



CTPATTM

YOUR SUPPLY CHAIN'S STRONGEST LINK.

MSC Risk Assessment



U.S. Customs and
Border Protection

Risk Assessment Terminology

- **Risk assessment:** identify, assess and measure the probability and severity of risks;
analyze internal and external threats against company procedures to identify where vulnerabilities exist and what procedures can be implemented or improved to reduce such risk
- **Threat Assessment:** Identify external supply chain threats that exist within a country or region, which are beyond the company's and company business model's control. Still, these threats can exist internally within the company.
- **Vulnerability Assessment-** Identify weaknesses in a company's security procedures and supply chain that can be used to the benefit of terrorists and other criminals identified in the Threat Assessment



Risk Assessment Terminology

■ **Threat Assessment: What is Terrorism?**

- Common definitions of terrorism refer to violent acts intended to create fear (terror).
- The Department of Homeland Security (DHS) defines terrorism as any activity that involves a criminally illegal act that is dangerous to human life or potentially destructive of critical infrastructure or key resources, and that appears to be intended to intimidate or coerce a civil population, to influence government policy by intimidation or coercion, or to affect a government's conduct through mass destruction, murder or kidnapping.
- One of the Department's top priorities is to resolutely protect Americans from terrorism and other threats to national security by preventing nation states and their representatives, transnational criminal organizations, and groups or individuals from participating in terrorist or criminal acts that threaten the Homeland.



Risk Assessment Terminology

- **Threat Assessment: What is Terrorism?**
 - Bangladesh: Harakat ul-Jihad-i-Islami / Bangladesh, Islamic State of Iraq and ash-Sham (ISIS), al-Qaeda (AQ), al-Qa'ida in the Indian subcontinent (AQIS)



Del Rio, Texas: 01/09/20 CBP intercepts three people from Bangladesh

Terrorism Threat exists!

Dhaka, Bangladesh 2016: over 20 people killed in an act of terrorism at a Dhaka café



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Risk Assessment

- CTPAT members **MUST** drive and document the level of risk in your supply chains.
- CTPAT members **MUST** perform a general risk assessment (RA) to identify where security vulnerabilities may exist.

- Use the CTPAT 5-Step Risk Assessment Guide:
 - Visit CBP-CTPAT website for guide:
<https://www.cbp.gov/sites/default/files/documents/CTPAT%27s%20Five%20Step%20Risk%20Assessment%20Process.pdf>
- Risk analysis of your supply chains.
 - Risk prioritization
 - Region
 - Route
- Vulnerability assessment
 - Yourself - internal audit/self-assessment
 - Business partners



Risk Assessment

- The Risk Assessment **MUST** identify threats, assess risks and incorporate sustainable measures to mitigate vulnerabilities.



- Threat assessment

- Terrorism, organized crime, narcotics smuggling, human smuggling and trafficking

...

Active shooter, agricultural, cybersecurity, etc.

- Business partners: direct/indirect using questionnaires, site audit
- Vulnerability mitigation



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Risk Assessment

- The member **MUST** consider the CTPAT requirements specific to the member's role in the supply chain.

Corporate Security	Security Vision and Responsibility (New)
	Risk Assessment
	Business Partner Security
	Cybersecurity (New)
Transportation Security	Transportation and IIT Security
	Seal Security
	Procedural Security
	Agricultural Security (New)
People and Physical Security	Physical Access Controls
	Physical Security
	Employee Security
	Security and Threat Awareness Training

Vulnerability Assessment

- Provider
- Manufacturer
- Importer
- Carrier
- Sea carrier
- Long-haul carrier
- Transfer Carrier
- Customs Officers
- Consolidators



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Risk Assessment

- Risk assessments **MUST** be reviewed annually or more frequently as required by risk factors.
- Risk Assessment Process
 - Annual frequency or as frequently as possible, depending on what is happening around you and the supply chain.



CALEXICO, Calif. 03/10/20



Pharr POE-. 02/16/20: 895 lbs
methamphetamine, 202 lbs marijuana, 8 lbs
heroin and 3 lbs cocaine in a shipment of
broccoli



San Diego, Calif. 03/05/20 311lbs
Methamphetamine in Otay Mesa within a shipment
with stone/concrete products



