CUSTOMS-TRADE PARTNERSHIP AGAINST TERROISM

Portal 2.0
Trade User Interface

The New C-TPAT Partner Portal

User Manual

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Contents

Terms and Definitions

Term	Definition
CBSA	Canada Border Services Agency
Certified	A company that has passed the initial C-TPAT application phase and had its security profile approved.
Certified, Exceeding	Tier III status for C-TPAT Importers that exceed the minimum security criteria, have successfully completed a validation, and operate using a pre-defined series of Best Practices.
Certified, Non-Importer Validation Completed	C-TPAT Non-importer Partners that meet the minimum security criteria and have successfully completed a validation.
Certified, Validated	Tier II status for C-TPAT Importers that meet the minimum security criteria and have successfully completed a validation.
COAC	Advisory Committee on Commercial Operations of Customs and Border Protection
Company Officer	Person who holds an office of authority, and acts in an official capacity on behalf of a company.
Company Profile	The portion of a C-TPAT Portal Application or Account that contains basic company information, such as addresses and points of contact.
Consultant	Person who gives professional or expert advice for a company, but is unable to act in an official capacity in decision-making.
C-TPAT	Customs-Trade Partnership Against Terrorism
C-TPAT Account	A C-TPAT account is the item and method of managing a company's participation in C-TPAT Portal based on an eligible business type with unique security policies and procedures. By this definition a company could have multiple accounts based on the number of eligible business types and the number of unique security policies and procedures used to secure the international supply chain.
C-TPAT Annual Review of Security Profile	The account review that must be conducted by the Partner at least once each calendar year. This includes a review of the security profile and company profile to ensure accurate, up to date information is included throughout the account. Once submitted, the assigned SCSS must review and approve the information submitted by the Partner. The SCSS verifies the Partner continues to meet the MSC, eligibility requirements, and vetting thresholds.
C-TPAT Application	A C-TPAT application is a C-TPAT account where the company and security profiles have been completed and initially submitted to C-TPAT for consideration.
C-TPAT Partner	A company that has achieved Certified status, continues to meet the eligibility and vetting requirements, and adheres to the Partner Agreement.
Customs and Border Protection (CBP)	One of the Department of Homeland Security's largest and most complex components, with a priority mission of keeping terrorists and their weapons out of the U.S. It also has a responsibility for securing and facilitating trade and travel while enforcing hundreds of U.S. regulations, including immigration and drug laws.
Delink Trade Accounts	Delinking Trade accounts allows a company the ability to rescind previously established relationships among C-TPAT Portal trade accounts to allow for divestures and company restructuring.

Eligibility Requirements	Requirements regarding the types of businesses and the criteria the must meet to have their application considered for C-TPAT membership.
Expand Security Model	Expanding is the ability to stretch a current C-TPAT security model to include an additional eligible business type with i**dentical security practices and procedures** as the existing C-TPAT account.
Extract Security Model	The ability to separate a multi-mode security model into two security profiles and accounts where one of the accounts is earmarked to be withdrawn upon approval.
FAST	Free And Secure Trade, dedicated cargo lanes at land border ports of entry for most C-TPAT shipments.
FMC	Federal Maritime Commission
IATA	International Air Transport Association
Importer of Record Number (IOR)	Internal Revenue Service (IRS) number, Employer Identification Number (EIN), Social Security Number (SSN), or CBP assigned number of the entity liable for payment of all duties and responsible for meeting all statutory and regulatory requirements incurred as a result of importation.
ISA	Importer Self-Assessment program. The ISA program, launched in 2002, is a trade facilitation partnership program that reaches out to importers with the goal of evaluating and building importers' systems of internal controls. ISA members are exempt from the CBP's Regulatory Audit pool. Membership in C-TPAT is a prerequisite for ISA.
Link Trade Accounts	Linking Trade accounts allows a company the ability to create relationships among C-TPAT Portal trade accounts to represent a company's actual organizational.
Merge Trade Accounts	Merging Trade Accounts allows the ability to consolidate accounts that are at the same level in a Trade Organization hierarchy.
Merge Security Models	Merging C-TPAT Security Models allows the ability to consolidate accounts with **identical security practices and procedures** to be managed as one account.
Minimum Security Criteria (MSC)	Security standards that companies must meet in order to be accepted as a partner in C-TPAT.
MRA	Mutual Recognition Arrangement
NEEC	Nuevo Esquema de Empresas Certificadas, Mexico's Supply Chain Security Program
Partner Portal	A single logon system built to establish account relationships across multiple partner government agency programs.
PDF	Portable Document Format, the type of document generated when exporting information from your C-TPAT account.
PGA's	Partner Government Agency (e.g., TSA, FDA)
Phase 1	Phase 1 is the first deployment of the Portal 2.0 project. This deployment is designed to replace the user interface for the trade community and SVI.
Phase II	Phase II is the second major deployment of the Portal 2.0 project and will rewrite areas of the trade user interface and create a new interface for C-TPAT Supply Chain Security Specialists. The deployment will completely replace the oldest areas of Portal 1.0 which have been the most problematic over the years and will include: Company Profile and Security Profile.

Phase III	Phase III is the third major deployment of the Portal 2.0 project. This deployment will concentrate on C-TPAT validations and validation responses as well as to rebuild the international areas of Portal 1.0.
PIP	Partners In Protection – CBSA's Supply Chain Security program
Point of Contact	The Point of Contact (POC) is any person listed as a contact in C-TPAT's Portal system. These POCs are the only people authorized to work with the C-TPAT program on the company's behalf. Points of Contact must be empowered to make decisions and policy changes regarding the Partner's security procedures.
Portal 1.0	The online system through which CBP and C-TPAT Partners share information on supply chain security and manage the Partners' participation in the C-TPAT program.
Portal 2.0	The next generation of online account management for CBP's industry partnership programs, including C-TPAT and potentially future programs.
Risk Assessment	Risk Assessment for most businesses would mean identifying and evaluating levels of risks involved in all areas of the business. For example, natural disasters, civil unrest, acts of terrorism, labor strikes may all be areas of risk that a business considers when importing merchandise. For C-TPAT purposes, a Risk Assessment is more narrow in scope and may be defined as an International Supply Chain Security Risk Assessment that examines security threats and vulnerabilities associated with a C-TPAT Partner's international supply chain in each node of the chain from the point of origin where the goods are manufactured, packed and stuffed for export, until they reach their final destination for distribution. The assessment should also include a plan to mitigate the risks identified in the assessment.
SCAC	Standard Carrier Alpha Code
Security Model	A multi-mode security profile, new for Portal 2.0 Phase II, that allows a C-TPAT Partner to manage different entity types (e.g., broker and consolidator) in a single C-TPAT account, if both entities share the exact same security procedures.
Security Profile	The security profile is the Applicant/Partner's written declaration of security measures and procedures used throughout the international supply chain. The security profile is maintained in the C-TPAT Portal account. The information provided in the security profile is verified during the validation process.
Split Trade Account	The ability to split an active trade account into two trade accounts and assign a security model to one of the trade accounts (if applicable).
Split Security Model	The ability to separate a multi-mode C-TPAT account into two security models to manage them separately.
Status Verification Interface (SVI)	Online tool used by C-TPAT Partners to verify membership and status of other Partners in the C-TPAT program.
Supply Chain Security Specialist (SCSS)	The CBP representative who manages the accounts of C-TPAT Partners, and works with those companies to achieve and maintain C-TPAT certification.
Trade Account	Generic Company organization profile information that can be used to apply to C-TPAT numerous times, or potentially future industry partnership programs.
Trade Organization	A hierarchy of one or more linked Trade Accounts.
Trade User	A person who has a user account in the Partner Portal.

TUI	Trade user interface
Validation	A verification security measures and supply chain security practices of Partners meet the minimum security criteria of the SAFE Port Act. A validation is a process, not a single event. Validations are mandated by the SAFE Port Act to take place at least every four years, but may be conducted more frequently based on risk.

1. Introduction

C-TPAT is growing, evolving, and integrating with other industry partnership programs domestically and internationally in response to several initiatives driven by the President of the United States, the Secretary of Homeland Security, and the Commissioner of U.S. Customs and Border Protection, including initiatives such as Beyond the Border and the National Strategy for Global Supply Chain Security.

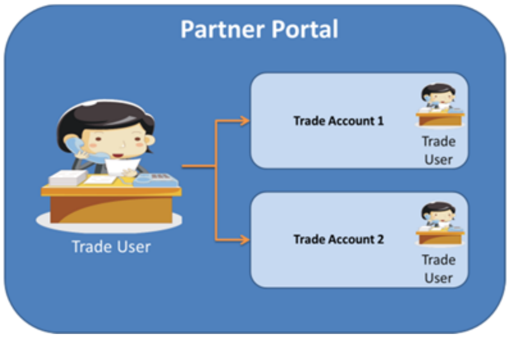
Architecture

C-TPAT is developing a new Partner Portal to streamline applications to U.S. partnership programs. The design of Portal 2.0 supports multiple applications with a single sign-on, which will allow Trade partners the ability to maintain memberships in multiple partnership programs, such as C-TPAT, ISA, and additional partner government agency programs.

Advantages

By supporting multiple applications, Portal 2.0 will allow for new levels of flexibility and security where they did not previously exist in the initial C-TPAT Portal system. The new system will also facilitate interagency communication and coordinate government resources to consolidate international validation trips, by:

- Relieving the stress of managing multiple C-TPAT accounts to different eligible lines of business.
- Allowing companies to establish relationships between C-TPAT accounts that have different security standards (Importer with Tier 2 benefits vs. Importer with Tier 3 benefits).
- Improving SVI (partner monitoring) system for Trade and CBP
- Improving Security Profile
- Improving Document Library



Complex Trade Organizations

The flexibility of Portal 2.0's design allows for a trade user with multiple trade accounts and multiple C-TPAT accounts to manage all accounts from a holistic view beginning in Phase II. It is estimated that more than 20% of all active users (Contacts in an active Partner account) have access to more than one C-TPAT account. The C-TPAT Portal offers multiple levels of flexibility for users, accounts, and organization structures. C-TPAT user roles will be based on areas of responsibility and spheres of influence within each trade account for which they are associated. Trade specific roles will be included in future phases of the Portal 2.0 project.

Program Initiatives

In future Phases, Portal 2.0 will facilitate harmonization with Canada Border Services Agency's Partners in Protection Program (PIP). Upon completion, Portal 2.0 will establish a one-to-one relationship for co-management of accounts by adding new functionality, which will allow for a common identifier to be implemented as the account control unit. Other industry partnership programs that were built on similar platforms to C-TPAT have emerged from departments such as the Transportation Security Administration, the Food and Drug Administration, and the United Stated Consumer Product Safety

Commission. The Partner Portal is a single sign-on, online account management system built to establish account relationships across multiple partner government agency programs.

2. Portal 2.0 Account Management

Due to the scope of the project and infrastructure improvements, Portal 2.0 is organized to deploy a pre-determined sequence of functionality in a phased approach. In Phase I, C-TPAT split the internal CBP system from the Trade User Interface, and established a solid, stable environment for the remaining stages of development. In Phase II, the Trade Users will experience an enhanced user experience with new interface screens, in addition to increased functionality, with the ability to perform trade operations and security models operations to better manage their C-TPAT accounts.

Phase II

As the C-TPAT Portal 2.0 project transitions into Phase II, the security profile will be rebuilt into a comprehensive criteria-by-criteria format, complete with the ability to add evidence of implementation at each criteria statement for review. Help text will be available to clarify the criteria statements. The reformatted security profile will ease the Annual Review process by allowing C-TPAT Partners to update existing answers to criteria statements, as it will create new copies of the security profile per criteria upon approval by the SCSS. **Transition to the updated Security Profile format will require ALL C-TPAT Partners to complete a new security profile at the next annual review subsequent to Phase II deployment. C-TPAT will display the old version to all Partners in the C-TPAT Partner Document Library for reference as a .PDF document to facilitate completion of the reformatted version.**

A main tenet of Portal 2.0 is to facilitate more effective account management through combining multiple Trade Accounts into a single Trade Organization. In addition, it will also be possible to merge multiple C-TPAT accounts into a single Security Model, if accounts are managed under the same trade account and follow the same security policies and procedures.

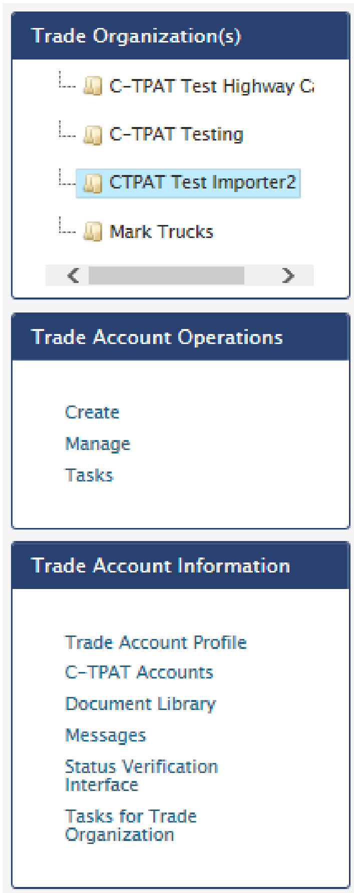
As part of Phase II, Trade Users will be able to change their email address in their user account and the change will persist to all associated Trade and C-TPAT accounts.

