FEDERAL-MOGUL POWERTRAIN

Supply Chain Security Questionnaire

Section 1: Company Information		

Company Name: _____

Preparer's Name: _____ **Title:** _____

Phone: _____ **E-Mail Address:** _____

Date Completed: _____

Company Address: _____

City: _____ **State:** _____ **Postal Code:** _____ **Country:** _____

DUNS Number: _____ **MID Number:** _____

Is the company public or private? If private, list majority owner(s) (holding over 10% ownership): _____

_____

_____

Indicate Type(s) of Business (Check all that apply):

- [ ] Importer
- [ ] Exporter
- [ ] Consolidator
- [ ] Sea Carrier
- [ ] Broker
- [ ] Mexican Long Haul Highway Carrier
- [ ] Other: _____

- [ ] Foreign Manufacturer
- [ ] 3PL
- [ ] Air Carrier
- [ ] US Marine Port or Terminal Operator
- [ ] Foreign Based Marine Port Terminal Operator

- [ ] Highway Carrier
- [ ] Warehouse
- [ ] Rail Carrier

Indicate if your company participates in any of the following programs (check all that apply):

- [ ] CTPAT: Customs Trade Partnership Against Terrorism

- [ ] PIP: Partners In Protection (Canada)

- [ ] AEO/OEA: Authorized Economic Operator (check only if AEO-S or AEO-F)

- [ ] Federal-Mogul is monitoring your company's CTPAT status using the portal?

**CTPAT, PIP, AEO-F or AEO-S approved/certified companies do not need to complete the remaining sections of this questionnaire.**

**INSTRUCTIONS:**

1. Enter a response to each question below using one of the following:
   Yes: The practice or procedure is firmly in place.
   Partially: The practice or procedure is partially in place.
   No: The practice or procedure is not in place.
   N/A = Not Applicable: The practice does not apply

2. Provide any additional information in the "Comments" box. If additional space is needed to fully respond, please attach a separate sheet, referring to the section number and question number.

3. Return the completed form to PowertrainCustoms@federalmogul.com.

Section 2: Supply Chain Security Readiness	Response	Comments
(1) Does the preparer of this form truly believe that the facility meets the requirements for protecting the supply chain against illegal contraband, weapons of mass destruction, human trafficking, etc.?		
(2) Does the preparer of this form truly believe that there are policies and procedures in use that ensures that any cargo that is put on a trailer contains only the manifested goods and nothing more?		
(3) As part of Federal-Mogul's supply chain, it is feasible that a member of a governmental supply chain security agency could visit your facility as part of the validation process. Is your facility prepared and willing to cooperate in the validation process?		
(4) As part of the validation process, documentation will be reviewed. Will this documentation be made available for review upon request?		
Section 3: Physical Security	**Response**	**Comments**
(1) Are there documented procedures outlining the requirements for securing facilities to prevent unlawful or unauthorized entry?		
(2) Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion? Describe.		
(3) After normal working hours, is an intrusion detection system (alarm system) used? If no, how is unauthorized entry detected?		
(4) Is there secure perimeter fencing around buildings and warehouses? If not, describe how it is secured.		
(4.a) Are fence access points (gates) manned and/or monitored? Describe.		
(4.b) Are fence access points (gates) locked during non-working hours? Describe.		
(4.c) Are separate gates used for employees, for visitors, and for truck/commercial traffic? Describe.		
(5) Are parking areas for private vehicles separate from the shipping, loading, and cargo areas? Describe.		
(6) Are CCTV (closed circuit television) cameras used?		
(6.a) Does the CCTV system cover interior and exterior areas? Describe.		
(6.b) Is recorded CCTV video retained for 45-days or longer? Describe.		
(6.c) Who monitors live video? Recorded video?		
(7) Is lighting inside and outside the facility, including parking areas, adequate to detect and deter unlawful activity? Describe.		

	Response	Comments
(8) Are there locking devices on all external doors, all internal doors (as required), all perimeter windows, and all fence gates? Describe.		
(9) Are there internal and external communication procedures in place to contact security personnel and/or local police? Describe.		
(10) Are goods destined for international locations segregated and marked within the warehouse? Describe.		
(10a) Is the segregated and marked product in a labeled and separate area? Describe.		
(11) Are there designated security personnel or CCTV cameras in the cargo area? Describe.		
Section 4: Access Controls	**Response**	**Comments**
(1) Is access to the facility for employees, visitors, drivers, vendors and contractors controlled at all times? Describe.		
(2) Are employees, visitors, drivers, vendors and contractors positively identified prior to entering the facility? Describe methods (i.e. badges, sign-in log, etc.)		
(3) Is access to shipping & receiving area, loading docks, etc. restricted to authorized personnel? Describe.		
(4) Are there documented procedures to challenge unauthorized or unidentified persons? Describe.		
(5) Are there procedures for controlling access to the facility for truck drivers? Describe where they wait and whether the waiting area is separate from cargo areas.		
(6) Is the packaging (i.e. placing goods/items in a box) area restricted only to those employees assigned to work there? Describe.		
(7) Is the packing (i.e. placing boxes/cartons on pallets) area restricted only to those employees assigned to work there? Describe.		
(8) Is the shipping/receiving (i.e. loading/unloading conveyance) area restricted only to those employees assigned to work there? Describe.		
(9) Are there designated security personnel or security devices in the packaging (i.e. placing goods/items in a box) area? Describe.		
(10) Are there designated security personnel or security devices in the packing (i.e. placing boxes/cartons on pallets) area? Describe.		
(11) Are there designated security personnel or security devices in the shipping/receiving (i.e. loading/unloading conveyance) area? Describe.		
Section 5: Procedural Security	**Response**	**Comments**
(1) Are procedures documented and in use to protect against unmanifested or illegal material being introduced into the supply chain? Describe.		
(2) Do controls include the proper marking, counting, and documenting of outgoing cargo and cargo equipment? Describe.		
(3) Are there documented procedures for detecting and reporting cargo shortages or overages? Describe.		
(4) Are empty trailers or shipping containers inspected upon arrival? Describe.		
(5) Are empty trailers or shipping containers properly stored to prevent unauthorized access? Describe.		
(6) Do security controls include an employee and/or a security officer to supervise the loading and unloading of cargo? Describe.		