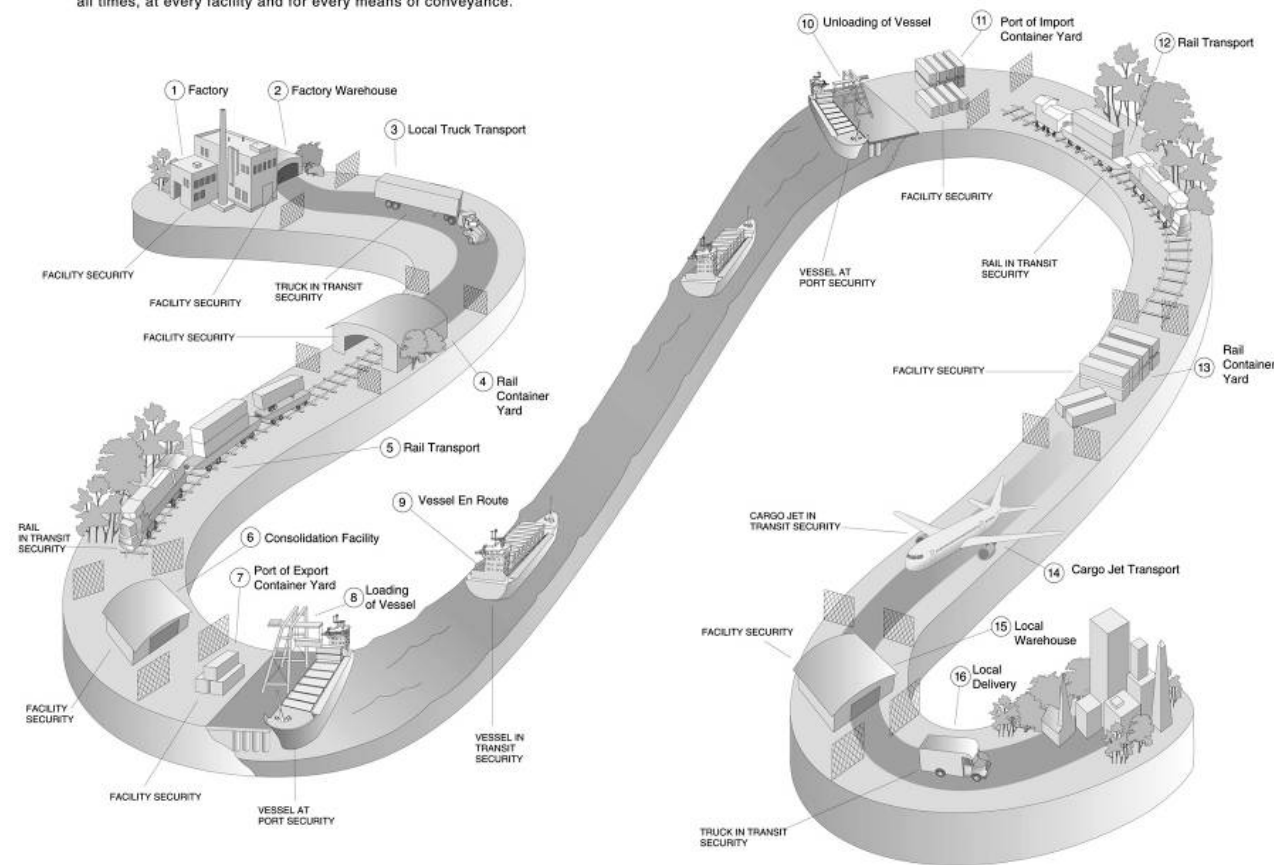
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Risk Assessment

- The international part of the risk assessment **MUST** document or map the movement of the Member's cargo through its supply chain from the **point of origin to importer's distribution center**.

SECURITY AND THE SUPPLY CHAIN

Securing the supply chain means providing appropriate security at all times, at every facility and for every means of conveyance.



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Risk Assessment

- Mapping **MUST** include all business partners involved both **directly and indirectly** in cargo export/movement.
- Who has **direct/indirect** contact with the cargo?
 - Factories/Manufacturing/Farm packaging (shipping staff, forklift, warehouse staff)
 - Service providers (security, pick pack, etc.)
 - Carriers (long haul / crossing)
 - Consolidation centers
 - Container depots (patios)
 - Customs officers
 - Distribution centers/carrier yard (border and final destination), etc.



Risk Assessment

- Who has direct/indirect contact with the load?



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Risk Assessment

- As appropriate, mapping **MUST** include documenting how cargo moves in and out of transportation facilities/cargo centers and observing whether cargo is "at rest" in one of these locations for an extended period of time. The load is most vulnerable when it is "**Resting**", waiting to move on to the next leg of its journey.

