



Employment & Assignment Screening Policy

Introduction

Rolls-Royce places a high priority on ensuring that its people, assets, and intellectual property are appropriately protected, and that we take steps to protect information belonging to our customers and partners. We do not knowingly employ individuals that put our business and employees at risk.

We undertake a thorough screening process to ensure the honesty and integrity of those to whom we give access to our company sites, IT networks and confidential information. These checks are for both new permanent employees and temporary resource hires, such as a fixed term contractors or agency/contingent workers. Full definitions can be found in the Acquisition and Management of Temporary Resource policy. Rolls-Royce may also require consulting resources to adopt a similar screening process, subject to the type of work they are being engaged to undertake.

This Employment & Assignment Screening Policy is mandatory and defines a minimum standard which must be followed. The global policy applies to all employees and contractors of Rolls-Royce, its subsidiaries and joint ventures which Rolls-Royce controls (“Rolls-Royce” or “Company”).

This Policy:

- Provides a framework for the process of Employment & Assignment Screening;
- Sets out our Employment & Assignment Screening Standards, and defines the criteria we apply in reaching decisions on who we employ or engage as contractors.

Failure to follow this policy could result in disciplinary action being taken against you.

IMPORTANT NOTE: The terms of this policy apply worldwide. In the event of a conflict between this policy and applicable local labour and data privacy laws, local laws shall prevail. In the event there is no conflict between the policy and applicable local laws but the policy imposes a higher standard and/or more onerous requirements than local laws, the higher standard and/or more onerous requirements of the policy shall prevail.

Common terms

Employee: Someone who works directly for the Rolls-Royce under an employment contract, either permanent or fixed term, or who is employed by us on an at-will basis.

Temporary resource: A collective term used to describe resource that is engaged for defined temporary periods of time to undertake a specific project or task, or cover short-term needs (usually less than 12 months) such as maternity cover, sickness or a temporary increase in workload. This will include all types of temporary resources which are further described in the [Acquisition and Management of Temporary Resource policy](#).

1. Policy Detail

- 1.1 This Employment & Assignment Screening Policy applies to permanent employees and all types of temporary resource irrespective of their organisational relationship with Rolls-Royce.
- 1.2 All persons being offered employment or temporary work via a supplier of Rolls-Royce (“the Company”) will be subject to an employment & assignment screening process. For recruitment into the Senior Management Group the Ethics and Compliance team should be consulted on whether further screening is necessary including, in particular, adverse media screening. The need for this will depend on whether the role is considered to carry higher anti-bribery and corruption risks (for example, because of the location or type of role).
- 1.3 All checks will be carried out in accordance with local employment, data privacy, tax and other relevant laws of the country in which the position will be based. Where local laws prohibit or place limitations on the types of screening check which can be conducted, those national laws will take primacy over the terms of this policy.
- 1.4 The purpose of these checks is to ensure that those who work for Rolls-Royce act with integrity and honesty, and are suitable to perform the roles they are hired to undertake. Rolls-Royce will assess all information lawfully obtained in the Employment & Assignment screening process, and will use this information to determine whether an applicant
- is suitable for employment/engagement by the company.
- 1.5 No permanent employee or temporary resource shall be granted unescorted access to Rolls-Royce sites, or access to our IT networks, until an employment or assignment screening check for that individual has been successfully completed. Where a new employee or contractor is required to undertake role-specific training prior to being given unescorted site access or IT network access, the Corporate Security team should be engaged to support an expedited screening process to allow this training to commence.
- 1.6 Applicants may be required to provide information for the employment & assignment screening process. The Company may also work with external agencies to access information about applicants. If an applicant refuses to provide the required information or consent, their ability to undertake work for Rolls-Royce will be terminated.
- 1.7 In assessing whether an applicant has successfully completed an employment or assignment screening check, the Company will use its discretion in evaluating any adverse information disclosed about the applicant. This discretion will be exercised in accordance with applicable local labor laws.
- 1.8 Individuals who work for Rolls-Royce as temporary resource through our suppliers who require access to our company sites, IT networks and confidential information, will be subject to the same requirement to complete an employment & assignment screening check before beginning their assignment. This check can be carried out by their employer or an appropriate third party organisation, and Rolls-

Royce will require evidence of its completion before an assignment can begin.

