CTPAT Audit Check List:
IT

01. Computer Password change record
02. CD Back up register
03. CD sending record file
04. Internal ID Security audit report
05. IT training record register
06. Unauthorized file access check
07. CCTV & PC maintaining record
08. Monthly IT development
09. Visitor in out Register for IT D.
10. Disciplinary action record
11. List of CC camera as per location
12. List of PC user
13. Authorized person list of PC user
14. Assurance Screen saver password
15. Assurance of all PC passwords.
16. Assurance of shipping record by CCTV at least 45 days.
17. Numbering of all PC and CCTV
18. Assurance that authorized person name and photo are hanged in front of Halogen light with covered box.

HR

01. ID card stock and issue Register.
02. ID card individual issue and return record register
03. ID card collection voucher file
04. ID card missing & damaged record register
05. Missing ID card inquiry record.
06. Temporary ID card issue & return record
07. ID card inactive record.
08. Service skill test and background check
09. Resign employee check list
10. Preparing all securities (Own and Robust) personal file and job card.
11. Preparing all securities salary sheet.
12. List of Securities
13. Preparing Security Organ gram
14. Confirming in personal file ----

A. CTPAT training record sheet with signature
B. Periodically Background check
C. Skill test record

D. Contact number
E. National ID Card
F. Chairman certificate
G. Photocopy of Worker Photo ID
H. Police verification

Welfare & Counselling

01. New Employee orientation register for CTPAT with attendant photo
02. Security thread awareness register for employee with attendant photo
03. Cargo Management training record register with attendant photo
04. Product integrity training register with attendant photo
05. Goods tempering awareness record register with attendant photo
06. Ensuring that all new workers are in the refresher training record register
07. Ensuring that ID card number should be posted in new worker orientation training register & others.
08. Ensuring that all employees are wearing photo ID badge within the working place.

Store

01. Visitor in our ID card
02. Ensuring that within the store all are authorized by the head of the factory
03. Visitor in out register in ware house
04. Advance information of shipping vehicle
05. shipment finished carton check record register
06. shipment delivery challan
07. Shipment status/export carton stock register
08. Bolt seal stock and issue record register
09. .Bolt seal requisition book
10. Additional bolt seal issue and return record register
11. Incoming goods in out register
12. Incoming goods vehicle in out and inspection register
13. Incoming vehicle control point report register
14. Incoming goods inventory record
15. C & F challan, invoice, bill of leading & inventory report
16. Ensuring that tally record registers   are absolutely ok
17. Bolt seal operator name with photo should be posted in front of the respective area
18. All bolt seal record should be kept in sequence way Challan

Security

01. Ensuring that all column of all register should be filled.
02. Visitor in out register (Security)

03. Visitor in out register (Packing)

04. Visitor in out register (Store)

05. Visitor in out register (Finished carton area)

06. Advance information for visitor

07. Conveyance driver in out register

08. Vehicle in out register Shipment loading register

09. shipment unloading register

10. Shipment vehicle tracking register

11. 7 point check record.

12. Bolt seal affixing record register

13. Control point report record register

14. Local loading register

15. Local unloading register

16. Finished carton rally record register

17. Security guard ABC register

18. Security guard daily duty register

19. Security guard post patrol duty roster

20. Enclosure checking record register

21. Perimeter inspection and repair record

22. Security equipment checks record register

23. CCTV camera monitoring record register

24. Violation report record of security alarm system

25. Factory key control and responsible person record register

26. Internal key issue and deposited record register

27. security incident report record register

28. Warless set frequency channel change record

29. Security guard threat awareness training record

30. Incoming & outgoing mail and parcel register

31. Key holder register

32. Track inbound outbound register.

33. 5 point check record for incoming Vehicle register

34. Road Map distribution register

35. Building inspection register

36. Security Alarm testing record

37. Ensuring that all security in all respective area should perform at the best level.

38. Security should checkout all visitors photo ID

39. Security should checkout all visitors bag and others

40. Security should be ensured that no unauthorized persons are in the restricted area.

Registers, files, responsibilities or any other change can be increased or decreased at any time.

Customs-Trade Partnership Against Terrorism (C - TPAT)
Document Checklist for Upcoming Audit

SI No	Description	Concern Department
01	List of security guard force	Admin
02	Service contract with external security company	Admin
03	Job description of a Security Guard	Admin
04	List of employees are allowed access to shipping document	Commercial
05	List of employees responsible for issuing and tracking seals	Commercial
06	Authorized trucker list	Commercial
07	Shipment Dox. (Export & Import) One copy of full sets of document	Commercial
08	Procedure for transit of finished goods to forwarder	Commercial/Compliance
09	Written Contact with the Transporter	Commercial/Compliance
10	Written security standards & procedure for contractors	Commercial/Compliance
11	Registration/license of commencement	Compliance
12	Security procedure policy (FSP)	Compliance
13	Register on security awareness programme/briefing to Employees	Compliance
14	List of subcontractors	Compliance
15	Record of on-site inspection of the subcontractors	Compliance
16	Policy in controlling the security of cargo handling and storage areas	Compliance
17	List of restricted areas	Compliance
18	Written inspection procedure of empty ocean containers	Compliance
19	Procedure for reporting of in transit violation to the Management	Compliance
20	Written Communication regarding the C-TPAT requirements to contractors	Compliance
21	Background Check of Subcontractor	Compliance
22	Security Guard force training records (as per FSP)	Compliance
23	Written policy/procedure for Affixing, Replacing, Recording, and Tracking the Seals.	Compliance
24	Internal Audit Report	Compliance
25	Crisis management plan	Compliance
26	List of personnel has the access to loading/packing areas	Finishing
27	Packing Procedure of Finished Goods	Finishing/Compliance
28	Records of employees background checking	HR
29	Training Material and Record of Employees orientation	HR
34	Factory ID return & missing record	HR
35	Employees job application form	HR
36	Hand Book stating companies rules & regulations	HR/Compliance
37	Written personnel security guidelines for hiring	HR/Compliance
38	Employees Termination Procedure & listing it on HRD & Security Guard Room	HR/Security
39	Register of individual accounts and passwords created for employees can access the computer system	IT
40	Information access control procedure	IT

Customs-Trade Partnership Against Terrorism (C - TPAT)
Document Checklist for Upcoming Audit

SI No	Description	Concern Department
41	Computer security policies and procedures	IT/Compliance
42	Insprction/Maintanance records of intuition alarm & surveillance cameras.	Maintenance
43	Register of personnel holding the keys/cards of factory & Key holding policy	Management
44	Broken seals register of containers	Security
45	List of employees assigned to supervise loading and unloading of containers	Security
46	Register to keep records of seal and container numbers	Security
47	Visitors & Vehicle in-out register	Security
48	Goods movement log	Security
49	Security Incident record	Security
50	Employees sign in/out register for access in to restricted area	Security
51	Personal files of each driver being vetted and approved	Security/Commercial
52	Register of unannounced security checks & its procedure	Security/Compliance
53	Register of arriving packages and mail & Its procedure of Checking	Security/Compliance
54	7 point inspection procedure & its record	Security/Compliance
55	Record of security drill	Security/Compliance
56	Drill exercise schedule	Security/Compliance
57	Records of Dangerous goods	Security/Compliance
58	Security Meeting record with attendance list	Security/Compliance