



CTPATTM

YOUR SUPPLY CHAIN'S STRONGEST LINK.

Procedural Security



U.S. Customs and
Border Protection

7.1 IMP/EXP/FMS/SEA/CON/3PL

- When cargo is stored overnight, or for a long period of time, steps **MUST** be taken to protect it from unauthorized access.



7.2 IMP/EXP/FM/RAIL/3PL/HC/LH/MPTO/CON

- Loading areas and immediate surrounding areas **MUST** be inspected periodically to ensure they remain free from visible pest contamination.



7.3 AIR

They **MUST** include the following items:

- Flights with passengers also carrying cargo **MUST** have developed written (risk-based) policies and procedures that include a more intrusive examination prior to packing and loading, such as X-ray inspections.



7.4 IMP/EXP/FM/CON/3PL

- Loading of cargo into trailers, containers, or instruments of international transport (ITT) **MUST** be **supervised** by a security officer, manager, or other designated person.



7.5 EXP/FM/IMP/CON/3PL

- Digital photographs **MUST** be taken at the boarding point, to demonstrate documentation of correct seal application.
- These images **MUST** be sent electronically to the destination for verification purposes, when possible.



7.6 CON/BROK/EXP/FM/HC/IMP/3PL

- Procedures **MUST** be in place to ensure that all information used in merchandise/cargo clearance is legible, complete, accurate, protected against the exchange, loss or introduction of erroneous information, and is reported on time.

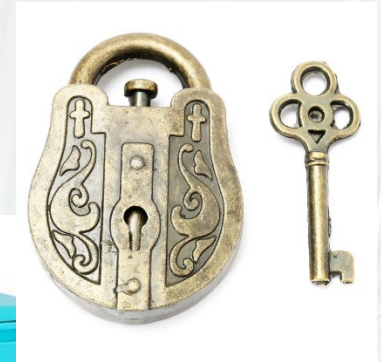


EVERYONE IS RESPONSIBLE
FOR VERIFYING THAT
INFORMATION IS CORRECT



7.7 CORE

- If paper forms are used, forms and other documentation related to cargo import/export **MUST** be secured to prevent unauthorized use.



7.8 AIR/EXP/IMP/HC/LH/RAIL/SEA/FM/CON/3PL

- The factory/manufacturer/farm, or their agent, **MUST** ensure that the shipment BOL or manifests accurately reflect the information provided to the carrier, and carriers **MUST** exercise due diligence to ensure these documents are accurate.
- Bills of lading (BOLs) and manifests **MUST** be presented to U.S. Customs and Border Protection (CBP) in a timely manner.
- BOL information submitted to CBP **MUST** show the first location/facility where the carrier takes possession of the cargo destined for the US.
- Weight and number of pieces **MUST** be accurate.



7.8 Implementation Guidance

- When picking up sealed instruments of international traffic, carriers can rely on the information provided in the factory shipping instructions.
- Requiring the seal number to be printed electronically on the BOL or other export documents helps avoid changing the seal and tampering with relevant documents to match the new seal number.
- However, for certain supply chains, cargo may be examined in transit by a foreign customs authority or by CBP. Once the government breaks the seal, there must be a process to register the new seal number applied to the IIT after the examination. In some cases, this can be handwritten.



7.9 BRO

- Information transmitted to US Customs and Border Protection. Entry summary **MUST** match information on the transaction documents provided to the customs broker.



7.10 HC/LH/BRO/IMP/EXP/CON/3PL

- Personnel **MUST** review information on import/export documents to identify or recognize suspicious cargo shipments.
- Relevant personnel **MUST** be trained on how to identify information on shipping documents, such as manifests, that could indicate a suspicious shipment.
- As a resource and based on risk, CTPAT members **SHOULD** take into account CTPAT's key warning indicators for money laundering and terrorist financing activities most applicable to the supply chain functions they, and/or their business entity, perform. <https://www.cbp.gov/border-security/ports-entry/cargo-security/ctpat>



7.10 HC/LH/BRO/IMP/EXP/CON/3PL

"Highway carrier personnel **MUST** be trained to review manifests and other documents to identify or recognize suspicious cargo shipments such as:

- Origin or destination are unusual places; Paid in cash or certified check;
- Use of unusual routing methods;
- Exhibiting unusual shipping/receiving practices;
- Providing vague, generalized, or missing information."



