

Supply Chain Management – C-TPAT

General Information: The completion of this questionnaire supports Konica Minolta’s certification with the U.S. **Customs Trade Partnership Against Terrorism (C-TPAT)** program. Depending on risk, it may be completed in conjunction with a site visit by Konica Minolta, or independently by the provider (i.e., no site visit).

Purpose: This questionnaire is intended to address all C-TPAT requirements/recommendations. It represents Konica Minolta’s good faith effort to refresh C-TPAT awareness, identify any major gaps at the supplier’s site, and encourage CTPAT (or country equivalent) certification for third party providers.

Scope: This applies to Konica Minolta providers shipping **from outside the U.S. to Konica Minolta sites inside the U.S.**

Frequency: Each provider should review and update this document every two years and provide it to Konica Minolta. This questionnaire will be periodically updated.

General Information: Supplier and or business partners in the Supply Chain, Manufacturing and or shipping product to U.S. Konica Minolta’s Locations		Date:
Company Name		
Address/City/Country		
1 st Contact: Name/Title		
Phone number/Email		
2 nd Contact: Name/Title		
Phone number/Email		

Facility Information	
What activities are performed at this site?	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Warehouse <input type="checkbox"/> Shipping <input type="checkbox"/> Other _____ <input type="checkbox"/> Supplier _____ (describe goods)
Country <small>(Please provide the country information)</small>	
Note: Contact the Konica Minolta C-TPAT e-mail if a copy of the previously completed questionnaire is needed.	

Important Note: Konica Minolta Partners/Suppliers currently certified in one C-TPAT approved supply chain security program listed below may enter their certification number and disregard the remainder of these questions.			
Country Program	Certification Number/ID	Country Program	Certification Number/ID
Canada: PIP		Korea: AEO	
Dominican Republic: AEO		Mexico: NEEC	
European Union: AEO		New Zealand: SES	
Israel: AEO		Singapore: STP	
Japan: AEO		Taiwan: AEO	
Jordan: Golden List		US: C-TPAT	

Item #	Section/Control Description	Yes/No or N/A	Description of Procedure or Explanation of any “No” or ‘N/A’ Answers
1	What is your port of exportation to the United States?	<i>Please provide Port(S) Information:</i>	
2	Does the port participate in the “Container Security Initiative”?	Chose an item.	

General Comments:

If this completed form will contain confidential information, secure paper copies in transmission and mark all e-mails and copies as "Confidential". Save the completed form and send it to: **Attention C-TPAT Program Manager via [C-TPAT@kmb.konicaminolta.us](mailto:TPAT@kmb.konicaminolta.us)**

Container Security: Destination U.S.

Item #	Section/Control Description	Yes/No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers								
3	Are procedures in place to protect against the introduction of unauthorized cargo and/or persons into shipping containers?	Chose an item.									
4	Do you have written procedures to verify the physical integrity of the container before packing/stuffing?	Chose an item.									
5	Does the procedure follow the CTPAT seven-point inspection to include: <table border="1" data-bbox="175 737 777 850"> <tr> <td>• Front Wall</td> <td>• Left Side</td> </tr> <tr> <td>• Right Side</td> <td>• Floor</td> </tr> <tr> <td>• Ceiling/Roof</td> <td>• Outside/Undercarriage</td> </tr> <tr> <td>• Inside/Outside Doors/Locking Mechanisms</td> <td></td> </tr> </table>	• Front Wall	• Left Side	• Right Side	• Floor	• Ceiling/Roof	• Outside/Undercarriage	• Inside/Outside Doors/Locking Mechanisms		Chose an item.	
• Front Wall	• Left Side										
• Right Side	• Floor										
• Ceiling/Roof	• Outside/Undercarriage										
• Inside/Outside Doors/Locking Mechanisms											
6	Is the individual who conducts the seven-point inspection required to sign-off on an inspection checklist and document any anomalies or modifications to the container or truck?	Chose an item.									
7	Are containers sealed with a high security bolt seal that meets or exceeds PAS ISO 17712?	Chose an item.									
8	Are seals stored in a secure place (locked) with access limited to authorized personnel only?	Chose an item.									
9	Is there a seal log to document seal #, container #, date, customer name, carrier name, seal applied by (name of warehouse employee)?	Chose an item.									
10	Are seal numbers written on the shipping papers?	Chose an item.									
11	If a seal is removed, is a new seal applied (by the carrier) with notification to dispatch and shipper, customs broker, and/or importer? This notification should contain the reason for removing the seal, and the new / replacement seal number.	Chose an item.									