RISK ASSESSMENT ANALYSIS

Risk analysis performed for the following supply chain-route from point of origin to U.S. port of entry to first U.S. drop off point.>>>>>

Supply Chain Step (DESCRIPTION OF PROCESS OR MOVEMENT)	Type of Service/Action being performed by the service provider/business partner? (ENTITY TYPE)	Days or Hrs at Rest at each location of the Supply Chain	Details About Service Provider or Business Partner (NAME / ADDRESS)	C - T P A T	Site Survey or ?naire or None (S / Q / N)	Current and/or Local Threat or Risk Along Supply Chain Route or location	HOW IS THIS KNOWN or IDENTIFIABLE THREAT/RISK going to be minimized- addressed? (WHAT SECURITY PROCEDURES ARE GOING TO BE IMPLEMENTED TO DETER OR /MINIMIZE THE RISK)
Criminal (Narcotic/Terrorist) Activity in area	Area Risk						
Foreign Manufacturer	Manufacturing / assembly / packer						
Foreign Manufacturer Secondary Process Point	Manufacturing / assembly / packer						
Transportation from point A to point B	Mexican Long Haul Carrier						
Mexico interior Long Haul Yard	Mexican Long Haul Carrier						
Rest Area/Stop from point A to point B	Mexican Long Haul Carrier						
Military Check Point between point B to point C	Inspection / Seal Removal						
Mexican Long Haul Border Shipment Storage Yard	Storage						
Transfer/Border Crosser Shipment Storage Yard	Transfer / Border Crosser						

Risk Assessment: SHOULD



Risk Assessment

- As appropriate, mapping **MUST** include documenting how cargo moves in and out of transportation facilities/cargo centers and observing whether cargo is "at rest" in one of these locations for an extended period of time. The load is most vulnerable when it is "**Resting**", waiting to move on to the next leg of its journey.

- **Methods**

- Get to know your business partners; review documents, visit facilities, audit supply chain

Direct/indirect

- Outsourced supply chains attract risk
- Require information from the third party, request break times, identify high-risk points of interest
- Determine routes, identify routes to avoid, review alternative routes
- Continuity, less downtime = less risk

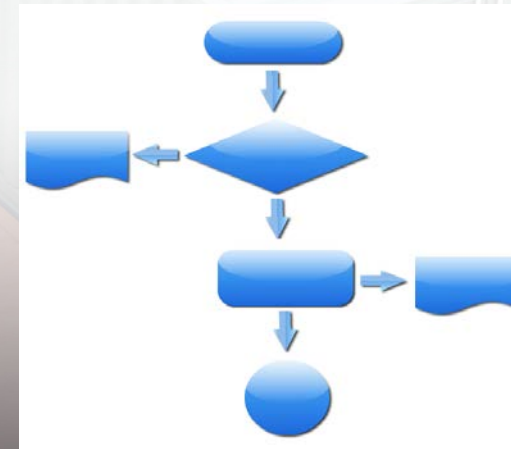


Risk Assessment

- CTPAT members **MUST** have written procedures that include addresses

- Crisis management;
- Business continuity;
- Security recovery plans;
- Resumption of business.

- Suspicious activities
- Box/trailer/container integrity
- Committed seals
- Insecurity along route
- Active shooter/offenders in yard/on floor
- Burning, theft, etc.





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5-Step Risk Assessment



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5-step Risk Assessment

- **Step 1: Map cargo flow** and include all direct/indirect business partners

Outsourcing increases risk within a supply chain, particularly where security requirements have not been or verified.						
Partner	Process	Cargo Movement - if applicable	Provider's Known Details	Days that cargo is "at rest" in this phase	Mode of transportation	If the entity physically handles cargo, who selects it as a supplier?
XYZ Factory	Production, Packaging, Document Preparation	Starting point	Location: City 123, Country of Origin: Years trading-22; Owners and Operators are Family	0	Does not apply	
FF Customs Export Agency	Prepare Documentation for Export	Does not apply	Unknown	Does not apply	Does not apply	
ABC Foreign Internal Carrier	Internal Transportation	Collects merchandise from the EFG factory and consolidator	Location: City 123, Country of Origin; Hired by factory; trading-22 years; C-TPAT Parent Company in the US	0	Tractor	
LMNOP Consolidator	Disembarkation, Storage, Boarding	Unloads merchandise from the internal carrier, stores LCL, loads merchandise from another customer	Location: City 123, Country of Origin; Hired by factory; trading-2 years	2	Does not apply	
JKL Internal Carrier	Internal Transportation	Collects merchandise from consolidator and transports to export port	Location: City 123, Country of Origin; Hired by factory; trading-22 years; C-TPAT Parent Company in the US	0	Tractor	
Terminal- Origin	Storage	Receives and stores container in a container yard until ready to ship	Location: City 456, Country of Origin; operated by state body; MTSA/ISPS compliant	4	Does not apply	
Sea Carrier	Transportation	Transports merchandise from the embarkation port	Location: City 456, Country of Origin; Parent Company is C-TPAT in the US.	3	Vessel	
Terminal- In Country of Transit	Storage	Receives containers in the country of transit	Location: City 183, Country of Transit; unknown; Unknown if MTSA/ISPS compliant	10	Does not apply	
Sea Carrier	Transportation	Transports merchandise from the country of transit	Location: City, New Country; unknown	10	Vessel	
Terminal- USA	Storage	Unloads merchandise from sea carriers and stores it until picked up by domestic carrier	Location: City 42, USA; MTSA/ISPS compliant	2	Does not apply	
"Dravage" Domestic Carrier	Transportation	Picks up merchandise from terminal	Unknown	0	Tractor	



