

Supplier Security Questionnaire of

*(Enter Company Name Here)*

Revision: August 2020

**Supplier Security Questionnaire**

(One required per facility)

Dear Fellowes’ Partner,

As Fellowes Inc. continues to expand in the global trade community, we must also enhance our security by increasing security awareness throughout Fellows international supply chain. To assess the level of security that exists within your operation and to ensure that all cargo imported by Fellowes Inc. and its subsidiaries is effectively controlled, admissible and properly entered, it is required that you complete the following questionnaire.

The attached questions are based on security guidelines set forth by the international trade community. Fellowes Inc. will use these questions to ensure security standards are in place in the following areas:

1. Business Partners Requirements

2. Container and Cargo Security

3. Physical Access Controls

4. Personnel Security

5. Procedural Security

6. Physical Security

7. Information Technology Security

8. Training and Threat Awareness

9. Agricultural Procedures

One questionnaire per factory or facility is required to be completed.

It is critical that the Security questionnaire is thoroughly and accurately completed and sent to your contact at Fellowes Inc. **This questionnaire must be completed and approved by the Compliance team before Fellowes Inc. submits a Purchase Order to the supplier.**

If a supplier has any questions or concerns regarding this questionnaire, please contact the Compliance team at [CCompliance@fellowes.com](mailto:CCompliance@fellowes.com).

Thank you for your support

Fellowes Global Customs and Compliance

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| **Company Information** |

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| --- | --- |
| Supplier Name (English):  供应商名称（英文） | *Enter Company Name Here* |
|  |  |
| Factory Location (English):  工厂所在地（英文） | *Enter Location Here* |
|  |  |
| China Customs Registration Number:  中国海关注册号（英文） | *Enter Registration Number Here* |
|  |  |
| Questionnaire Completion Date:  问卷完成日期 | *Click here to enter a date* |
|  |  |
| Questionnaire Completed By (Print Name):  问卷完成了（打印姓名） | *Enter Your Name Here* |
|  |  |
| Questionnaire Completed By (Signature):  问卷完成了（签名） |  |
|  |  |
| Contact email:  联系电子邮件 | *Enter Your email Here* |
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| Chop Required for Asian Suppliers: |  |

**Pictures required where indicated by camera icon:**

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| **Security Section 1: Business Partners Requirements** |

*The Supplier must have written and verifiable processes for the selection of business partners including; highway carriers, product and part suppliers, sub-contractors & logistics providers.*

1. Does your company have written and verifiable processes for the selection of business partners, including carriers, other product and parts suppliers, and vendors? *Select One*

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| **Security Section 2: Container and Cargo Security** |

**Container Security:**

*Container integrity* ***must*** *be maintained to protect against the introduction of unauthorized material and/or persons. Procedures must be in place to verify the physical integrity of the ocean container structure prior to loading.*

1. Does this facility receive empty ocean containers/trailers/rail cars for packing? *Select One*

If yes,

* 1. Describe what procedures are in place to prevent unauthorized access to these ocean containers while at your facility? *Click to enter data*
  2. Are these procedures expressly written? *Select One*

1. Are containers stored in a secure area to prevent unauthorized access? *Select One*
   1. Please describe how containers are stored at your facility: *Click to enter data*
   2. Does your company have written procedures for container storage? *Select One*
2. Does your company store containers overnight? *Select One*
3. Does the security guard, receiving department or other department at your company have prior notice before an ocean container arrives at your facility? *Select One*
4. When a driver arrives at your facility, does he show a shipment order or other document that shows the ocean container number and the seal number? *Select One*
5. Is there a designated employee supervising the unloading and loading of cargo at this facility? *Select One*
6. Describe how the unloading and loading of cargo is supervised? Please be specific and detailed:
   1. Incoming: *Click to enter data*
   2. Outgoing: *Click to enter data*
7. Do you take pictures of the loaded ocean containers? *Select One*

If yes, how often do you take pictures of the ocean containers? *Click to enter data*

1. Does your facility keep a log/record of all ocean container numbers for incoming/outgoing shipments? *Select One*

If yes, does the container log include customer’s purchase order number? *Select One*

