



CTPAT 101

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2022

**TRADE FACILITATION AND
CARGO SECURITY SUMMIT**

Hosted By: U.S. Customs and Border Protection



CTPAT
CROSS-TERRITORY PARTNERSHIP AND TRADE ASSISTANCE

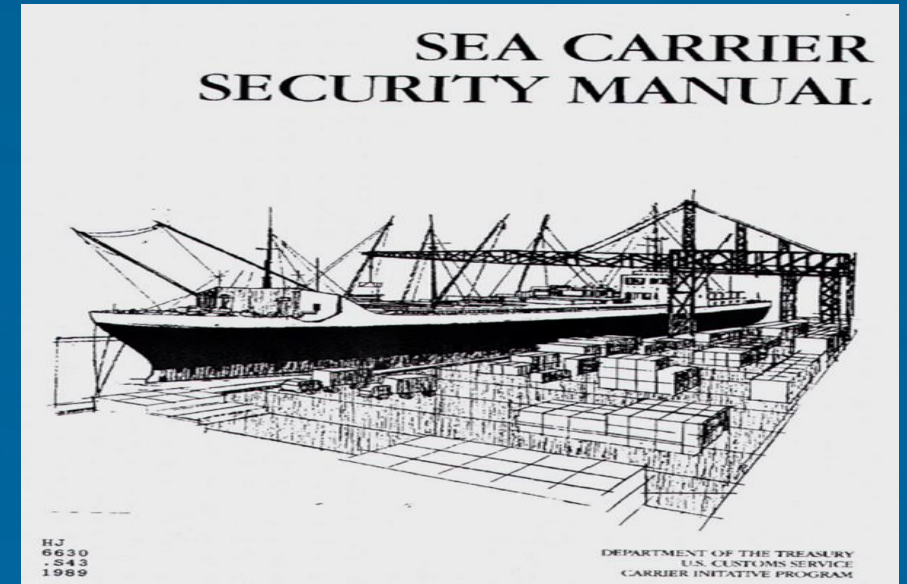
CTPAT: Program Background

CTPAT is a partnership between Customs and Border Protection (CBP) and industry to **protect supply chains, identify security gaps, implement specific security and trade compliance best practices, and maintain the integrity of low-risk cargo** entering the United States.

- Super Carrier Initiative (Marine and Air Environment) 1980
- Launched in November 2001
- Brass Program (FAST LANE) 2002
- Safe Port Act 2006
- Started with seven companies
- Designed so all businesses, regardless of size, can participate in global supply chain security

CTPAT: Program Background

- **Partnership** - cooperatively developed minimum security criteria vs. mandatory requirements
- **Voluntary** - companies are not required to adhere to CTPAT criteria, but must do so to receive benefits
- Flexibility for diverse business models
- Provides tangible benefits



CTPAT: Program Background

Where CTPAT Fits in the CBP Enforcement Strategy:

- National Security
- Narcotics
- Agriculture
- Trade



CTPAT: Partnership

What is Partnership?

- A commitment on both parties to work towards improved security and compliance.
- CBP has made a commitment to stand by the partner if the partner is demonstrating full commitment to the principles and goals of the program.

What is not Partnership?

- A free pass.
- Companies that don't demonstrate the commitment required, can not continue to participate in the program.

