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## ATTACHMENT B CTPAT SURVEY INSTRUMENT

### CTPAT Program Assessment Survey

Final: June 24, 2020

Regarding the CTPAT survey, questions could be grouped into 3 separate sections:

1. Program Participation History & Background
2. Program Evaluation
  - Importance/Decision Drivers
  - CTPAT Overall Performance
  - Initial Implementation
  - Validation
  - Program Management/Administration
  - Revalidation
  - Communication/Touch Points
3. Program Future/COVID-19 Impact\*

**NOTE: TEXT IN ALL CAPS IS PROGRAMMING INSTRUCTIONS - IT WILL NOT SHOW ON SCREEN TO RESPONDENT. SECTION HEADINGS AND QUESTION NUMBERS WILL NOT SHOW TO RESPONDENTS.**

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#### INTRO:

The University of Houston-Borders, Trade, and Immigration (BTI) Institute, working on behalf of the Department of Homeland Security (DHS) is conducting an assessment of the U.S. Customs and Border Protection (CBP) Customs Trade Partnership Against Terrorism (CTPAT) Program. A crucial part of the assessment is to hear from CTPAT Program participants, via this survey, about ways in which the program can be improved for you and future program participants.

To ensure the confidentiality and security of your responses, the survey is being hosted by a third-party survey research contractor. Data will be collected securely and will be reported only in the aggregate. Your individual responses will never be shared in a way that could identify you or your company. Your feedback and participation are valued.

The survey will take about 25 minutes to complete.

Thank you in advance for your participation and your valuable feedback.

Please click 'Next' to continue.

[NEXT]

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## Program Participation History & Background

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The first series of questions is about your role or involvement in the CTPAT program.

1. What is your involvement with the CTPAT Program? Select one.
  - 1 I am the primary CTPAT point of contact for my company
  - 2 I am a secondary CTPAT point of contact for my company
  - 3 I am a former CTPAT point of contact at this or another company
  - 4 Never a point of contact with CTPAT  **THANK AND TERMINATE**
  - 5 Company is no longer a CTPAT participant → **SKIP TO Q58, "REASONS CONSIDERED LEAVING"**

[PAGE BREAK]

2. QUESTION REMOVED.

3. How long have you been a CTPAT point of contact for your current or former company?
  - 1 Less than 1 year
  - 2 1-3 years
  - 3 4-6 years
  - 4 7-9 years
  - 5 10-14 years
  - 6 15+ years

4. Were you involved in the CTPAT Program for your company when your company was first certified?
  - 1 Yes
  - 2 No
  - 3 We are not yet certified

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5. In a typical month, how many hours do you, personally, spend managing the CTPAT Program for your company?
  - 1 Less than 1 hour
  - 2 1 to 10 hours
  - 3 11 to 20 hours
  - 4 21 to 30 hours
  - 5 31 to 40 hours
  - 6 More than 40 hours Not sure

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The next questions are about your organization's participation in the program.

6. Which business type reflects your company's category of enrollment with CBP/CTPAT? Select all that apply. [\[UVA 2007\\_TRACKING\]](#)
- 1 U.S. Importer of Record
  - 2 U.S./Canada Highway Carrier
  - 3 U.S./Mexico Highway Carrier
  - 4 Rail Carrier
  - 5 Sea Carrier
  - 6 Air Carrier
  - 7 U.S. Marine Port Authority/Terminal Operator
  - 8 U.S. Air Freight Consolidator, Ocean Transportation Intermediary, or Non-Vessel Operating Common Carrier (NVOCC)
  - 9 Operating Common Carrier (NVOCC)
  - 10 Foreign Manufacturer
  - 11 Licensed U.S. Customs Broker
  - 12 Third party Logistics (3PL)
  - 13 Other, please specify: \_\_\_\_\_

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7. In what country is your company's headquarters located? Select one. [\[UVA 2007\\_TRACKING\]](#)
- 1 United States
  - 2 Canada
  - 3 Mexico
  - 4 Other, please specify: \_\_\_\_\_

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#### HIGHWAY CARRIER ONLY

- 7A. What is your current CTPAT status? Select one. **[HIGHWAY CARRIER ONLY]**
- 1 Awaiting certification,
  - 2 Certified
  - 3 Certified/validated

