

ID	Criteria	Implementation Guidance	Must / Should
9.16	If cameras are being used, recordings of footage covering key import/export processes should be maintained on monitored shipments for a sufficient time to allow an investigation to be completed.	<p>If a breach were to happen, an investigation would need to be conducted, and maintaining any camera footage that covered the packing (for export) and loading/sealing processes would be of paramount importance in discovering where the supply chain may have been compromised.</p> <p>For monitoring, the CTPAT program recommends allotting at least 14 days after a shipment has arrived at its first point of distribution. This is where the container is first opened after clearing Customs.</p>	Should

10. **Physical Access Controls** – Access controls prevent unauthorized access into facilities/areas, help maintain control of employees and visitors, and protect company assets. Access controls include the positive identification of all employees, visitors, service providers, and vendors at all points of entry.

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10.1	<p>CTPAT Members must have written procedures governing how identification badges and access devices are granted, changed, and removed.</p> <p>Where applicable, a personnel identification system must be in place for positive identification and access control purposes. Access to sensitive areas must be restricted based on job description or assigned duties. Removal of access devices must take place when the employees separate from the company.</p>	<p>Access devices include employee identification badges, visitor and vendor temporary badges, biometric identification systems, proximity key cards, codes, and keys. When employees are separated from a company, the use of exit checklists help ensure that all access devices have been returned and/or deactivated. For smaller companies, where personnel know each other, no identification system is required. Generally, for a company with more than 50 employees, an identification system is required.</p>	Must

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10.2	<p>Visitors, vendors, and service providers must present photo identification upon arrival, and a log must be maintained that records the details of the visit. All visitors should be escorted. In addition, all visitors and service providers should be issued temporary identification. If temporary identification is used, it must be visibly displayed at all times during the visit.</p> <p>The registration log must include the following:</p> <ul style="list-style-type: none"> • Date of the visit; • Visitor's name; • Verification of photo identification (type verified such as license or national ID card). Frequent, well known visitors such as regular vendors may forego the photo identification, but must still be logged in and out of the facility; • Time of arrival; • Company point of contact; and • Time of departure. 		Must
10.3	<p>Drivers delivering or receiving cargo must be positively identified before cargo is received or released. Drivers must present government-issued photo identification to the facility employee granting access to verify their identity. If presenting a government-issued photo identification is not feasible, the facility employee may accept a recognizable form of photo identification issued by the highway carrier company that employs the driver picking up the load.</p>		Must

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10.4	<p>A cargo pickup log must be kept to register drivers and record the details of their conveyances when picking up cargo. When drivers arrive to pick up cargo at a facility, a facility employee must register them in the cargo pickup log. Upon departure, drivers must be logged out. The cargo log must be kept secured, and drivers must not be allowed access to it.</p> <p>The cargo pickup log should have the following items recorded:</p> <ul style="list-style-type: none"> • Driver's name; • Date and time of arrival; • Employer; • Truck number; • Trailer number; • Time of departure; • The seal number affixed to the shipment at the time of departure. 	<p>A visitor log may double as a cargo log as long as the extra information is recorded in it.</p>	Must
10.7	<p>Prior to arrival, the carrier should notify the facility of the estimated time of arrival for the scheduled pick up, the name of the driver, and truck number. Where operationally feasible, CTPAT Members should allow deliveries and pickups by appointment only.</p>	<p>This criterion will help shippers and carriers to avoid fictitious pickups. Fictitious pick-ups are criminal schemes that result in the theft of cargo by deception that includes truck drivers using fake IDs and/or fictitious businesses set up for the purpose of cargo theft.</p> <p>When a carrier has regular drivers that pick up goods from a certain facility, a good practice is for the facility to maintain a list of the drivers with their pictures. Therefore, if it is not feasible to let the company know which driver is coming, the company will still be able to verify that the driver is approved to pick up cargo from the facility.</p>	Should
10.8	<p>Arriving packages and mail should be periodically screened for contraband before being admitted.</p>	<p>Examples of such contraband include, but are not limited to, explosives, illegal drugs, and currency.</p>	Should

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10.10	If security guards are used, work instructions for security guards must be contained in written policies and procedures. Management must periodically verify compliance and appropriateness with these procedures through audits and policy reviews.	Though guards may be employed at any facility, they are often employed at manufacturing sites, seaports, distribution centers, storage yards for Instruments of International Traffic, consolidator, and forwarders operating sites.	Must

11. Personnel Security – A company’s human resource force is one of its most critical assets, but it may also be one of its weakest security links. The criteria in this category focus on issues such as employee screening and pre-employment verifications. Many security breaches are caused by internal conspiracies, which is where one or more employees collude to circumvent security procedures aimed at allowing an infiltration of the supply chain. Therefore, Members must exercise due diligence to verify that employees filling sensitive positions are reliable and trustworthy. Sensitive positions include staff working directly with cargo or its documentation, as well as personnel involved in controlling access to sensitive areas or equipment. Such positions include, but are not limited to, shipping, receiving, mailroom personnel, drivers, dispatch, security guards, any individuals involved in load assignments, tracking of conveyances, and/or seal controls.

