

COMPANY:

Date/Time:

Location:

CBP Attendees:

Partner Attendees:

Purpose of C-TPAT Validation:

- The C-TPAT validation process was created by CBP to ensure that security measures outlined in C-TPAT member's security profile are implemented and effective.

Benefits

- Opportunity to play an active role in the war against terrorism.
- Training and Seminars
- A reduced number of inspections (reduced border times)
- Assigned Supply Chain Security Specialist
- Access to Portal
- Eligibility for account-based processes (bimonthly/monthly payments)
- Emphasis on self-policing, not Customs verifications
- Analyzing your supply chain results in more efficient and effective process
- Good Business – Good Marketing

4 Steps in the C-TPAT validation process:

1. Meeting at domestic corporate office or distribution center
2. Meeting at an overseas manufacturing or service provider facility
3. Close-out
4. Validation Report

Other

- Tiered Benefits
- Best Practices

Company Facts and History 

IORs verified: ___ YES ___ NO

Description of Company or Imports _____

Relationship of location being visited to Importer _____

Year Established _____

History _____

Locations _____

Divisions _____

DCs _____

Transportation Mode and Volume:

Air ___ YES ___ NO

No. shipments _____ **per** _____

Sea ___ YES ___ NO

No. FCLs _____ **per** _____

No. LCLs _____ **per** _____

Land ___ YES ___ NO

No. Trailers _____ **per** _____

What countries does importer import from? _____

Days of Operation _____

Hrs. of Operation _____

Employees FT _____ **PT** _____ **Contract** _____

Certifications _____

C-TPAT Certificate? ___ YES ___ NO

Account Manager? ___ YES ___ NO

BUSINESS PARTNER REQUIREMENTS



Importers **must** have written and verifiable processes for the selection of business partners including manufacturers, products suppliers and vendors.

Who are their business partners? Length of business relationship? C-TPAT member?

Air Carriers: _____ How Long _____ C-TPAT? _____

Sea Carriers: _____ How Long _____ C-TPAT? _____

Manufacturers: _____ How Long _____ C-TPAT? _____

Freight Forwarders: _____ How Long _____ C-TPAT? _____

Logistics/Trucking: _____ How Long _____ C-TPAT? _____

Brokers: _____ How Long _____ C-TPAT? _____

Security: _____

IT: _____

Other: _____

Do they have procedures to select business partners? ___ YES ___ NO

Action Required

Are procedures written and verifiable? ___ YES ___ NO

Action Required

What is process? _____

Security procedures

For those business partners eligible for C-TPAT certification (carriers, ports, terminals, brokers, consolidators, etc.) the importer **must** have documentation (e.g., C-TPAT certificate, SVI number, etc.) indicating whether these business partners are or are not C-TPAT certified.

For those business partners not eligible for C-TPAT certification, importers **must** require their business partners to demonstrate that they are meeting C-TPAT security criteria via written/electronic confirmation (e.g., contractual obligations; via a letter from a senior business partner officer attesting to compliance; a written statement from the business partner demonstrating their compliance with C-TPAT security criteria or an equivalent WCO accredited security program administered by a foreign customs authority; or, by providing a completed importer security questionnaire). Based upon a documented risk assessment process, non-C-TPAT eligible business partners **must** be subject to verification of compliance with C-TPAT security criteria by the importer.

Business partners eligible for C-TPAT certification:

Documentation of Status? ___ YES ___ NO

Action Required

How documented? _____

Business partners NOT eligible for C-TPAT certification:

Written Confirmation partner meets C-TPAT criteria? ___ YES ___ NO

Action Required

Type of Confirmation: ___ Letter ___ Email ___ Contract
___ Accredited Security Program ___ Questionnaire

Point of Origin

Importers **must** ensure business partners develop security processes and procedures consistent with the C-TPAT security criteria to enhance the integrity of the shipment at point of origin. Periodic reviews of business partners' processes and facilities **should** be conducted based on risk, and should maintain the security standards required by the importer.

How does importer ensure business partners' security is consistent with C-TPAT? _____

Action Required

Business Partners Audited? ___ YES ___ NO

Audits Documented? ___ YES ___ NO

BUSINESS PARTNER REQUIREMENTS (continued)



Participation/Certification in Foreign Customs Administrations Supply Chain Security Programs

Current or prospective business partners who have obtained a certification in a supply chain security program being administered by foreign Customs Administration **should** be required to indicate their status of participation to the importer.