In addition, document tagging will allow users to organize documents in the library to user defined specifications. Tagging will allow for more flexibility than folders as the user will be able to attach multiple tags to one document for more scalable filtering. Each user will be able to tag the same document with different terminology based on a user defined classification system.

Basic Navigation

The C-TPAT Portal 2.0 organizes and displays accounts by Trade Account. A Trade Account is an account management tool that stores generic company information, such as addresses and users, which the trade can use to apply to C-TPAT numerous times, manage multiple C-TPAT accounts, and potentially to apply to future industry partnership programs. All Trade Organizations that you have access to will appear in the upper left corner of the left side menu, and can be accessed at any time during the login session.

Left Side Navigation Menu



The left side navigation menu allows users to see all trade organizations and accounts in which they are listed as a user. The navigation bar will always appear on the left side, and show you which account you are currently accessing by highlighting the trade account in the Trade Organization(s) box at the top left.

To perform trade account operations on your trade accounts, such as linking trade accounts to create a trade hierarchy, click on the trade account in the upper left side box, then click the Manage link in the Trade Account Operations box in the middle left navigation bar.

To review Tasks related to your Trade Accounts, click on the trade account in the upper left side box, then click the Task link in the middle left navigation bar.

To access the Trade Account Information menu on the bottom left, click on a trade account in the Trade Organization(s) box on the top left, then click the Trade Account Profile link in the lower left box. Trade Account Profile (Company Information, Addresses, Users) information will appear in the main box in the middle of the screen. Click on C-TPAT Accounts to see all C-TPAT accounts in the selected Trade Account displayed in the middle of the screen. Document Library, Messages, Status Verification Interface (Partner Monitoring), and Tasks for Trade Organization are also available on the lower left side.

Buttons

The basic buttons available and their functions appear below:

Button	Function
Add	Add a new record
Edit	Edit the highlighted record
Delete	Delete the highlighted record
Previous	Previous tab/screen
Next	Next tab/screen

Save	Save changes locally (not submitted to C-TPAT for review)
Submit	Submit changes for SCSS review
Cancel	Cancel the request with no action taken

Trade Users

A trade user is a person who has a user account in the C-TPAT Portal. New trade users will have to complete a trade user profile before they can create or have access to a Trade Account. Please note that new Trade Users added to existing trade accounts must be added to the users tab of the Trade Account Profile and associated as a C-TPAT contact on the Contacts tab of the C-TPAT account before they will be able to update a C-TPAT security model (see the section on Trade Accounts on page 9).

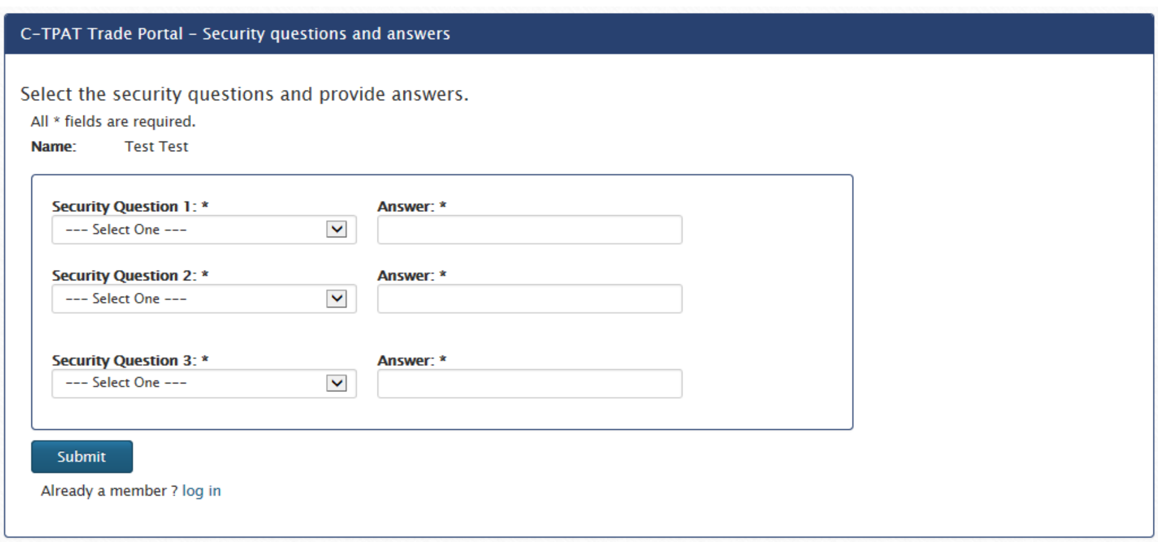
Trade Users:

- Register individually by email address in the C-TPAT Portal.
- May or may not be a contact for one or more C-TPAT related accounts.
- Can have multiple user roles with multiple organizations associated with C-TPAT.
- Can access all authorized accounts without having to log out and log back in.

Setting User Security

Upon registering in Portal 2.0 for the first time, all trade users will need to select three security questions and create a new password. The process is:

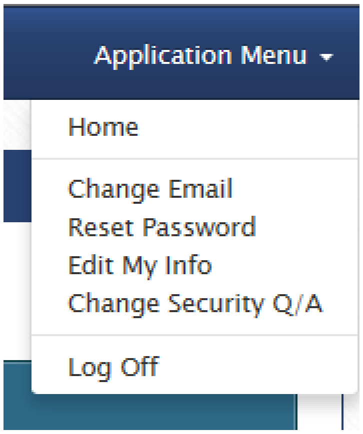
(1) Provide answers to three user specified security questions. The security questions provide an extra layer of security. **Please note**: your answers to the security questions will be required to reset your password. Provide answers that you will recall in the future. Click <Submit> when data entry is complete.



(2) Create a password to comply with the DHS Standards pertaining to password requirements:
- Be at least 8 characters in length
- Contain at least one upper case, one lower case, one numeric, and one special character.
- Valid special characters include (!, @, #, $, %, ^, and so on)
  EXAMPLE: A valid example would be: **P@ssw0rd**
- Not be the same as the previous 8 passwords
- Passwords expire every 90 days

Resetting Passwords

Passwords must be reset every 90 days, in accordance with DHS Standards pertaining to account security. There are two ways to reset your password:



(1) Reset your password or security questions and answers using the Application Menu tool in the upper right corner of the C-TPAT Portal. Once you are logged into the C-TPAT Portal, click **Application Menu** in the upper right corner of the screen. Follow the system prompts to set either new security questions and answers, or a password. Note that you will be required to provide your current password or security questions and answers, respectively, to complete the requested action.

(2) If you do not recall your password, go to the C-TPAT Portal login page at https://ctpat.cbp.dhs.gov and click on the <Forgot your password?> link located below the username and password entry boxes. Enter your username (email address used to establish the account) and click <Submit>. You will receive an email to that email address with an active link to set a new password. Note the link can only be used once, will expire in 24 hours, and will require you to enter your security questions and answers before you will be prompted to create a new password. If you do not recall your security questions and answers, please contact the C-TPAT Helpdesk for assistance.

Changing Email Address

New to the C-TPAT Portal, users will be able to change their email address. To change your email address, log into the C-TPAT Portal and click Application Menu in the upper right corner of the screen. Select Change Email and follow the system prompts to update your email address. Please note that you will need to provide your current password to change your email address.

Trade Accounts

A Trade Account is an account management tool that stores generic company information, such as addresses and users, which the trade can use to apply to C-TPAT numerous times, manage multiple C-TPAT accounts, and potentially to apply to future industry partnership programs.

Trade Account Profile

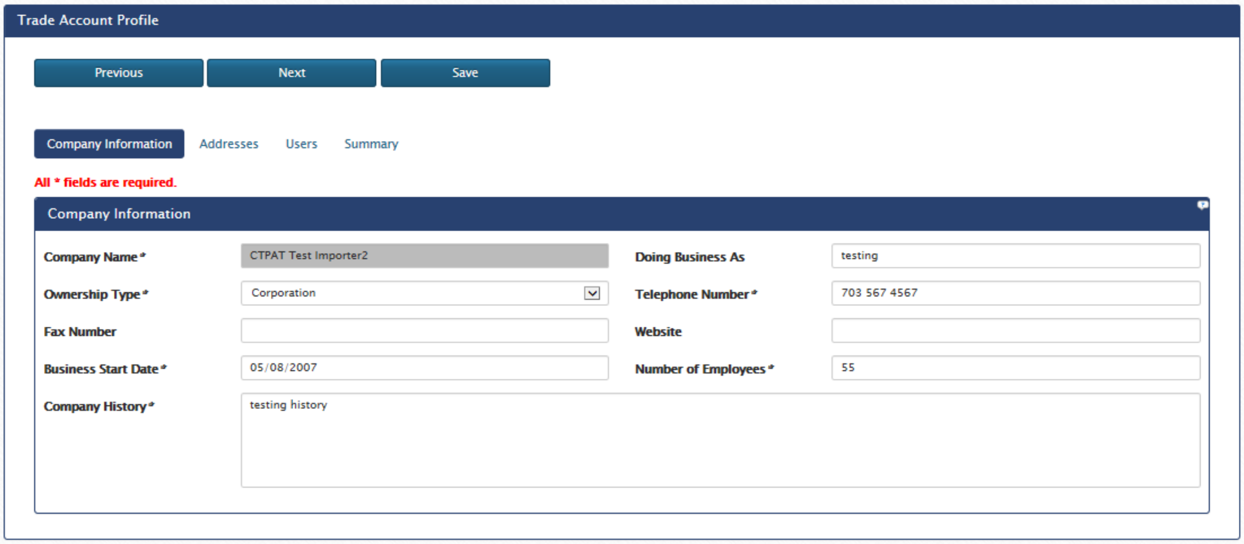
The Trade Account Profile of your Trade account contains common company information to use to manage multiple applications or accounts in the Partner Portal. To access your Trade account information, select the desired account and click <Trade Account Profile>. Use the tabs to review and edit certain fields in Company Information, Addresses, and Users. Click <Next> to continue to the next tab and <Previous> to review the previous tab. The <Summary> tab displays all information entered in the Trade Account Profile, and allows the user to <View .PDF>.

Creating New Trade Accounts

To create a new trade account, click <Create > on the left side menu in the Trade Account Operations box and start entering Trade Account Profile information. Click <Next> to continue to the next tab and <Previous> to review the previous tab. If your company does not have a trade account, you will need to first create a Trade Account before creating a C-TPAT application.

Company Information

Company Information contains generic information pertaining to the trade account, such as company name, doing business as name, number of employees, business start date, and brief company history. All information on the Company Information can be updated by clicking in the box you want to update, then clicking Save at the top. To change the company name, you must contact your assigned SCSS. If your company is not assigned a SCSS, please contact Industry.Partnership@dhs.gov.



Addresses

Enter Trade Account addresses related to: headquarters offices (including international corporate headquarters locations), Trade/Security Point of Contacts and office locations, import/export cargo handling facility locations, policy generation and training locations, etc. If numerous import/export cargo handling facilities exist, please provide the Top 3 locations by volume of imported/exported cargo or Top 3 locations with highest risk.

To add an address to your Trade Account:

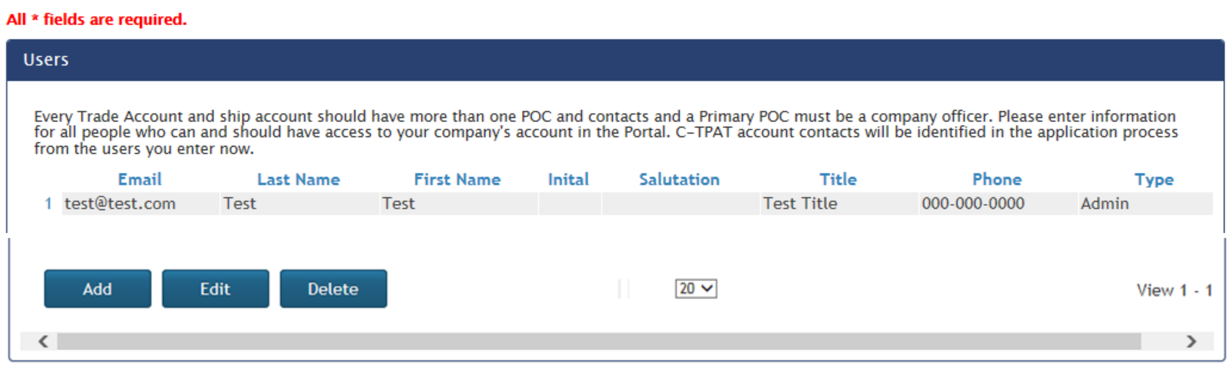
- Click on <Trade Account Profile>, and then
- Click on the <Addresses> tab.
- Click <Add> and complete the required fields indicated by an asterisk (*), including Type, Street Line 1, City, Country, Postal Code, and State (if applicable).
- Once data entry is complete, select <Save to the list below>.
- Click the <Save> button above the Addresses window to save your changes. **All new C-TPAT addresses will need to be added into Addresses tab of the Trade Account Profile of the Trade Account before they can be associated to your C-TPAT account.**

Users

Enter user information for all people who can and should have access to your company's account in the Portal. Every Trade Account and partnership account should have more than one user, and there must be at least one user listed as a Company Administrator.

