

# AEO SELF-ASSESSMENT

## Section 1 Economic operator Information

### Sub-section 1.01 Organisational characteristics

| 1.01 | Question  | Standard | Response |
|------|---|----------|----------|
| 1.   | Depending on your legal status, provide the names and addresses of: <ul style="list-style-type: none"> <li>• The sole proprietor; or</li> <li>• All partners; or</li> <li>• All directors, major shareholders and legal representatives of the applicant.</li> </ul>  |          |          |
| 2    | Briefly describe your main business activities.   |          |          |
| 3    | Specify the location of each site and/or subsidiary of the business involved in international trade and briefly describe the business activities at each location.  |          |          |
| 4    | Specify if the business and each site/subsidiary, listed at (3), act within the supply chain: <ul style="list-style-type: none"> <li>• In its own name and on its own behalf; or</li> <li>• In its own name and on behalf of another person or company: or</li> <li>• In the name and behalf of another person or company.</li> </ul> |          |          |
| 5    | Do you buy from/sell to businesses which are associated to you?   |          | Y/N*     |
| 6    | Provide details of any independently accredited standards to which you adhere.  |          |          |

### Sub-section 1.02 Internal organisation

| 1.02 | Question  | Standard | Response |
|------|---|----------|----------|
| 1    | Have you documented the internal structure of your business?  |          | Y/N*     |
| 2    | How many staff are employed in your business?   |          |          |
| 3    | Provide the names of your senior personnel involved in the international trade supply chain and the person responsible for customs matters. |          |          |
| 4    | Have you documented fallback procedures when key staff are absent?  |          | Y/N*     |

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**Sub-section 1.03 Volume of business**

| <b>1.03</b> | <b>Question</b>  | <b>Standard</b> | <b>Response</b> |
|-------------|--|-----------------|-----------------|
| 1           | Provide the annual turnover figure in the last three sets of completed annual accounts. If a new business, state N/A.                        |                 |                 |
| 2           | Provide the annual net profit or loss figure in the last three sets of completed annual accounts. If a new business, state N/A.              |                 |                 |
| 3           | If you own or use storage sites/premises, state the total storage capacity and average percentage of the storage capacity normally utilised. |                 |                 |
| 4           | Provide the number and value of import, (re-)export and transit declarations you have made in each of the last 3 years?                      |                 |                 |
| 5           | What is the total amount of customs duty, excise duty and import VAT you have paid in each of the last 3 years?                              |                 |                 |
| 6           | Provide an estimate of the number and value of import, (re-)export and transit declarations you expect to make in each of the next 2 years?  |                 |                 |

**Sub-section 1.04 Information on customs matters**

| <b>1.04</b> | <b>Question</b>   | <b>Standard</b> | <b>Response</b> |
|-------------|---|-----------------|-----------------|
| 1           | Provide a list of the main non-EU countries with which you trade.                             |                 |                 |
| 2           | Have you documented procedures for the classification of your goods?                          |                 | Y/N*            |
| 3           | Do you deal in goods subject to tariff preferences?   |                 | Y/N*            |
| 4           | Have you documented procedures for claiming preferential rates of duty on imports?            |                 | Y/N*            |
| 5           | Have you documented procedures for issuing certificates/invoice declarations at (re-) export? |                 | Y/N*            |
| 6           | Do you import/(re-)export goods subject to licences, permits, certificates or restrictions?   |                 | Y/N*            |

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| 7  | Have you documented procedures for administering these licences?  |  | Y/N* |
| 8  | Do you deal in goods subject to anti-dumping duties or countervailing duties?   |  | Y/N* |
| 9  | If yes, provide details of the manufacturer(s) or countries outside the EU whose goods are subject to the above duties. |  |      |
| 10 | Have you documented procedures for determining the correct value for duty and VAT (for both imports and (re-)exports)?  |  | Y/N* |

## Section 2 Compliance Record

### Sub-section 2.01 Compliance history

| 2.01 | Question   | Standard | Response |
|------|--|----------|----------|
| 1    | Provide brief details of any customs authorisation held or sought by your business which has been withdrawn, suspended or refused in the last three years. |          |          |
| 2    | Have you documented procedures for identifying and disclosing irregularities/errors to Customs or other regulatory authorities as appropriate?             |          | Y/N*     |
| 3    | Provide brief details of any compliance errors or irregularities you have discovered in the last three years.  |          |          |
| 4    | Have you taken any remedial action as a result?  |          | Y/N*     |

