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Rolls-Royce content only

Rolls-Royce Export Control

The 27th Asian Export Control Seminar

Shinichi Fukushima / Export Control Manager – Rolls-Royce Japan

12th February 2020



Our people, our power

Driving our business forward is a highly skilled workforce concentrated in key hubs around the world.

Across this global organisation, we are determined to pursue greater diversity and inclusion in all its forms.

We are committed to creating an environment where everyone can be at their best.

54,500
Employees

£27m
Learning &
Development

>17,000
Engineers

50
Countries



Figures from Annual Report 2018



At a glance

Civil Aerospace



35

types of commercial aircraft powered by us



13,000

engines in service around the world



47%

of total employees

Defence



150

Customers in over 100 countries



16,000

engines in service around the world



19%

of total employees

Power Systems



>1,200

Development, service production, and dealership locations



>20,000

Reciprocating engines sold per year



19%

of total employees



Export Control Function

- Matrix organization
- Export Control Point of Contact (EPoC) in BU
- Export Control Enhancement Program (ECEP) undergoing





Our world

As pioneers, we must continuously innovate to provide the best solutions in the markets we serve.

In the coming years, we believe that three key trends will define our world's future power needs.

Electrification

Fusion of mechanical and electrical technologies



Digitalisation

The integration of physical and digital technologies

Cleaner, safer and more competitive power

Increasing demand for travel, trade and sustainable energy



“Technology” can be found in many places

Blueprints

Drawings

Specifications

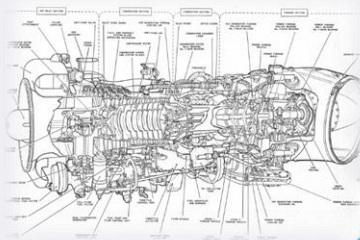
Test data

Plant tours

Operation / user manuals

Performance data

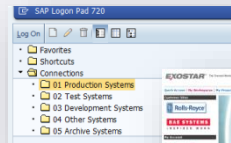
Overhaul manuals



- Memory sticks
- Mobile phones
- Laptops
- Tablets
- CD/DVDs



- Shared Drive
- Forumpass
- Webex
- ERP Systems (e.g. SAP)
- Microsoft Lync
- Yammer

