

C-TPAT (Customs-Trade Partnership Against Terrorism)

SUMMARY: As a vendor to a company in the Emerson family, we are in need of information from you to fulfill our commitment to the U.S. Customs and Border Protection initiative known as the Customs-Trade Partnership Against Terrorism (C-TPAT).

INSTRUCTIONS: This questionnaire will assist us in assessing your company's conformity with C-TPAT standards. Please complete the entire questionnaire and return it within [(7), (14), ()] days. If you reply "YES" to a procedure, a copy of the procedure should be easily available or provided with the questionnaire. Information that may be relevant but not specifically requested in a question should be included. If you need information to help you with this questionnaire, please contact: _____

VENDOR INFORMATION

Name Shanghai Grandmodel Co.,Ltd
Address No.28 Caolian Road Lianxi Village,Huangdu Town
Jiading District,Shanghai,China
Person completing this questionnaire: _____Maggie_____
Telephone Number: _____86-21-69596718_____
E-Mail Address _____maggie@grandmodel.com_____

Please list the locations covered by this response:

C-TPAT/SUPPLY CHAIN SECURITY CERTIFICATION

1. Has your company received a foreign vendor C-TPAT certification from U.S. Customs and Border Protection? No
If yes, please supply a copy of the certification or the certification number
2. Does your company have certification in a supply chain security program administered by your country's Customs administration, and is this certification current? No
If yes, please provide a copy of the letter of certification

BUSINESS PARTNER REQUIREMENTS

1. Does your organization have written and verifiable processes for the selection of your business partners (including manufacturers, product suppliers and vendors)?
No
2. Does your organization obtain and maintain documentation indicating Supply Chain Security certification from your business partners that claim Supply Chain Security certification?
No
3. For business partners that are not Supply Chain Security certified, does your organization require written confirmation that the partner is meeting Supply Chain Security criteria (e.g., via a contractual obligation; written attestation signed by a company officer; statement that the partner is participating in an accredited security program equivalent that is administered by a non-U.S. Customs authority; or by providing a completed security questionnaire)?
No

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3. Is a system in place to identify the abuse of IT including improper access, tampering or the altering of business data? Yes
4. Are violators subject to disciplinary action for abuse? Yes
5. Does your system maintain firewalls? Yes

ADDITIONAL INFORMATION

Please list the 5 largest material suppliers for your export product: (less than 5 acceptable depending on volume)

Shanghai Sigma Metals INC
Shanghai Xinyi Surface Co., Ltd

Please list the 5 largest Carriers to Port of Exit for your export product: (less than 5 acceptable depending on volume)

HANJIN LOGISTICS

Please list the 5 largest Forwarders for your export product: (less than 5 acceptable depending on volume)

HANJIN LOGISTICS

Please list the 5 largest International Carriers for your export product: (less than 5 acceptable depending on volume)

HANJIN LOGISTICS

Please list the 5 largest Domestic Carriers for your export products: (less than 5 acceptable depending on volume)

N/A

Which of the suppliers and service providers listed above participate in Customs industry supply chain security programs such as C-TPAT and BASC? (Identify supplier/service provider and program)

HANJIN LOGISTICS

Maggie
Signature (person completing questionnaire)

Maggie J.
Printed or Typed name of person completing questionnaire

Title

November 13th, 2012

Date

86-21-69596718
Telephone Number

Maggie@grandmodel.com
E-Mail Address

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SECURITY TRAINING AND THREAT AWARENESS

1. Do you have an established security training and threat awareness program to recognize and promote awareness of the threat posed by terrorists at each point in the supply chain?
Yes
2. If yes, does the program include the following?

Recognition of internal conspiracies?	Yes
Maintaining cargo integrity?	Yes
Identifying and handling suspicious or unknown cargo?	Yes
Inclusion of shipping/receiving personnel and mail handlers?	Yes
Procedures for reporting/responding to threats?	Yes
Determining and addressing unauthorized access?	Yes
Incentives for active employee participation?	Yes
IT policies, procedures and standards	Yes
3. Do you have a program that promotes Ethics Awareness? Yes

PHYSICAL SECURITY (Please document with photos if possible)

1. Does perimeter fencing enclose areas around cargo handling and storage facilities and is it regularly inspected for integrity and damage? Yes
2. Do you segregate and mark the following materials within a safe, caged or otherwise fenced in area?