1. Are Procedures in place to verify the physical integrity of container prior to loading? *Select One*
   1. If yes, does the container inspection process include the recommended C-TPAT 7-point container inspection? *Select One*

• Undercarriage

• Outside/Inside Doors

• Right Side

• Left Side

• Front Wall

• Ceiling/Roof

• Floor

* 1. Is the inspection performed in an area of controlled access and, if available, monitored via a CCTV system? *Select One*

1. Do you have written procedures for inspecting the container? *Select One*
2. Do you have written procedures for inspecting the locking mechanisms on the container doors to make sure they are secure? *Select One*

If yes, please describe: *Click to enter data*

1. Does this facility have procedures for reporting cases in which unauthorized personnel, un-manifested material, or signs of tampering, are discovered in containers? *Select One*

If yes,

* 1. Describe: *Click to enter data*
  2. Who receives these types of issues? *Click to enter data*

1. Are Procedures in place to track and monitor shipments by logs, reports, GPS, radios, etc.? *Select One*

**Seal Security:**

*Written procedures must stipulate how seals are to be controlled and installed to loaded ocean containers - to include procedures for recognizing and reporting compromised seals and/ or ocean containers to US Customs and Border Protection, or the appropriate foreign authority.*

1. Do you have a designated employee(s) to distribute ocean container seals? *Select One*
2. What department is responsible for managing ocean container seals? *Click to enter data*
3. Do freight carriers provide your facility with the ocean container seals to install on loaded containers? *Select One*
4. Do the ocean container seals used by your company meet or exceed the current PAS ISO 17712 standards for high security seals? *Select One*
5. Does your company have written procedures that indicate how seals should be controlled and installed to loaded containers? *Select One*
6. Does your company verify that the right ocean container seal is recorded on your shipping document? *Select One*

If yes, please describe how: *Click to enter data*

1. Do you have written procedures for recognizing and reporting defective ocean container seals to the appropriate authority? *Select One*

If yes,

1. Please describe the procedure: *Click to enter data*
2. Who is the appropriate authority you report container seal issues to? *Click to enter data*
3. Does your facility maintain a log or record of all ocean container seal numbers for both incoming and outgoing shipments? *Select One*

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| **Security Section 3: Physical Access Controls** |

*Access controls prevent unauthorized entry to facilities, maintain control of employees and visitors, and protect company assets. Access controls must include the positive identification of all employees, visitors, and vendors at all points of entry.*

**Employees:**

1. Are employees issued an ID card? *Select One*

If yes, what department issues the ID cards? *Click to enter data*

1. Are employees required to show an identification card when entering your facilities? *Select One*
2. Are employees’ ID cards assigned according to functional area or Department? *Click to enter data*
3. Are employees required to wear ID cards while on site? *Select One*
4. Are temporary employees issued an ID card? *Select One*
5. Is every unauthorized access attempt investigated? *Select One*

If yes, please describe how: *Click to enter data*

1. Are employees required to return ID cards upon termination? *Select One*

If yes, does your company have written procedures in place for the return of ID cards upon employee termination? *Select One*

1. Does your company have restrictions on items or containers that employees, visitors, or vendors may carry in or out of the facility? *Select One*

If yes, please describe the restrictions: *Click to enter data*

1. Are employee’s vehicles issued parking permits? *Select One*

If yes, are these parking permits displayed on the employee’s vehicles? *Select One*

1. Do you have written procedures for the issuance, removal and changing of building access devices (such as keys, key cards, etc.? *Select One*

**Visitors and Vendors**

1. Are all visitors and vendors required to present photo identification to enter your facility? *Select One*
2. Please describe how vendors identify themselves upon arrival to your facility: *Click to enter data*
3. Are visitors identified and controlled using a tracking system such as a paper or electronic visitor’s log? *Select One*

If yes, please explain method of identification and control: *Click to enter data*