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5-step Risk Assessment

- **Step 2: Threat assessment;** terrorism, smuggling of illicit materials, human smuggling/trafficking, organized crime, conditions in a country/region that can increase the risk of such threats and classify the risk: High, Medium, Low.

Soldier slain, general wounded during Mexico drug plane raid



Monday, January 27, 2020

MEXICO CITY (AP) - A Mexican soldier was killed and a general wounded Monday when traffickers opened fire on a military patrol that sought to intercept a drug plane as it landed on a roadway, officials said.

The dramatic pre-dawn shootout in the Caribbean coast state of Quintana Roo showed the brazenness of drug cartels that are flying increasing amounts of cocaine in from South America.

The traffickers pulled up in two vehicles near where the small plane landed on a road near the coastal lagoon resort of Bacalar and tried to unload an estimated 1,750 to 2,200 pounds (800 and 1,000 kilograms) of cocaine in 26 packages, authorities said.

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2nd cocaine flight in 2 days lands in Mexico coastal state



Tuesday, January 28, 2020

MEXICO CITY (AP) - Mexican officials seized a small plane carrying cocaine from South America on Tuesday, the second such flight detected in two days, authorities said.

Both planes landed in the Caribbean coast state of Quintana Roo.

The Defense Department said the latest flight originated in Argentina and was detected as it approached Mexico.

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FRONT PAGE PODCAST



discovering 54 illegal aliens, including two unaccompanied teenagers, in an overcrowded residence in south El Paso.



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5-step Risk Assessment

- **Step 2: Threat assessment;** terrorism, smuggling of illicit material , human smuggling/trafficking, organized crime, conditions in a country/region that may increase the risk of such threats and classify the risk: High, Medium, Low.

Office of Field Operations Nationwide Drug Seizures

The figures reflect FY 2014 – FY 2019 and FY20-to-Date (TD). Fiscal Year 2020 runs October 01, 2019 – September 30, 2020.

	FY 14	FY 15	FY 16	FY 17	FY 18	FY 19	FY20 TD DEC
Cocaine	45,323	38,346	52,838	62,415	51,592	89,207	12,532
Heroin	4,356	6,023	4,224	3,398	5,205	5,427	1,331
Marijuana	438,146	602,821	516,122	366,627	299,419	289,529	86,179
Methamphetamine ^s	19,613	25,495	33,086	46,247	57,440	68,585	40,882
Fentanyl	n/a	70	596	1,875	1,895	2,545	530

Table, U.S. Customs and Border Protection

<https://www.cbp.gov/newsroom/stats/cbp-enforcement-statistics>

https://www.dea.gov/sites/default/files/2020-01/2019-NDTA-final-01-14-2020_Low_Web-DIR-007-20_2019.pdf



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5-step Risk Assessment

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FRIDAY SEPTEMBER 6, 2019



Courtesy photo

Tamaulipas state police officers seized this armored Toyota Tundra following a gun battle that left eight suspected cartel members dead on Thursday in west Nuevo Laredo.

Police in Nu get attacke

Eight more gunmen dead, total now up to 20 since last month

By César G. Rodríguez
LAREDO MORNING TIMES

Eight suspected cartel members died Thursday in a firefight with Tamaulipas

state police officers in west Nuevo Laredo, a government source said.

