



## AEO EVALUATION REPORT

This document was last updated April 2017

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| <b>COMPANY NAME</b>                               |  |
| <b>COMPANY ADDRESS</b>                            |  |
| <b>EORI NUMBER (S)</b>                            |  |
| <b>NAMES AND POSITIONS OF PERSONS INTERVIEWED</b> |  |
| <b>TELEPHONE CONTACT NO.</b>                      |  |
| <b>REGION</b>                                     |  |
| <b>DISTRICT</b>                                   |  |
| <b>EVALUATING OFFICER</b>                         |  |
| <b>DATES OF VISITS</b>                            |  |



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| <b>1.</b>        | <b>Company information</b>  |
| <b>1.1.</b>      | <b>General company information</b><br>(Article 84 (3) UCC DA)   |
| <b>1.1.1</b>     | <p>Is company part of a group and have they indicated if any other entities in the group:</p> <p>a) already have an AEO authorisation; or</p> <p>b) have applied for AEO status and are currently undergoing an AEO audit by a national customs authority.</p> <p>If the company is established for less than three years and it is due to an internal reorganisation give details regarding the reorganisation.</p>  |
| <b>Response:</b> |   |
| <b>1.1.2</b>     | <p>Has company included the following information</p> <p>a) Full details of the owners or main shareholders including percentage shareholding held</p> <p>b) Full details of the board members and/or managers</p> <p>c) Full details of advisory board if any and board of directors</p> <p>d) Full details of the person in charge of the company or exercising control over the company's management.</p> <p>Details should include full name and address, date of birth and National Identification Number (e.g. national ID Card number or National Insurance Number).</p> |
| <b>Response:</b> |   |
| <b>1.1.3</b>     | What is the company's role in the international supply chain?.  |
| <b>Response:</b> |   |
| <b>1.1.4</b>     | <p>Give a brief description of the actions conducted in the following: (including other MS and third countries):</p> <p>a) The individual locations of the company as a legal entity (including the number of employees in each department) and</p> <p>b) The locations where a third party executes outsourced activities for the company</p>  |
| <b>Response:</b> |   |
| <b>1.1.5</b>     | Does company buy or sell to business with which it is associated?   |
| <b>Response:</b> |   |
| <b>1.1.6</b>     | Has the company listed their internal organisational structure and the tasks/ responsibilities of each department and is their response acceptable?   |

**Response:**

**1.1.7** Has company listed senior management (Directors, heads of departments, head of accounting, head of customs department etc.)

What are the replacement rules and are they acceptable?

**Response:**

**1.1.8** How many people are employed by company?

Please indicate the size

- ☐ Micro
- ☐ Small
- ☐ Medium
- ☐ Large

**Response:**

## **1.2. Volume of business**

**1.2.1** What is the annual turnover figure for the last three sets of completed annual accounts?

What is the annual net profit or loss figure for the last three sets of completed annual accounts?

**Response:**

**1.2.2** Who owns the storage facilities used by the company?

**Response:**

**1.2.3** Has company provided estimates of the number and value of the declarations made in each of the last three years for:

- Import
- Export/Re-export
- Special procedures

Are you satisfied these are accurate?

**Response:**

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| <b>1.2.4</b>     | <p>Has company provided estimates of the amount paid in each of the last three years for:</p> <ul style="list-style-type: none"> <li>• Customs duty</li> <li>• Excise duty</li> <li>• Import VAT</li> </ul> <p>If they are operating for less than three years, they should provide details from the period they are operating.</p> |
| <b>Response:</b> |   |

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| <b>1.2.5</b>     | <p>Has company indicated if there will be any structural changes in the next 2 years?</p> <p>Are any major supply chain changes foreseen for the next 2 years?</p> |
| <b>Response:</b> |  |

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| <b>1.3.</b> | <b>Information and Statistics on customs matters</b> |
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| <b>1.3.1</b>     | <p>Does the applicant perform customs formalities in their own name and for their own account?</p> <p>Are they being represented by someone regarding customs formalities, if yes by whom and how (directly or indirectly)? What is the name, address and EORI number of the representative.</p> <p>Does the applicant represent other persons in customs formalities? If yes, who and how (directly or indirectly), who are the most significant clients?</p> |
| <b>Response:</b> |  |