1. Are all visitors and vendors required to be signed in and signed out on a documented log? *Select One*

If yes, approximately how long is the log maintained for: *Click to enter data*

1. Are visitors issued special ID’s that identify them as visitors? *Select One*
2. What department issues the temporary ID card to the visitor/vendor: *Click to enter data*
3. Are all visitors and vendors required to visibly display temporary identification at all times? *Select One*
4. Are all visitors and vendors accompanied by an authorized employee while at your facility? *Select One*
5. Are supplier or vendor delivery drivers required to present photo identification? *Select One*
6. Is there a special area for visitor parking only? *Select One*
7. Does your company periodically check incoming packages and mail before receiving them? *Select One*

If yes, which department is responsible for screening incoming packages? *Click to enter data*

1. Are procedures in place to identify and question unauthorized/unidentified persons? *Select One*

If yes,

* 1. Please describe: *Click to enter data*
  2. Are these procedures available in written? *Select One*

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| **Security Section 4: Personnel Security** |

*Written and verifiable processes must be in place to screen prospective employees and to periodically check current employees.*

1. Does your company have written procedures for employee selection and hiring? *Select One*
2. Briefly describe your company’s employee hiring process: *Click to enter data*
3. Do you require all prospective employees to fill out an employment application? *Select One*

If yes,

1. Does the company save the completed application form in the hired employees files? *Select One*
2. How many years is the application form saved for? *Click to enter data*
3. Is the information on the application verified? For example prior work history, references, etc. *Select One*

If yes, please briefly describe how the application information is verified: *Click to enter data*

1. Do you check applicant’s criminal history prior to employment? *Select One*

If yes,

1. How many years does your background check cover: *Click to enter data*
2. Do you restrict hiring applicants if they have a criminal history? *Select One*
3. Do you have policies for searching employees, vehicles and personal effects? *Select One*

Are these policies written? *Select One*

1. Do you screen all potential employees for the use of illegal drugs? *Select One*
2. Do you have a procedure for employee termination? *Select One*

If yes, is the procedure to terminate an employee expressly written? *Select One*

1. Do you have a written Employee Manual? *Select One*

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| **Security Section 5: Procedural Security** |

*Security measures* ***must*** *be in place to ensure the integrity and security of processes relevant to the transportation, handling and storage of cargo in the supply chain.*

1. Are all items/pieces marked, weighed, and counted prior to loading into the container? *Select One*
2. Are procedures in place to ensure all information used for shipment of cargo is legible, complete, accurate, and reported in a timely manner (Commercial Invoices, Bill of Lading, Packing List)? *Select One*

If yes,

1. Are these procedures written? *Select One*
2. Please describe the procedures: *Click to enter data*
3. Do you maintain copies of the shipping and cargo documents such as Commercial invoice, Packing List, Bill of Lading, and all other important documents? *Select One*

If yes, how long do you keep copies of the documents? *Click to enter data*

1. Is outbound cargo verified against information on the Purchase Order? *Select One*
2. Is outbound cargo verified against information on the Cargo Manifest? *Select One*

If no, please describe how the outbound cargo is verified to ensure it is the same as the Purchase Order and the Cargo Manifest: *Click to enter data*

1. Is cargo manually counted while loading to the container? *Select One*

If no, please describe the procedure used to count the cargo loaded onto the container: *Click to enter data*

1. Is the cargo accurately described with the weights, labels, marks, and piece count written and verified? *Select One*
2. Are drivers delivering or receiving cargo identified before cargo is received or released? *Select One*

If yes, please describe how the drivers are identified: *Click to enter data*

1. Are procedures in place to ensure that the manifest information transmitted to the carrier is correct? *Select One*

Please describe the procedures: *Click to enter data*

1. Are procedures established to verify the timely movement of outgoing cargo to warehouse or port? *Select One*

If yes, please describe how: *Click to enter data*

1. Is there an employee designed to making sure that the manifest information is complete and accurate? *Select One*
2. Are the transit times of incoming and outgoing cargo monitored and recorded to ensure movement of cargo to port? *Select One*
3. Are shortages, overages, and other significant discrepancies or anomalies in the cargo resolved and/or investigated appropriately? *Select One*

If yes, please describe how: *Click to enter data*

1. Are procedures in place to notify the appropriate law enforcement agencies if illegal or suspicious activities are detected? *Select One*