#### ASK ALL (SKIP IF HIGHWAY CARRIER AND Q7A='1' (AWAITING CERTIFICATION))

8. Approximately how long has your company been CTPAT **certified**? If you are not sure, please give your best estimate. [\[UVA 2007\\_TRACKING\]](#)
- 1 Not yet CTPAT certified
  - 2 Less than a year

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- 3 1 to 2 years
- 4 3 to 5 years
- 5 6 to 10 years
- 6 11 or more years
- 7 Not sure

**ASK ALL (SKIP IF HIGHWAY CARRIER AND Q7A='1 OR 2' (AWAITING CERT OR CERTIFIED))**

9. How many **validations** has your company participated in? *Please include validations and revalidations*

- 1 None
- 2 One
- 3 Two
- 4 Three
- 5 Four or more
- 6 Not sure

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**IMPORTER ONLY**

10. What is your current CTPAT status? Select one.

- 1 Tier 1 (certified only)
- 2 Tier 2 (certified and validated)
- 3 Tier 3 (certified, validated and designated)
- 4 None of these

11. To what CTPAT Field Office(s) are you assigned? Select all that apply.

- 1 New York, NY
- 2 Newark, NJ
- 3 Los Angeles, CA
- 4 Buffalo, NY
- 5 Miami, FL
- 6 Houston, TX
- 7 Not sure

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11A. Has your company ever been suspended or removed from the CTPAT program?

- 1 Yes
- 2 No

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**IF YES, SUSPENDED OR REMOVED (Q11A=1)**

11B. What were the circumstances of your company's suspension or removal? OPEN END - REQUIRED. \_\_\_\_\_

**IF IMPORTER (Q6=1)**

12. What are the major types of goods your company imports? Select all that apply. [[UVA 2007\\_TRACKING](#)]

- 1 Apparel/accessories
- 2 Automobiles/auto parts
- 3 Building materials/hardware
- 4 Chemicals
- 5 Computer hardware/software
- 6 Consumer electronics/appliances
- 7 Electronic equipment/components
- 8 Foods/beverages/agricultural products
- 9 General merchandise
- 10 Heavy machinery
- 11 Metals/mining materials
- 12 Petroleum or petroleum products
- 13 Sporting goods/equipment
- 14 Textiles/linens
- 15 Toys/games
- 16 Other, please specify: \_\_\_\_\_

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**IF IMPORTER (Q6=1)**

13. What are the **primary** points of origin for your company's imports? Select all that apply. [[UVA 2007\\_TRACKING](#)]

- 1 China
- 2 Hong Kong
- 3 Japan
- 4 Malaysia
- 5 Philippines
- 6 Taiwan
- 7 Other Asia
- 8 Canada
- 9 Mexico
- 10 Other Central America
- 11 Colombia

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- 12 Brazil
- 13 Chile
- 14 Argentina
- 15 Venezuela
- 16 Other South America
- 17 India
- 18 Pakistan
- 19 Africa
- 20 Israel
- 21 Turkey
- 22 Other Middle East
- 23 Australia
- 24 New Zealand
- 25 UK/Ireland
- 26 European Union
- 27 Other, please specify: \_\_\_\_\_

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**IF HIGHWAY CARRIER (Q6=2-3)**

14. What are the major types of cargo your company transports? Select all that apply. [\[UVA 2007\\_TRACKING\]](#)

- 1 Apparel/accessories
- 2 Automobiles/auto parts
- 3 Building materials/hardware
- 4 Chemicals
- 5 Computer hardware/software
- 6 Consumer electronics/appliances
- 7 Electronic equipment/components
- 8 Foods/beverages/agricultural products
- 9 General merchandise
- 10 Heavy machinery
- 11 Metals/mining materials
- 12 Petroleum or petroleum products
- 13 Sporting goods/equipment
- 14 Textiles/linens
- 15 Toys/games
- 16 Other, please specify: \_\_\_\_\_

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**IF HIGHWAY CARRIER (Q6=2-3)**

15. What **primary** points of origin does your company transport cargo from? Select all that apply. [\[UVA 2007\\_TRACKING\]](#)

