents/hwy_carrier_security_criteria_english_3.pdf