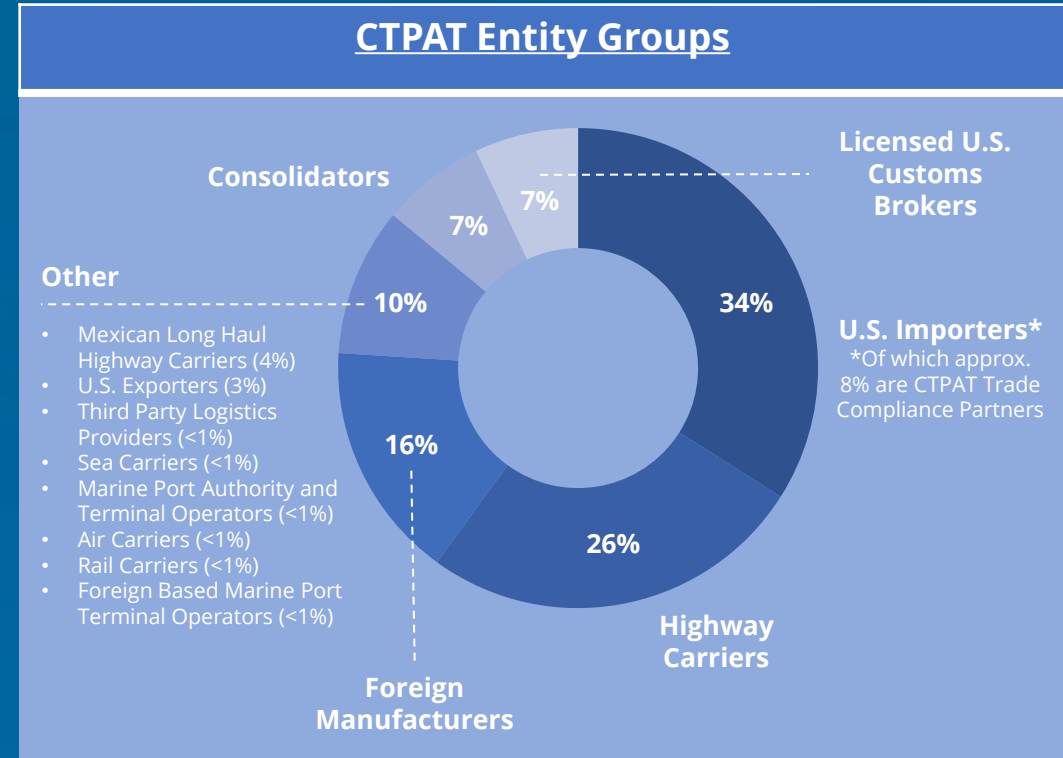
CTPAT Objectives

- Emphasis on prevention versus interdiction
- Promote shared responsibility
- Promote security awareness
- Increase supply chain security and supply chain efficiency

Program Partnership By the Numbers

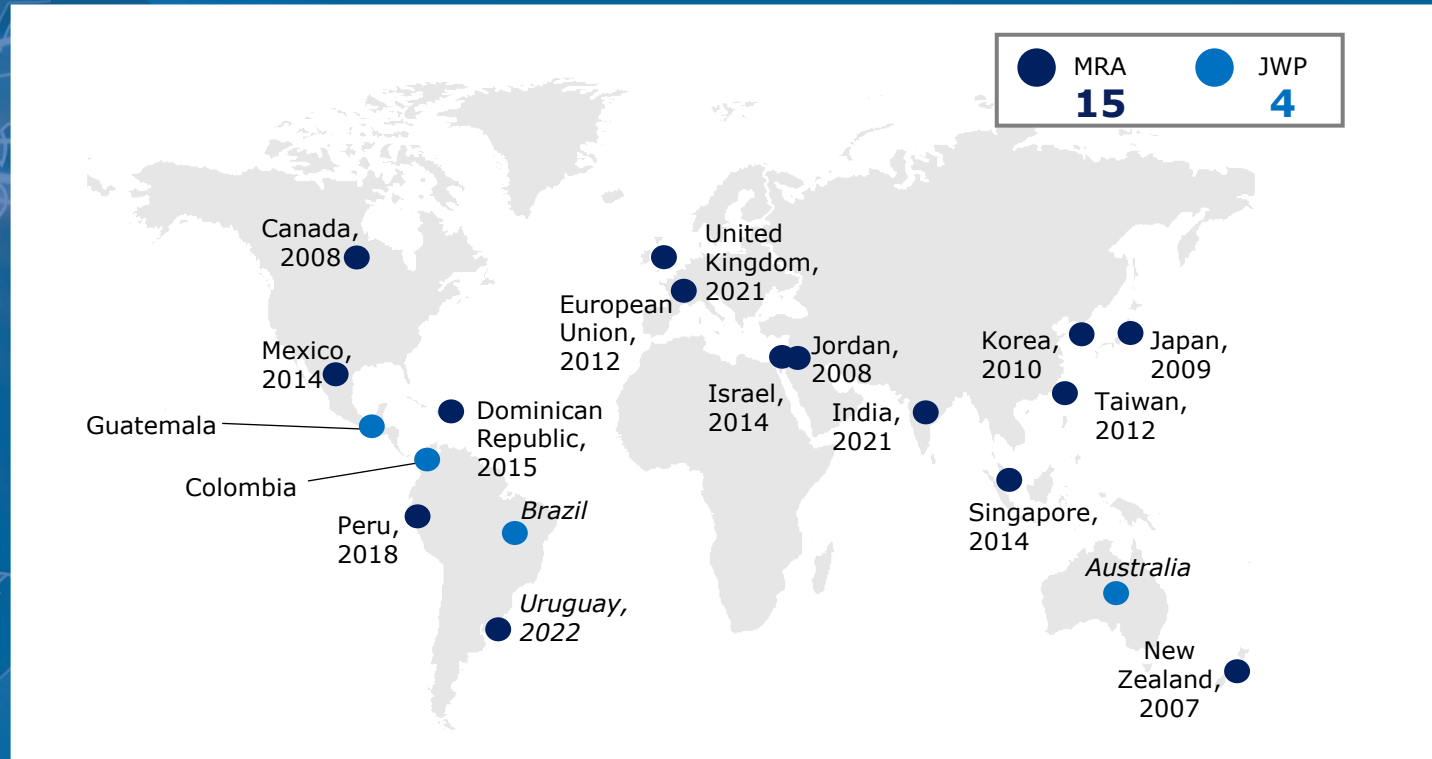
The CTPAT program is comprised of **over 10,000** partners that are divided into **13** entity groups.