- 1 China
- 2 Hong Kong
- 3 Japan
- 4 Malaysia
- 5 Philippines
- 6 Taiwan
- 7 Other Asia
- 8 Canada
- 9 Mexico
- 10 Other Central America
- 11 Colombia
- 12 Brazil
- 13 Chile
- 14 Argentina
- 15 Venezuela
- 16 Other South America
- 17 India
- 18 Pakistan
- 19 Africa
- 20 Israel
- 21 Turkey
- 22 Other Middle East
- 23 Australia
- 24 New Zealand
- 25 UK/Ireland
- 26 European Union
- 27 Other, please specify: \_\_\_\_\_

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## Program Evaluation

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### Importance/Decision Drivers

16. QUESTION REMOVED.

#### **SPLIT SAMPLE A – ½ OF RESPONDENTS WILL GET THIS QUESTION (AT RANDOM)**

17. How important were each of the following in your company's decision to join CTPAT.

- 5 Single most important (select one in this column)
- 4 Very important
- 3 Important
- 2 Not too important
- 1 Not at all important
- 6 Not sure/NA

RANDOMIZE

#### **ASK ALL**

- a. Obtain CTPAT program benefits [**DO NOT ASK IN Q24**]
  - b. Fulfills a contractual requirement or expectation from business partners
  - c. Reduces disruptions in your supply chain
  - d. Cost savings/mitigation of penalties
  - e. Establishes a process to review your supply chain operations
  - f. Enhances brand reputation
  - g. Makes your company more competitive
  - h. Demonstrates good corporate citizenship
  - i. Enhances standards within your industry
- ASK ALL - THESE ARE CTPAT STATED BENEFITS**
- j. Possible exemption from Stratified Exams
  - k. Assignment of a Supply Chain Security Specialist
  - l. Access to the CTPAT Portal and library of training materials
  - m. Potential to be recognized as “trusted” by foreign Customs administrations that have Mutual Recognition with the U.S.
  - n. Eligibility for other U.S. Government pilot programs
  - o. Business resumption priority following a natural disaster or terrorist attack
  - p. Priority consideration at CBP’s Centers of Excellence and Expertise
- ASK IMPORTER (ASK IF Q6=1)**
- q. Reduced targeting for your shipments
  - r. Reduced exams of your shipments
  - s. Front of the line privileges at U.S. Ports of Entry
  - t. Increased supply chain visibility and lead time predictability



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u. Importer eligibility to participate in the Importer Self-Assessment Program (ISA)

**ASK HIGHWAY CARRIER (ASK IF Q6=2-3)**

v. Access to the Free and Secure Trade lanes (FAST)

w. Front of the line privileges when shipments you are carrying are selected for exam

x. Contractual eligibility to work with Importers and other carriers via program membership

y. Fewer inspections from CBP when crossing the border

**ASK SEA CARRIER OR US MARINE PORT AUTHORITY/TERMINAL OPERATOR (Q6=5 or 7)**

z. Access to the CBP AQUA Lane program

[PAGE BREAK]

**SPLIT SAMPLE A (A/B):**

17A. What other reasons, if any, were important in your company's decision to join CTPAT?

OPEN END - NOT REQUIRED \_\_\_\_\_

[PAGE BREAK]

**SPLIT SAMPLE B (A/B)**

18. How important were each of the following in your company's **decision to continue** as a CTPAT member.

5 Single most important (select one in this column)

4 Very important

3 Important

2 Not too important

1 Not at all important

6 Not sure/NA

SAME BENEFITS LIST AS ABOVE

[PAGE BREAK]

19. Which of the following metrics does your company track to measure the benefit of the CTPAT Program (e.g. reduced inspections or faster processing times)? Select all that apply. RANDOMIZE

1 Reduced examinations or inspections

2 Use of FAST lanes

3 Front of line privileges/faster crossing time

4 Reduced security incidents

5 Other, please specify: \_\_\_\_\_

6 None/We don't track metrics related to CTPAT [EXCLUSIVE]

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20. Which of the following applies to **your company**? Select all that apply.
- 1 You require your eligible business partners to participate in CTPAT
  - 2 You suggest that your partners participate, but do not require it
  - 3 You require non-CTPAT eligible business partners to comply with CTPAT requirements
  - 4 None of the above [EXCLUSIVE]
21. Which of the following applies to your **business partners**? Select all that apply.
- 1 They require the companies they work with to participate in CTPAT
  - 2 They suggest that the companies they work with participate, but do not require it
  - 3 They require non-CTPAT eligible companies they work with to comply with CTPAT requirements
  - 4 None of the above [EXCLUSIVE]