7.11 SEA

- Garbage **MUST** be stored and properly disposed of in accordance with the International Convention for the Prevention of Pollution from Ships' (MARPOL) Annex V regulations .
- A garbage log book **MUST** be maintained.



7.12 HC/3PL

- Drivers **MUST** collect personal garbage and dispose of it before entering the U.S.
- Otherwise, the driver **MUST** declare garbage to Customs and Border Protection (CBP), in order to be properly disposed of.



7.13 HC/LH/3PL

- Depending on the risk, carriers **MUST** have specific procedures to mitigate the risk of collusion between employees, such as between the driver and dispatch personnel, which could allow tampering with a security measure.



7.14 HC/LH/3PL

- If legally permitted, and permitted under union rules, carriers **MUST** conduct random searches of truck drivers' luggage and personal belongings.
- If suspicious anomalies are found during examination, carriers **MUST** document and report their findings to CBP.



7.15 HC

- CTPAT carriers **MUST** ensure that their FAST certified drivers meet all FAST requirements when using the FAST lane, to include having only FAST-certified passengers in the cabin.



7.16 HC/LH

- For shipments destined for the US, freight carriers (including outsourced carriers) **MUST** use their own SCAC code, regardless of whether the carrier is using a FAST lane or regular lane.



Do not share



7.17 HC/LH/3PL

- In accordance with US Department of Transportation standards, CTPAT carriers **MUST** have a comprehensive preventive maintenance program for units and ensure that drivers perform proper checks on their units.
- Maintenance records **MUST** be kept for a minimum of one year.



7.18 HC/LH/3PL

- In high-risk areas, where operationally possible, carriers **SHOULD** use a convoy method (e.g., a minimum of two trucks traveling together) to transport cargo.
- Each truck in the convoy **MUST** have the means to communicate with other trucks in the convoy and with dispatch personnel.



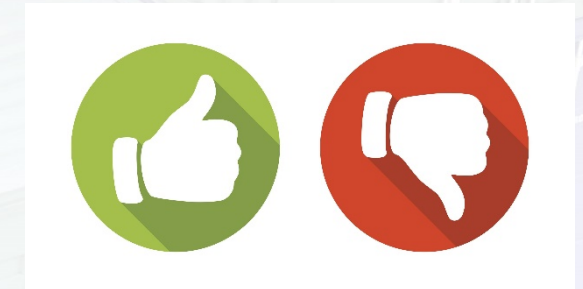
7.19 MPTO

- Seaports **MUST** fulfill their responsibility to set aside CBP-designated containers for review prior to release for US trade.
- These containers **MUST** be delivered expeditiously to the exact location specified by CBP.



7.20 MPTO

- At the exit gate, seaports **MUST** check each container in the ACE system to ensure the container has been cleared for release by CBP.



7.21 MPTO

- Containers **MUST** be segregated according to hazardous materials (HAZMAT) and temporary storage designations.

7.22 MPTO

- Seaports **MUST** institute practices to routinely check cargo/container storage areas.
- Empty containers **MUST** be checked to make sure they are empty and free of false compartments.



7.23 CORE

- CTPAT members **MUST** have written procedures for reporting an incident, including a description of the internal lift process for each facility.
- Reporting protocol **MUST** be in place to report any suspicious activity or security incident that may affect the member's supply chain security.
- As appropriate, the member **MUST** report incidents to their SCSS, the nearest port of entry, relevant law enforcement agencies, and business partners affected as part of the supply chain.



