

Rolls-Royce North America (RRNA) is a certified participant of the Customs-Trade Partnership Against Terrorism (CTPAT) program, a partnership between the trade community and U.S. Customs and Border Protection (CBP), designed to establish supply chain security processes to prevent terrorist devices and other contraband from entering the global supply chain and mitigates loss or theft within our supply chain. Completion of this questionnaire will aid RRNA in determining what assistance we can give towards enhancing your security program.

This guide is intended to assist RRNA suppliers and business partners accurately and efficiently complete the CTPAT section of the Procurement Information Booklet (PIB).

Should you require additional assistance with this questionnaire, please contact John King, Rolls-Royce Corporate & Defense Security:

- **Desk Phone – (317) 230-6140**
- **Corporate Email – corporatesecurity@rolls-royce.com**

(Continue to next page for detailed questionnaire guidance)

Supplier Questionnaire Guide

Question	Explanation/Guidance
* 9.1) Name and Title of the Person completing the CTPAT questionnaire	Should always be completed. The name in this section will be included in important communications, and provides Rolls-Royce an additional contact should we need one.
* 9.2) Do you provide only professional services and do not provide goods to RRNA?	Very important! Your answer to this question will determine whether or not you are actually shipping tangible items/goods, and whether or not you are subject to the remaining CTPAT questions on this questionnaire. Professional services include legal services, consultancy, accounting, etc. Items/Goods include parts, tools, machinery, paper, pens, etc.
* 9.2.1) General description of goods shipped to RRNA	Be as specific as you can without disclosing any sensitive information.
* 9.3.1) Provide CTPAT account number or status verification interface (SVI) number?	Only if your company or U.S. parent company is a CTPAT member. If not, leave blank.
* 9.3.2) Is your company a member of Authorized Economic Operator (AEO), Partners in Protection (PIP), World Customs Organization (WCO) or equivalent accredited supply chain security program administered by a foreign customs authority?	Select YES if your company is a member of any international logistical supply chain security program. Select NO if your company is not.
* 9.3.2.1) Upload the supply chain security foreign customs certification	This question only applies if you are a member of any international programs similar to CTPAT.
* 9.4) Expected number of international shipments from your facility to RRNA per month over the next 12 months?	Be specific, as this number helps determine risk levels.
* 9.7) Are steps being taken to resolve issues identified by the risk assessments?	If you have conducted a risk assessment of your supply chain, and issues were identified, have any steps been taken to resolve or otherwise mitigate any of those issues?
* 9.8) Do you have written requirements for logistics service providers such as freight forwarders, trucking companies, brokers, etc?	Any special handling instructions or established shipment tracking procedures? If so, this is a yes.
* 9.9) Do you require logistics service providers to have supply chain security measures in place?	Most logistics service providers have supply chain security measures in place, but every supplier should determine what those measures are and how they benefit them.
* 9.10) Do you have procedures in place at your container stuffing location to verify the physical integrity of the container to include the locking mechanisms on the doors prior to stuffing?	A container stuffing location is the place where your items/goods are placed into a shipping container. This does not include cardboard boxes. Visual checks and/or detailed inspections of shipping containers, to include trailers, should always be conducted. If you do not have a container stuffing location and rely solely on the shipping or logistics provider, ask them if they

Question	Explanation/Guidance
	have procedures to verify the physical integrity of your shipments.
* 9.11) Do you conduct a 7-point inspection of all containers, prior to stuffing, to ensure the integrity of the (1.Front Wall, 2.Left Side, 3.Right Side, 4.Floor, 5.Ceiling and Roof, 6.Outside and Inside Doors and 7.Outside and Undercarriage)?	A container includes trailers, sea containers, and any other shipping container. If you load your own shipping or cargo containers, a sample inspection checklist is available in the Rolls-Royce Global Supplier Portal.
* 9.12) Do you have a procedure for notifying the appropriate authorities if any illegal or suspicious activities are detected?	The "appropriate authorities" can include any of the following: Local or State Police (911), Customs & Border Protection, other Law Enforcement agencies, etc.
* 9.13) Are containers and trailers stored in a secure area to prevent unauthorized access or manipulation?	If containers or trailers are parked or stored within a fenced property or inside of a warehouse, the answer to this question is yes.
* 9.14) Is there a procedure for challenging and reporting unauthorized entry into the containers or the container storage area?	Any form of incident reporting associated with unauthorized entry/access to the containers or container storage area. Documentation is very important to track incidents and mitigating efforts.
* 9.15) Do you affix a high security seal to every loaded trailer and container bound for the United States?	If your company does not affix security seals, ask if your shipping/logistics provider if they do. As long as a high security seal is affixed, you can answer yes.
* 9.17) Do you control which employees have access to (and distribute) the container seals?	If you use high security seals, they should be stored in a secure location prior to use. Limiting access to the high security seals protects the integrity of the seals.
* 9.21) Do you have procedures to ensure that all information and documentation used in cargo clearance is legible, complete and accurate?	Handwritten versus printed documentation, visual reviews of documentation, and any other procedures to ensure your documentation is legible, complete and accurate.
* 9.44) Are your buildings constructed of materials that can resist unlawful entry, and are they maintained through periodic inspection and repair?	Any building materials, as long as it's not a fabric tent, resist unlawful entry.
* 9.49) Do you verify application information, such as employment history and references, prior to employment?	Referring to your hiring process, application information should always be verified prior to hiring employees or contractors.
* 9.50) If allowed by your local regulations, do you conduct background checks for prospective employees?	Does your company or an external company conduct background checks for prospective employees?
* 9.51) Do you have procedures for removing identification badges, facility access, and computer system access for terminated/retired employees?	ID badges should be considered controlled items as they grant access to your company and its assets. In addition, facility and/or computer access can be used to infiltrate business partners' information or assets. A plan for controlling badges and system access should be implemented for any company.

* 9.52) Do your computer systems require individual user accounts and passwords to gain access?	Controlling your computer system means controlling your company's information. Individual user accounts and passwords are included in the CTPAT Minimum Security Requirements.
* 9.53) Do your computer systems require employees to change their passwords on a periodic basis?	This is a simple protective measure that can be implemented, if your company requires individual accounts and passwords.
* 9.55) Do you have a security training program to increase employee awareness of the potential terrorist threat to your supply chain?	Training is available through the CTPAT website, or through Rolls-Royce Corporate & Defense Security.
* 9.56) Are employees made aware of how to address and report a potential supply chain security issue?	Even an informal reporting procedure should be made known and available to all employees. Managers can elevate to a formal reporting process from there.
* 9.57) Do employees in your shipping /receiving department and mail room receive additional training regarding cargo security?	Training is available through the CTPAT website, or through Rolls-Royce Corporate & Defense Security.
* 9.58) Do employees receive any special recognition or awards for identifying or reporting issues?	Appreciation, when delivered, is recognition! Verbal or written praise, or even feedback, satisfies a response of yes for this question.