[PAGE BREAK]

## **CTPAT Performance**

22. How would you describe your company's **overall experience** with CTPAT so far? Select one. [[UVA 2007\\_TRACKING](#)]
- 1 The benefits outweigh the costs
  - 2 The benefits and the costs are about the same
  - 3 The costs outweigh the benefits
  - 4 Not sure/It's too early to tell

[PAGE BREAK]

**The next few questions are about how CTPAT has performed or delivered on many of the program benefits that may have been important to you in joining or continuing with the program.**

23. QUESTION REMOVED.
24. How would you rate the CTPAT program on meeting/delivering each of the following benefits of participation?
- 4 Excellent
  - 3 Good
  - 2 Fair
  - 1 Poor
  - 6 Not sure

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RATE SAME LIST OF BENEFITS RATED IN IMPORTANCE BATTERY

[PAGE BREAK]

25. What is a benefit your company has NOT realized from CTPAT that you thought it would? OPEN END \_\_\_\_\_ [REQUIRED]

[PAGE BREAK]

26. How much of your business, if any, would be lost if your company left the CTPAT Program?

- 1 75-100% of business would be lost
- 2 50-74% of business would be lost
- 3 25-49% of business would be lost
- 4 10-25% of business would be lost
- 5 Less than 10% of business would be lost
- 6 No business would be lost
- 7 Not sure

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## Initial Implementation

**When answering the next few questions, please think about the initial implementation.**

**IF INVOLVED IN CTPAT SINCE INITIAL CERT (Q4=1):**

27. Overall, how satisfied were you with the initial implementation process to bring your company into compliance with CTPAT?

- 4 Very satisfied
- 3 Satisfied
- 2 Dissatisfied
- 1 Very dissatisfied
- 6 Was not involved in initial implementation → SKIP TO Q32\_INTRO AND Q32

[PAGE BREAK]

**IF INVOLVED IN CTPAT SINCE INITIAL CERT (Q4=1):**

28. Approximately what proportion of CTPAT program criteria had already been implemented at your company before it joined CTPAT? [[UVA 2007\\_TRACKING](#)]

- 5 All or nearly all of the CTPAT program criteria
- 4 Most of the CTPAT program criteria
- 3 Half of the CTPAT program criteria

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- 2 Less than half of the CTPAT program criteria
- 1 None of the CTPAT program criteria
- 6 Not sure

**IF INVOLVED IN CTPAT SINCE INITIAL CERT (Q4=1):**

29. How easy or difficult was the implementation of CTPAT program criteria for your company? [[UVA 2007\\_TRACKING](#)]

- 4 Very easy
- 3 Easy
- 2 Difficult
- 1 Very difficult
- 6 Not sure

[PAGE BREAK]

**IF INVOLVED IN CTPAT SINCE INITIAL CERT (Q4=1):**

30. How challenging, if at all, were each of the following to your company at the time your company decided to join and implement the CTPAT Program?

- 5 Single greatest challenge (select up to one in this column)
- 4 Very challenging
- 3 Somewhat challenging
- 2 Not too challenging
- 1 Not a challenge at all
- 6 Not sure

**RANDOMIZE**

- a. Understanding program requirements
- b. Creating the security profile in the CTPAT portal
- c. Costs associated with implementing required physical security upgrades
- d. Demonstrating value (ROI) to executive level leadership
- e. Getting information from supply chain providers about their compliance with program criteria
- f. Preparing for validation

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**SPLIT SAMPLE C (C/D)****IF INVOLVED IN CTPAT SINCE INITIAL CERT (Q4=1):**

31. When it comes to **bringing your company into compliance** with CTPAT, have the costs incurred been substantial, moderate, minimal, or were no costs incurred in that area?