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| <b>1.3.2</b>     | <p>Are you content with the way that the trader manages and controls the classification of goods?</p> |
| <b>Response:</b> |   |

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| <b>1.3.3</b>     | <p>Are you content with the way that the trader manages and controls the valuation of goods?</p> |
| <b>Response:</b> |  |

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| <b>1.3.4</b> | <p>a) Are you satisfied with the management and control of preferential or non-preferential origin of imported goods?</p> <p>b) How does the applicant verify that the country of origin of the imported goods is declared correctly?</p> <p>c) Are you satisfied with the management and control of the issuing of proof of preferences and certificates of origin for exportation?</p> |
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**Response:**

- 1.3.5** Does the applicant deal in goods subject to anti-dumping duties or countervailing duties?
- Has the applicant provided details of the manufacturer(s) or countries outside the EU whose goods are subject to the above duties, what are these details?

**Response:**

**2. Compliance record**  
(Article 95 :1 (b) UCC; Article 24 UCC IA)

- 2.1** Are you content with the compliance record of the applicant

**Response:**

- 2.2** Has company applied for any other customs authorisations?

**Response:**

**3. Accounting and logistical system**  
(Article 95 :2 UCC, Article 25 UCC IA)

**3.1. Audit trail**

- 3.1.1** Does the accounting system facilitate a full audit trail of customs activities?
- Have essential features of this audit trail been provided and are they acceptable.

**Response:**

**3.2. Accounting and logistical system**

- 3.2.1** What type of computer system (hardware/software) is used for business in general and for customs matters. Are those two systems integrated?
- How do they carry out the following:
- separation of functions between development, testing and operation
  - separation of functions between users
  - access controls (which ones/to whom)
  - traceability between business system and declaration system.
- Is the accounting and logistical system acceptable?

**Response:**

**3.2.2** Are the logistical systems capable of distinguishing between Union and non-Union goods and indicating their location?

What details have been provided?

**Response:**

**3.2.3** a) Where are computer activities undertaken?  
b) If outsourced, what is the name, address and vat no. of company or companies where the applications are outsourced.

How are access controls for the outsourced applications managed?

**Response:**

### **3.3 Internal control system**

**3.3.1** Are there in house guidelines for the various departments and how are they updated?

**Response:**

**3.3.2** Have their internal control processes been subject to any internal/external audit?  
Have their customs routines been subject to any internal/external audit?  
Have they provided a copy of their most recent audit report, are you satisfied with this Report?

**Response:**

**3.3.3** What are the procedures for checking computer files (standing data or master files)? How do these procedures cover the following risks:  
a) Incorrect and/or incomplete recording of transactions in the accounting system.  
b) Use of incorrect permanent or out-of-date data such as number of articles and tariff codes.  
c) Inadequate control of the company processes within the applicant's business.