### Sub-section 2.02 Intelligence information

| 2.02 | Question  | Standard | Response |
|------|---|----------|----------|
| 1    | Provide brief details of any monetary or non-monetary irregularities in respect of import, (re-)export, handling, transfer or transport of goods you have made in the last three years. |          |          |
| 2    | Have you taken any remedial action as a result?   |          | Y/N*     |
| 3    | Provide details of any high risk or controlled goods you handle eg military goods or technology, dual-use goods, excise goods or CAP goods, hazardous                                   |          |          |

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### Section 3 The accounting and logistical system of the business

#### Sub-section 3.01 Audit trail

| 3.01 | Question   | Standard                     | Response |
|------|--|------------------------------|----------|
| 1    | Do you maintain a full audit trail of your customs activities? | ISO 9001:2001<br>Section 6.3 | Y/N*     |

#### Sub-section 3.02 Accounting and logistical system

| 3.02 | Question  | Standard                     | Response |
|------|---|------------------------------|----------|
| 1    | What type of computer system(s) do you use for your commercial and, if used, duty management systems?   | ISO 9001:2001<br>Section 6.3 |          |
| 2    | What operating system does your computer system, which supports the logistical/accounting operations of your business, run?                     | As at 3.02.1                 |          |
| 3    | Which accounting and logistics software applications are used by your business?   | As at 3.02.1                 |          |
| 4    | Provide the name of the software supplier if the applications used by your business include a specific duty management and/or reporting system. | As at 3.02.1                 |          |
| 5    | Where are your computer activities undertaken?  | As at 3.02.1                 |          |

#### Sub-section 3.03 Internal control system

| 3.03 | Question  | Standard                     | Response |
|------|---|------------------------------|----------|
| 1    | Have you documented procedures by which employees within the purchase, storage, production and sale processes must operate? | ISO 9001:2001<br>Section 7.4 | Y/N*     |
| 2    | Have your internal control processes been subject to any internal/external audit?   | As at 3.03.1                 | Y/N*     |
| 3    | Have you documented procedures to control your standing data?   | ISO 9001:2001<br>Section 7.4 | Y/N*     |

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**Sub-section 3.04 Flow of goods**

| <b>3.04</b> | <b>Question</b>  | <b>Standard</b>                    | <b>Response</b> |
|-------------|--|------------------------------------|-----------------|
| 1           | Have you documented procedures for the purchase and receipt of non-community goods?                  | ISO 9001:2001<br>Section 6.3       | Y/N*            |
| 2           | Have you documented procedures to control stock movement of goods?                                   | ISO 9001:2001<br>Section 6.3       | Y/N*            |
| 3           | Have you documented procedures to control your manufacturing processes?                              | ISO 9001:2001<br>Section 6.3       | Y/N*            |
| 4           | Have you documented procedures to control the delivery of goods from stock to your non-EU customers? | ISO 9001:2001<br>Sections 6.3, 7.1 | Y/N*            |

**Sub-section 3.05 Making customs declarations and the use of customs agents**

| <b>3.05</b> | <b>Question</b>   | <b>Standard</b>                | <b>Response</b> |
|-------------|---|--------------------------------|-----------------|
| 1           | Have you documented procedures for verifying the accuracy of customs declarations including those submitted on your behalf by a third party representative eg agent, forwarder etc? | ISO 9001:2001<br>Section 6.2.2 | Y/N*            |

**Sub-section 3.06 Procedures as regards back-up, recovery and fallback and archiving**

| <b>3.06</b> | <b>Question</b>   | <b>Standard</b>   | <b>Response</b> |
|-------------|---|---|-----------------|
| 1           | Have you documented procedures for back-up, recovery, fallback, archiving and retrieval of your business records? | ISO 9001:2001<br>Section 6.3<br>ISO 17799:2005<br>ISO 27001:2005<br>ISO norm for standards in IT security | Y/N*            |

**Sub-section 3.07 Information security – protection of computer systems**

| <b>3.07</b> | <b>Question</b>   | <b>Standard</b>  | <b>Response</b> |
|-------------|---|--|-----------------|
| 1           | Have you documented procedures to protect your computer system against unauthorised access? | ISO 17799:2005<br>ISO 27001:2005<br>ISO/PAS<br>28001:2006<br>Section A 3.3 | Y/N*            |

### Sub-section 3.08 Information security – documentation security

| 3.08 | Question  | Standard  | Response |
|------|---|---|----------|
| 1    | Have you documented procedures to control your document security? | ISO/PAS<br>28001:2006<br>Sections A 3.3,<br>4.2<br>ISO 17799:2005<br>ISO 27001:2005 | Y/N*     |

