# AEO SELF ASSESSMENT

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- AEO Self Assessment is a practical tool to enable an economic operator to perform a self-assessment

- Questionnaire developed by the WCO

- Provide the appropriate information to the customs

- Allows Customs administrations to get a good overall picture of the applicant

- Applicants are not required to give an answer on each question

## Preparation before submitting an application (1)

You should be "in control" of your business!

In a general way it means:

- clear vision, mission and strategy on your activities in particular with relation/influence on the international supply chain;

- implement appropriate organisational measures;

- a system of appropriate internal controls;

- an evaluation system which leads to adjustments and refining the organisational structure and procedures when necessary.

## Preparation before submitting an application (2)

In a more specific way it means:

- identify and assess any possible risks related to your business activities

   and

- take steps to mitigate identified risks by implementing internal procedures and routines, and appropriate control measures.

## Different Sections

1. Company Information
2. Compliance with general requirements
3. Premises Security and Access controls
4. Personnel Security
5. Business Partner Security
6. Cargo Security
7. Conveyance Secuity
8. Information Security
9. Incident Management
10. External Services
11. Measurement, Analyses and Improvement

## Section 1 - Company Information

- This section is mainly to give the customs authority an overview on the company

- Describe the internal organisational structure of the company:
    - Who is responsible for what?
    - Do you have different legal entities?
    - Where are the activities carried out?
    - Who is the contact person?

## Section 2 - Compliance with general requirements for AEO

**Demonstrated Compliance with Customs Requirements (1)**

- Information and statistics on Customs matters and Customs routines
  - Do you have satisfactory procedures in place for the handling of licenses and authorisations connected to commercial policy measures or to trade in agricultural products?
  - How do you ensure the completeness, accuracy and timeliness of customs declarations you make yourself, including performing management checks?
  - How customs agents are appointed?
  - How do you provide information to your customs agents?
  - How do you establish the preferential or non-preferential origin of the imported goods and how do you verify that the information is correct?
  - How and by whom is the tariff classification of goods decided?

**Section 2 - Compliance with general requirements for AEO**

**Demonstrated Compliance with Customs Requirements (2)**

- Compliance management
    - Do you have a demonstrated record of compliance over the last three years?
    - In the last three years the customs authorities refused you an authorisation/certification?
    - Do you have a structure that allows you to contact the customs authorities in time if there are compliance difficulties?

## Section 2 - Compliance with general requirements for AEO

**Satisfactory System for Management of Commercial Records (1)**

- Accounting and logistical system
    - Which software/hardware do you use?
    - Who can access to your accounting system?
    - How long are the data saved in the production system and how long are these data archived?
    - Do you have a back-up procedure?
    - Do you have a fallback procedure in place?

- Internal control system
    - need to have a system which corresponds to the type and size of your business and which is suitable to the management of the flow of goods, and have internal controls capable of detecting illegal or irregular transactions
    - Do you have an internal control process been subject to any internal/external audit?

## Section 2 - Compliance with general requirements for AEO

**Satisfactory System for Management of Commercial Records (2)**

- Financial Viability
  - Are the annual accounts up to date?
  - Annual accounts or statements for the last three years.
  - Do you have a good financial standing which is sufficient to fulfil your customs related obligations?
  - Did you have insolvency proceeding initiated in the last three years?

## Section 3 - Premises Security and Access Controls

- Perimeter Fencing
- Gates and Gate Houses
- Parking
- Building structure
- Locking Devices and Key Controls
- Lighting
- Alarm Systems and Video Surveillance Cameras
- Security Personnel and Organisation
- Access Controls for Employees
- Access Controls for Vistors and Vendors/Contractors
- Challenging and Removing Unauthorised Persons

## Section 4 - Personnel Security

- Pre-Employment Verification and Background Checks
- Periodic Background Checks/Reinvestigations for Current Personnel
- Resignation and Termination of Personnel
- Temporary Personnel Security Standards
- Education, Training and Awareness

## Section 5 - Business Partner Security

- Selection of Business Partners

- Security Requirements for Business Partners

- Security Certification

- Review of Business Partners' Compliance to Security Requirements

- Storage Facilities

## Section 6 - Cargo Security

- Documentation Processing and Verification:
    - What do we do to be sure that the documents we use in the movement and clearance of cargo are not exchanged or lost?
    - What do we do if we encounter a suspicious document?

- Receipt and Release of Cargo
    - Are the persons / drivers delivering or receiving cargo identified before cargo is received or delivered?

- Procedural Documentation
    - Who prepares documents?
    - How are seals issued? Etc.

- Inspection of Cargo Conveyance
    - Verify the phisical integrity of the cargo

- Container Seals
    - Do we use high security seals?

## Section 7 - Conveyance Security

- Conveyance Inspection
  - Procedure in place to consider potential places of concealment on cenveyances

- Drivers' Guide
  - What is the procedure in place to train drivers?

## Section 8 - Information Security

- Information technology (IT)
  - Procedure in place to maintain confidentiality and integrity of data and information

- Documentation Security
  - How do we protect information/documents?

- Information Security Procedures
  - Who is responsible for the protection of the computer system?
  - How are information protected?

- Accountability
  - Which hardware/software do we use?

- Data Back-ups and Recovery Plans
  - Where?
  - What do we do to protect our computer system?

## Section 9 - Incident Management

- Inform about the procedures in the area of incident management (terrorism, contraband, organised crime, etc.)

## Section 10 - External Services

- Information about security measures in relation to external services (security guards, cleaning companies, suppliers, etc.)

## Section 11 - Measurement, Analyses and Improvement

- Description of the procedures in place to conduct assessments of the security risks in business operations, to establish and conduct regular self-assessments of the security management system.

Thank you!