Authorities did not identify the deceased. They only described them as five men

Civilian among six dead in Nuevo Laredo gun battles reported on New Year's

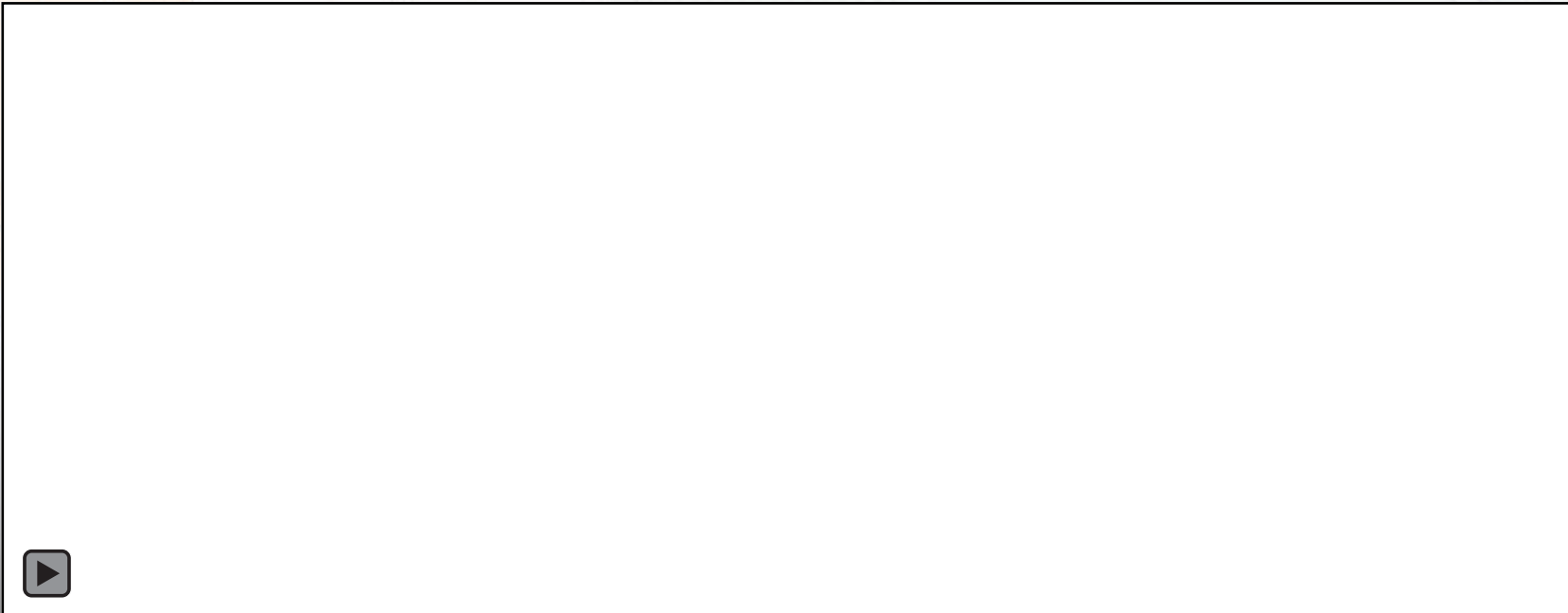
By César Rodríguez, Published 10:06 am CST, Friday, January 3, 2020



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5-step Risk Assessment

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identify alternate routes



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CBP officers scramble to handle influx of Central American asylum-seekers

By Sergio Chapa

NUEVO LAREDO — President Donald Trump hasn't followed through on his threat to shut the border, but one international bridge here provided a glimpse of the chaos and economic disruptions that likely would ensue.

Lines of 18-wheelers carrying auto parts, produce and other goods for U.S. consumers and businesses stretched more than 6 miles into Mexico on Wednesday after the Trump administration shifted Customs and Border Protection officers from Laredo

and other border crossings to El Paso and the Rio Grande Valley to deal with the flood of asylum-seekers from Central America.

Waits to cross the World Trade Bridge, which normally run 30 minutes, reached more than three hours.

The impact of the delays was being felt on both sides of the Rio Grande, with those who depend on U.S.-Mexico trade barely able to consider what would happen if the Trump closed the border.

Ernesto Gaytan, president of the Laredo company Super Transport International, which

Border continues on Azo



Marie D. De Jesús

A trucker stands on his truck while observing to cross from Nuevo Laredo to Laredo on Wed:

Mexico intercepts 2 trucks crowded migrants

October 3 at 9:58 PM

MEXICO CITY — Mexican authorities say they have intercepted two trucks carrying 243 migrants in crowded conditions in the southern state of Chiapas.

A government statement says the vehicles were discovered in two separate incidents by federal authorities.

The migrants were from Guatemala, El Salvador and Honduras, and 46 were minors.

The Thursday night statement said the migrants showed signs of dehydration and were treated and delivered to the custody of the National Migration Institute.

The drivers and their companions were detained.

Mexico has ramped up efforts to stem migration through its territory in recent months under



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5-step Risk Assessment

- **Step 2: Threat assessment;** terrorism, smuggling of illicit materials, human smuggling/trafficking, organized crime, conditions in a country/region that can increase the risk of such threats and classify the risk: High, Medium, Low.