CTPAT Statistics	
10,964+	CTPAT Program Partners
293	CTPAT Trade Compliance Partners
288	CY21 Partner Suspension (180) & Removals (108)
15	Mutual Recognition Arrangements (MRA)
51%	Of U.S. Imports by Value are CTPAT Certified
99%	Compliance rate for CTPAT partners with the established CTPAT security guidelines
\$43M	Reduced examination cost savings benefit for CTPAT partners



Mutual Recognition Arrangements (MRAs)

The CTPAT program has a significant global presence via 15 active MRAs. These programs were developed and accepted to be commensurate with Agency expectations of CTPAT Minimum Security Criteria and the Global Framework of Standards.



Program Benefits

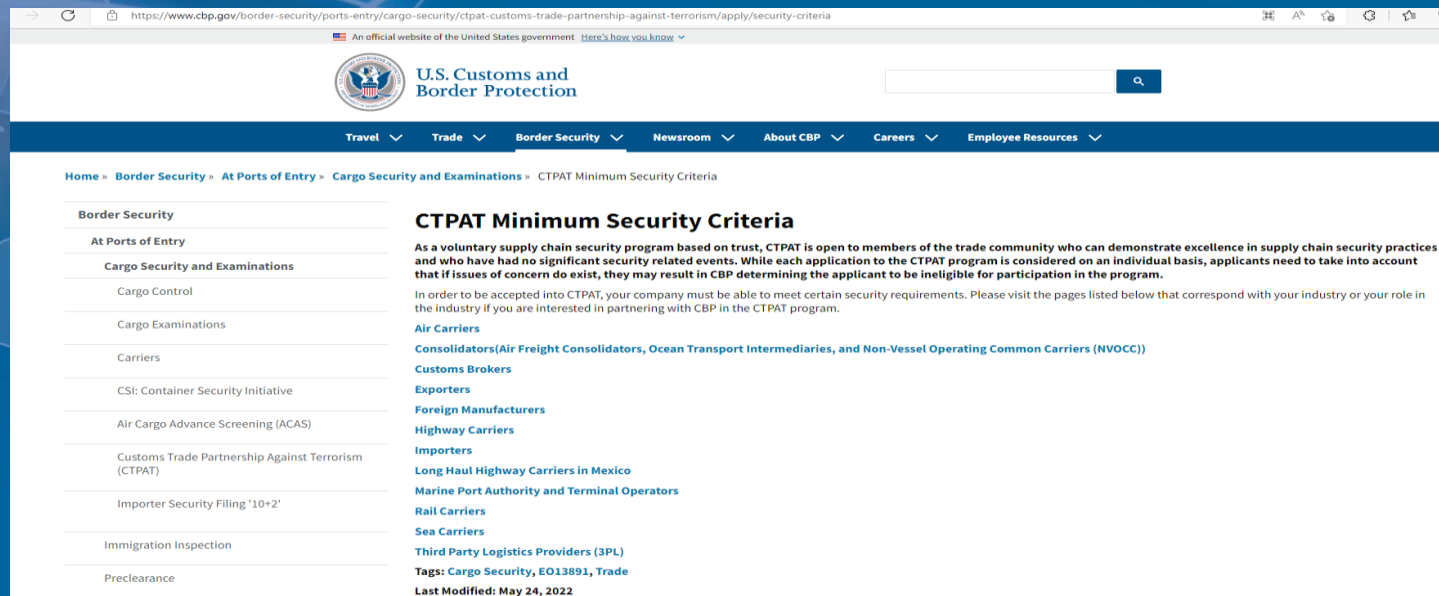
CTPAT partners receive a variety of benefits at both the Security and Trade Compliance levels.