- 4 Substantial costs
- 3 Moderate costs
- 2 Minimal costs
- 1 No costs associated with personnel hours
- 6 Not sure

## RANDOMIZE

- a. Personnel hours spent on CTPAT (not including training and education)
- b. Personnel education and training about CTPAT
- c. Physical/ security improvements
- d. Travel and outreach to supply chain providers to obtain/verify security information
- e. Program related activities and events such as validation re-validation, and/or conference attendance

[PAGE BREAK]

**Validation****Switching gears to the initial validation...****IF INVOLVED IN CTPAT SINCE INITIAL CERT (Q4=1):**

32. Overall, how satisfied were you with the **initial validation** process?

- 4 Very satisfied
- 3 Satisfied
- 2 Dissatisfied
- 1 Very dissatisfied
- 6 Was not involved in initial validation → **SKIP TO NEXT SECTION**

[PAGE BREAK]

**IF INVOLVED IN CTPAT SINCE INITIAL CERT (Q4=1):**

33. How well do each of the following describe the **initial validation** process?

- 4 Describes very well
- 3 Describes well
- 2 Does not describe well
- 1 Does not describe at all
- 6 Not sure/NA

## RANDOMIZE

- a. Wait time for validation (scheduling and the process itself) was reasonable

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- b. Clear instructions to prepare for validation
- c. Costs and resources invested in validation site visits were reasonable
- d. Supply chain partners were cooperative in validation visits
- e. Validation process was thorough
- f. Validation was worth the investment in time and resources
- g. Foreign site visit(s) went well

[PAGE BREAK]

**IF FOREIGN SITE VISIT (Q33h='NOT DESCRIBE WELL,' OR 'NOT AT ALL') ASK:**

33A. What makes you say that the foreign site visit did not go completely well/smoothly?

OPEN END - OPTIONAL. \_\_\_\_\_

[PAGE BREAK]

34. What, if anything, can be improved about the CTPAT **validation** process? OPEN END – OPTIONAL. \_\_\_\_\_

[PAGE BREAK]

**Once your company completed validation it received a validation report detailing the aspects of the actual site visit(s), documenting compliance with minimum security criteria (MSCs) and identifying best practices or actions required.**

35. How well do each of the following statements describe the **validation report** you/your company received?

- 4 Describes very well
- 3 Describes well
- 2 Does not describe well
- 1 Does not describe at all
- 6 Not sure/NA

RANDOMIZE

- a. Extensive and detailed [**ANCHOR AT TOP OF LIST**]
- b. It clearly documented compliance with minimum security criteria (MSCs)
- c. It was clear about required actions/next steps
- d. It gave actionable guidance on how to satisfy minimum security criteria (MSCs)
- e. It gave useful suggestions about best practices or improvements beyond the MSCs

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36. Once you received the validation report, how did you use it within your company?  
Select all that apply.

- 1 It was provided to executive leadership

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- 2 It was shared with business partners within the supply chain
- 3 It was shown only to those who participated in the validation
- 4 It was reviewed only by the primary point of contact for the program
- 5 It was used to make improvements to our operational security
- 6 None of the above (EXCLUSIVE)
- 7 Not sure

[PAGE BREAK]

37. What part of the **validation report** was MOST helpful to your company? Select up to two.
- 1 Sections confirming compliance with minimum security criteria (MSCs)
  - 2 Actions Required
  - 3 Best Practices
  - 4 Review of what the Partnership Validation Team (PVT) saw during the site visits
  - 5 Other, please specify: \_\_\_\_\_
  - 6 Not sure

[SAME PAGE AS Q37]

38. What, if anything, can be improved about the CTPAT **validation report**? OPEN END – OPTIONAL. \_\_\_\_\_

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### Program Management/Administration

Thinking about the ongoing participation and compliance in CTPAT, please answer the following questions.

#### SPLIT SAMPLE D (C/D)

39. When it comes to managing your company's **ongoing participation and compliance** in CTPAT, have the costs incurred been substantial, moderate, minimal, or were no costs incurred in that area?
- 4 Substantial costs
  - 3 Moderate costs
  - 2 Minimal costs
  - 1 No costs
  - 6 Not sure
- RANDOMIZE
- a. Personnel hours spent on CTPAT (not including training and education)
  - b. Personnel education and training about CTPAT
  - c. Physical security improvements

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- d. Travel and outreach to supply chain providers to obtain/verify security information
- e. Program related activities and events such as validation re-validation, and/or conference attendance

[PAGE BREAK]

40. How challenging, if at all, are each of the following in managing your company's **ongoing participation** in the CTPAT program?

