

Table of Contents

Introduction

New for 2011

Implementation Suggestions

C-TPAT Project Plan and Organizer

Format Instructions

I. Internal Policies and Plan Development

Internal Policies and Plan Development Overview

Company Overview	INT0010
• <i>Sample Facility Description</i>	<i>INT0010A</i>
Corporate C-TPAT Policy Statement	INT0020
• <i>Statement of Corporate Commitment</i>	<i>INT0020A</i>
Corporate Security Policy	INT0030
Application Process	INT0040
• <i>CTPAT-Partner Agreement</i>	<i>INT0040A</i>
• <i>C-TPAT Eligibility Requirements</i>	<i>INT0040B</i>
Importer Security Profile Process	INT0050
• <i>Supply Chain Security Questionnaire</i>	<i>INT0050A</i>
C-TPAT Security Link Portal	INT0060
Corporate C-TPAT Committee.....	INT0070
• <i>C-TPAT Committee Membership List</i>	<i>INT0070A</i>
Risk Assessment	INT0080
• <i>Partner Identification Map</i>	<i>INT0080A</i>
• <i>Partner Threat Assessment</i>	<i>INT0080B</i>
• <i>Risk Assessment Action Plan</i>	<i>INT0080C</i>

II. Business Partner Security

Business Partner Security Overview

Business Partner Security Sample Narrative

Broker Security Verification Process	PAR0010
• <i>Sample Broker Letter</i>	<i>PAR0010A</i>
• <i>Broker C-TPAT Security Questionnaire</i>	<i>PAR0010B</i>
Foreign Supplier Security Verification	PAR0020
• <i>Sample Supplier Letter</i>	<i>PAR0020A</i>
• <i>Foreign Supplier Security Questionnaire</i>	<i>PAR0020B</i>



II. Business Partner Security, continued

Carrier/Forwarder Security Verification.....	PAR0030
• <i>Sample Carrier Letter</i>	<i>PAR0030A</i>
• <i>Carrier/Forwarder Security Questionnaire</i>	<i>PAR0030B</i>
Warehouse Security Verification	PAR0040
• <i>Sample Warehouse Letter</i>	<i>PAR0040A</i>
• <i>Warehouse Security Questionnaire</i>	<i>PAR0040B</i>
Broker Selection and Evaluation	PAR0050
• <i>Customs Broker Qualifications</i> <i>Questionnaire</i>	<i>PAR0050A</i>
• <i>Broker Performance Evaluation</i>	<i>PAR0050B</i>
Foreign Supplier Selection and Evaluation.....	PAR0060
• <i>Supplier Performance Evaluation</i>	<i>PAR0060A</i>
Carrier Selection and Evaluation	PAR0070
• <i>Carrier Performance Evaluation</i>	<i>PAR0070A</i>
Warehouse Selection and Evaluation.....	PAR0080
• <i>Warehouse Performance Evaluation</i>	<i>PAR0080A</i>

III. Container Security

Container Security Overview	
Container Security Sample Narrative	
Container Seals	CON0010
• <i>Inbound Seal Report</i>	<i>CON0010A</i>
• <i>Seal Issuance and Inventory Report</i>	<i>CON0010B</i>
Container Inspection and Storage	CON0020
• <i>7-Point Container Inspection</i>	<i>CON0020A</i>
• <i>Container Inspection Checklist</i>	<i>CON0020B</i>
Truck & Trailer Inspection.....	CON0030
• <i>17-Point Truck & Trailer Inspection</i>	<i>CON0030A</i>
• <i>Truck & Trailer Inspection Checklist</i>	<i>CON0030B</i>