Key Program Benefits	All CTPAT Partners	CTPAT Trade Compliance Partners
Expedited Processes		
Reduced number of CBP examinations	✓	✓
Front of the line inspections	✓	✓
Access to the Free and Secure Trade (FAST) Lanes at the land borders	✓	✓
Advanced Qualified Unlading Approval (AQUA Lane)	✓	✓
Direct Access to CBP Resources		
CTPAT Trade Compliance portal		✓
Access to the CTPAT web-based portal system and a library of training materials	✓	✓
Assignment of a Supply Chain Security Specialist (SCSS) to the company	✓	✓
National Account Manager (NAM)		✓
Additional Key Benefits		
Expedited National Commodities Division Rulings		✓
Possibility of enjoying additional benefits by being recognized as a trusted trade partner by foreign customs administrations that have signed Mutual Recognition with the U.S.	✓	✓
Penalty Mitigation	✓	✓
<i>Plus many additional benefits</i>		
<i>Additional benefits in development</i>		

Eligibility

Please visit the link below to check eligibility

<https://www.cbp.gov/border-security/ports-entry/cargo-security/ctpat-customs-trade-partnership-against-terrorism/apply/security-criteria>



The screenshot shows the U.S. Customs and Border Protection website. The page title is "CTPAT Minimum Security Criteria". The breadcrumb trail is: Home » Border Security » At Ports of Entry » Cargo Security and Examinations » CTPAT Minimum Security Criteria. The page content includes a sidebar with a list of links under "Border Security" and "At Ports of Entry". The main content area contains the following text:

CTPAT Minimum Security Criteria

As a voluntary supply chain security program based on trust, CTPAT is open to members of the trade community who can demonstrate excellence in supply chain security practices and who have had no significant security related events. While each application to the CTPAT program is considered on an individual basis, applicants need to take into account that if issues of concern do exist, they may result in CBP determining the applicant to be ineligible for participation in the program.

In order to be accepted into CTPAT, your company must be able to meet certain security requirements. Please visit the pages listed below that correspond with your industry or your role in the industry if you are interested in partnering with CBP in the CTPAT program.