**Response:**

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| <b>3.4</b> | <b>Flow of Goods</b> |
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| <b>3.4.1</b> | Are you satisfied with the company's registration procedure for the flow of goods? |
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| <b>Response:</b> |
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| <b>3.4.2</b> | Are you satisfied with the company's procedure for checking Stock Levels and the way discrepancies are handled? |
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| <b>Response:</b> |
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| <b>3.5.</b> | <b>Customs routines</b> |
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| <b>3.5.1</b> | <p>Has the applicant documented procedures for verifying the accuracy of customs declarations, including those submitted on their behalf by, e.g., a customs agent or a freight forwarder?</p> <p>Are you satisfied with these procedures?</p> <p>If not then how do they verify the accuracy of customs declarations?</p> |
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| <b>Response:</b> |
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| <b>3.5.2</b> | <p>How does company notify the competent authorities of irregularities (e.g. suspicion of theft, burglary or smuggling in connection with customs-related goods)?</p> <p>What kind of documented instructions have they in place?</p> <p>Have any irregularities been detected over the last year, how were the competent authorities notified?</p> |
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| <b>Response:</b> |
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| <b>3.5.3</b> | Does the applicant trade in goods that are subject to economic trade licences e.g. textiles, agricultural goods, and what are their procedures for managing and controlling the licences related to the import and/or export of such goods? |
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| <b>Response:</b> |
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| <b>3.6.</b> | <b>Procedures for back-up, recovery and fall back and archiving</b> |
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| <b>3.6.1</b> | What are the procedures for back-up, recovery, fall back, archiving and retrieval of business records |
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| <b>3.6.2</b> | How long is the data saved in the production system and how long is this data archived? |
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| <b>3.6.3</b> | Has the applicant a contingency plan for system disruption/failure? |
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| <b>Response:</b> |
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| <b>3.7</b> | <b>Protection of computer systems</b> |
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| <b>3.7.1</b> | What protections have the company in place to protect their computer systems from unauthorised intrusion?. |
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|  | Has intrusion testing been carried out? |
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|  | What were the results of this and were any corrective measures required as a result? |
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|  | Have there been any IT security incidents in the last year? |
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| <b>Response:</b> |
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| <b>3.7.2</b> | Who is responsible for the running and protection of the computer system and how are access rights to the Computer system issued? |
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|  | Are there guidelines or internal instructions for IT security for personnel, how do they monitor that IT security measures are followed? |
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| <b>3.7.3</b> | Where is the main Server located and how is it secured? |
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| <b>3.8</b> | <b>Documentation security</b> |
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| <b>3.8.1</b> | What actions have been taken in order to protect (e.g. constricted access rights, creation of electronic backup) information/documents from unauthorised access, abuse, intended destruction and loss? |
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**Response:**

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| <b>3.8.2</b> | Have there been any cases of unauthorised access to documents in the last year, and if so what measures have been taken to prevent this from happening again? |
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**Response:**

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| <b>3.8.3</b> | Which categories of employees have access to detailed data about the flow of materials and goods?<br>Which categories of employees are authorised to change this data?<br>Are changes comprehensively documented? |
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**Response:**

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| <b>3.8.4</b> | How does the applicant manage and control their trade partners and other contact persons in relation to the use/abuse of information (e.g. endangering of the supply chain through unauthorised transfer of shipping details)? |
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**Response:**

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| <b>4.</b> | <b>Financial solvency</b><br>(Article 95 :2 UCC, Article 26 UCC IA) |
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| <b>4.1</b> | Have any bankruptcy or insolvency proceedings been initiated in respect of company's assets in the last three years?<br>If Yes please provide details. |
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**Response:**

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| <b>4.2</b> | Has the applicant a consistently good financial standing sufficient to meet its financial commitments, over the last 3 years?<br><br>Have they provided evidence of this, such as:<br>A letter from auditors<br>An audited report<br>A copy of finalised accounts (including management accounts)<br><br>If accounts have not been audited they should provide evidence from a bank or financial institution.<br><br>Are you content with the applicants financial standing |
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**Response:**

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| <b>4.3</b>       | If the trader is a newly established business then ensure that all records and information in relation to their financial status are provided e.g. latest cash flow, balance sheet and profit and loss forecasts approved by the directors/partners/sole proprietor. |
| <b>Response:</b> |  |

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| <b>4.4</b>       | Please give details on any information that could impact on financial solvency of the company in the foreseeable future? |
| <b>Response:</b> |  |

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| <b>4.5</b>       | Are you satisfied that the applicant has sufficient financial resources to meet their obligations, for the part of the reference amount not covered by the guarantee?<br>Has applicant signed the declaration in Annex A? |
| <b>Response:</b> |   |

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| <b>5.</b>   | <b>Practical standards of competence or professional qualifications</b><br><i>(Article 95:1 (c) UCC, Article 27 UCC IA)</i> |
| <b>5.1.</b> | <b>Practical standards of competence</b>  |

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| <b>5.1.1</b>     | Does the person in charge of customs matters have practical experience of a minimum of three years in customs matters? |
| <b>Response:</b> |  |