To add a user to your Trade Account:

- Click on <Trade Account Profile>, and then
- Click on the <Users> tab.
- Click <Add> and complete the required fields indicated by an asterisk (*), including Email, Confirm Email, Salutation, First Name, Last Name, Title, Phone No., and Type.
- Once data entry is complete, select <Save to the list below>, then
- Click the <Save> button above the Users window to save your changes. **All new C-TPAT contacts will need to be added into the Users tab of Trade Account Profile of the Trade Account before they can be associated to your C-TPAT account.**



Summary

Review Trade Account information in the Summary. The Summary page will display all information entered into the Trade Account Profile and allow the user to <View a .PDF> document for easy saving and printing for record keeping. After all information is reviewed for correctness, click <Save> at the top of the screen.

Trade Account Operations

C-TPAT is encouraging the trade to create relationships among C-TPAT Portal trade accounts to represent a company's actual organizational structure using the Trade Account Management module.

Linking Trade Accounts

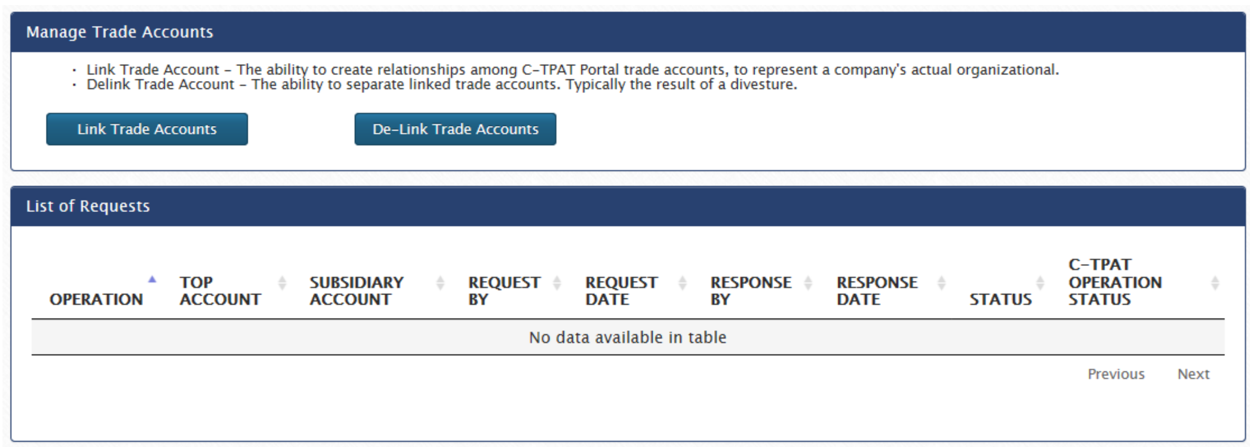
To support the structure of trade organizations pre-existing in the C-TPAT program, as well as company acquisitions, trade users are able to link their existing trade accounts to create a trade organization hierarchy. To link trade accounts:

- Trade accounts must be on same level in in a Trade Organization, e.g., a subsidiary trade account cannot be linked to another parent account without being delinked from the parent account.

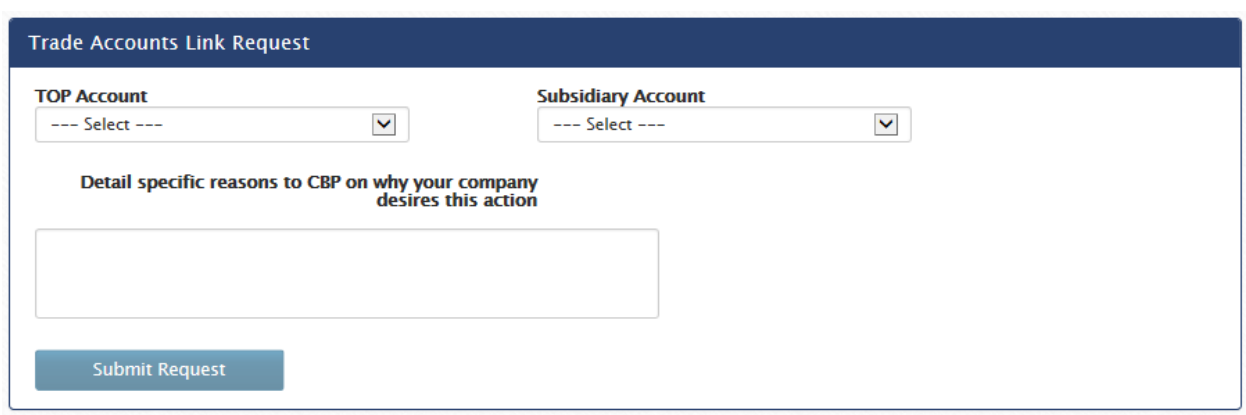
- Trade Accounts with an associated C-TPAT account require the approval of C-TPAT management before linking.
- Only a Trade Account user identified as a Company Administrator can request to link or accept/decline a request to link.
- A Trade Account user must be present in the role of Company Administrator in at least one account, but must be a user in both trade accounts.

To make a request to link two trade accounts:

(1) Log into the C-TPAT Portal.
(2) Click on the <Manage> link in the Trade Account Operations box in the middle left of the screen.
(3) Click Link Trade Accounts.



(4) Select a TOP account (parent account) and a Subsidiary Account (child). The Top account will act as the Trade Organization, with the subsidiary account underneath. Only one subsidiary account can be created at a time.
(5) Give a detailed reason for linking these accounts.



(6) This request must be approved by a Company Administrator from the non-requesting account (even if it is the same as the user making the request).
(7) The requests will go through an approval process within the C-TPAT Program if there are any C-TPAT Security Models associated to the trade accounts involved in the link. Once the link is

approved by C-TPAT Management, the newly established trade hierarchy will appear in the upper left corner of the screen under the Trade Organizations box.

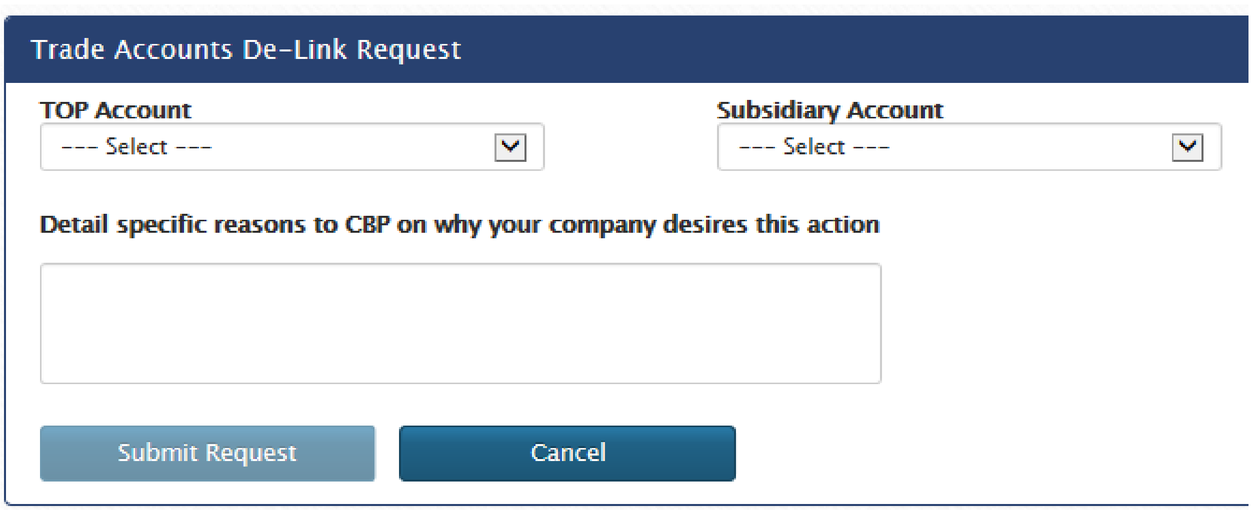
De-Linking Trade Accounts

To support divestitures, trade users are able to de-link existing trade accounts to represent their evolving business structures. To de-link a trade accounts:

- Trade Accounts with an associated C-TPAT account require the approval of C-TPAT management before de-linking.
- Only a Trade Account user identified as a Company Administrator can request to de-link.

To make a request to de-link two trade accounts:

(1) Log into the C-TPAT Portal.
(2) Click on the <Manage> link in the Trade Account Operations box in the middle left of the screen.
(3) Click the De-Link Trade Accounts link.



(4) Select a TOP account (parent account) and a Subsidiary Account (child). The Top account will act as the Trade Organization, with the subsidiary account underneath.
(5) Give a detailed reason for de-linking these accounts.
(6) The requests will go through an approval process within the C-TPAT Program if there are any C-TPAT Security Models associated to the trade account involved in the de-link. Once the de-link is approved by C-TPAT Management, the once linked accounts will be de-linked and appear in the upper left corner of the screen under the Trade Organizations box as two separate trade accounts.

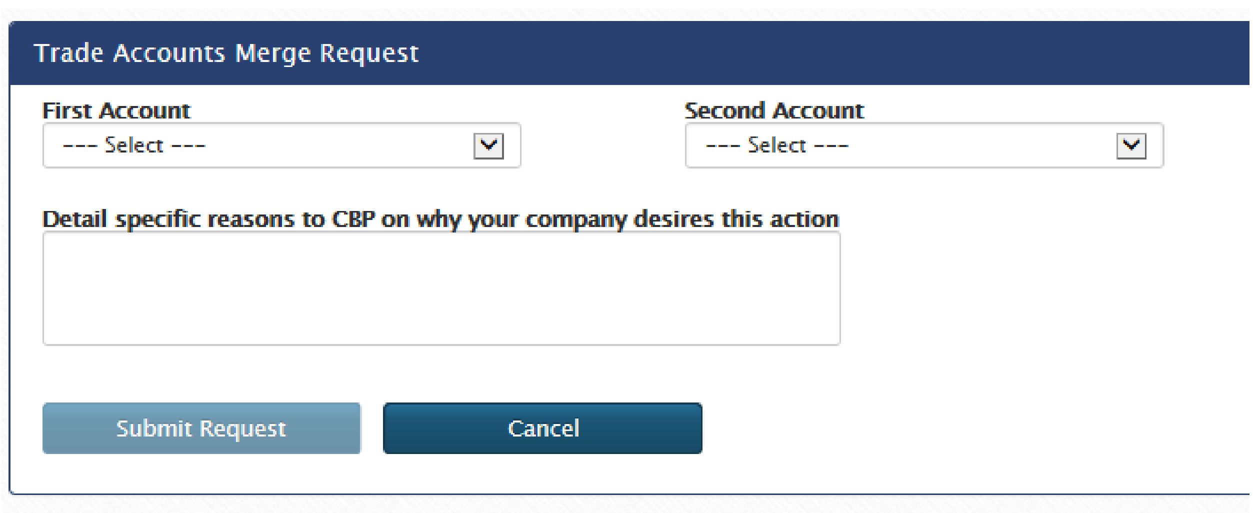
Merging Trade Accounts

Merging Trade Accounts allows the ability to consolidate accounts that are at the same level in a Trade Organization hierarchy. To merge a trade accounts:

- Trade accounts can be merged only if they are on the same level in in the Trade Organization, e.g., a subsidiary trade account cannot be merged to a parent account.
- Trade Accounts requesting to be merged with associated C-TPAT accounts require permission from all associated SSCS/SCSS.
- Only a Trade Account user identified as a Company Administrator can request to merge.
- A Trade Account user must be present in the role of Company Administrator in at least one account, but must be a user in both trade accounts.

To make a request to merge two trade accounts:

(1) Log into the C-TPAT Portal.
(2) Click on the <Manage> link in the Trade Account Operations box in the middle left of the screen.
(3) Click the Merge Trade Accounts link.
(4) Select a First account and a Second Account. The First account will act as the primary account, overriding the Trade account profile of the Second Account.
(5) Give a detailed reason for merging these accounts.