- 5 Single greatest challenge (select one in this column)
- 4 Very challenging
- 3 Challenging
- 2 Not too challenging
- 1 Not a challenge at all
- 6 Not sure

RANDOMIZE

- a. Participating/preparing for validations and revalidations
- b. Maintaining security profile and completing annual review in CTPAT Portal
- c. Communicating with your assigned CTPAT SCSS
- d. Continuing to demonstrate value (ROI) of CTPAT participation to your executive leadership

[SAME PAGE AS Q40]

44A. What other areas do you find **challenging** about managing your company's ongoing participation in the CTPAT program? OPEN END – OPTIONAL

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41. CTPAT recently announced new minimum-security criteria (MSC) for the program. Is this... Select all that apply.

- 1 A positive development showing the program is evolving
- 2 Unwelcome news because additional effort/resources will be needed to comply with the new MSCs
- 3 Not the right time due to the COVID-19 crisis
- 4 Concerning due to the lack of uniformity of enforcing current MSCs by SCSS
- 5 I was not aware of new MSCs/I need to learn more
- 6 No opinion
- 7 Other, please specify: \_\_\_\_\_

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42. What, if anything, can CBP/CTPAT do to support you/your company in the **ongoing management** and implementation of the CTPAT Program? OPEN END – OPTIONAL.
- 

## **Revalidation**

Now, turning to the revalidation process...

### **IF RE-VALIDATED (Q9=PARTICIPATED IN TWO OR MORE VALIDATIONS)**

43. Overall, how satisfied were you with the **revalidation** process?
- 4 Very satisfied
  - 3 Satisfied
  - 2 Dissatisfied
  - 1 Very dissatisfied
  - 6 Not sure

[PAGE BREAK]

### **IF RE-VALIDATED (Q9=PARTICIPATED IN TWO OR MORE VALIDATIONS)**

44. How well do each of the following describe the **revalidation** process?
- 4 Describes very well
  - 3 Describes well
  - 2 Does not describe well
  - 1 Does not describe at all
  - 6 Not sure/NA

RANDOMIZE

- a. Wait time for revalidation (scheduling and the process itself) was reasonable
- b. Instructions to prepare for revalidation were clear
- c. Resources invested in revalidation were reasonable
- d. Supply chain partners were cooperative in participating in revalidation
- e. Revalidation process was thorough
- f. Revalidation was worth the investment in time and resources
- g. SCSS was professional and knowledgeable during revalidation
- h. You believe the revalidation process is necessary for companies to show they remain in compliance
- i. Revalidation is repetitive and of little value

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45. QUESTION REMOVED.

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**IF RE-VALIDATED (Q9=PARTICIPATED IN TWO OR MORE VALIDATIONS)**

46. What, if anything can be improved about the CTPAT **revalidation** process? OPEN END – OPTIONAL. \_\_\_\_\_

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**Communication/Touch Points**

The next series of questions are about the ways you communicate with CTPAT and they communicate with you.

47. Which of the following resources have you utilized regarding CTPAT? Select all that apply.

RANDOMIZE

- 1 Supply Chain Security Specialist (SCSS)
- 2 Personnel at CBP Field Offices or Ports besides SCSS
- 3 CBP Personnel in DC Headquarters
- 4 CTPAT web portal
- 5 Video announcements
- 6 CTPAT meetings or conferences
- 7 None of these

[PAGE BREAK]

**ATTENDED A CONFERENCE (Q47=10)**

48. You indicated you attended a CTPAT meeting or conference. Would you say the meeting or conference was...

- 5 Extremely valuable
- 4 Valuable
- 3 Somewhat valuable
- 2 Not too valuable
- 1 Not valuable at all
- 6 Not sure

[PAGE BREAK]

49. QUESTION REMOVED.

50. How would you describe the following aspects of communication between CTPAT and you/your company?

- 4 Describes very well
- 3 Describes well
- 2 Does not describe well

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- 1 Does not describe at all
- 6 Not sure/NA

## RANDOMIZE

- a. You know who to contact at CTPAT for answers to your questions
- b. Your SCSS is responsive to your requests in a timely manner
- c. Your SCSS answers your questions to your satisfaction
- d. Your SCSS is knowledgeable about your industry
- e. You have had a consistent SCSS dedicated to you/your company
- f. Different Field offices and SCSS operate uniformly
- g. Web portal is easy to use and get information

[PAGE BREAK]

51. Is the amount of contact you have with your assigned Supply Chain Security Specialist (SCSS)...

- 1 Too much
- 2 About right
- 3 Not enough

52. How often would you like to have contact with your assigned Supply Chain Security Specialist (SCSS)?

- 1 At least monthly
- 2 At least quarterly
- 3 Only with updates or important news
- 4 Only if you contact them.
- 5 Not sure

[PAGE BREAK]

53. Which of the following best describes your role in the mandatory annual security profile review and updates in the CTPAT Portal? Select one.