**If the applicant meets the criteria at question 5.1.1 then examination of questions 5.1.2 and 5.1.3 is not required**

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| <b>5.1.2</b>     | <p>Does the person in charge of customs matters comply with a quality standard concerning customs matters adopted by a European Standardisation body?</p> <p>Have they provided details of this experience?</p> <p><b>At the time of preparing this form, the work on quality standards concerning customs matters adopted by a European Standardisation body is still ongoing.</b></p> |
| <b>Response:</b> |   |

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| <b>5.1.3</b>     | <p><b>Professional Qualifications</b></p> <p>Has the person in charge of customs matters successfully completed training covering customs legislation consistent with and relevant to the extent of their involvement in customs related activities, provided by any of the following</p> <p>(i) a customs authority of a Member State;</p> <p>(ii) an educational establishment recognised, for the purposes of providing such qualification, by the customs authorities or a body of a Member State responsible for professional training;</p> <p>(iii) a professional or trade association recognised by the customs authorities of a Member State or accredited in the Union, for the purposes of providing such qualification?</p> |
| <b>Response:</b> |   |

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| <b>6.</b>   | <b>Safety and security requirements</b><br><i>(Article 39 (e) UCC, Article 28 UCC IA, AEO Guidelines Part 2 Section V)</i> |
| <b>6.1.</b> | <b>General information on safety and security</b>  |

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| <b>6.1.1</b>     | Have you confirmed the name and the position of the person competent for safety and security related questions. |
| <b>Response:</b> |   |

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| <b>6.1.2.</b>    | <p>a) Has a risk and threat assessment been carried out?</p> <p>b) Is there a security plan in place for each site (where appropriate)? Yes/No</p> <p>How often are documents reviewed and updated?</p> |
| <b>Response:</b> |   |

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| <b>6.1.3.</b>    | Have any security risks been identified either within the company or in business dealings with customers, suppliers and external service providers in relation to the AEO security criteria? |
| <b>Response:</b> |  |

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| <b>6.1.4.</b>    | Who is responsible for security measures how are they implemented and coordinated?  |
| <b>Response:</b> |   |
| <b>6.1.5.</b>    | Are security measures harmonised in all premises of company?  |
| <b>Response:</b> |   |
| <b>6.1.6.</b>    | a) Does company have security instructions, how are they communicated to staff and people visiting the company premises?<br>b) Are these instructions documented , if so in what form?  |
| <b>Response:</b> |   |
| <b>6.1.7.</b>    | a) Was there any security incidents over the last year?<br>Has company given a brief description of incidents and what measures were put in place to prevent re-occurrence?<br>b) Are records kept of security incidents and the measures taken?  |
| <b>Response:</b> |   |
| <b>6.1.8.</b>    | a) Has company already been certified/authorised/approved by another public agency or authority for (transport, civil aviation, etc.) security purposes?<br>Has company provided a copy of the certificate/authorisation/approval and indicated the premises/sites, which are covered by the relevant certificate/authorisation/approval.<br>b) Has a list of any independently accredited standards/licences/authorisations been provided and was it indicated to what control/audits these standards are subject to.<br>c) Are any applications for certification/authorisation/approval for security purposes currently been applied for, what details have been provided? |
| <b>Response:</b> |   |
| <b>6.1.9.</b>    | Are there particular security and safety requirements for the goods being imported/exported?  |
| <b>Response:</b> |   |
| <b>6.1.10.</b>   | a) Does company use the services of a security company? If so, which company do they use?<br>b) Has this Security company made a threat assessment, what security risks have they identified in relation to the AEO security criteria?  |
| <b>Response:</b> |   |

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| <b>6.1.11.</b>   | Are any safety and security requirements imposed on company by customers or insurance company?<br>What details have they provided in relation to these requirements? |
| <b>Response:</b> |  |

