



GE Aerospace

Customs-Trade Partnership Against Terrorism (CTPAT)

Supply Chain Security Guidelines for International Suppliers or Shippers



To support the **GE Aerospace** and **U.S. Customs and Border Protection (CBP) Customs-Trade Partnership Against Terrorism (CTPAT)** program, international suppliers and shippers handling U.S.-bound shipments to GE Aerospace from another country must follow the security guidelines below to help protect the supply chain and mitigate the risk of loss, theft, contraband smuggling, and the introduction of unauthorized persons or implements of terrorism into the global supply chain. If you become aware of any security breach affecting GE Aerospace goods, including contraband, smuggling, or threatening or suspicious activity, **contact the Aerospace Response Center (ARC) immediately at 513-243-2100, and notify Customs and/or other law enforcement authorities as appropriate.**

BUSINESS PARTNER AND SUBCONTRACTOR REQUIREMENTS

Foreign suppliers and shippers must maintain documented procedures for the selection and management of business partners, including carriers, forwarders, vendors, and subcontractors that manufacture, package, handle, or transport U.S.-bound shipments to GE Aerospace. Suppliers and shippers should maintain evidence of partner participation in **CTPAT**, Authorized Economic Operator (**AEO**), or equivalent supply chain security programs, when applicable, as well as documentation of compliance verification through contractual requirements, certifications, or completed questionnaires.

SHIPMENT ROUTING AND CERTIFIED CARRIER USAGE

Foreign suppliers and shippers must follow GE Aerospace instructions for **Incoterms, routing, delivery, and international shipment requirements**. For U.S.-bound GE Aerospace import shipments, suppliers, shippers, and any subcontractors involved in transportation should use approved and, where required, security-certified forwarders and carriers in accordance with current GE Aerospace instructions.

GE IMPORTER SECURITY FILING (ISF) FORM AND PRE-ALERT PROCESS

For U.S.-bound GE Aerospace import shipments arriving by vessel, the supplier, shipper, and forwarder must follow the current GE Aerospace **Importer Security Filing (ISF)** process and any broker or pre-alert instructions provided for the shipment. Required shipping documents must be submitted accurately and on time, and cargo must not be stuffed or loaded until required ISF-related approvals or confirmations are received.

POINT OF ORIGIN

The point of origin is the facility where products are assembled, manufactured, packaged, and shipped. Foreign suppliers and shippers must ensure that security procedures at point of origin are consistent with applicable C-TPAT security criteria. Periodic reviews of partner facilities should be conducted based on risk.

SECURITY PROCEDURES

The container and trailer security requirements below apply when foreign suppliers or shippers are contractually responsible for stuffing or loading truck trailers and ocean containers at their facility. Suppliers and shippers must work with carriers to ensure effective security controls are implemented at point of origin.

CONTAINER AND TRAILER SECURITY

Container and trailer integrity must be maintained to protect against the introduction of unauthorized materials and/or persons. At the point of stuffing, procedures are required to seal and maintain the integrity of shipping containers and trailers. A **high-security seal** meeting or exceeding the current **PAS ISO 17712** standard must be affixed to all U.S.-destined containers and trailers.

SEVEN-POINT OCEAN CONTAINER INSPECTION

Procedures and checklist are required to verify the physical integrity of each ocean container and door locking mechanisms prior to stuffing. Seven-point ocean container inspection process:

(1) outside and undercarriage (before entering shipping/receiving areas), (2) inside and outside doors, (3) right side, (4) left side, (5) front wall, (6) ceiling and roof, (7) floor (inside).

SEVENTEEN-POINT TRUCK AND TRAILER INSPECTION

Procedures and checklist are required to verify the physical integrity of the truck & trailer and door locking mechanisms prior to stuffing. Seventeen-point truck & trailer inspection process:

(1) bumper, (2) engine, (3) tires (truck & trailer), (4) floor (inside truck), (5) fuel tanks, (6) cab and storage compartments, (7) air tanks, (8) drive shafts, (9) fifth wheel, (10) outside and undercarriage, (11) outside and inside doors, (12) floor (inside trailer), (13) side walls, (14) front wall, (15) ceiling and roof, (16) refrigeration unit, and (17) exhaust.

OCEAN CONTAINER AND TRUCK TRAILER STORAGE

Ocean containers and truck trailers under the control of the supplier or shipper, or located at a supplier/shipper facility, must be stored in a secure manner and in a secure area to prevent unauthorized access or manipulation.

SECURITY AND CONTROL OF CONTAINER AND TRAILER SEALS

For ocean containers and truck trailers fully loaded at international supplier/shipper facilities the supplier or shipper must affix a high security seal to all fully loaded ocean containers or truck trailers bound for the U.S., have documented procedures to control and record use of high security bolt seals, recognize and report compromised seals, containers or trailers, designate a limited number of employees to access/apply seals for security purposes and keep a documented inventory of all seals.