If yes, please describe: *Click to enter data*

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| **Security Section 6: Physical Security** |

*Physical Security applies to all buildings and rail yards. These should be designed and constructed so as to resist unlawful entry and protect against outside intrusion.*

1. Please provide the English name and the title of the person responsible for security matters within your company: *Click to enter data*
2. Are there security guards at this facility? *Select One*

If yes, are security guards directly contracted by your company? *Select One*

If no, please explain: *Click to enter data*

1. Total number of employees at this facility: *Click to enter data*
2. Total number of employees in the office: *Click to enter data*
3. Total number of employees in the Warehouse and Production: *Click to enter data*
4. Total number of temporary employees under contact: *Click to enter data*
5. Does your facility currently export shipments directly to the United States? *Select One*
6. Does your facility photograph damaged or suspicious shipments? *Select One*
7. How often do you conduct security audits of your facility and processes? *Select One*
8. Are records of internal security audits available for review? *Select One*
9. Has the facility been audited and certified by any customers or qualified 3rd party security organization within the past 12 months? *Select One*

If yes, which customer or organization audited and certified your company? *Click to enter data*

**Intrusion Alarm**

1. Does this facility have an intrusion/security alarm system? *Select One*

If yes, please complete the remainder of this section

If no, skip this section and continue to next subsection: Section 6 – Physical Security – Facility Information.

1. Does the alarm system cover all access points such as pedestrian doors, dock doors, windows, skylights and all other entryways accessible from outside? *Select One*

If the alarm does not cover all entryways accessible from outside, please describe what areas are covered by the alarm system: *Click to enter data*

1. Are the alarms monitored by a 3rd party security organization or by internal employees? *Click to enter data*
2. If the alarm is activated, who does the alarm notify: *Click to enter data*

**Facility Information**

1. In the following section, please provide information about your building(s):

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Building Name or Building Number* | *Type of exterior building construction* | *Total Sq. ft. or meters* | *Total # of Entry/Exit Doors* | **MCj04338730000[1]***Please attach a picture of each building* |
| *Click to enter data* | *Enter Data* | *Enter Data* | *Enter Data* |  |
| *Click to enter data* | *Enter Data* | *Enter Data* | *Enter Data* |  |
| *Click to enter data* | *Enter Data* | *Enter Data* | *Enter Data* |  |
| *Click to enter data* | *Enter Data* | *Enter Data* | *Enter Data* |  |
| *Click to enter data* | *Enter Data* | *Enter Data* | *Enter Data* |  |

1. Is your facility shared with a tenant (another company)? *Select One*

If yes,

1. Is the tenant’s warehouse separated from your facility’s operations? *Select One*
2. Describe how the tenant’s warehouse is separated from your facility’s operations: *Click to enter data*
3. What are the standard hours of operation for the office? *Click to enter data*
4. What are the standard hours of operation for the production/warehouse? *Click to enter data*
5. Is this facility protected by fencing? *Select One*

****If yes,

1. Please include photos of the fence:

  

1. What is the height of the fence: *Click to enter data*
2. Does the fence surround the entire facility? *Select One*
3. Does this facility provide adequate lighting for the entire production, warehouse, and cargo loading area without shadows? *Select One*
4. Does the parking area have lighting for the entire parking area without shadows? *Select One*
5. Is access to the parking area controlled? *Select One*

Is the parking area monitored by surveillance cameras (CCTV)? *Select One*

Is the parking area included in security patrols? *Select One*

1. Does the facility have a backup power generator? *Select One*
2. ****Does the facility maintain locking devices on all doors, dock doors, windows and skylights? *Select One*

Please include photos showing at least 1 example of locking devices:

  

1. Are there controls in place to manage the issuance of locks and keys? *Select One*
2. Are management or security personnel responsible for controlling keys? *Select One*
3. Are there written procedures detailing each step for the issuance and removal of access devices and company property (example: key cards, keys, Identification cards, uniforms, passwords, etc.)? *Select One*
4. Is the cargo handling area separated from other areas (office, production)? *Select One*
5. Please describe how the cargo handling area is protected from unauthorized access: *Click to enter data*

**CCTV**

1. Is the facility covered by Closed Circuit TV (cameras)? *Select One*

If yes, please complete this section

If no, skip this section and continue to next section: Section 7 – Information Technology Security

1. Do the cameras record in color? *Select One*
2. How many cameras does the facility have: *Click to enter data*
3. Are all interior dock doors covered by the CCTV system? *Select One*
4. Are all exits covered by the CCTV system? *Select One*
5. Are employee and visitor entrances covered by CCTV system? *Select One*
6. Is the CCTV system activity monitored by security personnel? *Select One*
7. Is the CCTV system recording 24 hours a day? *Select One*

If no, please explain how many hours a day does the CCTV record: *Click to enter data*

1. Are images recorded and saved? *Select One*

If yes, how long are the recorded images kept for: *Click to enter data*

1. Is the recording equipment stored in an area that is secure and has limited access? *Select One*

Please describe where the recording equipment is stored: *Click to enter data*

1. Is there a written procedure describing the facility security and maintenance plans and procedures (examples: security guards responsibilities, maintenance of cameras and alarms, etc.)? *Select One*

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| **Security Section 7: Information Technology Security** |

*IT security policies, procedures and standards must be in place and provided to employees in the form of training.*

1. Does your company have an IT Department? *Select One*

If no, what department is responsible for Information Technology/Computer Systems security at your company? *Click to enter data*

1. Does your company have a written policy with rules and regulation for employees that use your company’s computer system? *Select One*
2. Does your company use individualized computer password access accounts? *Select One*
3. Does your company have a procedure to change passwords on computer systems for security purposes? *Select One*

If yes, how often does your company require computer password changes? *Click to enter data*

Is this procedure written? *Select One*

1. Is your computer system protected by anti-virus software? *Select One*
2. Does your company provide training to employees on Information Technology Security? *Select One*
3. Is there a system in place to identify improper access, tampering, or altering of business data? *Select One*

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| **Security Section 8: Security Training and Threat Awareness** |

*Security Awareness Training should be provided to employees including the recognition of internal conspiracies, maintaining cargo integrity, and determining and addressing unauthorized access. These programs should offer incentives for active employee participation in security controls.*

1. Are new employees provided security awareness training upon hire? *Select One*
2. Does your company have a Code of Conduct or Employee Handbook/Manual with company policies? (See Section 4, Question 9) *Select One*
3. Are security violations reported? *Select One*

If yes, which department are the violations reported to? *Click to enter data*

1. Do employees have access to written security policies? *Select One*
2. Are emergency contact numbers provided to all employees? *Select One*
3. What department is responsible for security training? *Click to enter data*
4. What type of security training material are used (video, presentation, printed materials, other)? *Click to enter data*
5. Does the company training program include Cargo Security guidelines such as C-TPAT or other security programs (Authorized Economic Operator – AEO)? *Click to enter data*
6. Is all training documented? *Select One*

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| **Security Section 9: Agricultural Procedures** |

*Pest contamination – The International Maritime Organization defines pest contamination as visible forms of animals, insects or other invertebrates (alive or dead, in any lifecycle stage, including egg casings or rafts), or any organic material of animal origin (including blood, bones, hair, flesh, secretions, excretions); viable or non-viable plants or plant products (including fruit, seeds, leaves, twigs, roots, bark); or other organic material, including fungi; or soil, or water; where such products are not the manifested cargo within instruments of international traffic (i.e. containers, unit load devices, etc.).*

1. Are cargo staging areas, and the immediate surrounding areas, inspected on a regular basis to ensure these areas remain free of visible pest contamination? *Select One*

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| **Additional Comments, Concerns, Recommendations** |

*Please provide any additional information you believe Fellowes Inc. should be notified of*

*Click to enter data*

*Fellowes Inc. use only*

The below must be completed by the Global Customs and Compliance Agent prior to vendor setup in Oracle.

This Supplier Security Questionnaire conforms to the C-TPAT minimum security criteria as required by the U.S. Customs & Border Protection Agency. Based on the responses in this form, this supplier meets the minimum security requirement and is approved for vendor setup in Oracle.

Fellowes’ Global Customs & Compliance Agent