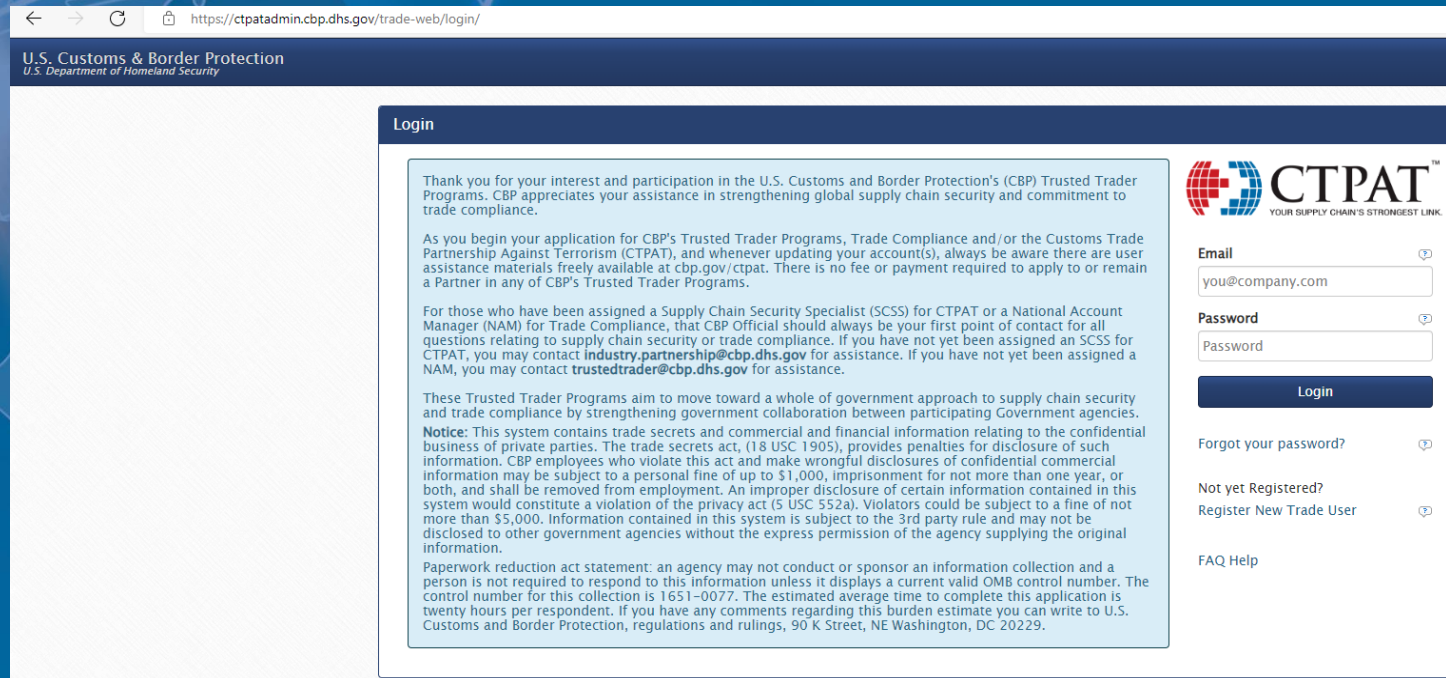
- Air Carriers**
- Consolidators (Air Freight Consolidators, Ocean Transport Intermediaries, and Non-Vessel Operating Common Carriers (NVOCC))**
- Customs Brokers**
- Exporters**
- Foreign Manufacturers**
- Highway Carriers**
- Importers**
- Long Haul Highway Carriers in Mexico**
- Marine Port Authority and Terminal Operators**
- Rail Carriers**
- Sea Carriers**
- Third Party Logistics Providers (3PL)**

Tags: Cargo Security, EO13891, Trade
Last Modified: May 24, 2022

Portal

Please visit the link below to start the application process

<https://ctpatadmin.cbp.dhs.gov/trade-web/login/>



The screenshot shows the login page for the U.S. Customs & Border Protection's (CBP) Trusted Trader Programs. The page header includes the U.S. Customs & Border Protection logo and the text "U.S. Department of Homeland Security". The main content area is titled "Login" and contains several paragraphs of text. The first paragraph thanks the user for their interest and participation. The second paragraph explains that as the user begins their application, they should be aware of user assistance materials available at cbp.gov/ctpat. The third paragraph provides contact information for those assigned a Supply Chain Security Specialist (SCSS) for CTPAT or a National Account Manager (NAM) for Trade Compliance. The fourth paragraph states that these programs aim to move toward a whole of government approach to supply chain security and trade compliance. A "Notice" section follows, warning that the system contains trade secrets and commercial and financial information relating to the confidential business of private parties, and that violators could be subject to a fine of up to \$1,000, imprisonment for not more than one year, or both. The final paragraph is a "Paperwork reduction act statement" stating that an agency may not conduct or sponsor an information collection and a person is not required to respond to this information unless it displays a current valid OMB control number. The control number for this collection is 1651-0077. The estimated average time to complete this application is twenty hours per respondent. If the user has any comments regarding this burden estimate, they can write to U.S. Customs and Border Protection, regulations and rulings, 90 K Street, NE Washington, DC 20229.