Cases Exist- Chiapas July 22, 2020

Human trafficking and forced labor/forced child labor

Twenty-three abducted children, aged from 3 months to 15 years, rescued from a house in southern Mexico

By Jack Guy, Malja Ehlinger and Fidel Gutiérrez
Updated 7:57 AM ET, Wed July 22, 2020



Content by LendingTree >
Refi rates at 2.47% APR (15 yr). Do you qualify?
Historic Rate Alert: As low as 2.47% APR (15Yr)
Experts urge Americans to refinance in 2020
Your best refinance rates for July 2020
Mortgages are wild. Tame yours with rates as low as 2.47% APR (15yr)
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This file photo from January 10, 2020 shows the town of San Cristóbal de Las Casas in Mexico's southern Chiapas state.

— Twenty-three children have been rescued after being abducted and forced to sell handicrafts in a tourist town in southern Mexico.

The children were released from a house in San Cristóbal de Las Casas, in the southern Mexican state of Chiapas, according to a statement published by the state's attorney general Monday.

Three women were arrested on human trafficking and forced labor charges.



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5-step Risk Assessment

- **Step 2: Threat assessment;** terrorism, smuggling of illicit materials, human smuggling/trafficking, organized crime, conditions in a country/region that can increase the risk of such threats and classify the risk: High, Medium, Low.

United States and Mexico Look to Clamp Down on Arms Smuggling



Ensenada, MX



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5-step Risk Assessment

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Valencia, Spain

1,650 lbs. /748 kgs.
Methamphetamine



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5-step Risk Assessment

- **Step 2: Threat assessment;** document and classify risk: **High**, **Medium**, **Low**.

Step 2: Example of Threat Analysis			
1- Low Risk -no recent incidents/intelligence/information			
2- Medium Risk - no recent incidents/some intelligence or information on possible activity			
3- High Risk -incidents and recent intelligence/information			
Note: For C-TPAT purposes, a “3” in any of the following threat risk factors would result in becoming a “High Risk” supply chain.			
Partner: Factory-Supplier-ABC			
Location: Country X, Y, Z			
Region: Region J-K			
Threat Risk Factor	Risk level: 1- Low 2-Medium 3-High Incidents/Inform	Activity	Sources
Terrorism (Political, Biological, Agricultural, Cyber)	3	2009, 2010: Recent bombings and violence against US interests located in the country.	Name of newspaper or publication, state facility, news source, intelligence services, etc.
Smuggling of Illegal Materials	3	2005-Present: location known as a source of narcotic exports and arms smuggling	Name of newspaper or publication, state facility, news source, intelligence services, etc.
Human Trafficking	1	2000-2005-various incidences of human trafficking ; not since 2006	Name of newspaper or publication, state facility, news source, intelligence services, etc.
Organized crime	1	1998-2003- Cartel / Drug traffickers operating throughout the country/region	Name of newspaper or publication, state facility, news source, intelligence services, etc.



