

C-TPAT Audit Report

Intended for advanced compliance programs



YOUR EYES IN THE SUPPLY CHAIN

(formerly asiainspection)

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Protocol Part 1

SERVICE REF. NUMBER:	
AUDIT DATE:	
INSPECTOR NAME:	
FACTORY DETAILS:	
CUSTOMER NAME	

Scoring rules for auditor/supervisor:

- Each checkpoint's mark is one, but for critical point (Black Frame) the mark is two. Then you can find the theoretical marks in total at the end of each section. E.g. : part 1 = 13 + (3critical x 2) = 19;
- Critical points are : 1.1, 1.2, 1.16, 2.1, 2.2, 2.7, 2.8, 2.10, 2.13, 2.17, 2.20, 2.21, 3.1, 3.11, 3.14, 5.1, 6.2, 8.7
- Overall scores (result):
- < 70 = Urgent Action Required; < 80 score = Improvements needed; > 81 = Accepted;
- Just add all the actual score and always divide 117.

Final review with the management to wrap up every audit with review of the CAP and signature on a document to confirm CAP has been shared and understood. CAP in both English and Chinese.

GENERAL INSTRUCTIONS FOR THIS CLIENT:

{ \$\$OCGLComments }

Factory name		Factory details	
P.O. number		Customer Service nb	
Audit location		Audit date	

Client		QIMA Service No	
Supplier		Auditor	
Factory		Audit Date	
Industry		Country	

General Overview of the Audit's Findings

Clause	Theoretical Max Score	Actual Score
1. Personal Security	19	
2. Physical Security	33	
3. Storage & Distribution	19	
4. Shipment Information Controls	6	
5. Information Access Controls	14	
6. Contractor Controls	8	
7. Export Logistics	7	
8. Records & Documentation	11	
9. Facility Photos	/	/
10. CAP in Chinese & English	/	/
	117	

Overall Score (result)

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Important remarks

Factory profile

General information			
1	Factory name		
2	Factory address/postal code		
3	GPS location	xx°xx'xx" N/S xx°xx'xx" E/W	
4	Contact person name		
5	Tel. / Fax Number		
6	Email / website		
7	Total number of workers	Permanent :	Temporary : Migrant :
8	Industry		
9	Key / Main products		
10	Main market		
11	Business license	Certificate No.:	
12	Annual turnover for the past 3 years		Trend:
	Brief history of the Terminal (function/business/etc.)		
	Type of Business (private/public/joint venture/etc.)		
	What countries does the facility export to?		
	Does the Terminal participate in any other security-related compliance programs?		
	Annual transportation mode and volume		
	How many audits around security the Terminal conduct on a year basis?		

Facility Structure	
13	No. of buildings
	Workshop
	Warehouse
	Container yards
	Others
	Trucks owned By Company
	Percent of goods exported to US
	By air
	By sea

Part 1 - Personnel Security

Nr	Checkpoints	Y	N	NA	Finding/comments
1.1	Is there a procedure in place to screen prospective employees and to periodically check current employees? A process for hiring & interviewing applicants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	Application information, such as employment history and references, must be verified prior to employment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	Should each applicant fill-in personal data & application form?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.4	Does the factory keep each employee's ID copy and personal file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.5	Consistent with national regulations, background checks and investigations should be conducted for prospective employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.6	Periodic checks and reinvestigations for existing employees should be performed based on cause and/or the sensitivity of the employee's position.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.7	Is there a procedure in place to monitor the hand-over of badge, keys/cards, tools and authority of system login-in when the employee resigned? Check the records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.8	Did the security personnel control adequately the issuance and removal of employees, visitor and vendor ID badges? Did the security dept. get the resigned name list everyday?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.9	Did all employees accept the basic safety training, including new employee orientation and periodic training for existing employees? Like security policies and related procedures and standards.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.10	Did special training offer to assist security personnel in maintaining the cargo integrity, identify internal conspiracies, and protecting access control?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.11	Employees must be made aware of the procedures the company has in place to address a situation and how to report it (e.g. hot-line).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.12	Are personnel encouraged to report irregularities, suspicious activity and/or security violations? If yes, please indicate by which means:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.13	Are documented security procedures publicized throughout the facility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.14	Did additional training provide to employees in the shipping and receiving areas, as well as those receiving and opening mail?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.15	Is a threat awareness program established and maintained by security personnel to recognize and foster awareness of the threat posed by terrorists at each point in the supply chain?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

1.16	Employees should only be given access to those secure areas needed for the performance of their duties. Guard should check employees ID to monitor access to the restricted areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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Actual Score	Theoretical Max
	/ 19