1.9 In addition to this employment & assignment screening process, if an assignment includes or requires access to certain export controlled technologies, further checks may be undertaken.

1.10 For any applicant who does not satisfy all of the required employment & assignment screening checks, their ability to undertake work for Rolls-Royce will be terminated.

2. The Screening Process

The employment screening process has a minimum of 6 essential checks, which apply to all persons being vetted to this global standard, unless local laws prohibit any of these individual checks being undertaken.

2.1 Identity – confirming that the applicant's true identity matches the information they have provided in their employment application or contractor profile. For this check, the applicant will be required to produce a form of identity from a Government department, including passport or national identity card. Verification of identity is essential before any applicant can commence their employment/ assignment.

2.2 Nationality & Immigration status (including an entitlement to undertake the work in question) – confirming the nationality (including full information on any dual or third country nationality held) for the applicant, and their right to work in the country in which the position will be based. For this check, the applicant will be required to produce supporting documentation to evidence their right to work in the country.

2.3 Employment and Education History – showing evidence of the applicant's employment and education history for the past 5 years. Where there are gaps of more than 12 weeks, applicants will be asked to provide additional evidence of their activities within that period.

2.4 Financial Probity – a check will be made of the applicant's financial history, to determine whether they are subject to any adverse financial information. Based on the results of this check, and any further information requested from the applicant, an assessment will be made on whether this has a potential impact on their suitability, taking into account the nature of the role offered.

2.5 Criminality – Where national laws permit, a criminal history check will be carried out to reveal any active criminal convictions held by the applicant, including convictions for motoring offences. The impact of any criminal conviction revealed will be assessed on a case by case basis, and any failure by an applicant to disclose any active criminal convictions will be a factor in this assessment.

Rolls-Royce maintains a list of "disqualifying convictions" which is reviewed regularly. Any unspent conviction for an offence of the type set out on this list will result in the applicant failing the employment screening check, whether the conviction has been disclosed by the applicant or not.

Professional Qualifications – where professional qualifications are considered essential for the role, an applicant will be asked to provide evidence that they hold those qualifications. Rolls-Royce will establish the authenticity of those qualifications by

contacting the institution or body which granted or issued the qualification.

adverse information identified during the screening process.

3. Returning and Transferring Workers

3.1 Rolls-Royce will, at its discretion, permit the reinstatement of a permanent employee or temporary resource using a previously conducted employment screening check where the employee or temporary resource leaves the company and returns within a period of 3 months, provided that the individual had been screened to the global standard as stated in this policy prior to their initial departure from the company.

4.3 Where an applicant challenges a decision made by the company, the matter can be referred to the Group Security Director for a final decision.

4. Risk Assessment Process

4.1 When assessing the suitability of applicants for permanent employment or contracting roles, the company has the right to evaluate the findings of any employment & assignment screening check which it has undertaken, and to exercise its discretion in any decisions it makes based on those checks. In exercising this discretion, the company shall retain and refer to an Employment & Assignment Screening Decision Matrix.

4.2 When considering the findings of an employment & assignment screen or other national equivalent, the company shall consider the role for which the applicant has applied, and the types of information which the person holding that role requires access to. These factors will be risk assessed against any

Where to find out more

The Rolls-Royce Human Resources Team:

- Your HR

Other policies you should read

- Code of Conduct
- Diversity and Inclusion Policy
- Recruitment Policy
- Policy on Strategic Export Controls
- Acquisition and Management of Temporary Resource
- Human Rights Policy

Document control - for internal use only

STATUS	Final
VERSION NUMBER/FINAL	Version 2
EFFECTIVE DATE	01 May 2018
LAST REVIEWED DATE	01 May 2019
NEXT SCHEDULED REVIEW	01 May 2020
SPONSOR	Group HR Director
OWNER	Group Security Director
AUTHOR	Group Security Director
SCOPE	All employees globally, controlled subsidiaries and JVs (except where local law dictates otherwise)

© 2019 Rolls-Royce plc

The information in this document is the property of Rolls-Royce plc and may not be copied, communicated to a third party or used for any purpose other than that for which it is supplied, without the express written consent of Rolls-Royce plc.