Supply Chain Annual Security Profile Review (Formerly Self Assessment) Frequently Asked Questions
12/13/2010

The Customs-Trade Partnership Against Terrorism (C-TPAT) is a voluntary initiative between U.S. Customs and Border Protection (CBP) and private business to build relationships that strengthen international supply chains and improve U.S. border security.

Upon voluntarily signing the C-TPAT Partner Agreement, members are required to complete an Annual Security Profile Review and to update company profile information. Therefore, this document has been developed as guidance in completing the Annual Security Profile Review.

1) **Q**: What is an annual security profile review?

A: The annual security profile review is a review and update of your company information and security profile that has been entered into the secure web portal. When the agreement to voluntarily participate was originally signed and your company was approved as a partner in the C-TPAT program, a condition of the program was to conduct a "yearly self assessment" of your company. This process is now referred to as the annual security profile review. The annual security profile review provides valuable information for your Supply Chain Security Specialist (SCSS), prepares for upcoming validations and allows you to reassess your current security procedures. The program allows 90 days to update your security and company profile. .

2) **Q:** When will the annual security profile review process commence?

A. The annual security profile review notification process will commence January 1, 2011. You will receive an automated email notification stating that you are required to complete your annual security profile within 90 days. In addition, C-TPAT members may check their portal homepage which will indicate when their annual security profile review is due.

3) **Q:** How will I be notified when my annual security profile review is due?

A: Ninety days prior to your annual security profile review date, an email will be generated and sent to all the points of contact listed in your company profile within the C-TPAT secure web portal. This email will serve as notification that the annual security profile review is due within 90 days.

4) **Q:** Why is an annual security profile review important?

A: The annual security profile review process ensures that the company's supply chain security policies and procedures represent the company's current operations. The annual security profile review will assist the SCSS in planning future validations and keep the information entered into the secure web portal current and accurate. This review reminds companies to conduct a thorough review of their internal security policies and procedures and make the necessary adjustments to enhance their security and efficiency.

5) **Q:** Is the annual security profile review new?

A: No. The annual security profile review (formerly known as annual self assessment) has always been a requirement of the C-TPAT program. When you initially applied to participate as a C-TPAT member, you agreed to conduct an annual review of your security profile and to update any changes as warranted. The annual security profile review is considered to be an integral tool which should assist you in improving your security practices as changing risks evolve.

6) **Q:** Who must conduct an annual security profile review?

A: Any responsible company officer, employee or designated point of contact may complete the yearly review.

7) **Q:** What information in the secure web portal must be reviewed and updated?

A: The information that must be reviewed and updated in your company/security profile includes:

  a) Company Name*
  b) Email Address
  c) Company Address(es)
  d) Company Contact(s)
  e) Company Phone Number(s)
  f) Number of Employees
  g) Active IOR Numbers, if applicable*
  h) CBP Importer bond # *
  i) SCAC Code, if applicable*
  j) Manufacturer Identification Number (MID#)
  k) With respect to the Security Profile-provide any updates and **date, append** any current information in the Partner Response Box
    1. Any enhancements in your security practices following your validation or visit by the C-TPAT validation team
    2. Describe your Supply Chain Security Risk Assessment process
    3. Describe any self audits or testing of your security procedures
    4. Involvement in any mutual recognition programs

* Please notify your assigned SCSS directly if a change occurs.

 It is important that company identifiers are correct in the secure web portal to ensure that the appropriate benefits are assigned.

8) **Q:** What is the difference between the annual security profile review and the recently clarified International Supply Chain Security Risk Assessment process?

A: The two are separate but go hand-in-hand because C-TPAT members are expected to make adjustments to their security procedures based on current threat and vulnerability risk information. As explained in the Risk Assessment FAQ, a security risk assessment is a fundamental part of a company's security program, and must include an examination of the security threat environment and operational vulnerabilities in the member's supply chain, using a risk-based approach. The member should then use the on-going information gathered through the risk assessment process to incorporate into their annual security profile review.

9) **Q:** Who will approve the annual security profile review?

A: The annual security profile review will be reviewed and approved by your assigned Supply Chain Security Specialist (SCSS). After you complete and submit your security profile review, your assigned SCSS will be notified that it was completed and submitted. The SCSS is responsible for either rejecting or approving your updated information. Your SCSS will contact you via the web portal if there are any questions.

10) **Q:** If my company information has not changed during the year am I still required to conduct an annual security profile review?

A: Yes. You are still required to thoroughly review and certify each section of the security profile to ensure that all criteria's have been addressed and are accurate.

11) **Q:** The primary point of contact listed on the secure web portal is no longer with the company. What should I do?

A: Company points of contact information should be updated routinely. This enables your SCSS to contact you and to ensure that communication with CBP can be maintained efficiently. When a primary point of contact leaves the company the company must appoint a new primary point of contact and update their information in the secure web portal. Also, partners are encouraged to have more than one contact in the secure web portal in case the primary contact leaves the company or is otherwise unable to access the portal. Please contact your SCSS if you need assistance in updating portal points of contact.

12) **Q:** If the annual security profile review is not conducted, will that affect my company's C-TPAT status?

A: Failure to complete an annual security profile review could affect your status in the C-TPAT program. As mentioned above, the C-TPAT program requires that all partners conduct an annual security profile review of their company.

13) **Q:** What do I do if I need additional information on completing my annual security profile review?

A: Please reference the following link for a step-by step power point presentation with instructions to assist you in completing the annual security profile review.
http://www.cbp.gov/xp/cgov/trade/cargo_security/ctpat/sec_profile/