7.23 CORE

- Notifications to CBP **MUST** be made as soon as possible and prior to any crossing into the US.
- Notification procedures **MUST** include contact information that lists the names and telephone numbers of personnel who require notification, as well as authorities.
- Procedures **MUST** be reviewed periodically to ensure that contact information is accurate.



7.23 Implementation Guidance

- Examples of incidents that warrant reporting to CBP include (but are not limited to) the following:
 - Discovery of tampering with a container/IIT, or high security seal;
 - Discovery of a hidden compartment in a mode of transport or IIT;
 - A new, unaccounted for seal has been applied to an IIT;
 - Narcotic or human smuggling; stowaways;
 - Unauthorized entry to mode of transportation, locomotives, boats or aircraft carriers;
 - Extortion, protection payments, threats and/or intimidation;
 - Unauthorized use of a business entity identifier (e.g. importer number (IOR), SCAC code, etc.).



7.24 CORE

- Procedures **MUST** be in place to identify, challenge, and approach unauthorized/unidentified persons.
- Personnel **MUST** know protocol for challenging an unknown/unauthorized person, how to respond to a situation, and be familiar with the procedure for removing an unauthorized person from the premises.



7.25 CORE

- CTPAT members **MUST** establish a mechanism to report, anonymously, security-related issues.
- When a report is received, it **MUST** be investigated, and if appropriate, corrective action **SHOULD** be taken.



7.26 BRO

- In accordance with their services, US customs agents **MUST** inform clients of their obligation to inform CBP and/or other authorities of any anomalies.
- When necessary, customs agents **MUST** also advise their clients to make necessary modifications so that the correct data is transmitted.



7.27 IMP/EXP/CON/3PL/BRO/MPTO/FM

- Any shortages, excesses, and other significant discrepancies or anomalies **MUST** be investigated and resolved, as appropriate.



7.28 IMP/EXP/MPTO/BRO/CON/FM/3PL

- Cargo received **MUST** be verified against the information in the cargo manifest.
- Cargo shipped **MUST** be verified against purchase or delivery orders.



7.29 RAIL/LH/HC/3PL/MPTO/IMP/FM/EXP/BRO/CON/AIR

- Seal numbers assigned to specific shipments **MUST** be transmitted to the consignee prior to departure.



7.30 EXP/FM/IMP/HC/LH/RAIL/3PL/CON

- Seal numbers **MUST** be printed electronically on the bill of lading (BOL) or other shipping documents.



7.31 HC/3PL *(others as applicable)*

- CTPAT carrier (or an authorized party transmitting on behalf of the carrier) **MUST** transmit an electronic manifest for tailpipes and empty containers/trailers prior to the transport's arrival at CBP's primary cabin using theACE electronic truck manifest system (e- Manifest).



7.32 AIR

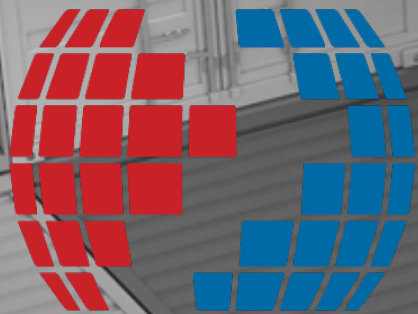
- Carriers **MUST** meet CBP's Advanced Passenger Information System (APIS) requirements.
- Procedures **MUST** be in place to record and report all passenger and/or crew-related anomalies to CBP or other authorities.



7.33 HC

- If transponders are used, carriers **MUST** have a written procedure to manage transponder ordering, issuance, activation, and deactivation. CTPAT carriers are prohibited from requesting transponders for any other carrier that is not owned and controlled by the CTPAT carrier.





CTPATTM

YOUR SUPPLY CHAIN'S STRONGEST LINK.



U.S. Customs and
Border Protection