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| <b>6.2.</b> | <b>Building security</b><br>(AEO Guidelines Part 2 Section V, Subsection 2) |
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| <b>6.2.1.</b>    | a) How is the external boundary of company's premises secured. How is compliance checked?<br>b) At what intervals are checks carried out on the fences and buildings? Who carries out these checks, and how do they proceed?<br>How are these checks and their results recorded?<br>c) How are security incidents reported and dealt with? |
| <b>Response:</b> |  |

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| <b>6.2.2.</b>    | a) What types of access to business premises are there?<br>b) How are these managed?<br>c) Are access points restricted to time/day? |
| <b>Response:</b> |  |

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| <b>6.2.3.</b>    | Are the premises adequately illuminated (e.g. continuous light, movement sensors, twilight switch)?      |
| <b>Response:</b> |  |
| <b>6.2.4.</b>    | How is the administration of keys handled in the company, and does written documentation exist for this? |
| <b>Response:</b> |  |

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| <b>6.2.5.</b>    | a) Is the parking of private vehicles permitted on the premises?<br>b) If yes, for which persons?<br>c) Who gives the approval?<br>d) Are the vehicles checked (at the entrance to the premises or at the car park entrance)?<br>e) Are there written instructions? |
| <b>Response:</b> |   |

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| <b>6.3.</b> | <b>Access to premises</b><br><i>(AEO Guidelines Part 2 Section V, Subsection 3)</i> |
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| <b>6.3.1.</b>    | a) How is the process of access to companies premises (buildings, production areas, warehouses etc.) regulated for staff, visitors, other persons, vehicles and goods?<br>b) Who checks that the prescribed procedures are complied with? |
| <b>Response:</b> |   |

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| <b>6.3.2.</b>    | a) What are the procedures to be followed if an unauthorised person/vehicle is discovered on company premises (grounds or buildings)?<br>b) How are these procedures communicated to the staff (e.g. action plan, manual, working guidelines, training)? |
| <b>Response:</b> |  |

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| <b>6.3.3.</b>    | Has a site plan been provided for each location of the company that is involved in customs related activities (e.g. layout plan, draft) from which the frontiers, access routes and the location of the buildings can be identified? |
| <b>Response:</b> |  |

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| <b>6.3.4.</b>    | What other companies are co-located on the same premises, have details of these companies been provided? |
| <b>Response:</b> |  |

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| <b>6.4.</b> | <b>Cargo units (as containers, swap bodies, transport boxes)</b><br><i>(AEO Guidelines Part 2 Section V, Subsection 4)</i> |
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| <b>6.4.1.</b> | What rules and restrictions is access to cargo units subject to?<br><br>How are such restrictions enforced? |
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**Response:**

**6.4.2.** What measures has company in place to prevent unauthorised access to and tampering with cargo units (particularly in open storage areas)  
Is there constant supervision, are staff made aware of risks, seals, instructions on procedures to follow in the case of unauthorised entry?

**Response:**

**6.4.3.** a) Are seals used to prevent unauthorised tampering with goods? If so, what kind? Do these seals satisfy any specific standards (e.g. ISO)?  
b) If seals are not used, how is it ensured that goods are not tampered with?

**Response:**

**6.4.4.** What control measures are used for checking cargo units (e.g. seven-point inspection process: front wall, left side, right side, floor, covering/roof, inside/outside of doors, outside/undercarriage)?

**Response:**

**6.4.5.** Were the following questions answered satisfactorily:  
a) Who is the owner/operator of the cargo units?  
b) Who maintains/repairs the cargo units?  
c) Are there regular maintenance plans?  
d) Are external maintenance works checked?

**Response:**

**6.5. Logistical processes**  
(AEO Guidelines Part 2 Section V)

**6.5.1.** a) Which means of transport does the company normally use?  
b) Does the company carry out all its own transport, or does it also use external service providers (e.g. freight forwarders/carriers)?  
c) How does the company establish whether the freight forwarder/carrier meets the required security standards (e.g. by means of a security certificate, declarations or agreements)?  
d) Does the company take other measures for outsourced transport activities with a view to meeting security standards?  
Has company outlined the nature and scope of measures in this respect?