IV. Physical Access Controls

Physical Access Controls Overview	
Physical Access Controls Sample Narrative	
Employee Badges.....	ACC0010
• <i>Employee Badge</i>	ACC0010A
• <i>Badge Request</i>	ACC0010B
• <i>Badge Issuance Log</i>	ACC0010C
Non-Employee and Vendor Badges.....	ACC0020
• <i>Non-Employee/Vendor Badge</i>	ACC0020A
Visitor Badges.....	ACC0030
• <i>Weekly Visitors List</i>	ACC0030A
• <i>Visitor Log</i>	ACC0030B
• <i>Visitor Badge</i>	ACC0030C
• <i>Non-U.S. Citizen Visitor Request Information</i> ...	ACC0030D
Personal Vehicle Access	ACC0040
Commercial Vehicle Access.....	ACC0050
• <i>Daily Truck Log Sheet</i>	ACC0050A
• <i>Commercial Vehicle Permit Card</i>	ACC0050B
Search of Persons, Vehicles and Property	ACC0060
Prohibited and Restricted Items	ACC0070
Mail and Express Courier Packages	ACC0080
Removal of Company Property	ACC0090
• <i>Personal Use of Company Property</i>	ACC0090A
• <i>Sample Blanket Property Pass</i>	ACC0090B
Challenging Unknown Persons.....	ACC0100

V. Personnel Security

Personnel Security Overview	
Personnel Security Sample Narrative	
Employment Process.....	PER0010
Background Investigations.....	PER0020
• <i>Authorization for Pre-Employment Criminal</i> <i>Background Investigation</i>	PER0020A
Employment Eligibility and Citizenship Verification	PER0030
• <i>Employment Eligibility Verification I-9</i>	PER0030A
Drug and Alcohol Testing.....	PER0040
• <i>Consent for Drug/Alcohol Testing</i>	PER0040A



V. Personnel Security (continued)

Internal Code of Conduct.....**PER0050**
 • *Employee Code of Conduct Report*..... *PER0050A*
Sexual Harassment.....**PER0060**
Workplace Violence.....**PER0070**
Employee Resignations and Termination**PER0080**

VI. Procedural Security

Procedural Security Overview
Procedural Security Sample Narrative
Shipping Procedures **PRO0010**
Receiving Procedures..... **PRO0020**
Personal Shipments..... **PRO0030**
Merchandise Requiring Special Handling **PRO0040**
 • *Warehouse Security Cage Log*..... *PRO0040A*
Overages and Shortages **PRO0050**
 • *Import Receipt Discrepancy Report*..... *PRO0050A*
 • *Import Overage/Shortage Report* *PRO0050B*
Marking Verification **PRO0060**
 • *Marking Compliance Letter* *PRO0060A*
 • *Import Marking Verification Report*..... *PRO0060B*
 • *CBP Marking Notice Import Shipment Hold* *PRO0060C*
 • *Country of Origin Marking Inspection Log* *PRO0060D*
 • *Repackaging Statement* *PRO0060E*
 • *Repackaging Letter to Packager/Distributor*..... *PRO0060F*
Hazardous Materials **PRO0070**
 • *Hazardous Materials Checklist*..... *PRO0070A*
Import Compliance Policy **PRO0080**
Documentation **PRO0090**
Commercial Invoices **PRO0100**
 • *Invoice Requirements and Discrepancy Letter* *PRO0100A*
 • *Sample Invoice* *PRO0100B*
 • *Customs Invoice Requirements Checklist* *PRO0100C*
 • *Foreign Invoice Discrepancy Report*..... *PRO0100D*



VI. Procedural Security, continued

Entry Summary Review	PRO0110
• <i>CBP 7501 Entry Summary</i>	<i>PRO0110A</i>
• <i>CBP 7501 Entry Summary & Format Explanation</i>	<i>PRO0110B</i>
• <i>Broker Error Notification</i>	<i>PRO0110C</i>
Customs Recordkeeping	PRO0120
• <i>Recordkeeping/Entry Review Checklist</i>	<i>PRO0120A</i>
Warehouse Security	PRO0130
Transshipment.....	PRO0140
Identity Fraud	PRO0150
• <i>FTC Red Flags</i>	<i>PRO0150A</i>