(6) This request must be approved by a Company Administrator from the non-requesting Second Account (even if it is the same as the user making the request).
(7) The requests will go through an approval process within the C-TPAT Program if there are any C-TPAT Security Models associated to the trade accounts involved in the merge. Once the merge is approved by C-TPAT Management, the Second Account will no longer appear in the upper left corner of the screen as a trade account, but will instead be merged with the First Account.

Splitting Trade Accounts

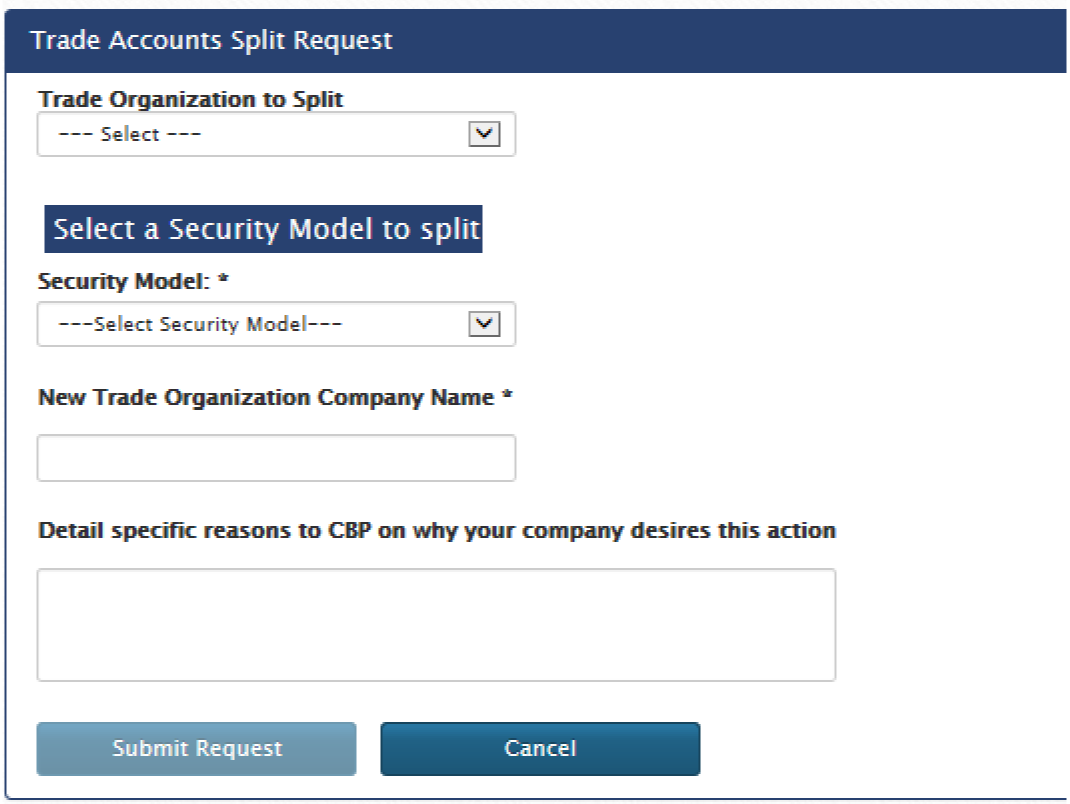
Splitting a Trade Account allows the ability to split one trade account into two trade separate accounts, and assign C-TPAT security models to those accounts, if applicable, to support corporate divestitures.

To split one trade account into two trade accounts:

- Trade Accounts requesting to be split with associated C-TPAT accounts require permission from associated SSCS/SCSS.
- Only a Trade Account user identified as a Company Administrator can request to split trade accounts.

To make a request to merge two trade accounts:

(1) Log into the C-TPAT Portal.
(2) Click on the <Manage> link in the Trade Account Operations box in the middle left of the screen.
(3) Click the Split Trade Account link.



(4) Select a Trade Organization to Split, then select the associated Security Models to split from the Trade Organization (if applicable).
(5) Provide a New Trade Organization Company Name and give a detailed reason for splitting this trade organization into two trade organizations.
(6) The request will go through an approval process within the C-TPAT Program if there are any C-TPAT Security Models associated to the trade accounts involved in the split. Once the split is approved by C-TPAT Management, two trade organizations will appear in the upper left Trade Organizations box where there was once one.

C-TPAT Security Model

A C-TPAT Security Model is a C-TPAT account that could contain a multi-mode security profile, new for Portal 2.0 Phase II, which allows a C-TPAT Partner to manage several business types (e.g., importer and exporter) in a single C-TPAT account if both business types share the exact same security procedures. The C-TPAT Security Model includes the company profile, business entity identifiers, and security profile, which could be used to manage multiple business types in one account.

To access your C-TPAT Security Model, select a Trade Account from the Trade Organization(s) box in the upper left corner of the screen, then click C-TPAT Accounts in the lower left Trade Account Information box. This will display the Security Model at-a-glance information, including the Primary POC and SCSS assigned to your account. Click on the Main Menu to access account information relating the Company Profile, Security Profile, and Validation Summary.

Model Name	CTPAT Test Importer – Importer	**Business Type**	[Importer]	Main Menu	
Model Number	22629	**C-TPAT Account #**	[34086723]		
Security Profile Status	Approved				
Status	Validated	**Certified Date**	06/05/2015	**Anniversary Date**	01/01/2016
SCSS Information					
Name	Robert Barrett	**Phone**	571-468-2526	**Email**	Robert.NM.Barrett@cbp.dhs.gov
Office	Newark				
Primary POC Information					
Name	Steve Krupinsky	**Phone**	202-325-4598	**Email**	stevekrup@yahoo.com

Business Type Information

When applying for C-TPAT, you will be asked to identify the type of business you are applying as: highway carrier, importer, consolidator, etc. Eligibility criteria related to your specific business type will follow to determine your C-TPAT eligibility. For example, if applying as a highway carrier, a series of eligibility criteria questions will assist in determining your exact type of Highway Carrier: U.S./Canada Highway Carrier, U.S./Mexico Highway Carrier, or Mexican Long Haul Carrier.

The Business Type Information displays the business type(s) in this Security Model and their account numbers. Your C-TPAT Security Model may have multiple C-TPAT account numbers, as account numbers are assigned per business type.

Security Model (Testing – Importer) for Testing

Previous | Next | Save

Business Type | Business Entity Information | Addresses | Contacts | International | Security Profile | Summary

Business Type Information

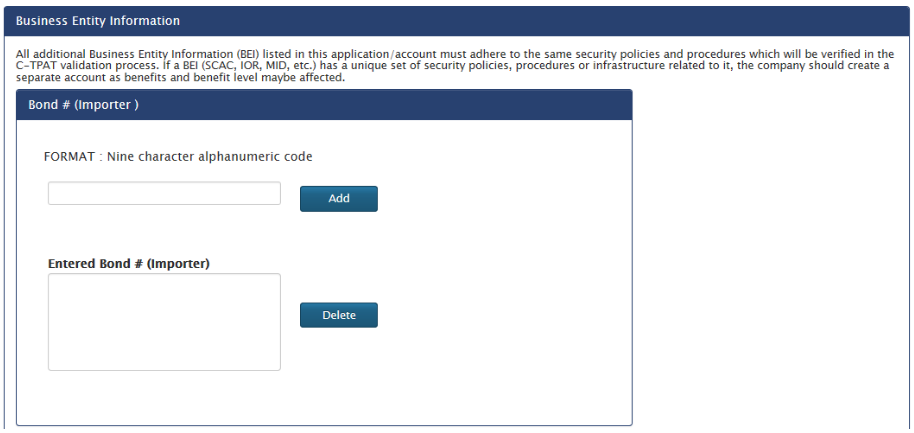
Business Type	Importer	**Status**	Applicant	**CTPAT Account #**
Business Type	Exporter	**Status**	Applicant	**CTPAT Account #**

Business Entity Information

For all business types in C-TPAT, certain business entity information is required to be entered as part of the eligibility criteria. For more information on required business entity identifiers, please visit CBP.gov/CTPAT and go to the Apply to C-TPAT link on the right.

To enter business entity information, go to the desired box, enter the ID, and click <Add> to add the ID to the Entered ID's section. Select the ID and click <Delete> to delete the ID.

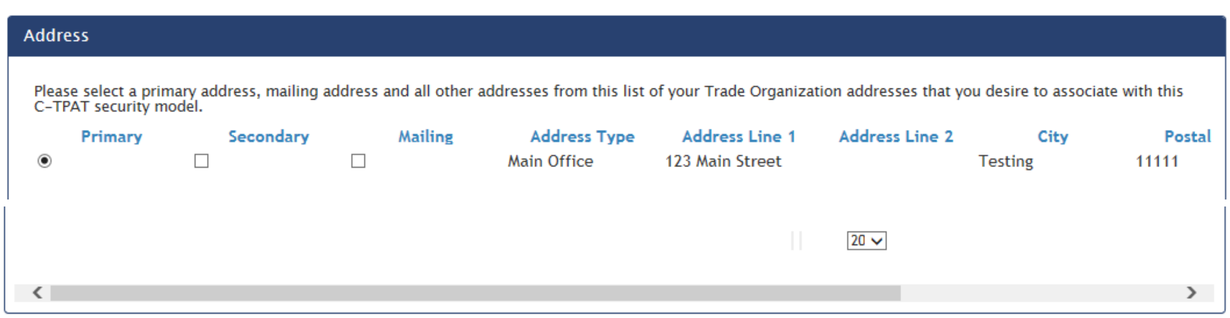
Note: C**ertain Business Entity ID's cannot be added, modified, or removed by Trade Users once they have been entered into your account**. Contact your assigned SCSS to add, modify, or remove Importer of Record, SCAC codes, or MID numbers. Click <Next> above to continue to the next tab.



Addresses

After entering address information into the Trade Account Profile of your Trade Account, click on <C-TPAT Accounts> in the left side menu, then click in the Main Menu and select Company Profile. Click on the <Addresses> tab. All C-TPAT accounts must have a designated Primary Address and a Mailing Address. To indicate the Primary Address, click in the circle of the desired address row. To select Mailing address, click in the Mailing address box in the address line. For all other C-TPAT addresses, select the <Secondary> box. When your selection is complete, click <Next> to continue to the next tab, or <Save> to save your work.

All C-TPAT addresses must be entered into the Trade Account Profile of the Trade Account before they can be associated to your C-TPAT Security Model.



Contacts

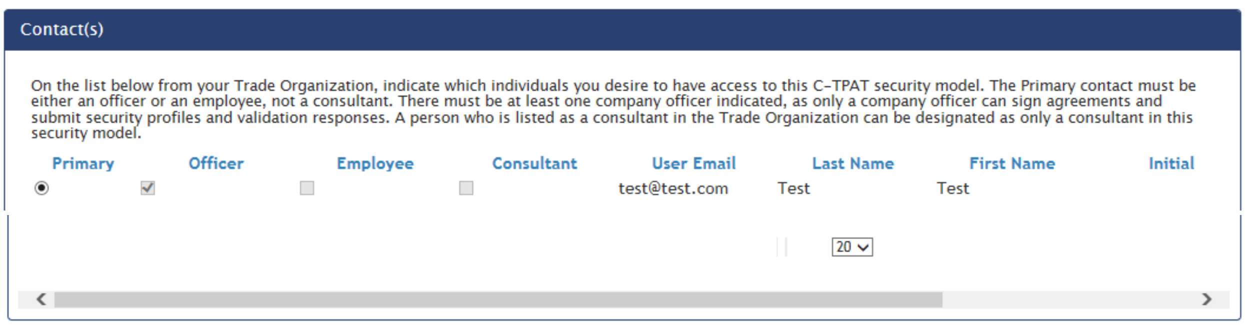
After entering the user information into the Trade Account Profile of your Trade Account, click on <C-TPAT Accounts> in the left side menu, then click the Main Menu and select Company Profile. Click Contacts tab. Every C-TPAT Security Model must have a company officer. A Company Officer is a person who holds an office of authority, and acts in an official capacity on behalf of a company. *Any* contact can update the security profile, but *only company officers* can *submit* the Annual Review and changes to the Security Profile, and electronically sign the C-TPAT Partner, SVI, Exporter, NEEC, and Mutual Recognition agreements.

Every C-TPAT Security Model must also have a Primary POC. To indicate <Primary Contact> for your C-TPAT account, click in the circle in the desired contact row. The Primary POC can be either a company officer or employee. For all other C-TPAT users, associate users as C-TPAT contacts by indicating their role in the organization by clicking the Company Officer (Officer), Employee, or Consultant box.

