Developing a Security Training and Awareness Program

Balancing Supply Chain Security and Economic Efficiency
One Way of Enhancing Supply Chain Security Efficiency is Through Security Training and Awareness Programs
Workshop Overview

- Welcome and Introduction
- Security Breach Statistics
- Impact of Breaches on C-TPAT Status
- The Link Between Breaches and Training
- Elements of Poor Training Programs
- Elements of Effective Training Programs
- Recognized Best Practices
- Questions & Answers
Security Breach Statistics

- Highway Carrier-Mexico: 32.8%
- Highway Carrier-Canada: 15.5%
- Highhaul Carrier-MX Long Haul: 2.6%
- Foreign Manufacturer: 19.8%
- Sea Carrier: 2.6%
- Rail Carrier: 1.7%
- Broker: 1.7%
- Importer: 23.3%

Total Breaches 2006-2009 = 85
Total Number of Partners Involved = 127
Impact of Breaches on C-TPAT Status

- Suspension and Removal from C-TPAT
- Loss of C-TPAT related benefits
- Possibility of increased examinations
- Delays

That could lead to:

- Loss of Business
- Default on contractual obligations
- Brand name damaged or compromised
“The Link Between Breaches”

- It was determined through the post incident analysis of all Supply Chain Security breaches that training is a common thread and a cost effective way to enhance supply chain efficiency.

- 20% of all security breaches involved companies with inadequate Security Training and Awareness Programs.
Elements of Poor Training Programs

- Lack of Awareness Program
- Not Hands-on, especially for container/conveyance inspections
- Cookie Cutter Approach
- Lack of Managerial Support
- Non-recurring
- Outdated Materials
- Lacks Accountability
One Element to Improve Efficiency and Maintain Cost

Container Inspection

7-Point Container Inspection Process:

1. Outside/ Undercarriage (before entering facility)
2. Inside/ Outside doors
3. Right side
4. Left Side
5. Front Wall
6. Ceiling/Roof
7. Floor (Inside)
To ensure a systematic and consistent process, a checklist is used for documentation and verification. Checklists are important to establish chain of custody.

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Container and Seal Inspection Sheet

<table>
<thead>
<tr>
<th>Supplier:</th>
<th>Facility:</th>
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<tbody>
<tr>
<td>CONTAINER NUMBER:</td>
<td></td>
</tr>
<tr>
<td>SEAL NUMBER:</td>
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<tr>
<td>High security seal (Y/N):</td>
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<tr>
<td>Seal affixed properly/verified (Y/N):</td>
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<tr>
<td>7-POINT CONTAINER INSPECTION REVIEW</td>
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<tr>
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</tr>
<tr>
<td>FRONT WALL:</td>
<td></td>
</tr>
<tr>
<td>LEFT SIDE:</td>
<td></td>
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<tr>
<td>RIGHT SIDE:</td>
<td></td>
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<td>FLOOR:</td>
<td></td>
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<tr>
<td>CEILING/ROOF:</td>
<td></td>
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<tr>
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<td></td>
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<tr>
<td>OUTSIDE/UNDERCARRIAGE:</td>
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<tr>
<td>Container reviewed by:</td>
<td>Date / Time of review:</td>
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<tr>
<td>Seal reviewed by:</td>
<td>Date / Time of review:</td>
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7-Point Container Inspection

5. Front Wall
6. Ceiling/Roof
3. Right Side
4. Left Side
7. Floor (Inside)
1. Outside/Undercarrriage
2. Inside/Outside Doors

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Balancing Supply Chain Security and Economic Efficiency
Main Elements of a Strong Security Training and Awareness Program

17-Point Tractor & Trailer Inspection

1. Bumper
2. Engine
3. Tires (truck & trailer)
4. Floor
5. Fuel Tanks
6. Cab/ Storage Compartments
7. Air Tanks
8. Drive Shafts
9. Fifth Wheel

10. Outside/ Undercarriage
11. Floor
12. Inside/ Outside Doors
13. Side Walls
14. Ceiling/ Roof
15. Front Wall
16. Refrigerated Unit
17. Exhaust

Balancing Supply Chain Security and Economic Efficiency
### 17 Point Truck & Trailer/Seal Inspection Sheet