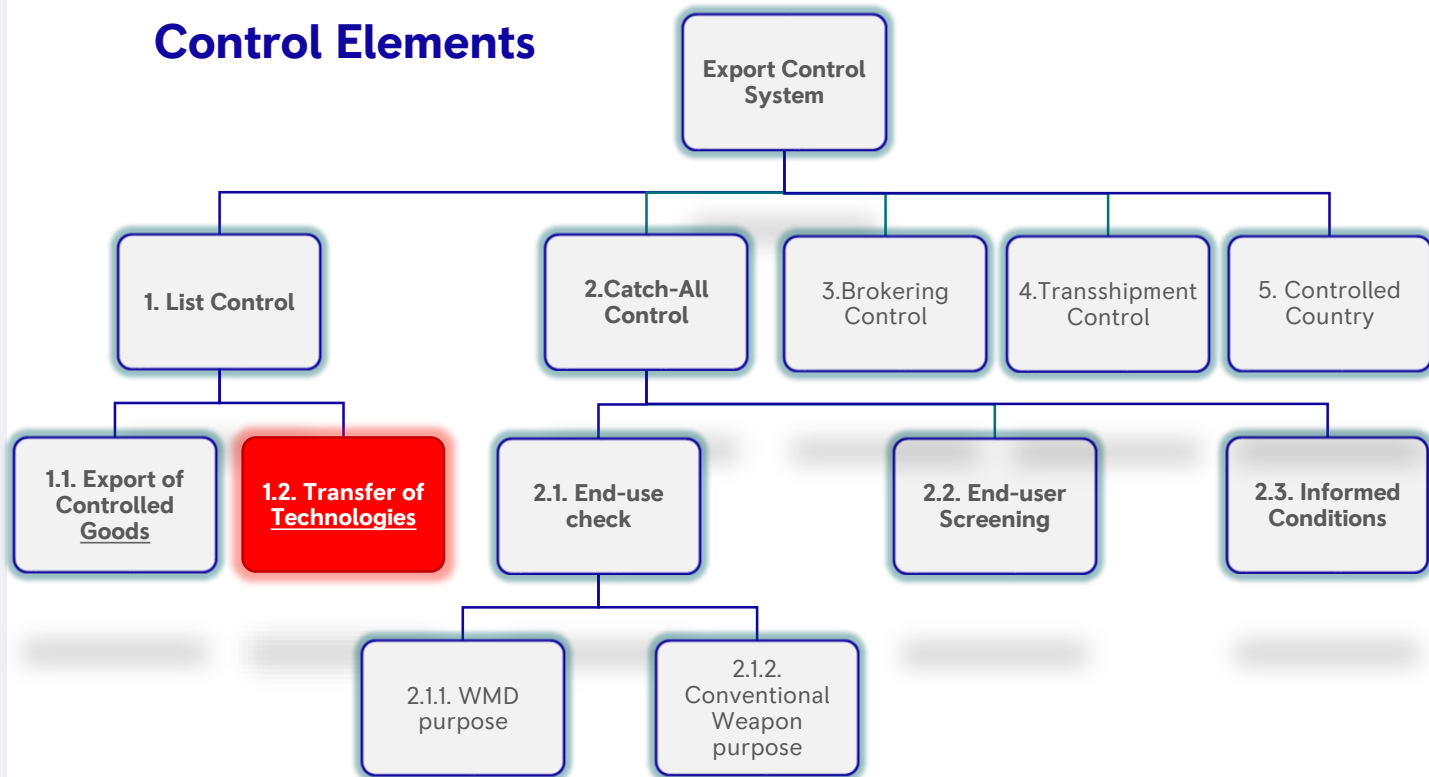


- Instructions
- CAD files
- Software
- Source code
- Maintenance manuals
- Photographs
- Service bulletins
- Training / Technical Support

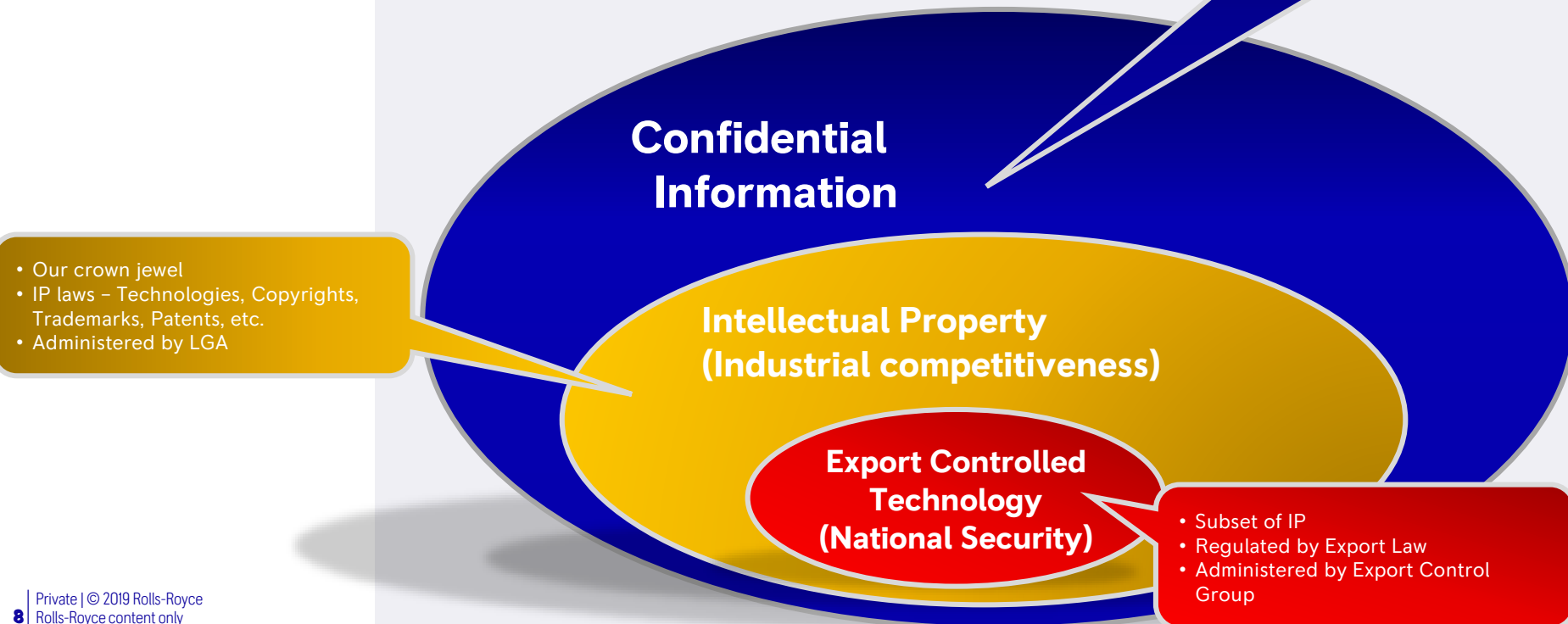


Export Control framework

Control Elements



Type of Technology Information





Technology Transfer Management

Challenges for efficient and effective control

Information availability

Interchangeability

Traceability

Process & tools for technology transfer

Document Marking

Global Export Control Classifications database (Capricorn)