Part 2 – Physical Security

Nr	Checkpoints	Y	N	NA	Finding/comments
2.1	Do management or security personnel control the issuance of all locks and keys?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.2	Does the facility have an alarm system and video surveillance cameras? Is there a back-up power source for the alarm system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3	Is there a procedure in place to identify challenge and address unauthorized/unidentified person?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.4	Are all buildings in the facility constructed of materials that prevent unlawful entry?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.5	Are all buildings properly inspected, maintained and repaired so that there are no open areas through floors, roof or broken walls? If, yes, check the records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.6	Are the perimeter barrier and gates regularly inspected, properly maintained and repaired? If, yes, check the records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.7	Is there adequate lighting inside and outside the facility including around entrances and exits, cargo handling and storage areas, fence lines and parking areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.8	Does the facility store containers/trailers onsite? If yes, do they store in a secure area with mechanisms in place to prevent unauthorized access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.9	Are loaded stored containers/trailers sealed with high security seals that meet or exceed ISO/PAS 17712 standard?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.10	Does the guard force staff in the facility 24hours a day, 7days a week? If yes, please record the working time and shifts.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.11	Do security guards log incidents and report any security violation incidents to management personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.12	Does the facility have proper communication mechanism (e.g. phone, radio) to local law enforcement authorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.13	Are gates for employees and vehicles entrance/exit guarded and/or monitored during operations and non-operating hours?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.14	Does access control include the positive identification of all employees, visitors, and vendors at all entry points? Check the records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.15	Does an authorized employee escort visitors and vendors through the buildings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.16	Are all visitors monitored while accessing restricted areas (e.g. loading/unloading, IT, Finance)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.17	Do guards patrol the interior of building in the facility? If yes, check the records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

2.18	Are closed circuit television cameras (CCTVs) used to monitor activity inside/outside the facility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.19	When are CCTVs monitored? Who monitors the CCTVs? Is access to CCTV monitors controlled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	When : ____ Who : ____
2.20	Is there written procedures in place to stipulate how seals are controlled and affixed to loaded containers, including recognizing and reporting compromised seals and /or containers to local customs authorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.21	In case there is shortage, overages, and other significant discrepancies or anomalies, the facility must make sure such situation be resolved and/or investigated appropriately?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.22	Are vehicles prohibited/prevented from parking near cargo conveyances/perimeter fencing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.23	Are parking lots for visitors separated from those for employees? If allowed to enter facility area, are vendor and visitor vehicles inspected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.24	Are there security measures in place to ensure the integrity and security of processes relevant to the transportation, handling and storage of cargo in the supply chain?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	E.g. prevent tampering of goods during production, prevent the introduction of foreign materials in the assembly/packing area.

Actual Score	Theoretical Max
	/ 33

Part 3 – Storage & Distribution

Nr	Checkpoints	Y	N	NA	Finding/comments
3.1	Does the factory have fencing or other barrier materials to enclose cargo handling and storage areas to prevent unauthorized access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.2	Are international and domestic cargo segregated and stored separately within a fenced area or secured room?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.3	Is high value cargo marked, segregated and stored separately within a fenced area or secured room?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.4	Is dangerous cargo, including hazardous material and ammunitions and explosives, secured and stored separately and labeled when necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.5	Is the loading and departure of containers/trailers supervised by a security officer or other designated supervisor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.6	Are security controls in place to prevent the introduction of foreign materials at point of loading?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.7	Are the cargo units identified, labeled, weighted and/or counted before loading?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.8	Is there a documented procedure in place to ensure that management and/or customs and/or local law enforcement is informed of all anomalies found in shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.9	Are accurate, legible and complete cargo documents and packing slips prepared?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.10	Are there documented procedures for tracking goods for shipment? How to track?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.11	Are documented procedures in place to verify the integrity of the container structure through inspection of front wall, left side, right side, Floor, ceiling/roof, inside/outside door, outside/undercarriage? Check the records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.12	Is there a documented procedure to affix a high security seal which meets or exceeds ISO/PAS17712 on each container/trailers bound for US?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.13	Please list all seal types used, indicate whether each type is ISO/PAS17712 compliant, and for what percentage of overall shipments the seal type is used.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.14	Is there an individual responsible to issuing and tracking seals? Are there documented procedures for affixing, replacing, recording and tracking the seals placed on containers, trailers, trucks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.15	Does the facility keep records of seal numbers together with truck license, driver name, time and date of lading or unloading, container/cargo conveyance number? How long the records are kept _____?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.16	Are seal numbers verified at time of final sealing before departure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Actual Score	Theoretical Max
	/ 19

Part 4 – Shipment Information Control

Nr	Checkpoints	Y	N	NA	Finding/comments
4.1	Is there a designated company representative responsible for providing accurate information o the facility products to the broker/forwarder and carrier?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.2	Has this person been trained on the information requirements for shipments to the United States?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.3	Are records maintained on all shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4	Are the information requirements automated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.5	Does the responsible company representative understand the need to provide accurate shipper, forwarder, and consignee information? And the timeframes required for the advance information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.6	Is the information requested in this section related to shipping records documented and verifiable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Actual Score	Theoretical Max
	/ 6