Comments:

Physical Security/Building Security

Item #	Section/Control Description	Yes, No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers
12	Do you have security guards on site? If yes, are security guard instructions/procedures documented and current?	Chose an item.	
13	Are the security guards armed?	Chose an item.	
14	Do the security guards have a communication system?	Chose an item.	
15	Are controls in place to prevent unauthorized access to the general property ? <i>This may include fences, walls, gates, barbed wire, natural barriers, security guards, security cameras and alarms, etc.</i>	Chose an item.	
16	Are controls in place to prevent unauthorized entry to the facility buildings, docks, offices, and production areas ? <i>This may include standard key locks, padlocks, electronic locking systems, guards, security cameras, and alarms.</i>	Chose an item.	
17	Do you use alarm systems and video surveillance cameras to monitor the site?	Chose an item.	If yes, are the following areas covered by the video camera monitoring? <input type="checkbox"/> Reception <input type="checkbox"/> Manufacturing <input type="checkbox"/> Material/Component Storage <input type="checkbox"/> Finished Product Storage <input type="checkbox"/> Entrance Doors <input type="checkbox"/> Receiving Dock <input type="checkbox"/> Shipping Dock <input type="checkbox"/> Parking Lot <input type="checkbox"/> Entrance/Exits
18	If security alarms are used (Example: motion, door contacts, etc.) Are they always monitored?	Chose an item.	If Yes, are the following secured electronically (Select all that apply) <input type="checkbox"/> Motion Detectors <input type="checkbox"/> Internal Doors <input type="checkbox"/> Windows <input type="checkbox"/> Roof <input type="checkbox"/> Entrance Doors <input type="checkbox"/> Skylights
19	Is video surveillance data kept a minimum of 30 days?	Chose an item.	
20	Is the Security System monitored 24 hours per day, 7 days per week?	Chose an item.	
21	Are there emergency back-up generators and/or a back-up battery for the alarm system and other monitoring systems?	Chose an item.	
22	Are there quarterly maintenance inspections on all security devices? Maintenance Log must be maintained.	Chose an item.	
23	Are private passenger vehicles prohibited from parking in cargo handling and storage areas?	Chose an item.	
24	Is lighting provided to cover entrances, exits, cargo handling / storage areas, docks, fence lines, and parking areas?	Chose an item.	

25	Is the lighting sufficient to provide adequate video surveillance images?	Chose an item.	
26	Does the facility have back up power and/or an alarm to notify staff of power losses?	Chose an item.	
Comments:			

Physical Access Controls

Item #	Section/Control Description	Yes, No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers
27	Is there a workforce identification and credential system that identifies, records, and controls individual's access to the facility perimeter and any controlled interior areas? <i>Individuals should only be granted access to the secure areas needed for performance of assigned duties or areas of responsibility.</i>	Chose an item.	
28	Are employees issued a building access card?	Chose an item.	
29	Do employees have photo identification cards?	Chose an item.	
30	Are there access control procedures for the facility documented?	Chose an item.	
31	Do employees wear uniforms?	Chose an item.	
32	Does the procedure cover control, issuance, removal, and changing of access devices or privileges? Example: job changes, terminations	Chose an item.	
33	Are locks changed when employees with keys resign or are terminated?	Chose an item.	
34	If electronic system is used, is the alarm code changed?	Chose an item.	
35	Are controls in place to prevent unauthorized physical access to computer/server rooms?	Chose an item.	
36	Does the facility control the issuance of building keys by means of a log book. Are keys are recovered from employees when terminated/employee resigned?	Chose an item.	
37	Does the facility inspect employees entering the building?	Chose an item.	

38	Does the facility restrict what employees/visitors can bring into the facility?	Chose an item.	
39	Are visitors screened before entering the facility?	Chose an item.	
40	Is there formal in/out registration log for visitors?	Chose an item.	
41	Does an authorized employee escort visitors while they are in the facility? Note: This includes all vendors and contractors.	Chose an item.	
42	Does the access control process identify all non-workforce visitors such as truck drivers, service providers, guests, or vendors? <i>This includes verification of photo-ID (for people not known to their host), and a visitor log including name of host, date / time of arrival / time of departure.</i>	Chose an item.	
43	Do visitors display a visible visitor badge or identification?	Chose an item.	
44	Are there security measures in place to prevent unauthorized persons from entering production, assembling, packaging and stock areas?	Chose an item.	

Comments:

Personal Security

Item #	Section/Control Description	Yes, No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers
45	Consistent with country and local laws, are pre-employment background checks conducted?	Chose an item.	
46	Does the facility conduct random periodic background checks on select employees based on cause or sensitivity of employee's position?		
47	Is access to company systems removed when employees are terminated? <i>Please describe termination procedure, exit checklist, and the process to return keys/access devices and deactivate system access.</i>	Chose an item.	

Comments:

General Security Procedures: Are there procedures to address the following?