On the right side of the page, there is a CTPAT logo with the tagline "YOUR SUPPLY CHAIN'S STRONGEST LINK". Below the logo are input fields for "Email" (with a dropdown arrow) and "Password" (with a dropdown arrow). The email field contains the text "you@company.com". Below the input fields is a "Login" button. At the bottom of the right side, there are links for "Forgot your password?", "Not yet Registered? Register New Trade User", and "FAQ Help", each with a dropdown arrow.

CTPAT Process

CTPAT Security: Application Process

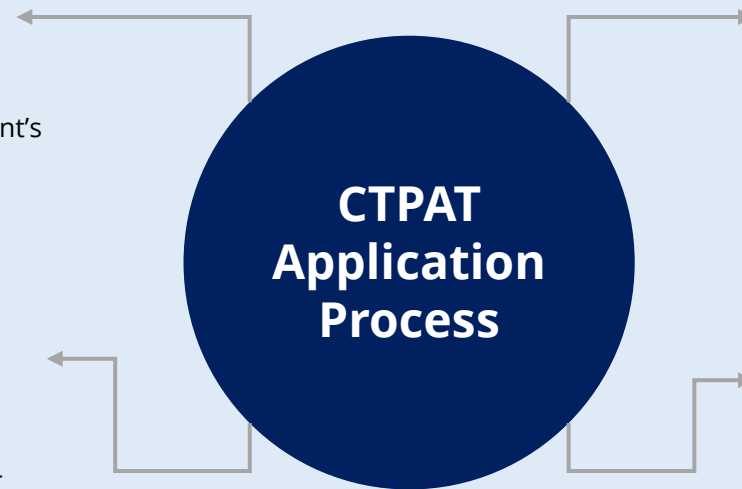
A rigorous application ensures security and compliance measures are met and followed

1) Eligibility

- Apply via the CTPAT web portal
- Requirements must be met before applicant's information is inputted

2) Certification

- Applicant must complete a security profile
- CTPAT field office assigned to company for initial vetting, review and security profile certification
- Approval or rejection of application within 90 days



3) Validation

- If security profile is approved, CTPAT must conduct on-site validation within one year
- Validate supply chain security report and alignment to guidelines
- Review forms, sign-in sheets and checklists every 1-2 years

4) Verification

- CTPAT must ensure applicant complies with the program's security criteria
- Use verification process to foster a strong working relationship with the applicant

CTPAT Process

CTPAT partners receive a variety of benefits

Minimum Security Criteria

- The procedures the partner must have in place

Validation

- Where CBP visits the partner (domestic and foreign*) and verifies security process in place

Must vs. Should

- Must is a mandatory component. While CTPAT is voluntary, these points must be successfully addressed to obtain and maintain partnership
- Should indicates recommended security practices

Tier 1

Company has submitted a Security Profile and the program has determined it meets Minimum Security Criteria.

Account status is **Certified**.

Tier 2

Company has been **Validated** and program has verified CTPAT Minimum Security Criteria has been met.

Account status is **Validated**.

Tier 3

Company has been **Validated** and **exceeds** Minimum Security Criteria.

Account is **Validated-Exceeding**.

Minimum Security Criteria (MSC)

The following 12 criteria categories guide CTPAT partners in ensuring safe and secure global supply chains and trade practices.