Things to remember when assigning contact roles:

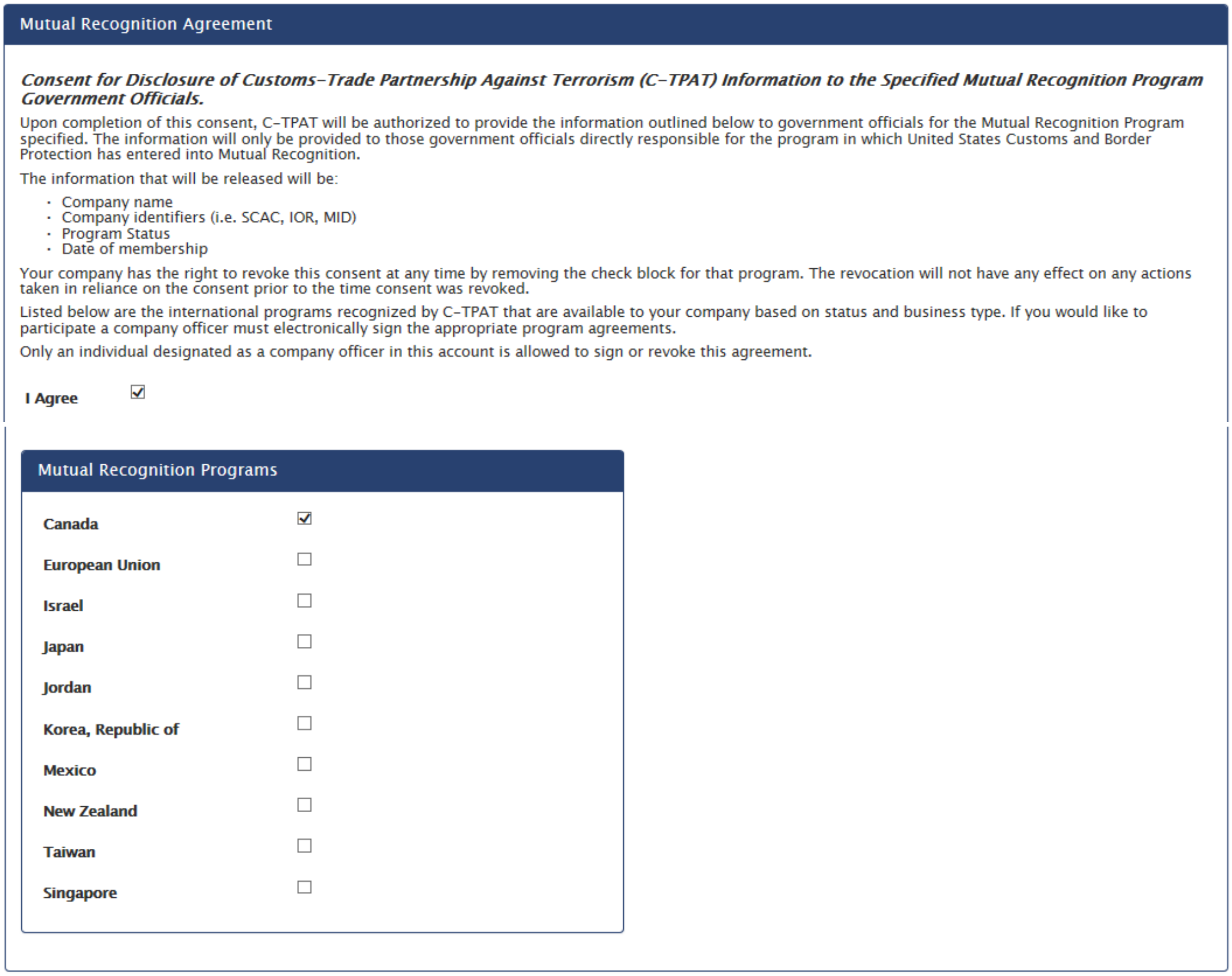
- Any contact can update the security profile
- Only an Officer can actually *submit* security profile updates to CBP, and sign agreements
- The Primary POC can be either an Officer or Employee, but not a consultant.

All C-TPAT contacts will have to be entered into the Trade Account Profile of the Trade Account before they can be associated to your C-TPAT Security Model.



International

Listed under the International tab are the international programs related to C-TPAT that are available to your company based on status and business type. If you would like to participate, a company officer must electronically sign the appropriate program agreements. Click <Next> to continue to the next tab.



Mutual Recognition Agreement

Consent for Disclosure of Customs–Trade Partnership Against Terrorism (C–TPAT) Information to the Specified Mutual Recognition Program Government Officials.

Upon completion of this consent, C–TPAT will be authorized to provide the information outlined below to government officials for the Mutual Recognition Program specified. The information will only be provided to those government officials directly responsible for the program in which United States Customs and Border Protection has entered into Mutual Recognition.

The information that will be released will be:

- Company name
- Company identifiers (i.e. SCAC, IOR, MID)
- Program Status
- Date of membership

Your company has the right to revoke this consent at any time by removing the check block for that program. The revocation will not have any effect on any actions taken in reliance on the consent prior to the time consent was revoked.

Listed below are the international programs recognized by C–TPAT that are available to your company based on status and business type. If you would like to participate a company officer must electronically sign the appropriate program agreements.

Only an individual designated as a company officer in this account is allowed to sign or revoke this agreement.

I Agree ☑

Mutual Recognition Programs

Canada	☑
European Union	☐
Israel	☐
Japan	☐
Jordan	☐
Korea, Republic of	☐
Mexico	☐
New Zealand	☐
Taiwan	☐
Singapore	☐

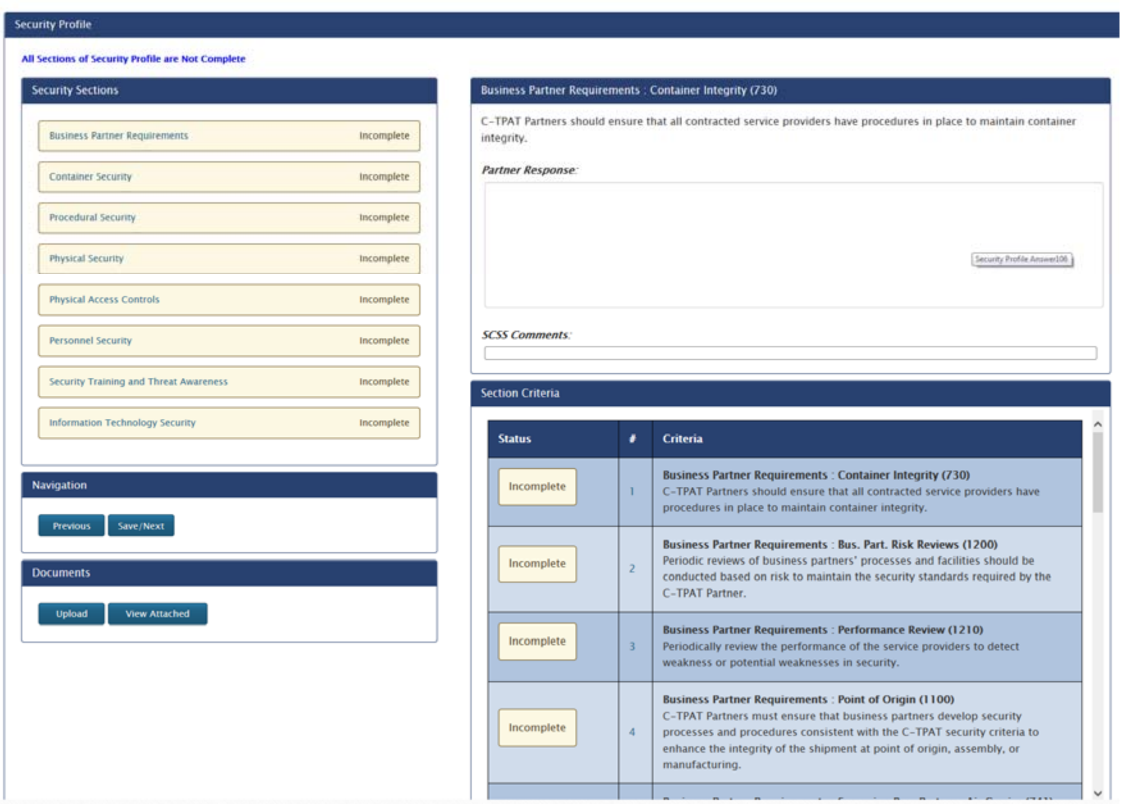
Security Profile

The Security Profile is formatted in a line-by-line Criteria Statement and Response to the Minimum Security Criteria listed on CBP.gov/CTPAT. It is recommended that all new applicants review the minimum security criteria related to the business type(s) before starting a C-TPAT application.

To access your security profile, click <C-TPAT Accounts >, then click the Main Menu and select Security Profile. The Security Profile features major security categories in a column down the left side of the screen and the criteria statements for each category in a chart below the criteria statement being displayed. This layout improves system response time for the user.

Answer each criteria statement with details of how your company adheres to the security practice or procedure listed. If you have evidence of implementation to provide, please use the Document box to upload documents to specific criteria statements. Please note that certain criteria statements will *require* documents to be uploaded. These statements will be identified by red text below the statement in the middle of the screen. If a statement is not applicable to your business model, you may respond “Not Applicable”, but must also detail the reason why the statement is not applicable. When data entry is complete, click the <Save/Next> button to move to the next statement. Click on the major security category on the left side to move to the next category.

Once all criteria statements in the Security Profile have a response, click the <Save> button at the top of the screen.



Summary

Review C-TPAT Security Model information in the Summary. The Summary page will display all information entered into the C-TPAT Security Model, including the Security Profile, and will allow you to <View a PDF> document for easy saving and printing for record keeping. After all information is reviewed for correctness, click <Save> to complete your application. Please note that only a company officer can submit a C-TPAT application, as all C-TPAT Partners have to electronically sign the C-TPAT Partner Agreement upon applying to the program, and only company officers are permitted to sign agreements.

Summary

Business Type Information

Security Model Name	Testing - Importer				
Business Type	Importer	**Status**	Applicant	**CTPAT Account #**	
Business Type	Exporter	**Status**	Applicant	**CTPAT Account #**	

Business Entity Information

Importer

BOND

IOR
12-345678910

Exporter

EIN
12-1234567

Dun and Bradstreet Number

Addresses

Primary	Secondary	Mailing	Address Type	Address Line 1	Address Line 2	City	Postal Code	Country	State
Y	N	N	Main Office	123 Main Street		Testing	11111	United States	Michigan

Contacts

Primary Contact	Officer	Employee	Consultant	User Email	Last Name	First Name	Initial	Title	Phone Number
Y	Y	N	N	test@test.com	Test	Test	undefined	Test Title	000-000-0000

International

Mutual Recognition Agreement : Agreed
Mutual Recognition Programs
Canada

Security Profile

Introduction Statements : Point of Origin Statement

The supply chain for C-TPAT purposes is defined from point of origin (manufacturer/supplier/vendor) through to point of distribution - and recognizes the diverse business models C-TPAT members employ.

Partner Response:

Introduction Statements : Int'l Supply Chain Statement

C-TPAT recognizes the complexity of international supply chains and endorses the application and implementation of security measures based upon risk analysis.

Partner Response:

Annual Security Profile Review

The C-TPAT Partner agreement calls for the annual review of the security profile submitted to C-TPAT, "Specifically, the Partner agrees to: Using the online application process (the C-TPAT Security Link Portal), complete a supply chain security profile and update information regarding the company on an annual basis". The annual review window is initiated 90 days before the partner anniversary date. While Partners are encouraged to update the security profile at any time as company procedures change, only changes made during the 90 day window will satisfy the annual review requirement.

Specifically, the requirement begins with an annual supply chain risk assessment (guidance to complete a Five Step Risk Assessment can be found on www.cbp.gov/ctpat). Completion of the risk assessment may result in changes to your supply chain security policies and procedures. These changes should be reflected in the annual review.

Ninety days prior to the due date the C-TPAT Partner account will receive a message with a due date for the annual review. To complete the annual review within the ninety day window, log into the Partner Portal, select the corresponding Trade Account, then select <C-TPAT> from the left side menu. Click <Edit Security Profile>.

The Partner must review all information in the security profile. If any updates to security practices and procedures have taken place during the year, update the response to the corresponding criteria statement with the updated information. If no changes in security have taken place, there is no need to add supplemental text. After updating the text for each statement (where applicable) check the box for each statement to inform the system the review for this statement has been completed.

Once all statement agreement boxes are checked, click <Save> at the top of the screen. Your assigned SCSS will begin reviewing the updates and affirmations you have recorded in the Security Profile.

Validation Summary

To access your Validation records, log into the C-TPAT Portal, select the corresponding Trade Account, then select <C-TPAT Account> from the Trade Account Information box in the lower left corner. Click in the Main Menu, and select <Validation Summary>. Your Validation Report is available in the lower window for each validation that has been completed for your company. Double click on the desired validation to see more details.