Intellectual Property and Export Control Register (IPECR)

Process & Tools

1. Document Marking

Document owner conducts export classification

The result to be indicated on the document and recorded into global database

Quick reference for export license determination

Jurisdiction	Export Control Classification (Rating)
U.S.	OE901
EXPORT-CONTROLLED DOCUMENT: This document is subject to Export Administration Regulation	
PROPRIETARY RIGHTS LEGEND: This technical data and the information embodied herein is the property of Rolls-Royce, and shall not, without prior written permission of Rolls-Royce, be disclosed in whole or in part. © 2015 Rolls-Royce.	
GT-12153 (2014-05-16)	

Rolls-Royce

COMPONENT-SPECIFIC RATIONALISED QUALITY STANDARD

Time Case Assembly (Combustion Chamber Order Casting)	Page 1 of 4	RQSC 13Q-5004
Part Classification: Significant	Date: 0 July 2015	Issue: 001
Revision: 001	Revision: 001	Revision: 001



Drawing

GER: EXPORT CONTROL RATING:
NO LICENCE REQUIRED

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THIRD ANGLE PROJECTION

SECURITY/CLASSIFICATION

DRAWING NUMBER: KH66604

DRAWN: R.OTT

ORIGINAL SHEET SIZE: A0

Process document

Process & Tools



The Goods
export
classification

The associated
Technology
export
classification

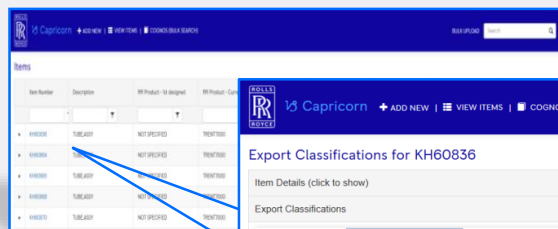
Centralized
DB

2. Global Export Control Classifications database (Capricorn)

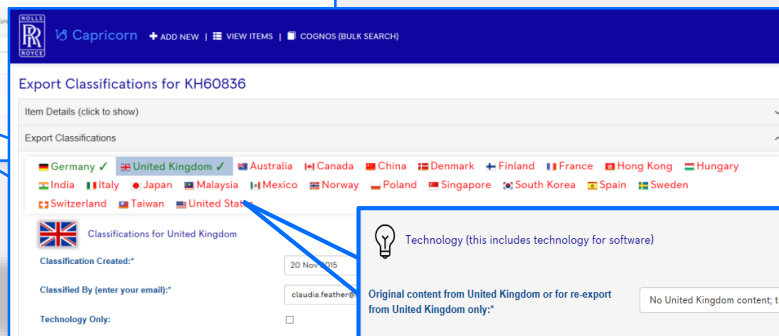
Stores all validated ECCN at component level determined by each RR country location

Display ECCN for both the physical item and its associated technology

Web-based tool accessible by all employees, searchable by part number, engine type, description, etc



Item Number	Description	ECCN
410000	TURBO	NOT SPECIFIED
410001	TURBO	NOT SPECIFIED
410002	TURBO	NOT SPECIFIED
410003	TURBO	NOT SPECIFIED
410004	TURBO	NOT SPECIFIED
410005	TURBO	NOT SPECIFIED



Export Classifications for KH60836

Item Details (click to show)