Do any business partners have foreign certifications in security? _____

Does importer have documentation of status? ___ YES ___ NO

Action Required

Other internal criteria for selection

Internal requirements, such as financial soundness, capability of meeting contractual security requirements, and the ability to identify and correct security deficiencies as needed, **should** be addressed by the importer. Internal requirements **should** be assessed against a risk-based process as determined by and internal management team

Other Internal Requirements/Checks for selection of business partners:

Financial Soundness? ___ YES ___ NO

Capability of meeting contractual security requirements ___ YES ___ NO

Ability to identify and address security deficiencies ___ YES ___ NO

Business References? ___ YES ___ NO

Professional Associations ___ YES ___ NO

Other _____

Is selection based on:

Referrals from Others ___ YES ___ NO

Previous/Long History Working with Company ___ YES ___ NO

CONTAINER SECURITY



Container integrity **must** be maintained to protect against the introduction of unauthorized material and/or persons. At point of stuffing, procedures **must** be in place to properly seal and maintain the integrity of the shipping containers. A high security seal **must** be affixed to all loaded containers bound for the US. All seals **must** meet or exceed the current PAS ISO 17712 standards for high security seals.

Container Inspection

Procedures **must** be in place to verify the physical integrity of the container structure prior to stuffing, to include the reliability of the locking mechanisms of the doors.

A seven-point inspection process is recommended for all containers: Front Wall, Left Side, Right Side, Floor, Ceiling/Roof, Inside/Outside doors, Outside/Undercarriage

What are procedures when importer receives a container? _____

Is advance appointment required to deliver container? YES NO
Is driver required to present photo ID upon arrival at facility? YES NO
What documents does driver have? Bill of Lading Invoice Delivery Receipt
 PackingList Other
Are procedures documented? YES NO Action Required
Is Container Inspected? YES NO Action Required
Is Inspection documented? YES NO Action Required
Type of Inspection? _____
Seven Point YES NO Recommendation
Who performs inspection? _____

Container Seals

Written procedures **must** stipulate how seals are to be controlled and affixed to loaded containers – to include procedures for recognizing and reporting compromised seals and/or containers to CBP or the appropriate foreign authority. Only designated employees **should** distribute container seals for integrity purposes.

Type of seals _____
Are seal numbers verified? YES NO Action Required
How is seal number verified? _____
Where are seal numbers listed? Delivery Receipt Invoice Packing List
 BOL Other _____
Are procedures in place for recognizing and reporting compromised seals and/or containers to CBP or appropriate foreign authority? YES NO Action Required
Are procedures for seals written? YES NO Action Required

Container Storage

Containers **must** be stored in a secure area to prevent unauthorized access and/or manipulation. Procedures **must** be in place for reporting and neutralizing unauthorized entry into containers or container storage areas.

Are containers stored at the facility? YES NO
Describe storage area _____
Is storage area secure? YES NO Action Required
Procedures in place to prevent access? YES NO
Procedures in place to report unauthorized access? YES NO Action Required

PHYSICAL ACCESS CONTROLS



Access controls prevent unauthorized entry to facilities, maintain control of employees and visitors, and protect company assets. Access controls **must** include the positive identifications of all employees, visitors, and vendors at all points of entry.

Employees

An employee identification system **must** be in place for positive identification and access control purposes. Employees should only be given access to those secure areas needed for the performance of their duties. Company management or security personnel **must** adequately control the issuance and removal of employee, visitor and vendor identification badges. Procedures for the issuance, removal and changing of access devices (e.g. Keys, key cards, etc.), **must** be documented.

Identification system in place? YES NO

Action Required

ID Badge: YES NO

Photo Numbered Bar Code

Electronic Access Color-Coded Other access controls

Uniforms: Yes No

Procedures for issuance/removal of access devices? YES NO

Action Required

Are procedures written? YES NO

Action Required

Visitors

Visitors **must** present photo identification for documentation purposes upon arrival. All visitors **should** be escorted and visibly display temporary identification

Photo ID Required: YES NO

Action Required

Other ID

Temporary ID Badge Issued: YES NO

Recommendation

Type:

Log Book: YES NO

Are visitors escorted? YES NO

Recommendation

Deliveries (including mail)

Proper vendor ID and/or photo identification **must** be presented for documentation purposes upon arrival by all vendors. Arriving packages and mail **should** be periodically screened before being disseminated.

ID Required for Vendors: YES NO

Action Required

Are arriving packages and mail periodically screened? YES NO

Recommendation

Where are Packages and Mail received?

Challenging and Removing Unauthorized Persons

Procedures **must** be in place to identify, challenge, and address unauthorized/unidentified persons.

SOP in Place: YES NO

Action Required

Written: YES NO

Action Required

PERSONNEL SECURITY



Written and verifiable process **must** be in place to screen prospective employees and to periodically check current employees.

Pre-Employment Verification

Application information, such as employment history and references **must** be verified prior to employment.