Item #	Section/Control Description	Yes, No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers
48	Workforce reporting of suspicious people or activities?	Chose an item.	
49	Managing security incidents?	Chose an item.	
50	Inspect, test, repair, and replace non-functioning, damaged, or missing security devices?	Chose an item.	
51	Ensure all shipping information is legible, complete, accurate, and protected against unauthorized changes or sharing?	Chose an item.	
52	Ensure all cargo is accurately described, counted, weighed, and marked properly?	Chose an item.	
53	Identify, investigate, and resolve shortages or overages at point of stuffing (Example: checking manifests, purchase orders)?	Chose an item.	
54	Recognize compromised seals and notify local security or law enforcement if illegal or suspicious activity is detected?	Chose an item.	
55	Ensure security alarms (if used) are immediately received and responded to? <i>For example: documented alarm response protocols for on-site security guards, site personnel, contacts to police, etc.</i>	Chose an item.	
Comments:			

Information Security

Item #	Section/Control Description	Yes, No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers
56	Is there training on password protection and general information security?	Chose an item.	
57	Are passwords specific / unique to individuals (i.e. not shared)?	Chose an item.	
58	Are passwords periodically changed?	Chose an item.	
59	Is access to business / customer data (either electronic or paper forms) limited to those in specific roles?	Chose an item.	

60	Are controls in place to prevent unauthorized access to computer systems (i.e. user passwords, system firewalls, virus protection, and secured servers)?	Chose an item.	
61	Are there IT Security Policies and standards in place?	Chose an item.	
62	Is there a system to identify IT abuses, including tampering or altering business data?	Chose an item.	
63	Are there appropriate disciplinary actions for IT abuses?	Chose an item.	

Comments:

Shipping and Receiving

Item #	Section/Control Description	Yes, No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers
64	Are there security controls in place to prevent introduction of unauthorized material into the receiving area?	Chose an item.	
65	Is the receiving area segregated from the shipping area?	Chose an item.	
66	Are materials and/or products components stored in a separate location from the area where finished products are stored?	Chose an item.	
67	Are security seals placed on arriving/departing containers/trucks?	Chose an item.	
68	Are full /empty containers stored door to door to prevent access?	Chose an item.	
69	Are seals verified at the time of loading/unloading?	Chose an item.	
70	Is there a security seal control record in place?	Chose an item.	
71	Is a photo taken of the seal?	Chose an item.	
72	Do all seals meet or exceed the current PAS ISO 17712 standards for high security seals?	Chose an item.	
73	Does security monitor loading and unloading of cargo?	Chose an item.	
74	Are containers inspected for damage and contamination before loading?	Chose an item.	
75	Are trucks locked after loading is completed?	Chose an item.	

Comments:

Security Training and Threat Awareness

Item #	Section/Control Description	Yes, No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers
76	Is there basic security awareness training for the general workforce? <i>Examples may include: reading procedures, on-line training, classroom training, tests or exercises, and bulletin boards/posters.</i>	Chose an item.	<i>Please describe.</i>
77	Does the training cover how to address and report unauthorized access and other security incidents?	Chose an item.	<i>Please describe.</i>
78	Is there specific training for the shipping/receiving/warehouse workforce that focuses on dock and warehouse access, inspection/recognition/reporting of unauthorized cargo, piece count, document and manifest review, etc.?	Chose an item.	<i>Please describe.</i>
79	Is the training provided to the employees on an annual basis?	Chose an item.	<i>Please describe.</i>
80	Does the facility have written policies and procedures which clearly outline security requirements?	Chose an item.	<i>Please describe.</i>
81	Does the facility offer special incentives to employees for reporting suspicious activity?	Chose an item.	<i>Please describe.</i>
Comments:			

Human Trafficking and Forced Labor

Item #	Section/Control Description	Yes, No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers
82	Business and Employee Records Are records kept for permanent and commissioned workers (payroll, time cards, age documentation, training records)?	Chose an item.	<i>Please describe:</i>
83	Do managers verify the age of workers, and communicate age restrictions for assistants?	Chose an item.	<i>Please describe:</i>
84	Wage and Hours of Work <i>Respecting wage and hour laws help ensure workers remain motivated and productive.</i> Are minimum wage laws respected with respect to all workers? Are permanent and commissioned workers paid the same for regular and overtime work?	Chose an item.	<i>Please describe:</i>
85	Do workers get paid for all time worked? Are all mandated social benefits provided?	Chose an item.	<i>Please describe:</i>
86	Does the Company refrain from deducting worker wages for lost product	Chose an item.	<i>Please describe:</i>