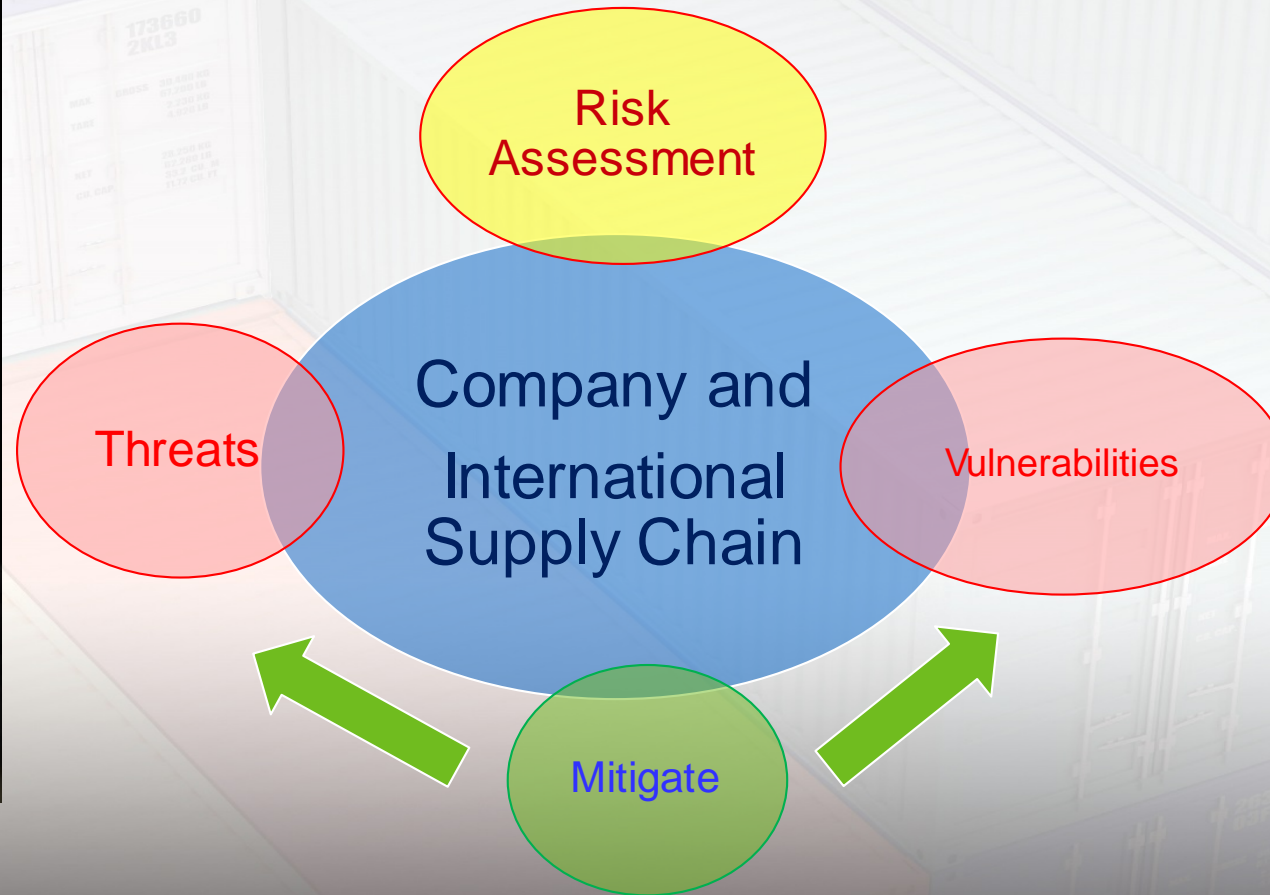
5-step Risk Assessment

- **Step 3: Vulnerability assessment**, perform a vulnerability assessment according to CTPAT minimum security criteria and classify the vulnerability: High, Medium, Low..
- **Internal vulnerabilities**
 - Written procedures
 - Information/evidence is missing
 - Auditor training
 - Internal audit process
 - Test the processes
- **External vulnerabilities**
 - Business partners (direct/indirect)
 - Security questionnaires
 - Site audits and assessments.
 - Determine routes and identify risk routes/review an alternative route



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5-step Risk Assessment



5-step Risk Assessment

- **Step 3: Vulnerability assessment**, perform a vulnerability assessment according to CTPAT minimum security criteria and classify the vulnerability: High, Medium, Low..
- Vulnerability risks identified regarding CTPAT minimum security criteria and the classification process:
 - 1 - Low Risk - meets all criteria and minimum safety standards
 - 2 - Medium Risk- meets minimum security criteria in critical areas (trailer security, seals, tracking and monitoring and employee detection), but has not incorporated all security measures in other areas
 - 3 - High Risk- does not meet all criteria and minimum safety standards

Methods

- 1) SVI/C-TPAT Membership Number
- 2) Membership in a 'Mutual Recognition Program'
- 3) Security Interviews
- 4) Facility Visits by Company Representatives
- 5) Facility Visits by Foreign Employees/Agents
- 6) Work Reports
- 7) Security Certifications that Meet C-TPAT's Minimum Requirements
- 8) Risk Assessment Carried Out by a Third Party



5-step Risk Assessment

- **Step 3: Vulnerability assessment**, perform a vulnerability assessment according to CTPAT minimum security criteria and classify the vulnerability: High, Medium, Low..