Validation Response

To complete your Validation Response, log into the C-TPAT Portal, select the corresponding Trade Account, then select <C-TPAT Account> from the left side menu. Click in the Main Menu and select <Validation Summary>. Double click on the validation with a Response status of **Pending**. Use the space provided in the text boxes to reply to the Recommendations or Actions Required listed, and use the <Upload File> utility under each text box to include required evidence of implementation. To save your work, click <Save> at the bottom of the Validation Response. Click **<Submit>** only when your reply is complete.

C-TPAT Security Model Operations

Along with trade account operations creating associations between accounts, Phase II will also allow C-TPAT companies to create multi-modal accounts, using the Security Model Operations option.

Merging Security Models

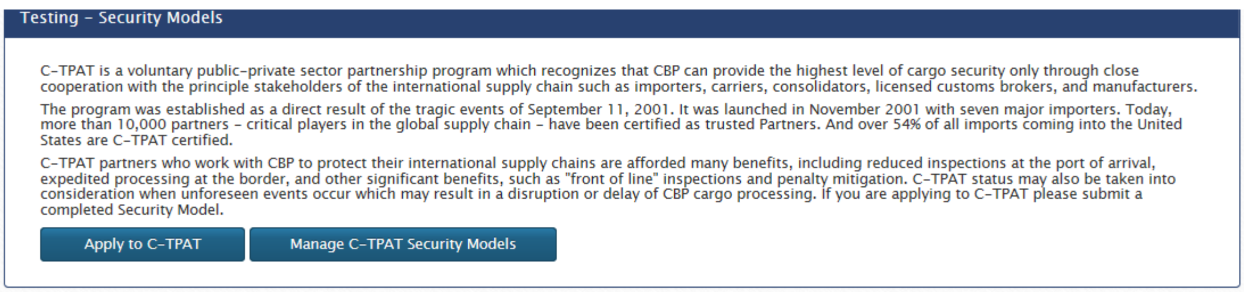
Merging two C-TPAT Security Models allows trade members the ability to consolidate accounts with **identical security practices and procedures** to be managed as one account.

Merging two C-TPAT Security Models:

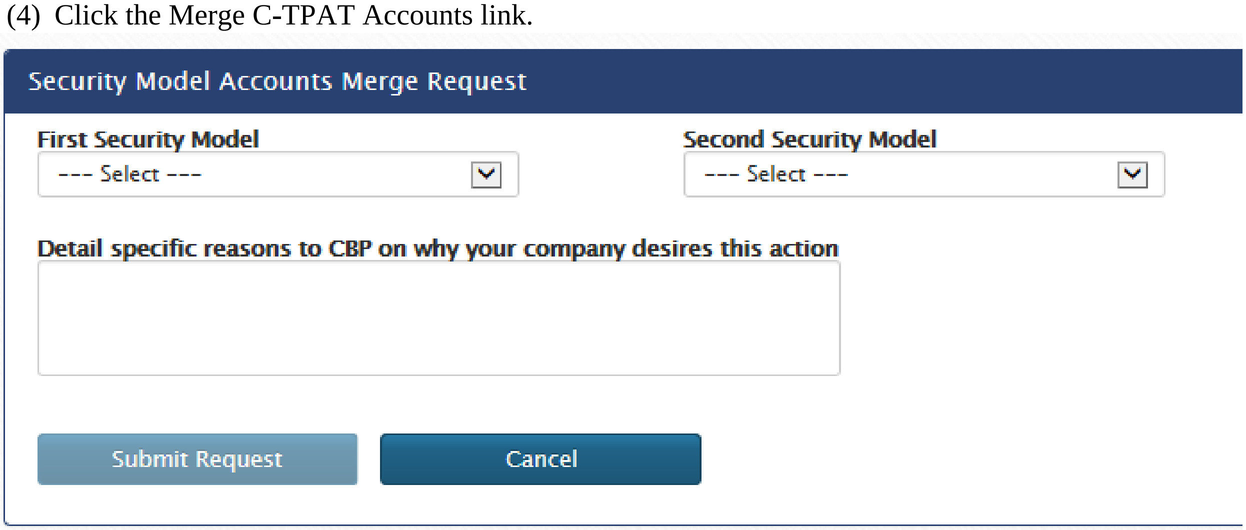
- Requires both C-TPAT Security Models to be managed under one trade account.
- Requires that both accounts have identical security practices and procedures.
- Requires a request made by a company officer.
- Requires that the request be approved by C-TPAT Management.

To make a request to merge two C-TPAT Security Models:

(1) Log into the C-TPAT Portal, and click on the Trade Account in the Trade Organization(s) box.
(2) Click on C-TPAT Accounts in the lower left side menu.
(3) Click Mange C-TPAT Security Models.



(4) Click the Merge C-TPAT Accounts link.



(5) Select a First Security Model and a Second Model.

(6) Give a detailed reason for merging these Security Models.
(7) The requests will go through an approval process within the C-TPAT Program. Once the merge is approved by C-TPAT Management, the Security Model will subsume the business type(s) of the first and second security models.
(8) A C-TPAT company officer from the security model must then complete a consolidated security model, where the response to common criteria will be presented in a side-by-side comparison of the previously separated security models. The Company Officer should select the appropriate response or provide a new response, then click Submit Entire Security Profile.

Expanding a Security Model

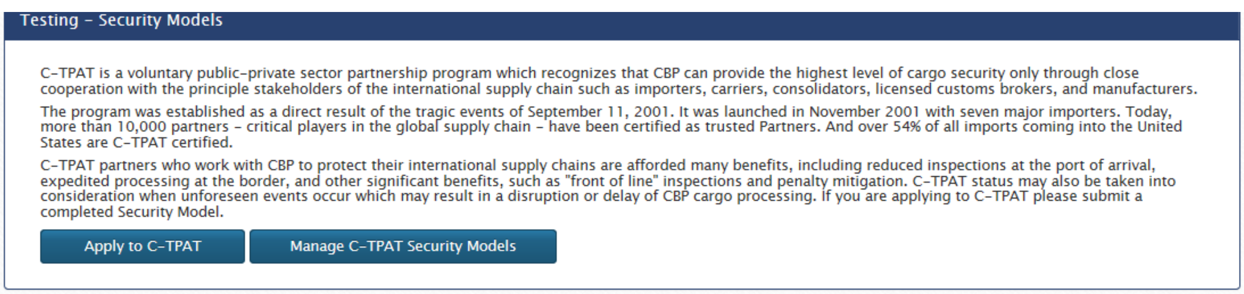
Expanding a Security Model is stretching a current C-TPAT security model to include an additional eligible business type with **identical security practices and procedures** as the existing C-TPAT account.

Expanding your C-TPAT Account:

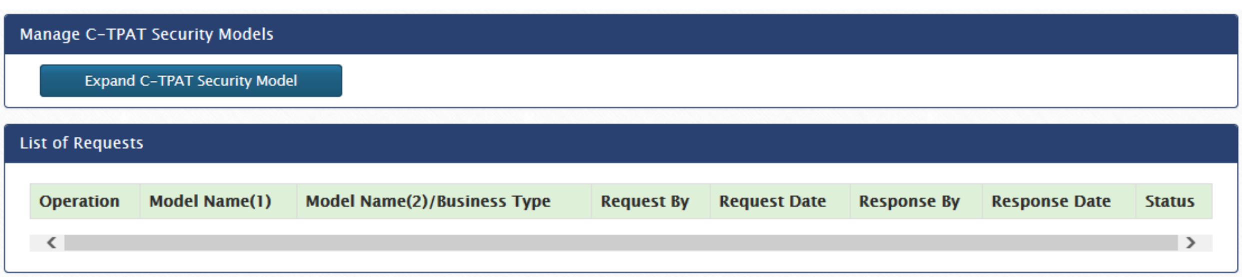
- Requires that both accounts have identical security practices and procedures.
- Requires a request made by a company officer.
- Requires that the request be approved by C-TPAT Management.

To make a request to expand your current C-TPAT Security Model to include an additional eligible business type:

(1) Log into the C-TPAT Portal, and click on the Trade Account in the Trade Organization(s) box.
(2) Click on C-TPAT Accounts in the lower left side menu.
(3) Click Manage C-TPAT Security Models.

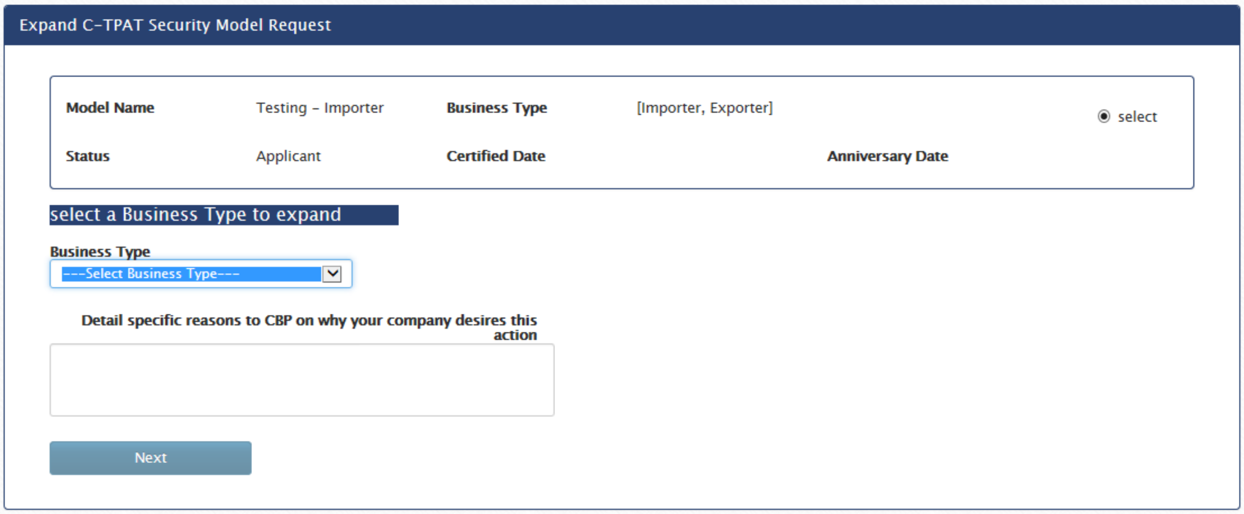


(4) Click on the Expand C-TPAT Security Model option



(5) Select the Security Model you would like to expand by clicking the radio button on the right side.

(6) Select an additional business type to add to the security model. Note you will only be permitted to add one additional business type per request.
(7) Give a detailed reason for expanding your Security Model to include a new business type.



(8) Answer the eligibility criteria and enter the business entity identifiers associated with the new business type.
(9) The request to expand will be reviewed by C-TPAT management. Once the request is approved, you will be prompted to complete a security profile with both common criteria among the business types in the security model, as well as the unique criteria for the additional business type. Note the common criteria should include the security practices and procedures of both business types present in the model.

Splitting a Security Model

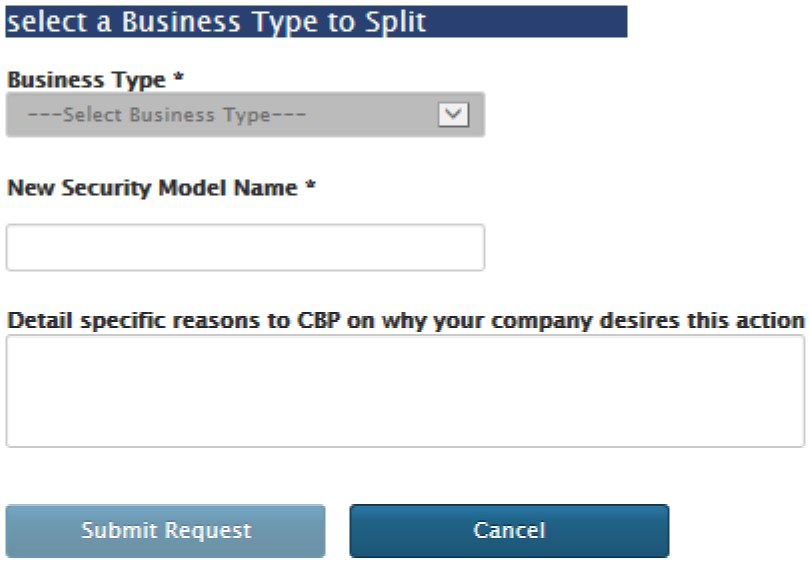
Splitting allows the trade ability to request to separate a multi-mode C-TPAT Security Model into two security models to manage them separately to support corporate divestitures.

Splitting your C-TPAT Security Model:

- Requires that a C-TPAT Security Model in good standing have two or more business types associated with it.
- Requires a request made by a company officer.
- Requires that the request be approved by C-TPAT Management.