Part 5 – Information Access Controls

Nr	Checkpoints	Y	N	NA	Finding/comments
5.1	Does the facility have documented procedures for identifying which employee is allowed access to: electronic information systems? facility documents? Shipping forms? Shipping data? Shipping/cargo movement? High security seals? Is there a name list of access limit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	Does the facility have electronic information systems used for operational purposes? Is password protected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.3	Is access to the server room controlled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.4	Are relevant employees provided with individually assigned IT system accounts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5	Are passwords changes required by policy, or enforced in a systematic manner at least every 90days?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.6	Is there a designated system administrator who set up the user IDs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.7	Is the login user ID suspended after a certain number of failed access attempts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.8	Do desktops automatically lock after a designated period of inactivity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.9	Are security logs kept and reviewed periodically for invalid password attempts and file access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.10	Has the facility implemented into its network system: firewalls? Intrusion warning system? Virus protection?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.11	Is all computer information saved on a back-up system? Are backups stored in a fire resistant safe or at an off-site facility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.12	Is there a plan to restore data in the case of a failure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.13	Is the information requested in this section related to IT security documented and verifiable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Actual Score	Theoretical Max
	/ 14

Part 6 – Contractor Controls

Nr	Checkpoints	Y	N	NA	Finding/comments
6.1	Does the facility select and hire contractor (including other manufacturers, product suppliers, and vendor) to perform services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2	In selecting the contractors used by the facility, does the facility consider the contractors' security controls, financial stability, and corporate history?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3	Does the facility have written security standards and documented procedures for its contractors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.4	Do contractor that have access to restricted areas undergo a background investigation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.5	Is there a documented procedure for contractors to report security violations to facility management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.6	Does the factory require compliance to C-TPAT requirements and procedures in the contract with their suppliers/contractors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please review the contracts and verify if there is a clause related to CTPAT. This will be only a documentary verification.</i>
6.7	Is the information requested in this section related to business partners documented and verifiable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Actual Score	Theoretical Max
	/ 8

Part 7 – Export Logistics

Nr	Checkpoints	Y	N	NA	Finding/comments
7.1	When selecting carriers, does the facility consider: security controls, financial stability, corporate history?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2	Does the factory require eligible carriers to comply with CTPAT protocols and procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please verify if CTPAT/security is something which is included in the clause between supplier and carriers. This will be only a documentary verification.</i>
7.3	Does the facility use in-country transport services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.4	Does the facility use in-country carrier services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.5	Is there a documented procedure for in-country carriers to report security violations to the facility management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.6	Does the facility have written or electronic confirmation of its partners compliance with C-TPAT or C-TPAT equivalent security criteria (e.g. contract language, a letter of commitment signed at the management level or above)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.7	Is the information requested in this section related to export logistics documented and verifiable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Actual Score	Theoretical Max
	/ 7

Part 8 – Records & Documentation

Nr	Checkpoints	Y	N	NA	Finding/comments
8.1	Does the facility have a documented policy that requires that all security procedures be documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2	Does the facility have designated chief/head personnel responsible for overall site security?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3	Is there a designated security department/team at the facility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4	Is there a facility official responsible for plant security, personnel security, contractor security, conveyance/transport security?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.5	Is there facility official responsible for security audit or evaluation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.6	Has many (internal, second or third party) site security assessment been conducted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7	Is there a documented procedure to conduct periodic security checks to ensure that the security procedures in all sections (Part 1-8) are being performed properly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.8	Is there a documented security improvement plan that summarizes or identifies vulnerabilities and responsive corrective actions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.9	Is the facility security plan reviewed and updated periodically?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.10	Is the information requested in the section above documented and verifiable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Actual Score	Theoretical Max
	/ 11

Part 9 -Facility Photos

(Please add column if needed)

Related pictures	
Facility Entrance	Auditor in front of factory gate
Perimeter Fencing	Facility Building
Employee Parking	Visitor Parking
Outside Lighting	Security Room – Communication Equipment
CCTV system and monitor	Packing Area
Loading Area	Business License
Facility Security Plan	Personnel Security Guideline for Hiring & Termination Procedure
Personal File	Training Records for New Employees
Training Records for Security Guard	Job Description of Security Guard
Handbook/Work Rule	Visitor / Vehicle In/out Access Control Record
Records of the distribution of keys, codes, cards	Factory ID Return and Missing Records
Conveyance Drivers Entry-Exit Log	Screen Records of Arriving Package and Mail
Container Integrity Inspection Record (Seven Points Inspection)	Container Inspection Records

Cargo Loading Records	Seal Control Records
Internal Periodic Unannounced Security Check Records	Factory Disclaimer
Confirmation of Compliance with QIMA COC	CAP signed & stamped
NC Findings description:	NC Findings description:

Part 10 –Corrective Action Plan 纠正措施计划

Client
Supplier
Factory
Industry

QIMA Service No
Auditor(s)
Date
Country

请用中英文填写该 CAP.

Nr. 序号	Clause 条款	Finding Description 发现描述	Corrective Actions agreed/planned 采取的纠正措施	Implementation Date 实施日期	Remarks 备注

Please sign this document confirming that the above findings have been discussed with and understood by you: (site management)

Site Representative Signature and Company chop:		Title	Date
Auditor Signature:		Title	Date

- End -