C-TPAT 认证评估工厂应提前准备如下文件资料以供审核：

No.

序号 DOCUMENT 文件

1 Business License 营业执照

2 Organization Chart 组织结构图

3 Job Descriptions, including responsibilities for security 岗位职责(包括安全责任)

4 Roster (including security staff) 花名册(包括保安)

5 current employees periodical check record 在职员工定期检查记录

6 Employees hiring procedure 招聘程序

7 Personal files 人事档案

8 employees Re-investigation records 员工复查记录

9 Resignation policy and records 辞职政策和记录

10 Issuance and return records for ID badges (employees and visitors) 身份证/访客证发放回收记录(员工/访客)

11 Training records (new employees orientation / security procedures/security personnel/ shipping and receiving areas rules/raise awareness on security and terrorist threats/information necessary for shipment to US)

培训记录(新员工入职/安全程序/收发货区管理规定/提高安全和恐怖主义威胁的意识/发货到美国所必需的信息)

12 Security Management Procedures 安全管理程序

13 Security Risk Assessment Procedures/records 安全风险评估程序/记录

14 Issuance and return records of locks and keys 锁和钥匙的发放回收记录

15 Working Hours Records for Door Security Staff 保安人员考勤记录

16 Security Guards incident records 安保事故记录

17 Security Patrol records 保安巡逻记录

18 Container Loading Procedures 货柜装载程序

19 Containers Seals Check Procedure 货柜封条检查程序

20 Container verification procedure (including checking dimensions, weights) 货柜验证程序(包括检查尺寸,重量)

21 Non-compliance procedure of fail result for container verification 装柜查验失败的不合格处理程序

22 Integrity procedure for transport, storage and handling of cargo 货物运输、存储和处理的完整性控制程序

23 Anti-foreign material introduction control process during container loading 防止装柜混入外来物料控制程序

24 Cargo Weighting and Counting records 货物称重和计数记录

25 shipment anomalies Inform Procedure 装货过程异常情况通知程序

26 Cargo documentation and packing lists 货物文件和装箱单

27 Goods tracking system for shipment 运输货物的跟踪系统

28 Container structure integrity inspection procedure and records 集装箱结构完整性检查程序和记录

29 Documented procedure indicating the kind of Seal to use (conform ISO/PAS 17712) 封条选择程序（符合 ISO/PAS 17712）

30 seals affixing/replacing/recording/tracking Procedure 封条张贴/更换/记录/跟踪程序

31 Seal numbers records (truck license, driver name, time and date of lading, conveyance number) 封条记录(包括卡车执照、司机姓名、装货时间和日期、运输号码)

32 Verification records of final sealing before departure 出货前封条查验记录

33 Shipment Records 出货记录

34 employee (access to restricted areas)identification procedures 员工访问权限的识别程序

35 I T control procedure and records IT 控制程序和记录

36 contractors Selection and evaluation process 承包商选择和评估程序

37 contractors security standards and procedures 承包商安全标准和程序

38 Background check records of contractors with access to restricted areas 可进入限制区域的承包商背景调查记录

39 carriers Selection and evaluation process 承运商选择评估过程

40 CTPAT enrollment Proof of carriers/ contractors 承运商/承包商 CTPAT 认证登记证明

41 Carriers/ contractors security violations reporting procedure 承运商/承包商违反安全行为的上报程序

42 Previous internal, 2nd or 3rd party audits for security 上次安全内审记录，第二方或第三方安

全审核记录

43 regular internal security audits/check records 定期安全内审/检查记录

44 Security Improvement plan 安全改进计划

45 Security plan 安全计划