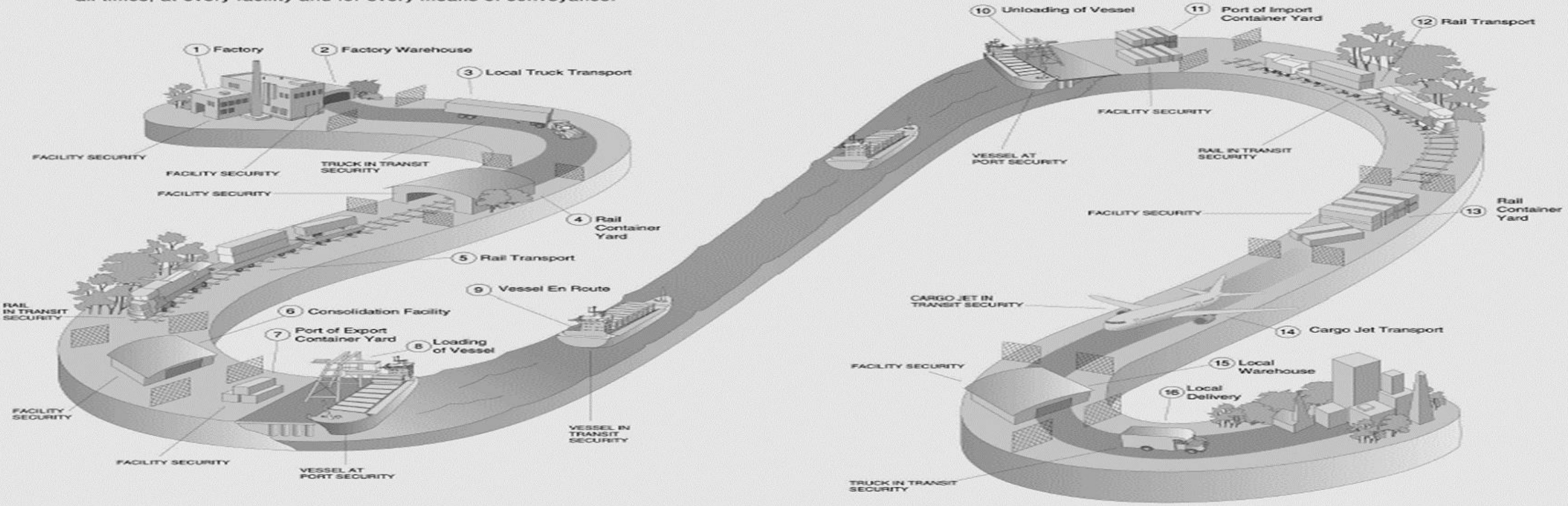
Focus Areas	Criteria Categories	Description
Corporate Security	Security Vision and Responsibility (New)	Promote a security vision, integrate security throughout the organization, establish an audit process, importance and role of the CTPAT POC
	Risk Assessment	Complete a comprehensive risk assessment based on a recognized methodology and in line with the MSC.
	Business Partner Requirements	Select, screen, and monitor business partner compliance with MSC, to include <u>trade based</u> money laundering
	Cybersecurity (New)	Written cyber security policies and procedures; protection of IT systems with software and hardware; remote access; personal devices
Transportation Security	Conveyance and IIT Security	Conduct thorough inspections for both security and visible agricultural contamination; driver verification; tracking of conveyances; random searches;
	Seal Security	High security seal policy; containers not suitable for sealing; mandated use of the VVTT seal verification process; management audits of seals
	Procedural Security	Document processes relevant to transportation, handling, and storage of cargo.
	Agricultural Security (New)	Introduces requirements that protect the supply chain from contaminants and pests and the proper use of wood packaging materials.
People & Physical Security	Physical Access Controls	Outlines requirements to prevent, detect, or deter unauthorized personnel from gaining access to facilities. Expands on the use of security technology.
	Physical Security	Require the positive identification of all employees, visitors, and vendors at all points of entry.
	Personnel Security	Complete screening, pre-employment verification, background checks, and comply with U.S. immigration laws.
	Security Training, Threat, and Awareness	Requires training on security for all employees; specialized training for employees in sensitive positions; determine if training provided was effective

