

BARNES & NOBLE

BOOKSELLERS

DISTRIBUTION SERVICES DEPARTMENT
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C-TPAT Information for Foreign Manufacturers & Suppliers

Foreign Manufacturers/Suppliers Recommendations for C-TPAT

Manufacturers should develop and implement a sound plan to enhance security procedures. These are general recommendations that should be followed on a case-by-case basis depending on the company's size and structure and may not be applicable to all. The company should have a written security procedure plan in place that addresses the following:

Physical Security: All buildings should be constructed of materials, which resist unlawful entry and protect against human intrusion. Physical security would include:

- Adequate locking devices for external and internal doors, windows, gates, and fences.
- Segregation and marking of international, domestic, high-value, and dangerous goods cargo within the warehouse by a safe, cage, or otherwise fenced-in area.
- Adequate lighting provided inside and outside the facility to include parking areas.
- Separate parking area for private vehicles separate from the shipping, loading dock, and cargo areas.
- Having internal/external communications systems in place to contact the internal security personnel or local law enforcement police.

Access Controls: Unauthorized access to the shipping, loading dock and cargo area should be prohibited. Controls should include:

- The positive identification of all employees, visitors and vendors.
- Procedures for challenging unauthorized/unidentified persons.

Procedural Security: Procedures for the handling of incoming and outgoing goods should include the protection against the introduction, exchange, or loss of any legal or illegal material. Security controls would include:

- Having a designated security officer to supervise the introduction/removal of cargo.
- Properly marked, weighted, counted and documented products.
- Procedures for verifying seals on containers, trailers and railcars.
- Procedures for detecting and reporting shortages and overages.
- Procedures for tracking the timely movement of incoming and outgoing goods.

- Proper storage of empty and full containers to prevent unauthorized access.
- Procedures to notify Customs and other law enforcement agencies in cases where anomalies or illegal activities are detected or suspected by the company.

Personnel Security: Companies should conduct employment screening and interviewing of prospective employees which include periodic background checks and application verifications.

Education and Training Awareness: A security awareness program should be provided to employees which includes the recognition of internal conspiracies, maintaining cargo integrity, and determining/addressing unauthorized access. These programs should offer incentives for active employee participation in security controls.

Threat Awareness: A threat awareness program should be established and maintained by security personnel to recognize and foster an awareness of the threat posed by terrorists and contraband smugglers at each point in the foreign based logistics chain. This program should include routine briefings and the communication of information on potential terrorist threats along routes or areas along the logistics chain (for instance, recent hijackings, etc.).

Foreign Manufacturer & Supplier Questionnaire

Company Name:

Address:

Name/Title of person completing this form:

Authorized signature:

<u>Question</u>	<u>YES</u>	<u>NO</u>	<u>Comments</u>
1. Does your company maintain a system of internal controls to protect against unauthorized and unmanifested material being introduced into the supply chain?			
2. Is the loading and unloading of cargo at your facility supervised?			
3. Do you have written procedures for supplying proper carton markings, weights, quantities and documentation for goods exported from your premises?			
4. Do you have a process in place to ensure that correct quantities are packed and properly accounted for on your commercial documentation?			
5. Describe your procedures for detecting, correcting and reporting quantity errors (overages and shortages).			

<u>Question</u>	<u>YES</u>	<u>NO</u>	<u>Comments</u>
6. Are intrusion-detection systems operational on the company's premises?			
7. Do you have written procedures for affixing, recording, tracking and verifying seals on ocean shipping containers that are loaded at your facility?			
8. Is the movement of incoming and outgoing cargo at your facility monitored?			
9. Describe security controls for access to your computer systems and how you maintain the integrity of these computer systems.			
10. Does the company maintain internal controls for reporting and correcting identified security problems?			
11. List physical security precautions the company uses that are designed to protect against outside intrusion, (i.e., fences; locking devices on external and internal doors, windows gates, and fences; lighting inside and outside the facility; etc.).			
12. Has the company implemented procedures for segregating and marking of international, domestic and high value cargo within its warehouses?			
13. Are there controls in place to prohibit unauthorized access to facilities and conveyances?			
14. Does the company conduct employment screening and interviewing of prospective employees which includes background checks and application verifications?			
15. Does your company provide security education and awareness training to employees?			
16. Are employees trained to identify security breaches?			

<u>Question</u>	<u>YES</u>	<u>NO</u>	<u>Comments</u>
17. Are control procedures in place to ensure that all commercial documents are complete, legible and accurate?			
18. Does the company have procedures in place to ensure the security of cargo transported by truck, whether owned by you or hired by you (including protection against the introduction of unauthorized personnel and material, securing all internal/external compartments and panels, etc.)?			
19. Describe the company's procedures for reporting the discovery of unauthorized personnel, materials or signs of tampering.			
20. Please list the complete physical address of each location the company is responsible for which packages, loads and ships goods to Barnes & Noble Corporation (use a separate sheet if necessary)			
21. List the name, title and contact information of the person in your organization responsible for the security of your facilities.			

Additional information that should be provided if available:

1. Please provide a diagram of the manufacturing plant and shipping facilities from which you produce, package and export goods to the U.S.
2. Provide digital photos of the exterior of the facilities noted above (where possible, this should include photos of the shipping area and access points to the buildings).
3. Provide an outline of pre-employment screening and hiring procedures for prospective employees.

4. Provide an outline of the company's procedures governing the use and issuance of employee identification.
5. Please provide a copy of the company's written work instructions for shipping international cargo. This should include procedures for loading containers and trucks as well as airfreight and less-than-containerload (LCL) shipments.
6. Provide an outline of the procedures used to track shipments from your facility to arrival at the final U.S. destination.
7. Provide an outline of the procedures used in your selection of transportation providers. This should include all companies that are involved in the movement of international shipments from your facility door to the U.S. port. Note whether you investigate fiscal soundness, company references, providers, security programs, etc.
8. Provide a list of all transportation providers and freight forwarders you currently use to ship products to the U.S. Please also note local trucking firms that are used to deliver product from your facility to the port/airport or forwarder warehouse.
9. Please provide an outline of procedures utilized for handling visitors on company property, both offices and plants.
10. Please provide information regarding the company's controls for access to the computer system. This should address password protection, firewalls, anti-virus software, etc.
11. Provide an outline of the company's loss prevention program.