Export Classifications

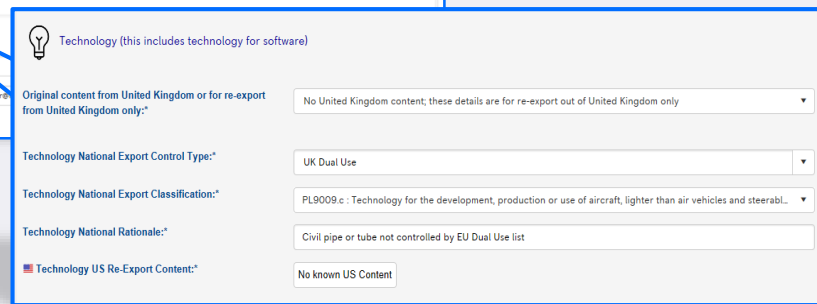
Germany ✓ United Kingdom ✓ Australia Canada China Denmark Finland France Hong Kong Hungary India Italy Japan Malaysia Mexico Norway Poland Singapore South Korea Spain Sweden Switzerland Taiwan United States

Classifications for United Kingdom

Classification Created: 20 Nov 2015

Classified By (enter your email): claudia.featherstone

Technology Only: ☐



Technology (this includes technology for software)

Original content from United Kingdom or for re-export from United Kingdom only: No United Kingdom content; these details are for re-export out of United Kingdom only

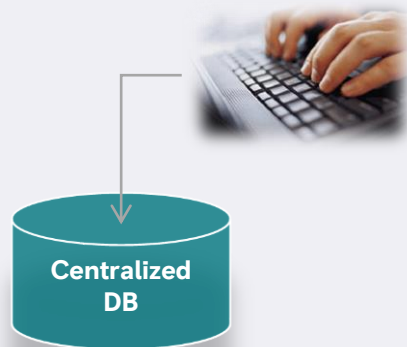
Technology National Export Control Type: UK Dual Use

Technology National Export Classification: PL9009.c : Technology for the development, production or use of aircraft, lighter than air vehicles and steerable

Technology National Rationale: Civil pipe or tube not controlled by EU Dual Use list

Technology US Re-Export Content: No known US Content

Process & Tools

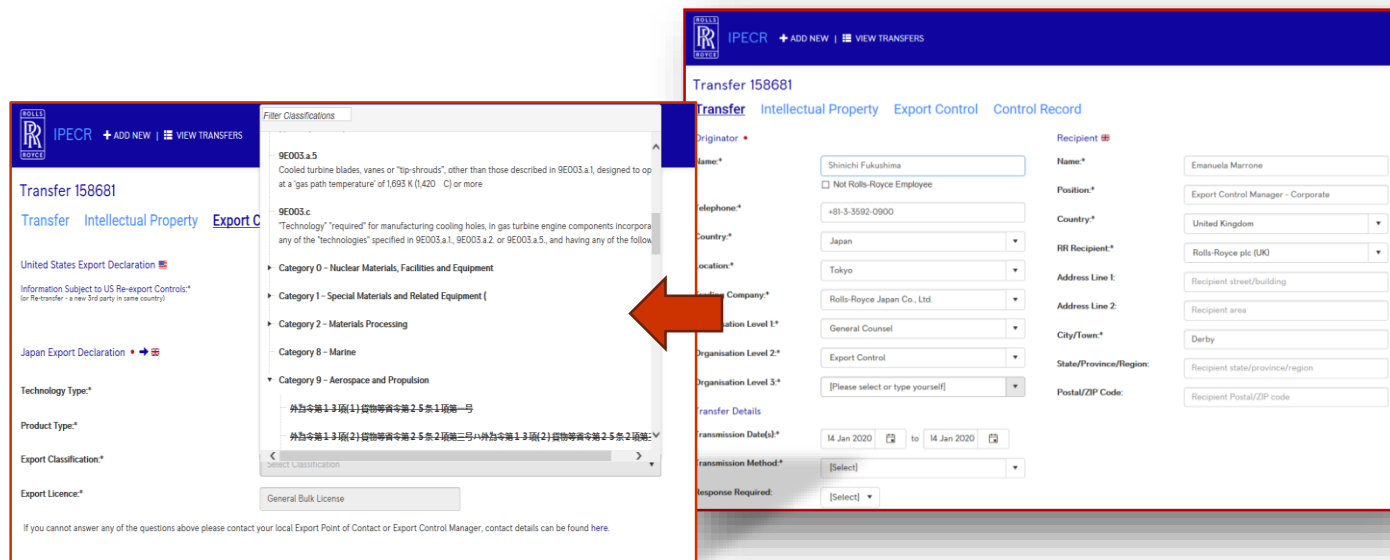


3. Intellectual Property and Export Control Register (IPECR)

Records the transfer of IP and export controlled technology

Specify the set of technology transfer, e.g. program level, single email, transaction period...

