

Documents Checklist for CTPAT Audit

#	Document	#	Document
1	Factory License / Factory setup permission (EPZ)	30	Commercial Documents: <ul style="list-style-type: none"> Recent: 1 set (Export) Recent: 1 set (Import) set (If applicable) One year back: 1 Export set (If applicable) Bill of Lading & Shipping Advice: 5 Sets (If applicable)
2	Original Incorporation certificate		
3	Original Bond License		
4	CTPAT Policies & procedures		
5	Visitor Log		
6	Visitor card inventory Log		
7	Key Inventory		
8	Key issue-return log	31	CCTVs List & record
9	Shipment/Export Log	32	IT Policy & procedure
10	7-point Inspection Record	33	IT User List & Training Record
11	Incoming Mail Parcel screening record	34	Password change system & record
12	Patrol Duty Register	35	IT Back-up system
13	Building check Record	36	IT Incident Log
14	Perimeter check record	37	IT Disciplinary Log
15	Incident Log	38	Service provider list (i.e. transport service provider, C&F agent, security guards service provider, loader service provider, food supplier)
16	Incentive Policy / Declaration	39	Sub-contractor List (i.e. Washing, printing, embroidery)
17	Attendance Record for Security Guard	40	Job related and Threat Awareness Tainting for security guards
18	Duty Roster for Security Guards	41	Job related and Threat Awareness Tainting for packer.
19	Tally/counting for shipment goods Register	42	Job related and Threat Awareness Tainting for loader
20	Pre-final/final inspection record of packing section	43	Threat Awareness Training for new employees as induction/ orientation
21	ISO/Pas 17712 High Security Seal Purchase Order Copy & Certificate	44	Threat Awareness Training for all regular employees (Annual)
22	ISO/Pas 17712 High Security Seal Inventory Log	45	Training on fraudulent document detection (If applicable)
23	ISO/Pas 17712 High Security Seal Issue Record	46	Training for security guard, packer, loader etc. on; (If applicable) <ul style="list-style-type: none"> Threat Awareness Contraband Human Smuggling / Trafficking Terrorism
24	Shipment Incident Reporting Policy to Internal authority and External Authority: <ul style="list-style-type: none"> Factory representative Law enforcement Agency, Customs (if applicable) Customer (if applicable) 	47	Contract / Agreement with business partners (i.e. transport service provider, C&F agent, security guards, loader, Driver)
25	Air Shipment policy (if applicable)	48	Contract / Agreement with sub-contractors (i.e. washing, printing, embroidery)
26	Export/Shipment Vehicle Movement Tracking Record/System (GPS)	49	Security Assessment/Internal Audit/security control system of service provider
27	ID card issue/reissue Register	50	Risk Assessment (CTPAT) of service providers
28	Termination Checklist for Resign Employees	51	Bank Solvency Certificate (financial stability status) of business partners; <ul style="list-style-type: none"> transport service provider C&F agent security guards service provider, loader service provider Others (if applicable)
29	Personnel Files: <ul style="list-style-type: none"> Security Guard (self and/or contractual) Packer Loader (self and/or contractual) Driver with driving License (self and/or hired who engage the shipment.) if applicable New employee Resigned employee 	52	Other documents & records (if required)