## Section 4 Financial solvency

### Sub-section 4.01 Proven solvency

| 4.01 | Question  | Standard | Response |
|------|---|----------|----------|
| 1    | Are all your finalised annual accounts up to date?  |          | Y/N*     |
| 2    | If you are a company, have you submitted your annual accounts to the appropriate authority within the required time limits? |          | Y/N*     |

## Section 5 Safety and security requirements

### Sub-section 5.01 Security assessment conducted by the applicant (self assessment)

| 5.01 | Question  | Standard  | Response |
|------|---|---|----------|
| 1    | Who in your business is responsible for safety and security measures? | ISO/PAS<br>28001:2006<br>Sections A 3.3,<br>4.2, 4.3<br>ISO 9001:2001<br>Section 5.5.1<br>ISPS Code |          |
| 2    | Have you undertaken and documented a safety and security assessment?  | As at 5.01.1  | Y/N*     |
| 3    | Have you documented your safety and security measures?                | As at 5.01.1  | Y/N*     |
| 4    | Have you documented procedures for recording and reporting incidents? | ISO/PAS<br>28001:2006<br>Section A 3.3,   | Y/N*     |

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|   |   | 4.2<br>ISPS Code                                     |      |
| 5 | Are there any particular security and safety requirements for the goods you are importing/(re-)exporting? | ISPS Code  | Y/N* |
| 6 | If so, provide brief details.   | As at 5.01.5   |      |
| 7 | Have you made a threat assessment of your business?   | ISO/PAS<br>28001:2006,<br>Section A 4.2<br>ISPS Code | Y/N* |
| 8 | Does your insurance company impose any security requirements on you?                                      | ISPS Code  | Y/N* |
| 9 | Have your customers imposed security requirements on you?   | As at 5.01.8   | Y/N* |

#### Sub-section 5.02 Physical security

| 5.02 | Question   | Standard   | Response |
|------|--|--|----------|
| 1    | Are the external boundaries of your premises secured?  | ISO/PAS<br>28001:2006<br>Section A 3.3<br>ISPS Code          | Y/N*     |
| 2    | Have you documented procedures to control access through all gates/entrance points?                      | See 5.02.1   | Y/N*     |
| 3    | Do you have locks/security measures for inner and outer doors, windows and gates?                        | ISO/PAS<br>28001:2006<br>Section A 3.3                       | Y/N*     |
| 4    | Have you documented procedures for the handling of keys?   | See 5.02.3   | Y/N*     |
| 5    | Have you documented procedures for ensuring only authorised persons have access to the premises?         | ISO/PAS<br>28001:2006<br>Sections A 3.3,<br>4.2<br>ISPS Code | Y/N*     |
| 6    | Have you documented procedures to protect your premises against unauthorised access by private vehicles? |  | Y/N*     |
| 7    | Have you documented procedures for dealing with unauthorised access or intrusion?                        | See 5.02.1   | Y/N*     |

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|---|--|------------|------|
| 8 | Have you documented procedures for checking and maintaining the security of buildings and external boundaries? | See 5.02.3 | Y/N* |
|---|--|------------|------|

**Sub-section 5.03 Cargo units**

| <b>5.03</b> | <b>Question</b>   | <b>Standard</b>                                     | <b>Response</b> |
|-------------|---|---|-----------------|
| 1           | Do you own the cargo units used by your business?   |   | Y/N*            |
| 2           | Do you carry out routine inspections of the cargo and tractor units?  | ISO/PAS<br>28001:2006<br>Section A 3.3              | Y/N             |
| 3           | Have you documented control procedures to monitor the security of cargo units used by your business whilst under your responsibility? | ISO/PAS<br>28001:2006<br>Section A 3.3<br>ISPS Code | Y/N*            |
| 4           | Have you documented procedures to deal with incidents of unauthorised access or tampering with a cargo unit?                          | As at 5.03.2  | Y/N*            |
| 5           | Is the maintenance/repair of the cargo units carried out at your premises or externally?  | As at 5.03.2  |                 |
| 6           | If externally, have you documented procedures for inspection of the cargo units on their return prior to loading?                     | As at 5.03.2  | Y/N*            |