- 1 I am solely responsible for the annual review and updates in the portal
- 2 I am responsible with others
- 3 I have a small indirect role
- 4 I have no role

[PAGE BREAK]

**IF 'SOLELY' OR 'WITH OTHERS' INVOLVED IN PORTAL (Q53=1-2):**

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54. How would you rate the CTPAT web portal on each of the following?

- 4 Very satisfied
- 3 Satisfied
- 2 Dissatisfied
- 1 Very dissatisfied
- 6 Not sure

RANDOMIZE

- a. Overall ease of use and navigation
- b. Providing a repository for documentation of your CTPAT membership
- c. Providing a platform for communicating with your SCSS
- d. Access to Certification/Validation instructions and FAQs
- e. Technical support for the CTPAT web portal

[PAGE BREAK]

#### SPLIT SAMPLE E/F

55. How interested would you be in a **formal comment system** that would allow you to provide feedback regarding your experiences with CTPAT [SPLIT E: SENTENCE ENDS HERE] [SPLIT F ADD: anonymously and confidentially]?

- 4 Very interested
- 3 Somewhat interested
- 2 Not too interested
- 1 Not interested at all
- 6 Not sure

[PAGE BREAK]

56. QUESTION REMOVED.

## Program Future/COVID Impacts:

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**A few questions about your company's anticipated future with CTPAT.**

57. Has your company ever considered leaving the CTPAT program? [UVA 2007\_TRACKING]

- 1 Yes → CONTINUE TO Q58
- 2 No → SKIP TO Q59
- 3 Not sure

[PAGE BREAK]

**IF YES, CONSIDERED LEAVING:**

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58. What are some of the factors that led you to consider leaving CTPAT? Select all that apply. [\[UVA 2007\\_TRACKING\]](#)

RANDOMIZE

- 1 Competing program(s) in a key source country or within federal government
- 2 Lack of harmonization among programs (e.g. .if you have to apply for validation in each country you deal with)
- 3 Increase in requirements/costs/workload
- 4 Increase in liability
- 5 Major security breach
- 6 Third-party issues / costs
- 7 Lack of foreign suppliers willing to participate
- 8 Other, please specify: \_\_\_\_\_

[PAGE BREAK]

59. How likely is your company to **continue** in the CTPAT program? [\[UVA 2007\\_TRACKING\]](#)

- 5 Definitely will continue
- 4 Probably will continue
- 3 May/may not continue
- 2 Probably will not continue
- 1 Definitely will not continue
- 6 Not sure

[PAGE BREAK]

59A. What makes you say your company [\[INSERT FROM Q59, e.g. "Definitely will continue"\]](#) in the CTPAT program? OPEN END - REQUIRED.

\_\_\_\_\_  
[PAGE BREAK]

**Lastly, we'd like to understand how or if your company has been impacted by COVID-19 and potential impacts going forward.**

60. How much has the COVID-19 pandemic affected your business?

- 1 A Lot
- 2 Some
- 3 Not much
- 4 Not at all

[PAGE BREAK]

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61. . In the twelve months after the social distancing guidelines and travel restrictions are lifted, do you anticipate that **employee travel at your company** will...

- 1 Continue to be significantly reduced due to COVID-19
- 2 Continue to be somewhat reduced due to COVID-19
- 3 Resume to the same levels as before the COVID-19
- 4 Resume at higher levels than before COVID-19
- 5 Not sure

62. In the next 12 months, do you anticipate the number of personnel your company uses for supply chain operations, assessments, and travel and engagements will...