	or otherwise causing works to be indebted?		
87	Do workers receive pay slips clearly stating hours worked and wages earned?	Chose an item	
88	What is the general work day? Are there legal requirements for the hours of work, overtime and rest day requirements?	Chose an item	<i>Please describe.</i>
89	Health and Safety <i>Maintain a safe and healthy workplace protect workers as well as product</i> Do workers (regular, contract and migrant) receive health and safety training and functional personal protective equipment (reflective vests, safety shoes, gloves for sorting, etc.) ?	Chose an item	<i>Please describe.</i>
90	Is safety equipment functional and safe (breaks, handles, reflectors, etc.)?	Chose an item	<i>Please describe.</i>
91	Are workers' loads within safe limits?	Chose an item	<i>Please describe.</i>
92	Are first aid kits available and stocked?	Chose an item	
93	Is the company prepared for a fire emergency?	Chose an item	<i>Please describe.</i>
94	Are storage areas clean, isles clear, cases stocked to acceptable height to avoid failing?	Chose an item	
95	Is the working area properly ventilated?	Chose an item	
96	Other Potential Issues Does the company prohibit verbal or physical abuse or harassment?	Chose an item	
97	Do workers have a mechanism to express grievances?	Chose an item	<i>Please describe.</i>
98	Recruitment <i>The Company should formalize armaments with licensed recruitment agencies to avoid fraudulent practices</i> Is there a policy that sets out allowable fees and who is responsible party for e.g., recruitment, fees, renewal, work, or exit?	Chose an item	<i>Please describe.</i>
99	Is the use of subagents prohibited?	Chose an item	<i>Please describe.</i>
100	Does the company ban recruitment or transport of workers by threat, force, coercion, deception or induction?	Chose an item	<i>Please describe.</i>
101	Are all employment fees paid by employer/the company?	Chose an item	<i>Please describe.</i>
102	Passports <i>Workers should have full control over or access within 24 house to their passport and similar documentation to ensure mobility is not restricted</i> Do the immigrant workers maintain access of their passports or similar documentation?	Chose an item	<i>Please describe.</i>

103	<p>Employment Terms Workers should be provided employment terms in advance of employment to avoid deception or misunderstanding which may result in forced labor situation</p> <p>Are the terms of employment communicated in the local language?</p>	Chose an item	Please describe.
104	Does the company ensure that no additional terms or requirements are assigned after the employment contract is signed?	Chose an item	Please describe.
105	Are workers paid directly at least the legal minimum wage for hours worked and legally mandated benefits?	Chose an item	Please describe.
106	Is there a clear process to ensure workers are not discriminated against?	Chose an item	Please describe.
107	Is the safe and timely return of migrant workers with all pay/benefits guaranteed?	Chose an item	Please describe.
108	<p>Work Environment Are work hour regulations complied with?</p>	Chose an item	Please describe.
109	Are migrant workers treated equally in promotion, compensation, dismissal or other employment decisions?	Chose an item	Please describe.
110	Do workers bring their own children to the work site?	Chose an item	Please describe.
111	Do contract workers performing core jobs receive similar benefits and pay as regular workers?	Chose an item	Please describe.
112	<p>Hiring Does the company require proof of age and retain documentation for hired workers?</p>	Chose an item	Please describe.
113	Does the company has a verification process to engage only reputable contract labor agencies (business license available, demonstrates legal and compliance, etc.)?	Chose an item	Please describe.
114	If contract labor is used, do both the company and the contracting agency have copies of the proof of age documentation?	Chose an item	Please describe.
115	Does the company have a process to check IDs to eliminate underage workers?	Chose an item	Please describe.
116	Does company only use its own employees in key jobs?	Chose an item	Please describe.
117	Do contract workers represent less than 30 percent of the workforce?	Chose an item	Please describe.
118	Do contract and migrant workers have unrestricted access to restrooms, first aid and canteens?	Chose an item	Please describe.

Insurance

Item #	Section/Control Description	Yes, No or N/A	Description of Procedure or Explanation of any "No" or 'N/A' Answers
119	Is your facility insured by any independent insurance company?	Chose an item.	<i>If, so please provide the name of the insurance company and policy number:</i>
120	Has the insurance company inspected the facility and its security systems?	Chose an item.	<i>If yes, please provide us with a copy of the latest inspection report.</i>

Resources: CTPAT Resource Library and Job Aids <https://www.cbp.gov/border-security/ports-entry/cargo-security/c-tpat-customs-trade-partnership-against-terrorism/c-tpat-resource-library-and-job-aids>

Certification of Information Accuracy:

The undersigned certifies that the answers to this C-TPAT Questionnaire and any attached documents are true and accurate and up-to-date. If any answer is false, the undersigned agrees that Konica Minolta may immediately terminate any contracts it may have with the undersigned without penalty.

[VENDOR'S NAME]

By: _____

Date: _____

Name: _____

Title: _____