International cargo?	Yes
Domestic cargo?	Yes
High-value cargo?	Yes
Dangerous goods cargo?	Yes
Unknown cargo?	Yes
3. Is perimeter fencing regularly inspected for integrity and damage? Yes
4. Are gates for vehicles and personnel guarded by security personnel and have the number of gates been kept to a minimum? Yes
5. Do you have a parking area for private vehicles that is separate from the shipping, loading dock and cargo areas? Yes
6. Are facilities constructed of materials that resist unlawful entry?
Please indicate the type of materials and the frequency of inspection and repair to maintain building integrity.
Yes
7. Are windows, gates and fences secured with locking devices? Yes
8. Does management or security personnel control the issuance of locks and keys? Yes
9. Is there security lighting for inside and outside the facility including entrances and exits, cargo handling and storage areas, fence lines and parking areas?
Yes
10. Are alarm systems and video surveillance cameras installed to monitor the premises and prevent unauthorized access to cargo handling and storage areas? Yes

INFORMATION TECHNOLOGY SECURITY

1. Do you have a procedure to safeguard against unauthorized use or viewing of your information systems? Yes
2. Do your automated systems use individually assigned accounts that require a periodic change of password? Yes

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9. Does company management or security personnel adequately control the issuance and removal of employee, visitor and vendor identification badges?

No

10. Is the issuance, removal and changing of access devices (e.g., keys and key cards) controlled by management/security personnel? Yes
11. Do you have security guards on site 24 hours a day, 7 days a week? Yes
12. Do you have controlled access to the shipping and/or receiving areas? Yes

PERSONNEL SECURITY

1. Do you conduct pre-employment review of employment history and references? Yes
2. Do you conduct background checks and investigations on prospective employees? Yes
3. Do you perform periodic checks and reinvestigations on employees? Yes
4. Are personnel termination procedures in place to remove facility and systems access for terminated employees? Yes
5. Does your company have internal "codes of conduct" for employees? Yes
6. Does your company have internal controls/processes established for reporting and managing problems related to personal security? Yes

PROCEDURAL SECURITY (Inventory/Supply Chain Control)

1. Do you have a written procedure in place to ensure that all information used in the movement/clearing of merchandise/cargo is legible, complete, accurate and protected against the exchange, loss or introduction of erroneous information? Yes
2. Does your documentation control include safeguarding of computer access and information? Yes
3. Are procedures in place to ensure that information provided to foreign purchasers is reported accurately and timely so that the integrity of cargo that you export is assured? Yes
4. Do you have a written procedure on marking, weighing, counting and documenting of cargo/cargo equipment that is verified against manifest documents at time of dispatch? Yes
5. Is departing cargo verified against purchase or delivery orders? Yes
6. Are drivers delivering and/or receiving cargo positively identified before cargo is dispatched or released? Yes
7. Do you have a written procedure on an internal/external communications system to notify Customs and other law enforcement agencies in cases of anomalies or illegal activities when detected or suspected? Yes
8. Do you have a written procedure on detecting and reporting of shortages/overages at time of receipt? Yes
9. Do you have a written procedure for the segregation of returned goods and unknown cargo? Yes
10. Do you have a written procedure on notification and disposition of unknown cargo? Yes
11. Do you conduct random, unannounced security assessments of supply chain areas Within your company's control? Yes

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4. Does your organization visit business partners or take other measures to verify compliance with Supply Chain Security criteria?
No
5. Does your organization identify the outsourcing partners of your business partners, and identify the Supply Chain Security status of those outsourcing partners?
No
6. Does your organization require current or prospective business partners to advise of the status of their participation in supply chain security programs being administered by a non-U.S. Customs administration? No
7. Does your organization assess business partners in terms of financial soundness, capability of meeting contractual security requirements and ability to identify and correct security deficiencies?
Yes
8. Does your organization have a clear and documented process for determining risk through your supply chain?
Yes

CONTAINER SECURITY

1. Do you have procedures in place to verify the physical integrity of the container structure prior to stuffing, to include the reliability of door locking mechanisms; front wall, left and right side walls; floor and ceiling/roof; inside/outside doors; outside/undercarriage?
Yes
2. Do you affix high security mechanical seals to all containers bound for the U.S., and do these seals meet or exceed PAS ISO 17712 standards for high security mechanical seals?
Yes
3. Do you have procedures stating how seals are to be secured, logged and affixed to all loaded containers and verified through the supply chain, including procedures for recognizing and reporting compromised seals to the appropriate authorities?
Yes
4. Do you only designated employees handle and distribute container seals? Yes
5. At each delivery point of the container are procedures in place to check and verify the integrity of the seal? Yes
6. When containers are stored, are they stored in a secure area to prevent unauthorized Access and/or manipulation? Yes
7. Are procedures in place for reporting unauthorized entry to container storage areas?
Yes

PHYSICAL ACCESS CONTROLS

1. Do you have a written procedure for access to your facilities? Yes
2. Is there an employee identification system in place for positive identification and access control purposes? Yes
3. Are employees only given access to areas needed for the performance of their duties?
Yes
4. Are visitors and vendors required to present photo identification for documentation purposes upon arrival? No
5. Are all visitors and vendors escorted and do they visibly display company-issued temporary identification? Yes
6. Are drivers who deliver or receive cargo positively identified? Yes
7. Are all deliveries (including mail) screened for potential terrorist threat? Yes
8. Are procedures in place to identify, challenge and address unauthorized/unidentified persons?
Yes