<table>
<thead>
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<table>
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17 POINT INSPECTION REVIEW

<table>
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<th>State condition: Good / Bad / Comment</th>
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| BUMPER: | OUTSIDE/UNDERCARRIAGE: | 
| --- | 

| ENGINE: | OUTSIDE/INSIDE DOORS: | 
| --- | 

| TIRES: | FLOOR: | 
| --- | 

| FLOOR: | SIDE WALLS: | 
| --- | 

| FUEL TANKS: | FRONT WALL: | 
| --- | 

| CAB/STORAGE AREAS: | CEILING/ROOF: | 
| --- | 

| AIR TANKS: | REFRIGERATION UNIT: | 
| --- | 

| DRIVE SHAFTS: | EXHAUST: | 
| --- | 

<table>
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<th>FIFTH WHEEL:</th>
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**17-Point Tractor & Trailer Inspection**

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**INSPECTION CONDUCTED BY:** ___________ **TIME/DATE:** ___________

**SEAL VERIFIED BY:** ___________ **TIME/DATE:** ___________

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Balancing Supply Chain Security and Economic Efficiency
Importance of Container Inspections

Step up to get inside! Why?

Balancing Supply Chain Security and Economic Efficiency
Importance of Container Inspections

1,300 lbs. of cocaine!

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Importance of Container Inspections

Normal block and air vent

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Importance of Container Inspections

Short distance between block and vent. Wall colors are different!

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Importance of Container Inspections

1,290 lbs. Marijuana. False wall.

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Importance of Container Inspections

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Main Elements of a Strong Security Training and Awareness Program

- Container Tracking
- Seal Inspection and Seal Controls

A seal inspection process should be implemented throughout the supply chain. The VVTT Seal Inspection Process is a good example of one:

V – View seal & container locking mechanisms.
V – Verify seal number for accuracy.
T – Tug on seal to make sure it is affixed properly.
T – Twist & Turn seal to make sure it does not unscrew.
Main Elements of a Strong Security Training and Awareness Program

Physical Access Controls
- ID’s and Access
- Visitor Policies
- Procedures for Challenging and Removing Unauthorized Personnel

Procedural Security
- Documentation/Manifesting
- Cargo Discrepancies

IT Security
- Local IT Procedures

Balancing Supply Chain Security and Economic Efficiency
Main Elements of a Strong Security Training and Awareness Program

- The program must consist of all the procedures the company has in place to address a situation and how to report it.
- C-TPAT minimum security criteria is addressed
- Additional training to employees in sensitive positions
- Incentive Based
- Accountability
- Mandatory
- Reoccurring
- Web Based
- Embraces Employee Input and Feedback

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Recognized Best Practices

Employee Participation

- On-Line/Web based training which automatically notifies employees. Webinars, graded tests, supervisor notification, training record warehousing
- Training to audit co-workers and departments
- Involvement in training videos
- Anonymous reporting procedures (hotline, suggestion box)
- Employee exchange to ensure uniform procedures (larger companies)
- Incentives for employees to report suspicious activities or potential breaches (days off, gift cards)
Recognized Best Practices

Employee Awareness

- TV or boards/posters throughout facility that display up to date security info
- Payroll inserts with C-TPAT info
- Company intranet, newsletters and e-mails
- C-TPAT security manual
- Daily musters
- Actively working with law enforcement to stay abreast of current threats and situations
- Wall of shame
Recognized Best Practices

- Outreach - Company provides on-site training to all related business partners
- Designated security liaison or C-TPAT committee
- Mock drills/exercises w/ security violations to evaluate employees
- Employees are issued wallet-sized cards with emergency contact numbers and procedures.
- Situational awareness room where security material is posted
- Company includes open source information related to current threats
Training Material

- Inspection checklists will be distributed after the workshop.
- Additional training material is available for use in the C-TPAT secure web portal. See portal public document library.
### C-TPAT, List Files

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Report Suspicious Activity

If suspicious cargo and/or contraband is detected, immediately contact the proper authorities and U.S. Customs & Border Protection.

1-800-Be-Alert

CBSA’s Border Watch
(888) 502-9060
Discussion and Questions

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