PHYSICAL ACCESS CONTROLS

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

EMPLOYEES AND ACCESS DEVICES

Systems are required for positive identification and access control of employees and visitors. Employees should have access only to areas required for their duties. Management or security personnel must control the issuance and removal of employee, visitor, and vendor identification badges. Procedures for issuing, removing, and changing access devices such as keys and key cards must be documented.

VISITORS, VENDORS, AND DELIVERIES

Visitors must present photo identification upon arrival for documentation purposes. Visitors should be escorted and must visibly display temporary identification. Vendors must present proper vendor identification and/or photo identification upon arrival. Arriving packages and mail should be periodically screened before distribution.

CHALLENGING AND REMOVING UNAUTHORIZED PERSONS

Procedures must be in place to identify, challenge, and address unauthorized or unidentified persons.

PERSONNEL SECURITY

Suppliers and shippers must screen prospective employees and conduct periodic checks of current employees as appropriate.

PRE-EMPLOYMENT VERIFICATION AND BACKGROUND CHECKS

Employment history, references, and other application information must be verified before hire. Consistent with local law and regulations, background checks and investigations should be conducted for prospective employees. Once employed, periodic checks and reinvestigations should be performed based on cause and/or the sensitivity of the employee's position.

PERSONNEL TERMINATION PROCEDURES

Companies must have procedures to remove identification, facility access, and system access for terminated employees promptly.

PHYSICAL SECURITY

Supplier and shipper facilities must maintain physical security deterrents to protect against unauthorized access.

FENCING, GATES, ENTRIES, AND GUARDS

Perimeter fencing or walls should enclose facilities where needed to prevent unauthorized access. Fencing and walls should be inspected and maintained. Shipping and receiving areas should have fencing, locking doors, access controls, or CCTV, as appropriate. Entry and exit points for vehicles and personnel must be controlled. The number of gates should be limited to the minimum necessary for proper access and safety. Guards or access controls should be in place to prevent unauthorized personnel from entering the facility or gaining access to GE Aerospace shipments.

PARKING AND LIGHTING CONTROLS

Private passenger vehicles should be prohibited from parking in or adjacent to shipping and receiving areas to reduce the risk of unauthorized materials being introduced into shipments or conveyances. Adequate lighting must be provided inside and outside facilities.

LOCKING DEVICES AND KEY CONTROLS

External and internal windows, gates, and doors that provide access to the facility or cargo storage areas must be secured with locking devices. Management or security personnel must control the issuance of all locks and keys.

ALARM SYSTEMS AND VIDEO SURVEILLANCE CAMERAS

Suppliers and shippers should use alarm systems and video surveillance cameras, as appropriate, to monitor premises and prevent unauthorized access to cargo handling and storage areas.

INFORMATION TECHNOLOGY (IT) SECURITY

Security measures must be in place to protect automated systems from unauthorized access.

PASSWORD PROTECTION AND ACCOUNTABILITY

Automated systems should use individually assigned accounts and require periodic password changes. IT security policies, procedures, and standards should be documented and communicated to employees through training. A system should be in place to identify IT abuse, including improper access, tampering, or alteration of business data. Violations should be subject to appropriate disciplinary action.

PROCEDURAL SECURITY

Documented security procedures must be communicated to employees to ensure security measures are followed. Upon GE Aerospace request, the supplier or shipper must provide evidence of documented procedures, including physical security, personnel security, IT security, access controls, incident reporting, container and trailer seal control, and inspection controls.

SHIPMENT DOCUMENTATION AND MANIFESTING PROCEDURES

Procedures must ensure accurate and timely information is received from business partners. Invoices, packing lists, bills of lading, and other records used to manifest and clear cargo with Customs must be legible, complete, accurate, and protected against loss, alteration, or exchange of erroneous information. Controls must include securing computer access and shipment information.

PACKING, SHIPPING, AND RECEIVING SECURITY PROCEDURES

Documented procedures must control access to shipping and receiving areas. Packaged shipments must be controlled to prevent unauthorized access and contraband. Departing cargo must be verified against purchase or delivery orders, including package counts, unit quantities, weights, and part numbers, and must be checked to confirm contraband is not present. Drivers picking up cargo should be positively identified before cargo is released. Procedures should track the timely movement of incoming and outgoing goods.

CARGO DISCREPANCY AND SECURITY BREACH REPORTING

All shortages, overages, and other significant discrepancies or anomalies must be resolved and/or investigated appropriately. **Upon knowledge of any security breach affecting GE Aerospace goods, contact the Aerospace Response Center (ARC) immediately at 513-243-2100.** Notify Customs and/or other law enforcement authorities as appropriate when contraband, smuggling, or threatening or suspicious activities are detected. Contact your GE Aerospace representative with any questions.

SECURITY TRAINING

A security training program must be in place to educate and build employee awareness of proper security procedures as outlined in these security guidelines including training on the threat posed by terrorists and contraband smugglers at each point in the supply chain, training on ethical conduct, avoidance of corruption, fraud and exploitation. Additional training on effective supply chain security controls should be given to employees in the shipping and receiving areas.