To make a request to split your current C-TPAT Security Model into two security models:

(1) Log into the C-TPAT Portal, and click on the Trade Account in the Trade Organization(s) box.
(2) Click on C-TPAT Accounts in the lower left side menu.
(3) Click Manage C-TPAT Security Models.
(4) Click on the Split Security Model link.
(5) Select a Security Model from the list, the select the business type to split from the model.
NOTE: Only one business type can be split per request.



(6) Provide a name for the new security model, then give a detailed reason for splitting this business type from your Security Model.
(7) The request to split a business type from your Security Model will be reviewed by C-TPAT management. Once the request is approved, you will be prompted to review the security profiles for both security models and submit to the SCSS for approval.

Extracting from a Security Model

Extracting allows the trade ability to request to separate a multi-mode C-TPAT Security Model into two security models and withdraw the split business type to support corporate divestitures.

Extracting a business type from your C-TPAT Security Model:

- Requires that a C-TPAT Security Model in good standing have two or more business types associated with it.
- Requires a request made by a company officer.
- Requires that the request be approved by C-TPAT Management.

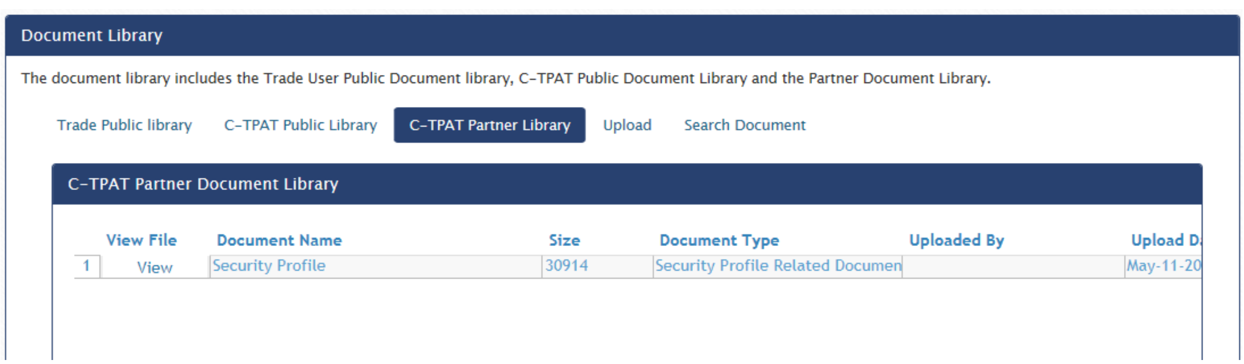
To make a request to extract a business type from your current C-TPAT Security Model into two security models:

(1) Log into the C-TPAT Portal, and click on the Trade Account in the Trade Organization(s) box.
(2) Click on C-TPAT Accounts in the lower left side menu.
(3) Click Manage C-TPAT Security Models.
(4) Click on the Extract Security Model link.
(5) Select a Security Model from the list, the select the business type to extract from the model. **NOTE: Only one business type can be extracted per request.**
(6) Provide a name for the new security model, then give a detailed reason for extracting this business type from your Security Model.

(7) The request to extract a business type from your Security Model will be reviewed by C-TPAT management. Once the request is approved, the business type will be removed from your existing Security Model and withdrawn. You will be prompted to review the security profile for the remaining active security model and submit to the SCSS for approval.

Document Library

The Document Library includes the C-TPAT Public Document Library and the Partner Document Exchange, in addition to the new Trade Public Document Library, accessible by all of those users with a Trade Account.



Trade Public Document Library

All users in a Trade Account will have access to documents in the Trade Public Document Library. A user need not be associated as a Contact in a C-TPAT account to have access to this library. To access the Trade Public Document Library, click on Document Library in the lower left corner of the C-TPAT Portal. Click on the Trade Public Document Library tab. Only CBP C-TPAT Administrative personnel are permitted to upload documents into this library.

C-TPAT Public Document Library

All users associated as a Contact in a C-TPAT account will have access to documents in the C-TPAT Public Document Library. To access the Public Document Library, click on Document Library in the lower left corner of the C-TPAT Portal, and select C-TPAT Public Document Library from the list. Only CBP C-TPAT Administrative personnel are permitted to upload documents into this library.

To open a document, click <View> on the document row.

C-TPAT Partner Library (previously titled Document Exchange)

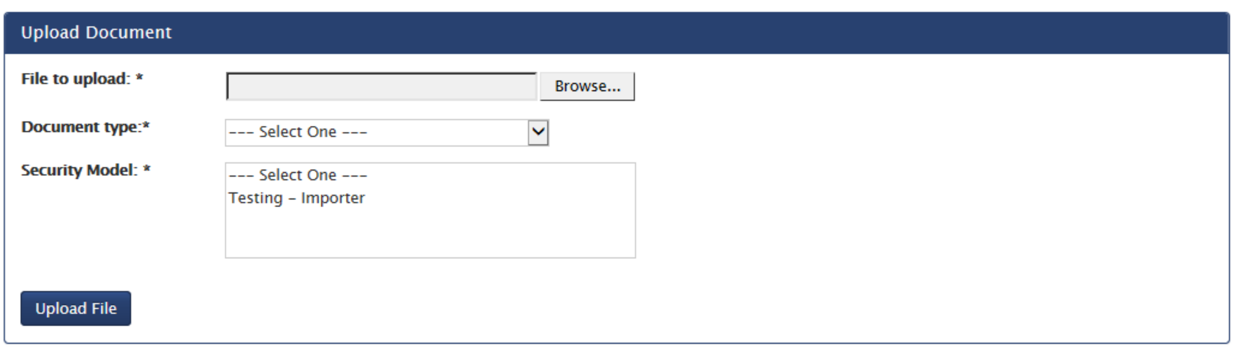
A trade user associated as a contact with a C-TPAT account will have access to the C-TPAT Partner Library specific for that account. Any documents uploaded as part of a Security Profile or Validation Response in the C-TPAT Portal will be stored in the C-TPAT Partner Library, tagged to the location in the C-TPAT Portal where the document was uploaded.

Accessing Documents

To access the C-TPAT Partner Library, click <Document Library>, and select the <C-TPAT Partner Library> tab.

Uploading Documents

To upload a document to the C-TPAT Partner Library, click <Browse…>. Choose the desired document from your local network, and specify the Document type and the C-TPAT Security Model to which the document is associated from the drop down lists provided. Click <Upload File> to complete the upload. **Note: Any documents uploaded as part of a Security Profile and in the Validation Response in the Partner Portal will be stored in the C-TPAT Partner Library, tagged to the location in the C-TPAT Portal where the document was uploaded.**

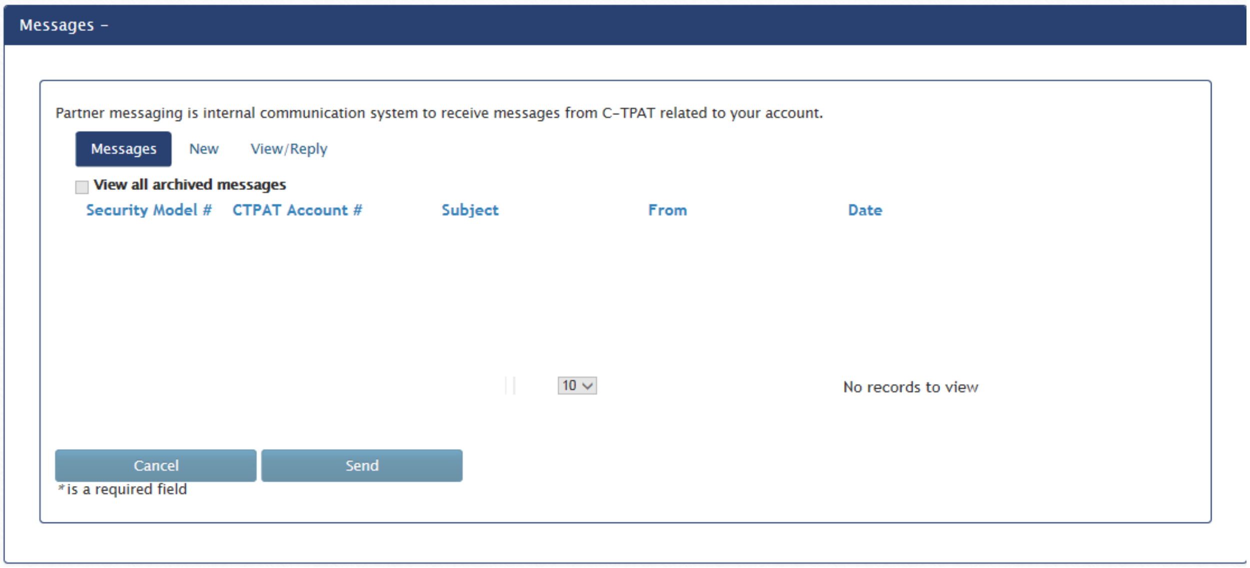


Updating Document Titles

To change the document title of an uploaded document, click on the title and make alterations to the desired document. When alterations are complete, click <Save Changes>. The document name will change, and the old version of the document will be stored in the document archive.

Messages

Messages are an internal communication system to record correspondence between Trade Partners and the SCSS assigned to your C-TPAT account. Only trade users who are associated as a Contact in a C-TPAT account will be permitted to view, reply to, or send new Messages.



Viewing and Replying to Messages

To view or reply to a message, select the corresponding Trade Account, then select <Messages> from the left side menu. Messages appear in the table chronologically, with the newest message first, and unread messages highlighted grey. Double click on the line of the Message you want to view. The message text and thread (all replies to the message) will appear below the reply window in chronological order, with the newest message at the top. Type a message in the box provided and click <Send>. The updated message thread will appear under the Messages tab. To abandon this reply and return to unread Messages, click Cancel.

Sending New Messages

To send a new message to your SCSS, select the corresponding Trade Account, then select <Messages> from the left side menu. Click the <New> tab, and a blank message will appear in the window. Select your C-TPAT account from the list, type the subject and body of the message, upload a related file, if necessary, and click Send. The New message will now appear as a message thread under the messages tab. To abandon any changes and return to the Messages tab, click Cancel.

Status Verification Interface (Partner Monitoring)

SVI or Partner monitoring allows C-TPAT Partners to track the C-TPAT status of their business partners to facilitate an advanced network of trade partners with security-minded business practices.

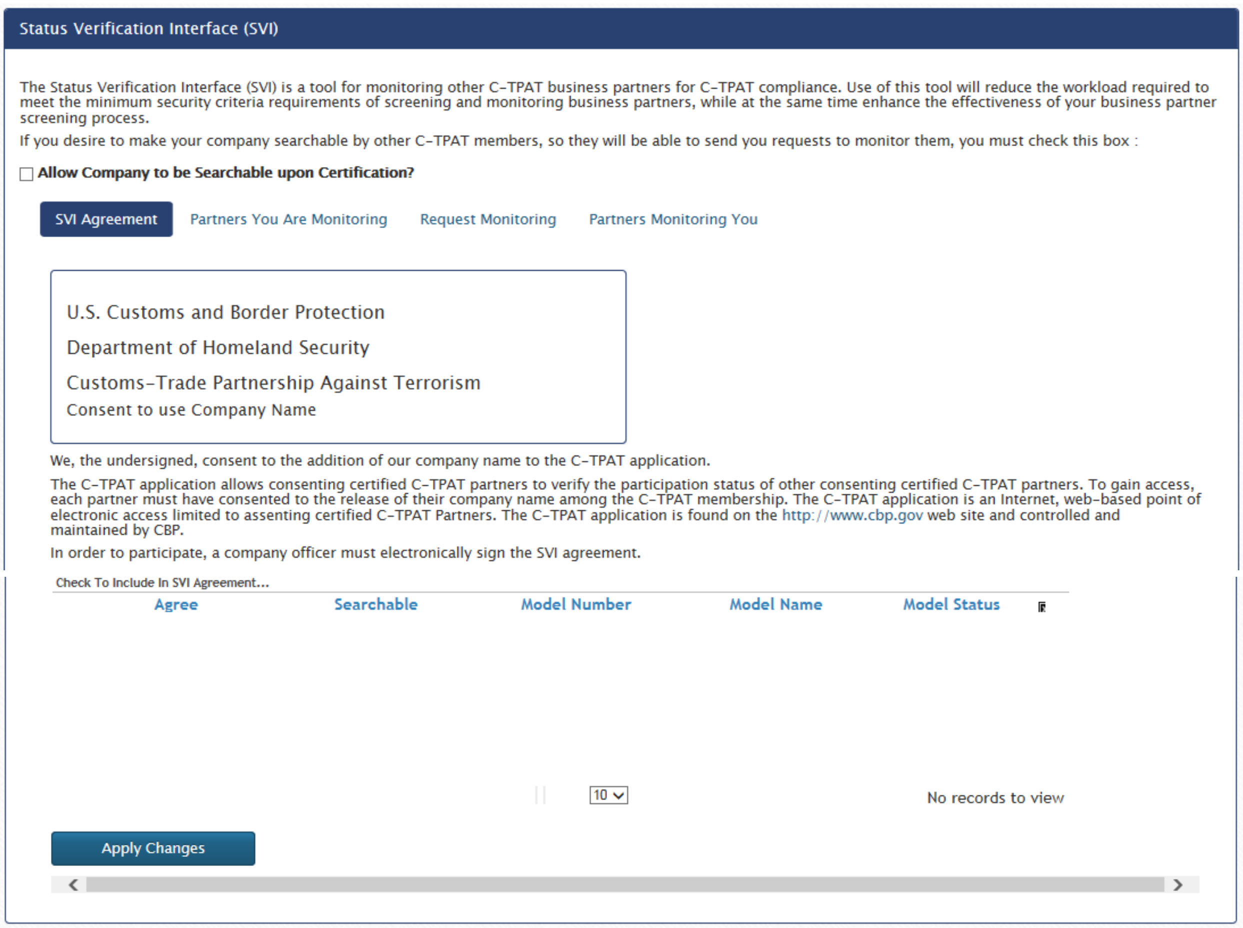
SVI Requirements

To participate in SVI, a company must:

(1) Have an active C-TPAT account in good standing (certified or above).