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11.1	Written processes must be in place to screen prospective employees and to periodically check current employees. Application information, such as employment history and references, must be verified prior to employment, to the extent possible and allowed under the law.	CTPAT is aware that labor and privacy laws in certain countries may not allow all of the application information to be verified. However, due diligence is expected to verify application information when permitted.	Must

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11.2	<p>In accordance with applicable legal limitations, and the availability of criminal record databases, employee background screenings should be conducted. Based on the sensitivity of the position, employee vetting requirements should extend to temporary workforce and contractors. Once employed, periodic reinvestigations should be performed based on cause, and/or the sensitivity of the employee's position.</p> <p>Employee background screening should include verification of the employee's identity and criminal history, encompassing city, state, provincial, and country databases. CTPAT Members and their business partners should factor in the results of background checks, as permitted by local statutes, in making hiring decisions. Background checks are not limited to verification of identity and criminal records. In areas of greater risk, it may warrant more in-depth investigations.</p>		Should
11.5	<p>CTPAT Members must have an Employee Code of Conduct that includes expectations and defines acceptable behaviors. Penalties and disciplinary procedures must be included in the Code of Conduct. Employees/contractors must acknowledge that they have read and understood the Code of Conduct by signing it, and this acknowledgement must be kept in the employee's file for documentation.</p>	<p>A Code of Conduct helps protect your business and informs employees of expectations. Its purpose is to develop and maintain a standard of conduct that is acceptable to the company. It helps companies develop a professional image and establish a strong ethical culture. Even a small company needs to have a Code of Conduct; however, it does not need to be elaborate in design or contain complex information.</p>	Must

12. Education, Training and Awareness – CTPAT’s security criteria are designed to form the basis of a layered security system. If one layer of security is overcome, another layer should prevent a security breach, or alert a company to a breach. Implementing and maintaining a layered security program needs the active participation and support of several departments and various personnel. One of the key aspects to maintaining a security program is training. Educating employees on what the threats are and how their role is important in protecting the company’s supply chain is a significant aspect to the success and endurance of a supply chain security program. Moreover, when employees understand why security procedures are in place, they are much more likely to adhere to them.

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12.1	<p>Members must establish and maintain a security training and awareness program to recognize and foster awareness of the security vulnerabilities to facilities, conveyances, and cargo at each point in the supply chain, which could be exploited by terrorists or contraband smugglers. The training program must be comprehensive and cover all of CTPAT’s security requirements. Personnel in sensitive positions must receive additional specialized training geared toward the responsibilities that the position holds.</p> <p>One of the key aspects of a security program is training. Employees who understand why security measures are in place are more likely to adhere to them. Security training must be provided to employees, as required, based on their functions and position on a regular basis, and newly hired employees must receive this training as part of their orientation/job skills training.</p> <p>Members must retain evidence of training such as training logs, sign in sheets (roster), or electronic training records. Training records should include the date of the training, names of attendees, and the topics of the training.</p>	<p>Training topics may include protecting access controls, recognizing internal conspiracies, and reporting procedures for suspicious activities and security incidents. When possible, specialized training should include a hands-on demonstration. If a hands-on demonstration is conducted, the instructor should allow time for the students to demonstrate the process.</p> <p>For CTPAT purposes, sensitive positions include staff working directly with import/export cargo or its documentation, as well as personnel involved in controlling access to sensitive areas or equipment. Such positions include, but are not limited to, shipping, receiving, mailroom personnel, drivers, dispatch, security guards, any individuals involved in load assignments, tracking of conveyances, and/or seal controls.</p>	Must

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12.2	<p>Drivers and other personnel that conduct security and agricultural inspections of empty conveyances and Instruments of International Traffic (IIT) must be trained to inspect their conveyances/IIT for both security and agricultural purposes.</p> <p>Refresher training must be conducted periodically, as needed after an incident or security breach, or when there are changes to company procedures.</p> <p>Inspection training must include the following topics:</p> <ul style="list-style-type: none"> • Signs of hidden compartments; • Concealed contraband in naturally occurring compartments; and • Signs of pest contamination. 		Must
12.4	CTPAT Members should have measures in place to verify that the training provided met all training objectives.	Understanding the training and being able to use that training in one's position (for sensitive employees) is of paramount importance. Exams or quizzes, a simulation exercise/drill, or regular audits of procedures etc. are some of the measures that the Member may implement to determine the effectiveness of the training.	Should
12.6	Specialized training should be provided annually to personnel who may be able to identify the warning indicators of Trade-Based Money Laundering and Terrorism Financing.	Examples of personnel who should receive this training include those responsible for trade compliance, security, procurement, finance, shipping, and receiving. Members may take into account the CTPAT Warning Indicators for Trade-Based Money Laundering and Terrorism Financing Activities document.	Should
12.7	Training must, in accordance with the Member's business model, be provided to applicable personnel on preventing visible pest contamination. Training must encompass pest prevention measures, regulatory requirements applicable to wood packaging materials (WPM), and identification of infested wood.	U.S. Customs and Border Protection has collaborated with the U.S. Department of Agriculture to develop training on visible pest contamination. Different training modules have been developed for the different trade environments: air, sea, and land border (rail and highway carrier). These training modules will be made available to all Members via the CTPAT Portal.	Must

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12.8	As applicable, based on their functions and/or positions, personnel must be trained on the company's cybersecurity policies and procedures. This must include the need for employees to protect passwords/passphrases and computer access.	Quality training is important to lessen vulnerability to cyberattacks. A robust cybersecurity training program is usually one that is delivered to applicable personnel in a formal setting rather than simply through emails or memos.	Must
12.9	Personnel operating and managing security technology systems must receive operations and maintenance training in their specific areas. Prior experience with similar systems is acceptable. Self-training via operational manuals and other methods is acceptable.		Must
12.10	Personnel must be trained on how to report security incidents and suspicious activities.	Procedures to report security incidents or suspicious activity are extremely important aspects of a security program. Training on how to report an incident can be included in the overall security training. Specialized training modules (based on job duties) may have more detailed training on reporting procedures, including specifics on the process, such as, what to report, to whom, how to report the incident, and what to do after the report is completed.	Must

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