Who handles HR? _____

Written process to screen prospective employees? ___ YES ___ NO

Action Required _____

What is employment process? _____

Application _____ YES ___ NO
Interview _____ YES ___ NO
Drug Screen _____ YES ___ NO
References Verified _____ YES ___ NO
Employment History Verified _____ YES ___ NO
Background checks? _____ YES ___ NO Type _____
By whom? _____

Other Checks _____

Background Checks/Investigations

Consistent with foreign, federal, state, and local regulations, background checks and investigations **should** be conducted for prospective employees. Once employed, periodic checks and reinvestigations **should** be performed based on cause, and/or the sensitivity of the employee's position.

Background checks for prospective employees? ___ YES ___ NO

Recommendation _____

Once employed, are periodic checks performed? ___ YES ___ NO

Recommendation _____

Personnel Termination Procedures

Companies **must** have procedures in place to remove identification, facility and system access for terminated employees.

Procedures to remove access for terminated employees? ___ YES ___ NO

Action Required _____

Are procedures written? ___ YES ___ NO

Action Required _____

What are procedures? _____

Who handles this? _____

PROCEDURAL SECURITY



Security measures **must** be in place to ensure the integrity and security of processes relevant to the transportation, handling, and storage of cargo in the supply chain.

Documentation Processing

Procedures **must** be in place to ensure that all information used in the clearing of merchandise/cargo, is legible, complete, accurate, and protected against the exchange, loss or introduction of erroneous information. Documentation control **must** include safeguarding computer access and information.

Procedures to ensure documents are accurate? ___ YES ___ NO

Action Required

What are procedures? _____

Are procedures documented? _____

Action Required

Where are docs filed? _____

Are they secured? _____

Action Required

Manifesting Procedures

To help ensure the integrity of cargo received from abroad, procedures **must** be in place to ensure that information received from business partners is reported accurately and timely.

Procedures in place to ensure manifest info is accurate? ___ YES ___ NO

Action Required

What are procedures? _____

Shipping & Receiving

Arriving cargo **should** be reconciled against information on the cargo manifest. The cargo **should** be accurately described, and the weights, labels, marks and piece count indicated and verified. Departing cargo **should** be verified against purchase or delivery orders. Drivers delivering or receiving cargo **must** be positively identified before cargo is received or released.

Does importer receive Advance Shipping Notice? ___ YES ___ NO

How and from Whom? _____

Who brings cargo to importer's facility? _____

What documents does that person have? _____

Who unloads cargo? _____

Is cargo being received verified? ___ YES ___ NO

Action Required

How? _____

Cargo Discrepancies

All shortages, overages, and other significant discrepancies or anomalies **must** be resolved and/or investigated appropriately. Customs and/or other appropriate law enforcement agencies **must** be notified if illegal or suspicious activities are detected – as appropriate.

Are procedures in place to handle discrepancies? ___ YES ___ NO

Action Required

Procedures written? ___ YES ___ NO

Action Required

What are procedures? _____

Who is notified? _____

PROCEDURAL SECURITY - Logistical Flow of Supply Chain 

Importer has the following supply chains:

Air _____

Sea: _____ FCL _____ Consolidations _____

Land: _____

Steps for an import process with this importer:

(List process for each supply chain: e.g., air, sea FCL, sea LCL, and Land)

SECURITY TRAINING AND THREAT AWARENESS



A threat awareness program **should** be established and maintained by security personnel to recognize and foster awareness of the threat posed by terrorists at each point in the supply chain. Employees **must** be made aware of the procedures the company has in place to address a situation and how to report it. Additional training **should** be provided to employees in the shipping and receiving areas, as well as those receiving and opening mail. Additionally, specific training **should** be offered to assist employees in maintaining cargo integrity, recognizing internal conspiracies, and protecting access controls. These programs **should** offer incentives for active employee participation.

Is training provided to employees? YES NO

Orientation Training? YES NO

Security Training? YES NO

Topics _____

Frequency of Training? _____

Is training documented? YES NO

Is specific training provided for maintaining trailer and tractor integrity, recognizing internal conspiracies and protecting access controls? YES NO Recommendation _____

Is Threat Awareness program in place? YES NO Recommendation _____

Are employees aware of the procedures the company has in place to address a situation and how to report? YES NO Action Required _____

Incentives to encourage employee participation? YES NO Recommendation _____

PHYSICAL SECURITY



Cargo handling and storage facilities in domestic and foreign locations **must** have physical barriers and deterrents that guard against unauthorized access. Importers **should** incorporate the following C-TPAT physical security criteria throughout their supply chains as applicable.