Represents new criteria categories as of 2020

CTPAT Process

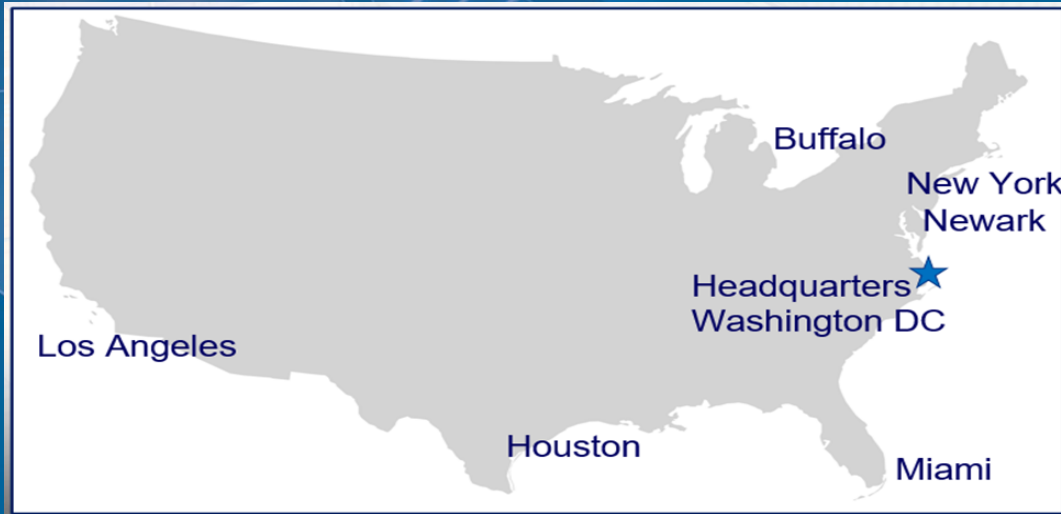
SECURITY AND THE SUPPLY CHAIN

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



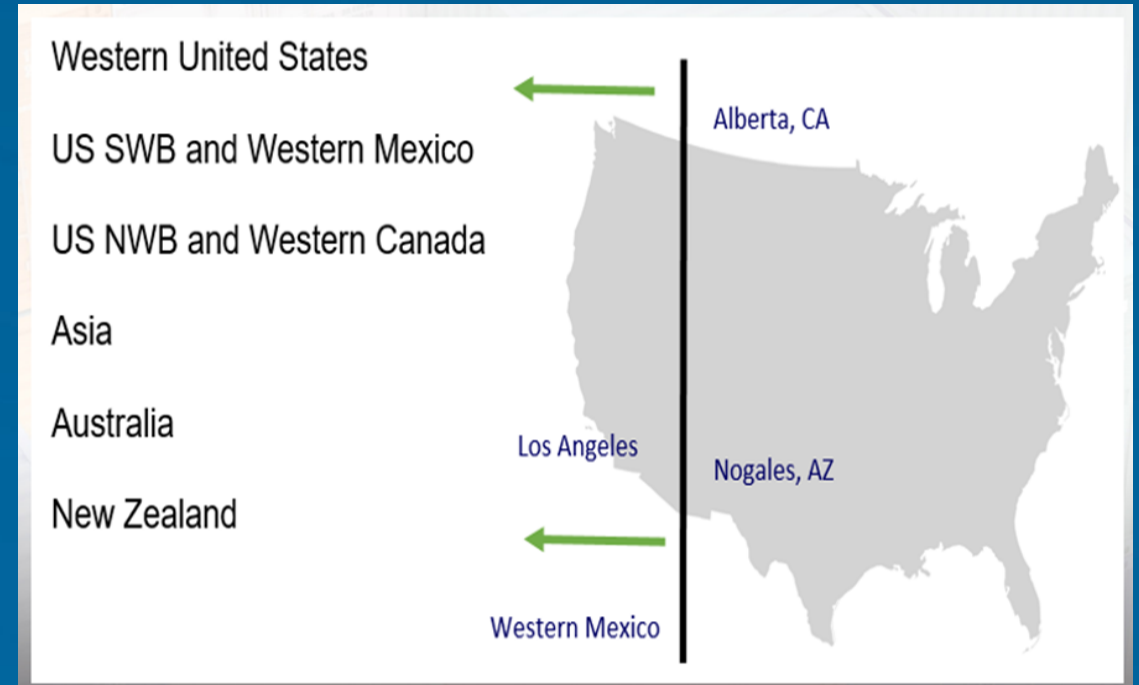
CTPAT Field Offices

All Field Offices



- | | |
|----------|---------------------------------|
| Buffalo | Eastern Canada, India |
| Houston | Mexico (MX) & Asia |
| Miami | MX, Central/South America, Asia |
| New York | Middle East, Africa, Canada |
| Newark | EU and Canada |

Los Angeles Area of Responsibility



CTPAT Processes



- Conducted over 30,000 Validations
- Visited over 109 Countries

CTPAT Big Picture

Commitment to partnership to enhance Supply Chain Security

Benefits for Trade

- Improved security, fewer inspections, expedited cargo processing

Benefits for Government

- Tactical support for focus on high - risk shipments, better allocation of resources

CTPAT Q&A

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Cargo and Conveyance Security
U.S. Customs and Border Protection