**Response:**

**6.6. Incoming goods**  
(AEO Guidelines Part 2 Section V)

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| <b>6.6.1.</b>    | a) What is the procedure for ensuring the security and safety of incoming goods?<br>b) How is compliance with these procedures checked? |
| <b>Response:</b> |   |

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| <b>6.6.2.</b>    | Are employees informed about security arrangements with suppliers, and how is compliance ensured? |
| <b>Response:</b> |   |

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| <b>6.6.3.</b>    | a) How are checks on the integrity of the seals on incoming goods conducted?<br>b) Are incoming goods sealed if appropriate?<br>c) Does the company deal with specific types of goods requiring specific security measures (e.g. air cargo/air mail)?<br>If Yes, what routines/measures are in place? |
| <b>Response:</b> |   |

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| <b>6.6.4.</b>    | Are the incoming goods marked and if yes, how? |
| <b>Response:</b> |  |

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| <b>6.6.5.</b>    | What is the process for counting and weighing incoming goods? |
| <b>Response:</b> |   |

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| <b>6.6.6.</b>    | How, when and by whom are incoming goods checked against the accompanying documents and entered in company records? |
| <b>Response:</b> |   |

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| <b>6.6.7.</b>    | a) Are the sections responsible for the purchase of goods, the receipt of goods and general administration clearly separated?<br>b) Do integrated internal control mechanisms exist between the sections? If yes, how are they executed? |
| <b>Response:</b> |  |

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| <b>6.7.</b> | <b>Storage of goods</b><br>(AEO Guidelines Part 2 Section V) |
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| <b>6.7.1.</b>    | Which locations have set aside areas for the storage of goods? |
| <b>Response:</b> |  |

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| <b>6.7.2.</b> | a) What is the routine for allocating a storage position for incoming goods.<br>b) Does the company have outdoor storage locations? If yes, please describe them briefly. |
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| <b>Response:</b> |
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| <b>6.7.3.</b> | Are there documented procedures for stock-taking and dealing with irregularities detected during stock-taking?<br>If so, what are these arrangements. |
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| <b>Response:</b> |
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| <b>6.7.4.</b> | Are goods of different risk levels stored separately?<br>a) What is the criteria for any separate storage (e.g. hazardous goods, high-value goods, chemicals, weapons, air cargo/air mail)?<br>b) How is it ensured that the goods are immediately recorded in the logistical accounts/stock records? |
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| <b>Response:</b> |
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| <b>6.7.5.</b> | a) How are goods protected against unauthorised access to the warehousing premises?<br>b) How is compliance with these procedures checked? |
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| <b>Response:</b> |
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| <b>6.7.6</b> | If storage of goods is outsourced to a third party how and where are the goods stored and what control measures are used to supervise the handling of goods. |
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| <b>Response:</b> |
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| <b>6.8.</b> | <b>Production of goods</b><br>(AEO Guidelines Part 2 Section V) |
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| <b>6.8.1.</b> | a) What locations/areas are designated for the production of goods?<br>b) If production is carried out by an external partner (e.g. job processing, drop shipments), how is the integrity of the goods ensured (e.g. contractual agreements)? |
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| <b>Response:</b> |
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| <b>6.8.2.</b> | Are there any security measures protecting goods against unauthorised access to the production zone?<br>What are these measures and do they exist in written form. How is compliance with these procedures checked? |
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| <b>Response:</b> |
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| <b>6.8.3.</b> | What are the procedures for packing products and do they exist in written form? |
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| <b>Response:</b> |
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| <b>6.8.4.</b>    | If final product packaging is outsourced to a third party, how is the integrity of the goods guaranteed? |
| <b>Response:</b> |  |

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| <b>6.9.</b> | <b>Loading of goods</b><br>(AEO Guidelines Part 2 Section V) |
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| <b>6.9.1.</b>    | a) How is loading of goods managed in the company (e.g. allocation of responsibilities, checks on goods, and means of transport, recording of results, provision of information, etc.)?<br>b) Are there any written instructions on how the process should be organised? |
| <b>Response:</b> |  |

|                  |   |
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| <b>6.9.2.</b>    | a) Are outgoing goods or vehicles sealed?<br>If yes, how, by whom and what sort of seals are used?<br>b) Are any seal numbers mentioned in the documents accompanying the goods?<br>c) How does company keep a record of their seals? |
| <b>Response:</b> |   |