**Sub-section 5.04 Logistical processes**

| <b>5.04</b> | <b>Question</b>   | <b>Standard</b> | <b>Response</b> |
|-------------|---|-----------------|-----------------|
| 1           | Which means of transport are normally used by your business?  |                 |                 |
| 2           | Is the transport owned by you or an external contractor?  |                 |                 |
| 3           | If the latter, do you use the contractor on a regular basis and do you have agreements in place outlining responsibilities and procedures for the secure transport of your goods? |                 | Y/N*            |
| 4           | If you do not use a regular contractor, how do you ensure the safety and security of the transport of your goods?   |                 |                 |

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**Sub-section 5.05 Incoming goods**

| <b>5.05</b> | <b>Question</b>  | <b>Standard</b>   | <b>Response</b> |
|-------------|--|---|-----------------|
| 1           | Have you documented procedures to address safety and security issues surrounding your inward goods?  | ISO 9001:2001<br>Section 6.2.2<br>ISO/PAS<br>28001:2006<br>Section A 3.3<br>ISO/PAS 17712<br>ISO 9001:2000<br>Section 7.4 | Y/N*            |
| 2           | Have you documented procedures to deal with situations if incoming goods breach security and safety arrangements agreed with your suppliers? | ISO/PAS<br>28001:2006<br>Section 3.3  | Y/N*            |
| 3           | Do you ensure that goods are received only in a supervised area?   | See 5.05.2  | Y/N*            |
| 4           | Have you documented procedures for ensuring staff are informed of safety and security measures/arrangements?                                 | See 5.05.2  | Y/N*            |
| 5           | Have you documented procedures for the receipt of goods which pose a safety and security risk?   | ISO 9001:2000<br>Section 7.4  | Y/N*            |
| 6           | Have you segregated duties between the ordering of the goods, receipt, entering the goods in the system and payment of the invoice?          |   | Y/N*            |

**Sub-section 5.06 Storage of goods**

| <b>5.06</b> | <b>Question</b>   | <b>Standard</b>   | <b>Response</b> |
|-------------|---|---|-----------------|
| 1           | Have you documented procedures to address the safety and security issues surrounding storage of your goods? | ISO 9001:2001<br>Section 2.2<br>ISO/PAS<br>28001:2006<br>Section A 3.3<br>ISPS Code<br>TAPA(Technology<br>Asset Protection<br>Association)<br>Certificate | Y/N*            |

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**Sub-section 5.07 Manufacturing of the goods**

| <b>5.07</b> | <b>Question</b>  | <b>Standard</b>                        | <b>Response</b> |
|-------------|--|--|-----------------|
| 1           | Have you documented procedures to address the safety and security issues surrounding your manufacturing processes? | ISO/PAS<br>28001:2006<br>Section A 3.3 | Y/N*            |

**Sub-section 5.08 Loading of goods**

| <b>5.08</b> | <b>Question</b>   | <b>Standard</b>  | <b>Response</b> |
|-------------|---|--|-----------------|
| 1           | Have you documented physical and documentary procedures to control the loading of goods?                | ISO/PAS<br>28001:2006<br>Section A 3.3<br>ISO/PAS<br>11712:116<br>ISO/PAS 17712<br>ISPS Code | Y/N*            |
| 2           | Have you documented any safety and security measures required by your customers at the time of loading? | ISO/PAS<br>28001:2006<br>Section A 3.3   | Y/N*            |

**Sub-section 5.9 Security requirements on suppliers**

| <b>5.9</b> | <b>Question</b>  | <b>Standard</b>                      | <b>Response</b> |
|------------|--|--------------------------------------|-----------------|
| 1          | Do you have any arrangements regarding the implementation of safety and security measures with your suppliers? | ISO/PAS<br>28001:2006<br>Section 3.3 | Y/N*            |

**Sub-section 5.10 Personnel security**

| <b>5.10</b> | <b>Question</b>  | <b>Standard</b>                        | <b>Response</b> |
|-------------|--|--|-----------------|
| 1           | Have you documented procedures on your employment policy that takes into account the security requirements of your business? | ISO/PAS<br>28001:2006<br>Section A 3.3 | Y/N*            |
| 2           | Do you provide training to your staff on security and safety requirements?   | See 5.10.1                             | Y/N*            |
| 3           | Do you have security requirements in place for the employment of temporary personnel?  | See 5.10.1                             | Y/N*            |

**Sub-section 5.11 External services**

| <b>5.11</b> | <b>Question</b>  | <b>Standard</b>       | <b>Response</b> |
|-------------|--|-----------------------|-----------------|
| 1           | Do you have security requirements incorporated into contractual arrangements with external suppliers e.g. security guards, cleaning, | ISO/PAS<br>28001/2006 | Y/N*            |

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|  | maintenance? | Section A 3.3 |  |
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