(2) Consent to share your status with other companies, as is stated in the SVI Agreement. *NOTE: If SVI agreement is revoked, your company will be removed from all Partners Monitoring You and all Partners You are Monitoring will disappear.*

To participate in SVI, click on the desired Trade Account and select <SVI> from left menu. Sign the SVI Agreement by selecting the <SVI Agreement> tab and clicking in the <Agree> box on the desired account. Click <Apply Changes>.



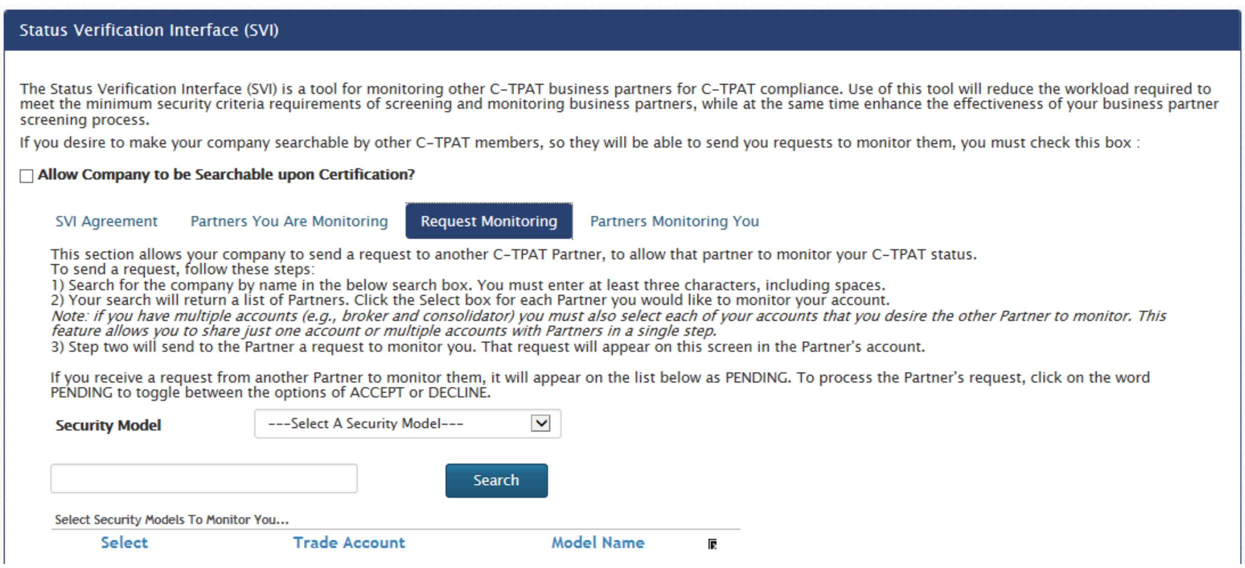
Request Monitoring

For each monitoring Partner, a request must be sent to establish the list on the <Partner Monitoring You> tab. **For Phase II, only the Partner being monitored can initiate a monitoring request**.

Sending Requests

To request a Partner to monitor you:

(1) Click <SVI> under the desired Trade Account.
(2) Select <Request Monitoring> tab.
(3) Type in a company name and click <Search>. **Note: Only companies that have signed the SVI Partner agreement and are currently in Certified status or above will appear in the results.**
(4) Click in the <Select> box by the company that you want to monitor you.
(5) Click <Save Selections> at the bottom of the window.
(6) The status of the request (pending, accepted, declined) will appear in the **Partners Monitoring You** list. Once the monitoring company approves the request, the company's status will also appear in your **Partners Monitoring You** list.



Accepting and Denying Requests

As a monitoring Partner, the choice to accept, decline, or revoke (decline after initial acceptance) a Partner requesting that you monitor them is your decision. To accept a request to monitor a Partner:

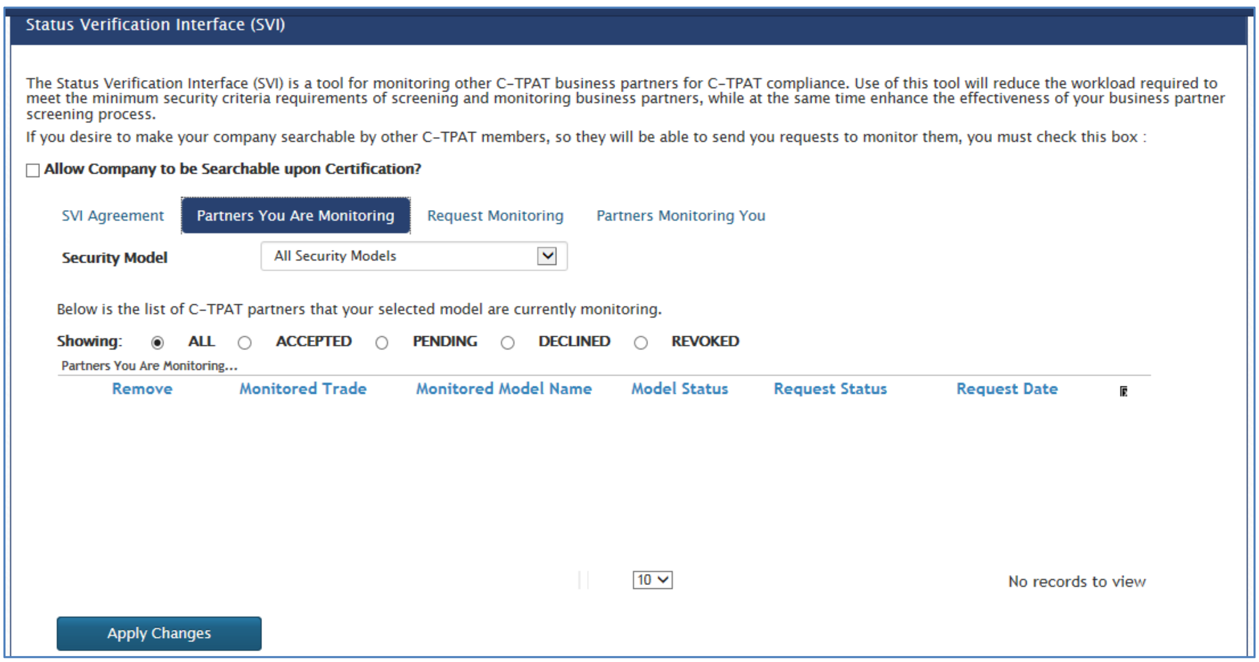
(1) Click on <SVI> under the desired Trade Account.
(2) Select the <Partners You are Monitoring> tab.
(3) Click in the Request Status column to toggle through the choices—ACCEPT or DECLINE.
    a. If the request status is in **ACCEPT**, the company status (Certified or Not Certified) will appear in the Certified column.

b. If the request status is in **DECLINE**, the company status will not appear in the Certified column. A **DECLINE** Request Status will act as a block to prevent further monitoring requests from this company. To allow a declined monitoring requester to request again, click in the <Remove Monitored> box next to the record and click <Apply Changes>. This will remove the block and allow future requests.

(4) Click <Apply Changes> when your choice is complete.

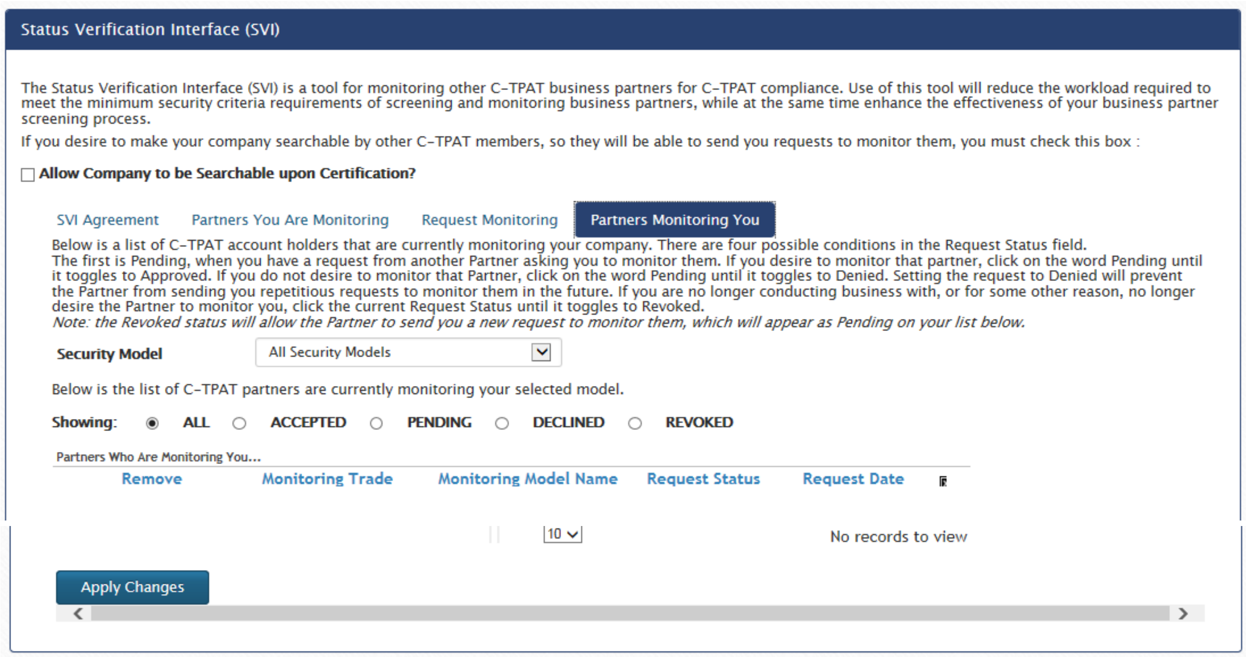
Partners You Are Monitoring

In addition to accepting and declining monitoring requests, the "Partners you are Monitoring" tab displays the companies you are monitoring and their current C-TPAT status. To filter companies on this page, click on the toggle button. The available filters will display companies from which you have: Accepted, Declined, or Revoked monitoring requests.



Partners Monitoring You

Previously unavailable in Portal 1.0, the “Partners Monitoring You” tab will allow you to see which companies are monitoring you. In Phase 1, you will not be able to request to monitor a company—requests can only be made to have a company monitor you. To filter companies on this page, click on the toggle button at the bottom of the window. The available filters will display companies which have: Accepted, Declined, or Revoked your monitoring requests.



3. Portal 2.0 International Initiatives

European Union AEO Registration

On May 4, 2012, the United States of America (U.S.) and the European Union (EU) signed a decision on the mutual recognition of their respective trade partnership programs, namely the Customs-Trade Partnership Against Terrorism (C-TPAT) programme in the U.S. and the Authorised Economic Operator (AEO) program in the EU ('the Decision').

The exchange of program information and the granting of benefits to operators holding a membership status in the respective trade partnership programs are implemented in two phases. Following the launch of the information exchange of EU AEO members in July 2012, manufacturers and exporters shipping to the U.S. started to receive a reduction of their targeting scores in CBP’s automated targeting system.

CBP’s targeting system cannot process the EU EORI number. It can only process information linked to a Manufacturer's Identification Number (MID) or an Importer of Record Number. In order for AEO manufacturers and exporters to get a reduction in their targeting score in CBP’s targeting system, a "matching procedure" to associate EORI numbers and MID numbers has been established. U.S. CBP has created a web application where AEO manufacturers/exporters may register their EORI numbers and associate them with their MID number(s).

IMPORTANT: this applies only to manufacturing or exporting companies in the EU. Other EU AEOs do not need to register. Companies outside the EU may not register.