Required field - destination country, recipient name, transaction period, document retention period, technology description, ECCN, IP authorization, etc.



Transfer 158681

Transfer Intellectual Property Export Control Control Record

Originator

Name: * Shinichi Fukushima
☐ Not Rolls-Royce Employee
 Telephone: * +81-3-3592-0900
 Country: * Japan
 Location: * Tokyo
 Company: * Rolls-Royce Japan Co., Ltd.
 Organisation Level 1: * General Counsel
 Organisation Level 2: * Export Control
 Organisation Level 3: * [Please select or type yourself]

Recipient

Name: * Emanuela Marrone
 Position: * Export Control Manager - Corporate
 Country: * United Kingdom
 RRI Recipient: * Rolls-Royce plc (UK)
 Address Line 1: * Recipient street/building
 Address Line 2: * Recipient area
 City/Town: * Derby
 State/Province/Region: * Recipient state/province/region
 Postal/ZIP Code: * Recipient Postal/ZIP code

Transfer Details

Transmission Date(s): * 14 Jan 2020 to 14 Jan 2020
 Transmission Method: * [Select]
 Response Required: * [Select]

Filter Classifications

9E003.a.5
 Cooled turbine blades, vanes or "tip-shrouds", other than those described in 9E003.a.1, designed to operate at a "gas path temperature" of 1,693 K (1,420 °C) or more

9E003.c
 "Technology" required for manufacturing cooling holes, in gas turbine engine components incorporating any of the "technologies" specified in 9E003.a.1, 9E003.a.2, or 9E003.a.5, and having any of the following:

- Category 0 - Nuclear Materials, Facilities and Equipment
- Category 1 - Special Materials and Related Equipment (
 - Category 2 - Materials Processing
 - Category 8 - Marine
 - Category 9 - Aerospace and Propulsion

外为令第1-3项(1)货物等第2-5条1项第一号
 外为令第1-3项(2)货物等第2-5条2项第二号+外为令第1-3项(2)货物等第2-5条2项第三号

Select Classification

General Bulk License

If you cannot answer any of the questions above please contact your local Export Point of Contact or Export Control Manager, contact details can be found here.

Process & Tools

- Evidence of export control assessment on technology transfer
- The information can be used for re-transfer
- Full visibility of past transaction

3. Intellectual Property and Export Control Register (IPECR)

Intellectual Property & Export Control Record

Reference Number: IPECR39258 **Transmission Dates:** 24 October 2016 to 24 October 2016

Recipient Details: **Name:** Brown Arthur **Position:** Export Control Manager
Entity: Rolls-Royce plc (UK) **Country:** United Kingdom

Sender Details: **Name:** Shinichi Fukushima **Country:** Japan
Location: Tokyo
Company: Rolls-Royce Japan Co., Ltd.
Department: General Counsel > Export Control > Japan
Telephone: +81-3-3562-0000

Product Type: Aero > Trent 900

Description of Information

***** This is TEST data *****

The recipient may only use, copy or disclose to any other party, the information attached to this Control Record as expressly authorised in the export licence and/or commercial agreement referenced below. This Control Record must accompany the information at all times.

Export Control Statement

The information attached to this Control Record has the following Japan export control classification: 外為令第13項(1) 貨物等省令第26条1項第一号

Intellectual Property Statement

This information is provided to the recipient under the terms of N/A

ID	Excluded	Last Excluded	Originator Name	Originator Telephone	Rolls Royce ID	Country	Location	Travelling Company	Organisation ref. ID	Reference Type	Reference Years	Data Description	Requisition Number	Requisition Position	Rolls Royce ID
1		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
2		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
3		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
4		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
5		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
6		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
7		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
8		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
9		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
10		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
11		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
12		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
13		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
14		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
15		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
16		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
17		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
18		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
19		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00
20		1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	Japan	Tokyo	Rolls Royce Japan Co., Ltd.	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00	1/10/2017 17:00