- 1 Remain the same
- 2 Increase
- 3 Decrease
- 4 Not sure

[PAGE BREAK]

63. Considering the current social distancing and travel restrictions in place, do you feel the CTPAT validation process can be **effectively conducted virtually using technology?**

- 1 Yes
- 2 Maybe, depending on how it is done
- 3 No, virtual validations cannot replace physical site visits
- 4 Not sure

[PAGE BREAK]

64. As a result of the COVID-19 crisis, do you foresee your company... Select all that apply.  
RANDOMIZE

- 1 Maintaining its current provider base by using technology instead of in-person visits
- 2 Limiting its provider base by using technology instead of in-person visits
- 3 Relying more heavily on 3<sup>rd</sup> party sources to select and maintain our provider base
- 4 Greatly reducing the size and distance of our provider base so that it can be more easily maintained
- 5 Redrawing the entire supply chain matrix to adjust to a post-COVID environment
- 6 None of these [ANCHOR]
- 7 Not sure [ANCHOR]

[PAGE BREAK]

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65. If the CTPAT program adjusted operations for COVID concerns, what would be the MOST effective way to manage CTPAT members? Select one.

- 1 Require less travel and rely more on virtual technology for site visits
- 2 Rely completely on documentation and evidence of implementation without any site visits.
- 3 Do not adjust
- 4 Not sure

[PAGE BREAK]

66. If the CTPAT program reduced physical site visits, they may need to make adjustments to the program. How likely would your company be to continue as a CTPAT member if the following adjustments were made?

- 5 Definitely would continue
- 4 Probably would continue
- 3 May/may not continue
- 2 Probably would not continue
- 1 Definitely would not continue
- 6 Not sure

RANDOMIZE

- a. Reduced program benefits
- b. Stronger minimum-security criteria (MSC)
- c. More frequent and random contact from your assigned SCSS to verify your security profile
- d. Greater use of third-party assessments and/or self-regulation for CTPAT compliance

[PAGE BREAK]

67. Which of the following are the biggest challenges facing your business due to COVID-19? Select all that apply.

RANDOMIZE

- 1 Ability to continue business operations
- 2 Retainment of staff/personnel
- 3 Cost of overall operations given restricting budgets
- 4 Restrictions on business travel and site visits
- 5 Adopting and implementing new technology
- 6 Other, please specify: \_\_\_\_\_
- 7 Not sure

[PAGE BREAK]

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68. How do you think global supply chain security will be affected by COVID-19? Select all that apply. RANDOMIZE

- 1 More concern about facilitation
- 2 More concern about security
- 3 More interest in operational cost reduction to ensure profitability
- 4 More investment in virtual technology
- 5 None of the above [EXCLUSIVE]
- 6 Not sure

[PAGE BREAK]

69. After your company begins to operate in a post COVID-19 environment, do you anticipate the CTPAT program for your company will...

- 1 Increase in importance
- 2 Remain the same
- 3 Decrease in importance
- 4 Will no longer be part of our company's supply chain needs

[PAGE BREAK]

70. How has interest in the CTPAT program changed, if at all, among your Executive team as a result of COVID-19?

- 1 Increase in interest
- 2 Remain the same
- 3 Decrease in interest
- 4 No longer interested in participating

## Close

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[PAGE BREAK]

**Thank you for taking the time to complete this survey. Before submitting your responses, please let us know if you would be interested in providing additional feedback. [SAME PAGE]**

71. To help the CTPAT program improve further, would you be interested in participating in a one-on-one interview or group discussion about the program later this year?

*As with this survey, your responses will be kept completely confidential. Nothing you share will be attributed to you or your company or shared in any way with U.S. CBP.*

- 1 Yes
- 2 No

[PAGE BREAK]



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**IF YES, COLLECT INFORMATION (OPTIONAL - RESPONDENTS CAN SKIP THIS PAGE):**

Please enter the best email address and phone number where we can reach you regarding future feedback about CTPAT as part of this study.

EMAIL: \_\_\_\_\_ (optional)

PHONE: \_\_\_\_\_ (optional)

If you prefer, you may email the University of Houston CTPAT program evaluation team at [CTPATStudy@ct-strategies.com](mailto:CTPATStudy@ct-strategies.com) and let them know you are volunteering to participate in an additional one-on-one interview or small group discussion.

[PAGE BREAK]

**Thank you for your time taking this survey, your responses have been submitted. The University of Houston-Project Team values your thoughts and opinions and will use your feedback and the feedback of others to improve the program.**