Partner Name:		Supply Chain Process: Transportation		Email:			
Security Point of Contact:		Phone number:		Instruments of International Traffic Used:			
Location in Country:		Region:					
Example of Risk Level 1-Low: Meets/Exceeds all minimum safety criteria		2-Medium: Meets some		3-High: Does not meet criteria, criteria is not applicable.			
Note: If you do not meet a key part of the criteria, the rating should be "3" for the entire category.							
Process/Roles Carried Out (includes subcontractor responsibility) -Note: One partner can perform multiple roles. For example, it's possible that the factory not only manufactures, ships, and transports the merchandise. The key is to ensure that every process in the supply chain is secure.							
Effective Security System = Meeting all minimum security criteria + Supervision + Responsibility + Inspections and Balances							
Supply Chain Process	C-TPAT Security Criteria: Determine what is applicable to your process	C-TPAT Security Sub-criteria (Note: Some applicable sub-criteria may not be listed-must be adjusted for each supply chain)	Required by C-TPAT (E) Recommended by C-TPAT (R)	Method used to verify implementations	Vulnerabilities Identified	"Sub-Category Risk Level "	"Category Risk Level "
	Partner Requirements - Subcontracted	Investigates sources of outsourcing	E	Does not check references. Contracts with the lowest bidder	Unknown partner/ security procedures	3	
	Partner Requirements - Subcontracted	Certified by C-TPAT (if eligible)	E	Does not verify	Does not meet minimum C-TPAT criteria	3	
Transportation/ Movement- (Note: 85% + of merchandise distribution occurs during transportation)	Partner Requirements - Subcontracted	Verify that they meet C-TPAT criteria (if not eligible)	E	Does not verify	Does not meet minimum C-TPAT criteria	3	3
	Partner Requirements - Subcontracted	Participate in a security program administered by foreign customs authorities	R	Does not verify	Does not meet minimum C-TPAT criteria	3	



5-step Risk Assessment

- **Step 4-Develop an action plan, monitor and follow up**
 - Identify those Responsible
 - Give deadlines for follow-up
 - Management supervision, reporting process to company officials



Follow-up Action Plan

ABCD Manufacturing

12346 Avenida Contrabandista, Monterrey, Mexico

Date of Findings: 03/31/2021

Findings:

Physical Security : Implement 360 CCTV coverage in CTPAT inspection area for administrative

Access Control : The company must add dock lighting and trailer storage to help deter and detect non authorized entrance

IIT Security: The company must inspect containers and trailers for agricultural security points and document them within the 7-point inspection checklist.

Response Required By: April 30th, 2020

Please make sure to provide evidence of implementation. You may be subject to a site follow-up visit.

Responsible: Flavio Garza



**U.S. Customs and
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5-step Risk Assessment

- **Step 5: Written procedures and processes**

- Standard Operating Procedure
- Documented process of each step



5-step Risk Assessment

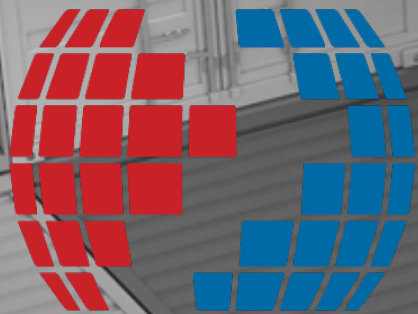
Map Cargo Flow	Threat Assessment	Vulnerability Analysis	Action Plan	Document the Process
Employees and partners at your facility	Terrorism, Illicit Material Smuggling: Narcotics, Humans, Organized Crime	CTPAT Criteria: Internal and External to your facility	Provide a plan: internal risks and vulnerabilities and external at your facility	Document and formalize as a procedure
Partners in your supply chain	Information sources: social media, news, police reports or trade associations	CTPAT Criteria: External- the supply chain	Provide a plan: External risks / vulnerabilities in your supply chain	Document the risk analysis process that was used (step by step)
Security program Status	Classify: High, Medium, Low (incidents/information)	CTPAT and NEEC Membership, Questionnaires sent and Audit Visits	Follow up: period of time to take action	Document and maintain evidence of implementation
Visits- audits and partner verifications	Document and maintain evidence of implementation	Classify: High, Medium, Low (results/criteria)	Document and maintain evidence of implementation	
Document and maintain evidence of implementation		Document and maintain evidence of implementation		



5-step Risk Assessment

Map Cargo Flow	Threat Assessment	Vulnerability Assessment	Action Plan	Document the 5-Step Risk Assessment Process
Business partners and employees at your facility	Terrorism, Smuggling of Narcotics and Illicit Materials, Human Trafficking, Organized Crime	CTPAT Criteria: Internal and External	Provide a Plan: internal/external threats and vulnerabilities	Document on a Standard Operating Procedure (SOP)
Business partners in your supply chain	Source of Information: social media, news, police reports, trade / business associations	CTPAT Criteria: External-Supply Chain Partners	Provide a Plan: external threats and vulnerabilities in the supply chain	Document the Risk Assessment
Status in supply chain security programs	Classify: High, Medium, Low (incidents / information gathered)	Membership: CTPAT / NEEC Questionnaires sent, Site Visit Audits etc ...	Follow up: time lines and specific time to take action	Document and maintain for evidence of implementation
Verification-Audit site visits of business partners	Document and maintain for evidence of implementation	Classify: High, Medium, Low (results/criteria)	Document and maintain for evidence of implementation	
Document and maintain for evidence of implementation		Document and maintain for evidence of implementation		





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