Description of Location: _____

Size of Building: _____ Size of Grounds: _____

Security Guards Yes No Name of Company _____

Employees _____ # Contract _____

Uniformed _____ Radios _____ Armed _____ Other _____

Days on Duty: _____

Hours on Duty: _____

Duties:

Monitor Entrance/Gate Yes No

Search Employees and Visitors Yes No

Search Containers Yes No

Search Personal Vehicles Yes No

Monitor Video Surveillance Cameras Yes No

Patrol Interior Yes No

Patrol Exterior Yes No

Monitor Stuffing of Container Yes No

Other _____

Fencing YES NO

Action Required

Perimeter fencing should enclose the areas around cargo handling and storage facilities. Interior fencing within a cargo handling structure should be used to segregate domestic, international, high value, and hazardous cargo. All fencing **must** be regularly inspected for integrity and damage.

Type of Fence: _____

Is fence inspected? YES NO

Action Required

How often is fence inspected? _____

Gates YES NO

Gate Houses YES NO

Gates through which vehicles and/or personnel enter or exit **must** be manned and/or monitored. The number of gates should be kept to the minimum necessary for proper access and safety.

Number of Entrances: _____ Type of Gate: _____

Number of Gatehouses: _____

Is gate manned or monitored? YES NO

Action Required

By whom? _____

Parking

Private passenger vehicles **must** be prohibited from parking in or adjacent to cargo handling and storage areas.

Employee Parking: _____

Action Required

In or adjacent to cargo areas? YES NO

Visitor Parking: _____

Action Required

In or adjacent to cargo areas? YES NO

PHYSICAL SECURITY (continued)



Building Structure

Buildings **must** be constructed of materials that resist unlawful entry. The integrity of structures **must** be maintained by periodic inspection and repair.

What is building constructed of? _____
Building inspected periodically? _____ **Action Required** _____
Number of Docks _____
Describe Dock Area _____

Locking devices and key controls

All external and internal windows, gates and fences **must** be secured with locking devices. Management or security personnel **must** control the issuance of all locks and keys.

Locking Devices? Gates _____ Doors _____ Dock Doors _____ Windows _____
Other _____ **Action Required** _____
Who controls locking devices and keys? _____ **Action Required** _____

Lighting

Adequate lighting **must** be provided inside and outside the facility including the following areas: entrances and exits, cargo handling and storage areas, fence lines and parking areas.

Interior lighting adequate? ___ YES ___ NO **Action Required** _____
Exterior lighting adequate? ___ YES ___ NO **Action Required** _____

Alarm Systems & Video Surveillance Cameras

Alarm systems and video surveillance cameras **should** be utilized to monitor premises and prevent unauthorized access to cargo handling and storage areas.

Alarm System ___ YES ___ NO **Recommendation** _____
Type of Alarm _____
Location _____

Video Surveillance Cameras ___ YES ___ NO **Recommendation** _____
Type: _____ Zoom _____ Fixed _____ Color _____ B&W

Number of Interior Cameras: _____
Location(s) _____
Are camera locations effective? ___ YES ___ NO **Recommendation** _____
Remarks on Cameras: _____

Number of Exterior Cameras: _____
Location(s) _____
Are camera locations effective? ___ YES ___ NO **Recommendation** _____
Remarks on Cameras: _____

Cameras monitored by: _____
Remote access? ___ YES ___ NO by _____

Tapes kept how long: _____ Hard drive Videotapes

INFORMATION TECHNOLOGY SECURITY



Password Protection

Automated systems **must** use individually assigned accounts that require a periodic change of password. IT security policies, procedures and standards **must** be in place and provided to employees in the form of training

Who manages Automated Systems? _____

Parent company _____

Contractor _____

Passwords Required? ___ YES ___ NO

Action Required _____

Passwords changed? ___ YES ___ NO

Action Required _____

Frequency _____

Firewalls? ___ YES ___ NO

Anti-Virus? ___ YES ___ NO

Is IT policy in place? ___ YES ___ NO

Action Required _____

Is IT policy documented? ___ YES ___ NO

Are employees trained on IT policies? ___ YES ___ NO

Action Required _____

Type of IT training? _____

Is IT training documented? ___ YES ___ NO Where? _____

Intranet? ___ YES ___ NO

Website? ___ YES ___ NO

System backed up? ___ YES ___ NO

Where are copies stored? _____

Additional comments about their automated systems:

Accountability

A system **must** be in place to identify the abuse of IT including improper access, tampering or the altering of business data. All system violators **must** be subject to appropriate disciplinary actions for abuse.

Is a system in place to monitor for abuse? ___ YES ___ NO

Action Required _____

How is system monitored? _____

What happens to violators? _____

Self-Policing Program



Is a program in place? YES NO

Action Required

Describe: _____

Is it documented? YES NO

Foreign Site Visit



Target Date: _____

Country: _____

Company: _____

Address: _____

POC: _____

POC Phone: _____

C-TPAT member attending: _____

Air:

Sea: FCL _____ Consolidations _____

Land:

Other business partners in supply chain: