Supplier Registration: Trade Compliance

KOHLER®
Supplier Management Platform
powered by *JAGGAER*

Getting Started
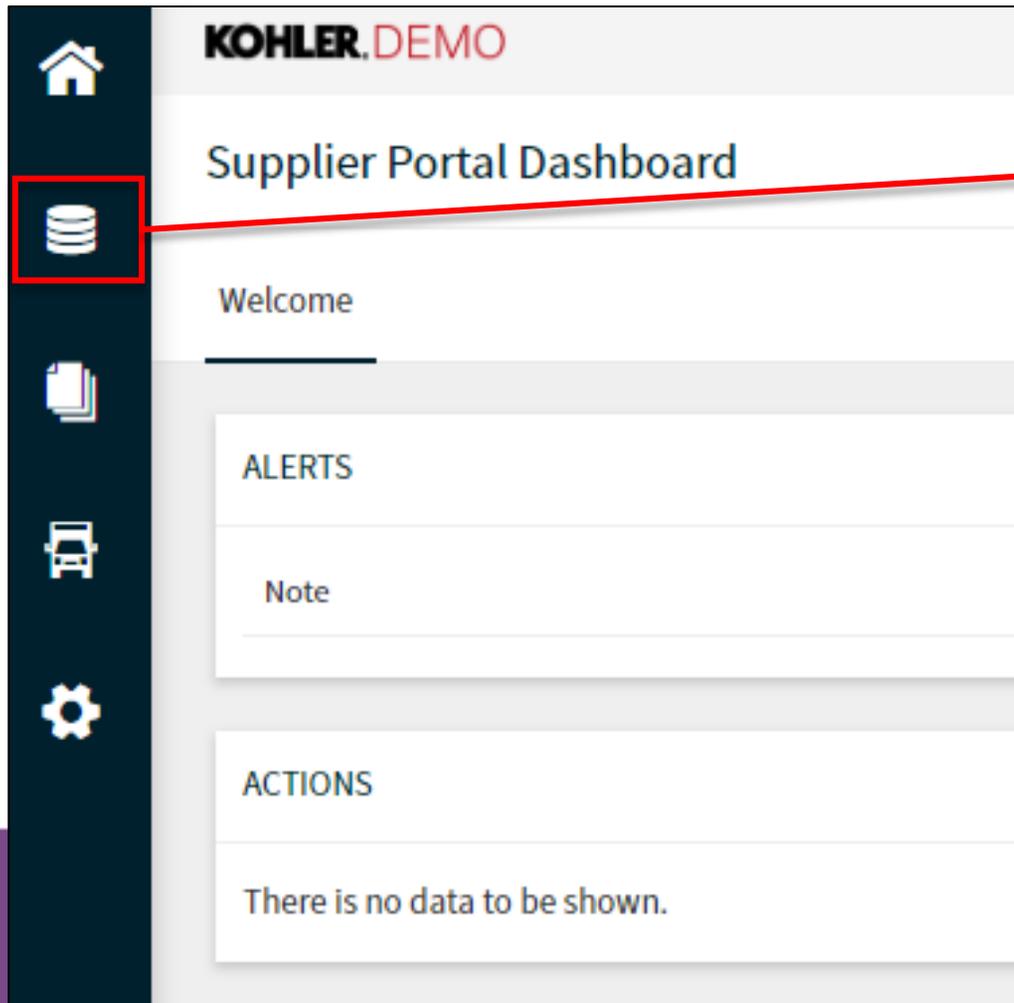
From the Home Page of the Supplier Portal Dashboard, Click the Master Data symbol.

Select "Company Profile"

Getting Started

KOHLER.DEMO

Profile

Save   Publish

General   Business   Products   Certifications   Quality   Logistics   **Trade Compliance**

Please fill ALL mandatory fields in ALL categories before clicking 'Publish'!
Sections containing empty mandatory fields:

- Business
- Certificates
- Trade Compliance
- General

Mandatory fields filling progress: 0%

Trade Compliance

Select **Trade Compliance**

Remember to frequently click **SAVE** to avoid losing any information

REMINDER

ALL QUESTIONS REQUIRE AN ANSWER:

Yes
or
No
or
N/A
(if this question does not apply to your company or you are unsure)

If you leave any questions blank or unanswered you will not be able to complete the registration!

NAFTA Compliance

NAFTA

Request for NAFTA Certificate of Origin. Canada, Mexico and the United States have established a uniform Certificate of Origin to certify that goods imported into their territories qualify for the preferential tariff treatment accorded by the NAFTA. Only importers who possess a valid Certificate of Origin may claim preferential tariff treatment for originating goods.

Is the company NAFTA compliant?*   Yes ▼

Please attach NATFA documents here: Choose File | No file chosen

Expiration Date Y-m-d

IF NO:
Select "NO" and move on to next question

IF YES:
Select "YES"
Attach NAFTA documents below and provide expiration date

C-TPAT

C-TPAT

This C-TPAT questionnaire is a part of Kohler's membership in the Customs-Trade Partnership Against Terrorism. It requires suppliers that import goods into the United States to submit details on physical access controls, personnel security, procedural security, and conveyance security.

Will Kohler be importing goods from supplier into the United States?   Yes ▼

IF NO:
Select "NO" and move on to next question

IF YES:
Select "YES"
Scroll down to answer additional questions

Part 1: C-TPAT

IF YES:
List SVI # or AEO certificate # and issuing government

IF NO:
Select "NO" and move on to next question

BACKGROUND

1. Is your company currently a certified C-TPAT OR AEO member? `Yes ▾`

If yes, list SVI # for C-TPAT or AEO certificate number and issuing government.

2. Do you ship merchandise to Kohler from more than one facility? `Yes ▾`

If yes, how many?

3. How long have you been doing business with Kohler? 123

If it does not apply to your company:
Select N/A

Part 2: C-TPAT

IF YES:
List how many facilities

IF NO:
Select "NO" and move on to next question

BACKGROUND

1. Is your company currently a certified C-TPAT OR AEO member? `Yes ▼`

If yes, list SVI # for C-TPAT or AEO certificate number and issuing government.

2. Do you ship merchandise to Kohler from more than one facility? `Yes ▼`

If yes, how many?

3. How long have you been doing business with Kohler? 123

If it does not apply to your company:
Select N/A

General Security

Read all **"General Security"** Questions carefully and answer to the best of your ability

GENERAL SECURITY

Kohler business partners and factories are responsible for ensuring that they have business practices in place that promote supply chain security.

4. Do you maintain a written and verifiable policy and procedure manual (or an index of security related documents) in a central location that include all the criteria outlined in the Kohler CTPAT Supply Chain Expectations document?

5. Do you maintain a central "Security Incident Database" that records all security incidents?

6. Is management aware of and responsible for the enforcement, updates, and audit of all policies and procedures as a part of their daily management practices?

7. Do you maintain written and verifiable procedures for the screening and selection of business partners?

8. Is there supply chain security risk criteria that must be satisfied during the screening of business partners to ensure transportation and cargo security?

9. Do you have a procedure to determine a service provider's financial soundness and ability to meet contractual security requirements, and the ability to identify and correct security deficiencies as needed?

10. Do you conduct periodic reviews of business partners' processes and facilities based on risk?

11. Do you maintain a list of all suppliers, service providers, and subcontractors that manage and/or handle Kohler products including their name and physical address?

13. Are there variations of security and threat awareness training that is provided based upon job function? (i.e. shipping/receiving, administrative employees, etc)

14. Are any of the following mechanisms used to notify employees of security-related issues: digital message boards, CCTV monitors, e-mail notifications, website, etc.?

15. Do you offer incentives to employees who actively participate in security controls?

16. Is a training log kept to document any and all security and threat awareness training that is provided?

17. Do you offer a means for employees to communicate illegal or suspicious activity wihtout jeopardizing their job or face harassment, and is this means for anonymous communication posted for employees to see?

18. Do you maintain a current employee file, for all employees, that includes all standard employment docuentation per local labor laws?

19. When screening and interviewing prospective employees, do you conduct application verifications such as background checks and reference checks?

20. For existing employees, do you conduct periodic background checks and screening?

21. Are there written personnel termination procedures in place?

22. Is there a written termination checklist and/or property return checklist in place?

23. Are arriving packages and mail periodically screened before being distributed?

IF YES:
List how many facilities

IF NO:
Select "NO" and move on to next question

Physical Security

Read all **"Physical Security"** questions carefully and answer to the best of your ability

PHYSICAL SECURITY - SECURE ACCESS CONTROLS

The facility must be secured from unauthorized access at all times by electronic and/or physical means (e.g., alarm systems, video surveillance, security guards, guard dogs, etc.).

24. Is the facility constructed of materials that resist unlawful entry, and is the integrity of your facilities' structure inspected annually?

27. If the entire property is not covered, what percentage is inside the fence or physical barrier?

28. Is all fencing regularly inspected for integrity and damage?

29. Are locks or secure access points installed on all external access points (i.e. doors, gates, etc)?

30. Are locks or secure access points installed on all internal access points (i.e. doors, gates, etc)?

31. Do your facilities have an intruder alarm system? Is it on all external access points or both external and internal?

32. Are all employee entrances secured by controlled access points?

33. Can visitors enter your facilities by more than one entrance?

34. Are the gates through which vehicles and /or personnel enter or exit manned and/or monitored?

35. Is there functional lighting both inside and outside the facility that covers entrances, exits, handling areas, storage areas, fence lines and parking areas?

36. Do video surveillance security cameras have the capability to scan the entire property?

37. Do video surveillance security cameras record activity?

38. Do your facilities have security guards?

39. Do written post orders/standard operating procedures exist for the security guards?

40. Do guards receive site-specific training?

41. Do your facilities have a communication system to contact internal security personnel or law enforcement?

42. Do you use employee identification badges for the purpose of access control?

43. Are there written procedures for the issuance, removal, and changing of access devices for all employees (e.g. badges, keys, key-cards, etc.)?

44. Are employees only given access to those secure areas necessary for the performance of their duties?

45. Does the company have written procedures to prohibit unauthorized access to the facility, including the shipping, loading dock, and cargo areas? (i.e. badge access control system)

46. Does a written procedure exist for identifying and challenging unauthorized/unidentified persons?

47. Are all visitors required to present photo identification for documentation purposes upon arrival?

48. Are all visitors and vendors recorded and tracked through the use of a log book/tracking system and provided temporary identification badges upon arrival?

50. Are the employee and visitor parking areas separate from the shipping, loading docks and cargo areas?

51. Do you have written procedures for issuing parking passes to employees, in order to monitor which cars in the parking lot belong to employees?

 # 27: If entire property is not covered, please inform what percentage IS inside fence/barrier.

IF YES: List how many facilities

IF NO: Select "NO" and move on to next question

Part 1:
Container & Procedural Security

Read all **"Container and Procedural Security"** questions carefully and answer to the best of your ability

CONTAINER AND PROCEDURAL SECURITY

The physical integrity of shipping containers must be maintained to protect against the introduction of unauthorized material and/or persons. Written and verifiable procedures must be in place to ensure the integrity of the cargo is protected during the loading of the container.

52. Is a seven-point inspection process in place for inspecting all containers/trailers entering and leaving your facility that are destined for the U.S. (i.e. inspecting locking mechanisms, front wall, left side, right side, floor ceiling/roof, inside/outside doors, outside/undercarriage)?

54. At the time of loading the container or trailer, are the warehouse manager, shipping supervisor, or security guard present to ensure only authorized personnel are present?

55. Is there a separate waiting area for truck drivers that would prevent access to a restricted area?

56. Are all containers bound for Kohler sealed with seals that meet or exceed the current PAS ISO 17712 standard for high-security seals?

57. Are only designated employees authorized to distribute high security bolt seals?

58. Are written procedures in place for recognizing and reporting compromised seals and containers? .

59. Are high security bolt seals kept in a secure (locked) location?

60. Is there an inventory log in place to establish a chain of custody for high security bolt seals?

62. Are seals inspected prior to use to ensure seal integrity? Inspection should include View/Verify/Tug/Twist (VVTT) process.

IF YES:
List how many facilities

IF NO:
Select "NO" and move on to next question

Part 2:
Container & Procedural Security

Read all **"Container and Procedural Security"** questions carefully and answer to the best of your ability

63. Are seal numbers recorded on the shipping documentation that is retained? --- ▼

64. Do you take photographs of the closed containers and their seals prior to their departure from your facility? --- ▼

65. Are empty and full containers stored in a secured area to prevent unauthorized access or manipulation? --- ▼

66. Are all drivers delivering or receiving cargo from your facility required to be positively identified before cargo is released? --- ▼

67. Are seals verified against documents at the time of departure from your facility? --- ▼

68. Do you use a special compressed packaging material that once opened, can be easily identified that it was compromised? --- ▼

69. Do you have written procedures to protect against the introduction of unmanifested material into containers entering or leaving your facility? --- ▼

70. Are there surveillance cameras present around the loading areas? --- ▼

71. Is cargo verified at the time of loading against purchase or delivery orders? --- ▼

72. Are photographs taken at the time of container/trailer loading? --- ▼

73. Do you train shipping/receiving employees on what to look for and how to report cargo security breaches to management? --- ▼

74. Does your company periodically rotate shipping, receiving, and inventory management personnel in order to prevent collusion? --- ▼

IF YES:
List how many facilities

IF NO:
Select "NO" and move on to next question

Conveyance Security

Read all **"Conveyance Security"** questions carefully and answer to the best of your ability

CONVEYANCE SECURITY

75. Do you have written procedures to ensure your merchandise sent to Kohler is properly marked or documented and that complete shipping documentation is sent?   `Yes ▾`

76. Do you ensure that all carriers that you select that transport your merchandise to Kohler have conveyance inspection security procedures?   `Yes ▾`

77. Do you ensure that all carriers you select that transport your merchandise to Kohler have tracking and monitoring procedures that include electronic means for tracking the movement and activity of the conveyance while in transit?   `Yes ▾`

IF YES:
List how many facilities

IF NO:
Select "NO" and move on to next question

IT Security Questions

Read all "**IT Security**" questions carefully and answer to the best of your ability

IT SECURITY

Ensure that all confidential business data is protected to prevent unauthorized access to shipping data and documents.

83. Are there written procedures for protecting the integrity of IT/Operating systems?

84. Do all IT/Operating systems use individually assigned accounts that require a periodic change of passwords?

85. Is there an electronic communications policy and training program in place to protect against improper access, tampering or alteration of business data as well as system abuse or misuse?

86. Do written procedures provide for disciplinary actions for system abuse or misuse?

IF YES:
List how many facilities

IF NO:
Select "NO" and move on to next question

Save and Publish

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Profile

Save · Publish

General · Business · Products · Certifications · Quality · Logistics · **Trade Compliance**

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86. Do written procedures provide for disciplinary actions for system abuse or misuse? — Yes ▾

Click SAVE in top right corner before continuing to another tab. Click PUBLISH in top right corner once complete.

Confirm that ALL your company's information is correct

Click SAVE and PUBLISH

Reminder

Save – Clicking Save does not send any data to Kohler, it simply saves your entries so you don't lose your progress next time you login.

Publish - Clicking Publish will save your entries to your profile and send this data over to Kohler. You will still be able to make changes after clicking publish.

YOU MUST CLICK **PUBLISH** if you want Kohler to receive any of your information

This completes the guide on: Trade Compliance

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