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| <b>6.9.3.</b>    | How is compliance with customers' security requirements for loading guaranteed? |
| <b>Response:</b> |   |

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| <b>6.9.4.</b>    | What are the arrangements that are in place which ensure that goods to be loaded and the loading process itself are not left unsupervised |
| <b>Response:</b> |   |

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| <b>6.9.5.</b>    | Are the outgoing goods checked for completeness (e.g. counted, weighed)?<br>If yes, how and by whom? |
| <b>Response:</b> |  |

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| <b>6.9.6.</b>    | How, when and by whom are departing goods checked against orders and loading lists and recorded out of the stock records? |
| <b>Response:</b> |   |

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| <b>6.9.7.</b>    | What control mechanisms has company in place for detecting irregularities concerning the loading of goods? |
| <b>Response:</b> |  |

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| <b>6.10.</b> | <b>Security requirements for business partners</b><br>(AEO Guidelines Part 2 Section V) |
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| <b>6.10.1.</b>   | How does company verify the identity of trade partners in order to secure the supply chain (information search before accepting orders or placing orders). |
| <b>Response:</b> |  |

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|------------------|---|
| <b>6.10.2.</b>   | a) What measures have been taken to confirm that business partners ensure the security of their part of the international supply chain (e.g. security declarations, contractual requirements, trade partners with own AEO-status)?<br>b) How is compliance with these procedures checked? |
| <b>Response:</b> |   |

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| <b>6.10.3.</b>   | Over the last year, have any breaches of the security agreements company has with partners been detected?<br>If Yes, what measures have been taken? |
| <b>Response:</b> |   |

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| <b>6.11.</b> | <b>Personnel security</b><br>(AEO Guidelines Part 2 Section V) |
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| <b>6.11.1.</b>   | a) How does company employment policy deal with security and safety requirements? Who is responsible for this area?<br>b) Are the security procedures recorded in writing?<br>c) How is compliance with these procedures checked?   |
| <b>Response:</b> |   |
| <b>6.11.2.</b>   | To what extent are the following types of employees subjected to security checks (e.g. police checks to confirm that he/she has no criminal record):<br>a) new employees who will be working in security-sensitive fields<br>b) existing employees who are to be transferred into security-sensitive fields.<br><br>How is it ensured that when staff leave, they no longer have any physical or electronic access to company premises or data? |
| <b>Response:</b> |   |

|                |   |
|----------------|---|
| <b>6.11.3.</b> | Is security and safety training provided for employees?<br>a) What is the frequency of security and safety training?<br>b) Is there yearly refresher training?<br>c) Is this training internal or provided by an external supplier?<br>d) Are there written records on this training? |
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**Response:**

**6.11.4.** What areas are temporary employees used, and are these employees checked regularly according to security standards?  
How are these checks carried out and by whom?  
Are there also security instructions for these employees?

**Response:**

**6.12.** **External Services**  
(AEO Guidelines Part 2 Section V; Annex 2 to the AEO Guidelines, point 4.13)

**6.12.1.** Does company use any “external services” under contract, such as transportation, security guards, cleaning, supplies, maintenance etc.? If so what services and to what extent (for the ones that have not been described in the previous sections).  
Are there written agreements with the external service providers containing security requirements, how is compliance with the procedures included in these agreements checked?

**Response:**

## **SUMMARY OF FINDINGS**

**RECOMMENDATION**

Recommend approval of application:      Yes: ☐ ..... No: ☐

Type of cert:      C ☐  
                             S ☐  
                             F ☐

**SIGNATURE OF EVALUATING OFFICER:**

.....

**DATE:**

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**SIGNATURE OF ASSISTANT PRINCIPAL OFFICER:**

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**DATE:**

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