	Response	Comments
(7) Are ISO 17712 Security Seals (or better) used to secure trailers and shipping containers? Describe.		
(8) Are there documented procedures for affixing, replacing, recording, tracking and verifying seals on trailers or shipping containers? Describe.		
(9) Is tamper-proof tape used? Describe.		
(10a) Does a third party (logistics company) perform the conveyance of trailers or shipping containers to a forwarder, carrier or airport? Describe.		
(10b) Does the third party comply with the necessary governmental supply chain security initiatives? Describe.		
(11) Are random, unannounced security assessments conducted on areas in the supply chain? Describe.		
(12) Are procedures documented for reporting any abnormalities in the movement of cargo? Describe.		
(13) Are procedures documented for notifying Customs and/or other law enforcement agencies in cases of detected or suspected unusual or illegal activities? Describe.		
Section 6: Documentation Security	**Response**	**Comments**
(1) Are there controls in place to check the accuracy of all shipping documents, including invoices and packing lists? Describe.		
(2) Are documented procedures in place to maintain the integrity of the data and to prevent unauthorized data changes or access to the system for documents created by a computer system? Describe.		
(3) Are there controls in place to check the accuracy of all cargo equipment (trailer number, seal number, drive identity, etc.)? Describe.		
(4) Are documented procedures in place to provide the required paperwork for export filing purposes? Describe.		
(5) Are documented procedures in place to determine the need of an export license under the country of authority for export control? Describe.		
(6) Are there procedures to ensure that all information provided for use in the clearing of goods, is legible and protected against the exchange, loss, or introduction of erroneous information? Describe.		
(7) Do documentation controls include procedures for ensuring the accuracy of the information about the cargo to be cleared, including: shipper and consignee names and addresses, first and second notify parties, description, weight, quantity, and unit of measure (e.g., boxes, cartons, etc.)? Describe.		
Section 7: Conveyance Security	**Response**	**Comments**
(1) Are there documented procedures to protect against the introduction of contraband, human trafficking and weapons of mass destruction into trailers, shipping containers, etc.? Describe.		
(2) Are there documented procedures outlining the physical search of all trailers, and shipping containers etc. upon arrival at the facility? Describe.		
(3a) Are there documented procedures that outline the necessary steps to thoroughly inspect a trailer, or shipping container, etc. (such as the U.S. CBP 7-point container inspection or 17-point Truck and Trailer Inspection)? Describe.		
(3b) Are logs maintained for the inspections? Describe.		
(4) When parked, are all tractors/trucks secured and the keys removed? Describe.		

	Response	Comments
(5) Are documented procedures in place outlining the need to properly secure trailers, shipping containers, etc., when not actively transporting, loading, or unloading? Describe.		
Section 8: Personnel Security	**Response**	**Comments**
(1) Are perspective employees screened and interviewed? Describe.		
(2) Does the company verify applicants' former employment, reasons for leaving, and references, consistent with federal, state, and local laws, regulations and statutes? Describe.		
(3) Does the company conduct employee background/police checks, and/or drug testing, where permitted by law? Describe.		
(4) Does the company conduct periodic background checks of existing employees? Describe.		
(5) Upon termination, are there documented procedures, often referred to as an exit process, to obtain company property, removal of access to the facility and computer systems, etc.? Describe.		
Section 9: Education & Training	**Response**	**Comments**
(1) Are employees trained on supply chain security? Describe. If "no", will the company be implementing any form of security training in the near future?		
(2) Does the security awareness program include how to guard against the insertion of illegal or unauthorized material into a shipment? Describe.		
(3) Does the security awareness program include how to recognize internal conspiracies? Describe.		
(4) Does the security awareness program include how to maintain cargo integrity? Describe.		
(5) Does the security awareness program include how to determine and address unauthorized access? Describe.		
(6) Does the security awareness program include how to identify documentation fraud? Describe.		
(7) Does the security awareness program include computer security controls awareness? Describe.		
(8) Does the company conduct and document random security tests and/or a yearly security audit? Describe.		
(9) Does the company offer incentives for active employee participation in security controls? Describe.		

To be completed by Federal-Mogul Powertrain

Reviewer: _____   ☐ Approved   ☐ Area of Concern

Notes:

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