VII. Security Training and Awareness

Security Training Overview	
Security Training and Awareness Sample Narrative	
Orientation of New Employees.....	EDU0010
Import Compliance Training.....	EDU0020
• <i>Import Compliance Internal Training Attendance Roster</i>	<i>EDU0020A</i>
• <i>Import Training Report</i>	<i>EDU0020B</i>
C-TPAT and Cargo Security Training.....	EDU0030
• <i>Sample C-TPAT Poster</i>	<i>EDU0030A</i>
• <i>Sample C-TPAT Communication</i>	<i>EDU0030B</i>
Supply Chain Security and Safety Training.....	EDU0040
Theft Prevention.....	EDU0050
General Emergency Plan.....	EDU0060
Business Continuity Planning	EDU0070
General Evacuation Plan.....	EDU0080
• <i>Generic Evacuation Diagram</i>	<i>EDU0080A</i>
Fire Safety and Evacuation Procedure	EDU0090
Bomb Threats.....	EDU0100
• <i>Bomb Threat Checklist</i>	<i>EDU0100A</i>
Severe Weather	EDU0110
Earthquakes.....	EDU0120
Hurricanes	EDU0130
Personal Injury	EDU0140
Infectious Diseases.....	EDU0150
Hostage Situations	EDU0160
Terrorism Awareness.....	EDU0170



VIII. Physical Security

Physical Security Overview	
Physical Security Sample Narrative	
Security Officer Hiring Policies	PHY0010
Security Officer Job Descriptions	PHY0020
• <i>Sample Security Officer Job Description</i>	<i>PHY0020A</i>
• <i>Sample Security Manager Job Description</i>	<i>PHY0020B</i>
Security Officer Duties	PHY0030
Security Reports	PHY0040
• <i>Security Officer Patrol Log</i>	<i>PHY0040A</i>
• <i>Security Incident Report</i>	<i>PHY0040B</i>
• <i>Facilities Inspection Checklist</i>	<i>PHY0040C</i>
Perimeter Fencing	PHY0050
Gates and Gatehouses	PHY0060
Parking	PHY0070
Buildings	PHY0080
Locking Devices	PHY0090
• <i>Weekly Locksmith Report</i>	<i>PHY0090A</i>
Lighting.....	PHY0100
Alarms and CCTV Systems	PHY0110
• <i>Monthly CCTV System Test</i>	<i>PHY0110A</i>
• <i>Monthly Alarm Test</i>	<i>PHY0110B</i>
Signs.....	PHY0120

IX. Information Technology

Information Technology Security Overview	
Information Technology Sample Narrative	
User ID's and Passwords	TEC0010
Hardware and Software Security	TEC0020
Email Policy.....	TEC0030
Internet Usage	TEC0040
Intrusion Detection.....	TEC0050
Cell Phone Security.....	TEC0060



X. C-TPAT Compliance

C-TPAT Program Assessment	
C-TPAT Validation & Revalidation	COM0010
• <i>C-TPAT Revalidation Checklist</i>	<i>COM0010A</i>
C-TPAT Internal Assessment	COM0020
• <i>C-TPAT Procedure Verification</i>	<i>COM0020A</i>
Process Improvement Plan.....	COM0030
• <i>C-TPAT Process Improvement Plan</i>	<i>COM0030A</i>
Enforcement & Appeals	COM0040

Appendix

Glossary
Training
Communications
Statistical Data



(Company Name)		Procedure Number INT0010
SECTION:	Internal Policies and Plan Development	Date
TITLE:	Company Overview	Page Number

Supersedes New

Purpose The purpose of this document is to provide an overview of **(Company Name)** operations.

Target Audience All employees of **(Company Name)**

General Overview **(Company Name)**, headquartered in **(Location)**, includes operations in **(List all locations covered by the C-TPAT application)**. **(Company Name)** currently employs **approximately** **(Number)** professionals involved in **(describe type of business – for example automobile manufacturer, parts distributor, or retailer)**.

Include other information about the company that would assist CBP and other outsiders to better understand the company's business operations.

Business Units If the company participates in more than one field, use separate "Business Units" fields to provide a brief description of each unit.

Facility Descriptions Provide a description of the facilities, activities conducted, and the hours of operation. Maps and pictures should be included when possible. This information can be uploaded to the C-TPAT Security Portal to provide CBP with information about your business operations, and to assist them in determining the best location for the validation visit. See attached sample Facility Description.

Reference Company Web Site:

- Provide link to company web site.



Attachments

- *INT0010A* Sample Facility Description
-

**Responsible
Organization**

The **(Department Name)** has responsibility for implementing, and maintaining this document.

Authorization

This document is authorized by **(name of person, job title, and/or department responsible for authorizing this procedure.)**