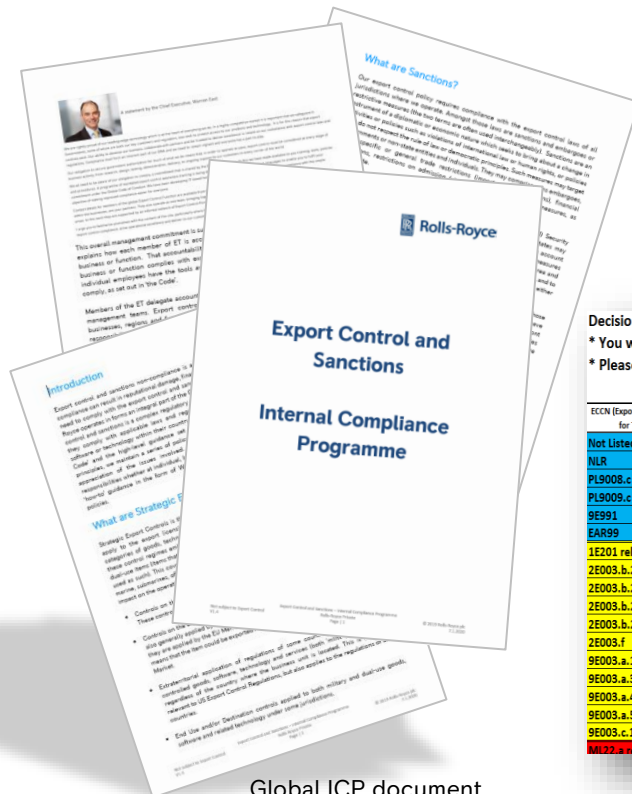
IPECR_Report.xlsx

Record sheet.pdf

Global and Local requirements

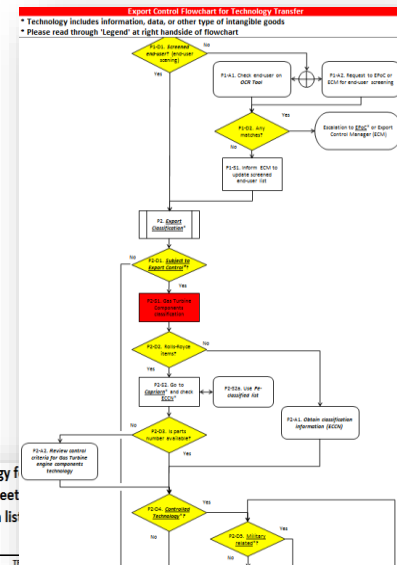
- Global ICP deployment for all locations where RR operates
- The requirements, and processes & tools in local process
- Supporting documents where necessary

ICP and Guidance



Global ICP document

Decision tree



Decision Making Point 4 (D4). Is this technology f
 * You will find ECCN on Capricorn or spreadsheet
 * Please select Japanese ECCN from dropdown list

ECCN (Export Control Classification Number) for Technology / Information	CONTROL DETERMINATION (Control? / Non Control?)	CONTROL TYPE	Sub Category	Remarks
Not Listed				
NLR	Non Controlled	Not Export Controlled (UK)		
PL9008.c	Non Controlled	Not Export Controlled (German)		
PL9009.c	Non Controlled	UK Dual Use	N/A	
9E991	Non Controlled	UK Dual Use		
EAR99	Non Controlled	Dual Use – EAR CCL		
1E201 relating to 1C202.b	Controlled	Dual Use – EAR99		
2E003.b.2.a	Controlled	EU Dual Use	外為令第2項(1)貨物等省令第15条4項第二号イ	
2E003.b.2.b	Controlled	EU Dual Use	外為令第6項(4)貨物等省令第18条4項第二号イ	Superplastic forming
2E003.b.2.c	Controlled	EU Dual Use	外為令第6項(4)貨物等省令第18条4項第二号ロ	
2E003.b.2.d	Controlled	EU Dual Use	外為令第6項(4)貨物等省令第18条4項第二号ハ	
2E003.f	Controlled	EU Dual Use	外為令第6項(4)貨物等省令第18条4項第二号ニ	HIP
9E003.a.1	Controlled	EU Dual Use	外為令第6項(3)貨物等省令第18条3項第五号	Coating related
9E003.a.3.c	Controlled	Dual Use – EAR CCL	外為令第15項(6)貨物等省令第27条6項第一号イ	Not available on dropdown
9E003.a.4	Controlled	EU Dual Use	外為令第13項(3)貨物等省令第25条3項第二号イ	
9E003.a.5	Controlled	EU Dual Use	外為令第13項(3)貨物等省令第25条3項第二号ロ	
9E003.c.1	Controlled	Dual Use – EAR CCL	外為令第13項(3)貨物等省令第25条3項第二号ロ	
9E003.c.1	Controlled	EU Dual Use	外為令第13項(3)貨物等省令第25条3項第二号ロ (一)	
9E003.a.1	Controlled	UK Military		

ECCN conversion table

