

**0.1**  
Please read the European Commission’s Authorised Economic Operator (AEO) Guidelines, TAXUD/B2/047/2011–REV6), before applying for AEO. This is available via the European Commission’s Europa website.

**0.2**  
Which departments, including management, have you involved in the process to prepare your company for the AEO application? Have you involved customs or third parties in the process (consultants etc)?

## 1 Company information

### 1.1 General company information

**1.1.1**  
State the name, address, date of establishment/registration and legal status of the organisation of the applying company. Please include the web page address (URL) of your company’s website, if applicable.

Name

Address

Date of establishment

Legal status

Website

If your company is part of a group, provide a brief description of the group and indicate if any other entities in the group:

a) already have an AEO authorisation

Yes  No

b) have applied for AEO status and are currently undergoing an AEO audit by a national customs authority

Yes  No

If you are submitting an application covering a Permanent Business Establishments (PBEs), please indicate their full names, addresses and VAT registration numbers.

If the company is established for less than 3 years, please specify whether the reason is due to an internal reorganisation of a previously existing company (eg incorporation or sale of a business unit). In this case please give details regarding the reorganisation.

**1.1.2**  
Give the following details (if they apply to the legal form of your company).

a) Provide details of the owners or main shareholders and include percentage held.

b) Provide full details of the main shareholders that are involved with the day to day running/decision making of the business.

c) Full details of the board members and/or managers.

d) Full details of advisory board, if any, and board of directors.

e) Full details of the person in charge of your company or exercising control over your company’s management.

**In the UK you need to only supply the name(s) and National Insurance number(s) for all the above (a, b, c, d and e). If outside the UK you need to supply full name(s), address(es) and date(s) of birth.**

Details should include full name and address, date of birth or National Identification Number (for example, National ID Card number or National Insurance number). If outside the UK you need to supply full name(s), address(es) and date(s) of birth.

#### 1.1.3

Give full details of the person in charge of your customs matters.

**In the UK, you need to only supply the name(s) and National Insurance number(s). If outside the UK you need to supply full name(s) address(es) and date(s) of birth.**

Details should include the full name and address, date of birth and National Identification Number (for example, National ID Card number or National Insurance number).

**1.1.4**

Describe your commercial/business activity from the following list. Please select all the roles that are applicable.

- Manufacturer
- Exporter
- Importer
- Customs broker
- Carrier
- Freight forwarder
- Consolidator
- Terminal operator
- Warehousekeeper
- Other  Please explain what this is below

**1.1.5**

Specify the locations involved in customs activities (including member states and third countries) list the addresses, the name, the telephone numbers and the email of contact points and give a brief description of the business conducted in the following:

- a) The individual locations of your company as a legal entity (please indicate approximate number of employees in each department)
- b) The sites where a third party executes outsourced activities for your company

**1.1.6**

Do you buy from/sell to businesses with which you are associated?

Yes  No

**1.1.7**

Describe the internal organisational structure of your company and the tasks/responsibilities of each department

**1.1.8**

Give the names of senior management (directors, heads of departments, head of accounting, head of customs department) of the company and briefly the **stand in rules**

**1.1.9**

How many employees do you have in your business?

Please indicate one of these options:

- Micro
- Small
- Medium
- Large

**1.1.10**

a) If you agree to the publication of the information in the AEO authorisation in the list of authorised economic operators on the TAXUD website, please give your consent in Annex 1 to this SAQ.

b) If you can give your consent to the exchange of the information in the AEO authorisation in order to ensure the implementation of international agreements with third countries on mutual recognition of the status of authorised economic operators and measures related to security, please fill in Annex 1 to this SAQ.

## 1.2 Volume of business

### 1.2.1

a) Give the annual turnover figure for the last **3** sets of completed annual accounts. If a new business, state N/A

b) Provide the annual net profit or loss figure for the last **3** sets of completed annual accounts. If a new, business state N/A

### 1.2.2

If you use storage facilities which are not owned by you indicate who you rent/lease the storage facilities from

### 1.2.3

For each of the following, give an estimate of the number and value of the declarations you have made in each of the last **3** years. If a new business, state N/A

Import

Export/Re-export

Special procedures

### 1.2.4

Give an estimate amount paid in each of the last **3** years for the following:

Customs Duty

Excise Duty

Import VAT

If you are a new business operating for less than 3 years, provide details from the period you are operating. If you are a completely new business, state N/A.

### 1.2.5

a) Do you foresee any structural changes in your company in the next **2** years?

Yes  No

If 'Yes', briefly describe the changes

b) Do you foresee any major changes in your supply chain for your company in the next **2** years?

Yes  No

If 'Yes', briefly describe the changes

## 1.3 Information and statistics on customs matters

### 1.3.1

a) Do you perform customs formalities in your own name and for your own account?

Yes  No

b) Is someone representing you regarding customs formalities?

Yes  No

If 'Yes', by whom and how (directly or indirectly)?  
Include the name, address and EORI number of the representative

c) Do you represent other persons in customs formalities?

Yes  No

If 'Yes', who and how (directly or indirectly)?  
(Name the most significant clients)

**1.3.2**

a) How, and by whom, is the tariff classification of goods decided?

b) What quality assurance measures do you take to make sure that tariff classifications are correct (for example, checks, plausibility checks, internal working instructions, regular training)?

c) Do you keep notes on these quality assurance measures?

Yes  No

d) Do you regularly monitor the effectiveness of your quality assurance measures?

Yes  No

e) What resources do you use for tariff classification (for example, database of standing data on goods)?

**1.3.3**

a) How and by whom is the customs value established?

b) What quality assurance measures do you take to make sure that the customs value is correctly established (for example, checks, plausibility checks, internal working instructions, regular training, other means)?

c) Do you regularly monitor the effectiveness of your quality assurance measures?

Yes  No

d) Do you keep notes on these quality assurance measures?

Yes  No

**1.3.4**

a) Give an overview of the preferential or non-preferential origin of the imported goods. If none, state N/A

b) What internal actions have you implemented to verify that the country of origin of the imported goods is declared correctly? If none, state N/A

c) Describe your approach in the issuing of proof of preferences and certificates of origin for exportation. If none, state N/A

**1.3.5**

Do you deal in goods subject to anti-dumping duties or countervailing duties?

Yes  No

If 'Yes', provide details of the manufacturer(s) or countries outside the EU whose goods are subject to the above duties

## 2 Compliance record

(Article 39 (a) UCC; Article 24 UCC IA; AEO Guidelines Part 2, Section I)

### 2.1

a) Have breaches of customs and taxation rules been detected within your company or by the customs and/or fiscal authorities in the last 3 years?

If 'Yes', briefly describe the breaches

b) How did you notify breaches to the relevant governmental authorities?

c) What quality assurance measures were introduced to avoid such breaches in the future?

d) Do you keep notes on these quality assurance measures?

Yes  No

Has your company been condemned for any serious infringement of criminal laws related to your economic activity?

Yes  No

If yes, describe the infringement and when it has been committed. Please also make reference to the sentence of the court.

### 2.2

a) Do you plan to apply or have you already applied for any other customs authorisation?

Yes  No

If 'Yes', please provide details

b) Have any applications for authorisations/certifications been refused, or existing authorisations been suspended or revoked because of breaches of customs rules in the last 3 years

Yes  No

If 'Yes', how many times and what were the reasons?

## 3 Accounting and logistical system

(Article 39 (b) UCC, Article 25 UCC IA; AEO Guidelines Part 2, Section II)

### 3.1 Audit trail

#### 3.1.1

Does your accounting (logistic) system facilitate a full audit trail of your customs activities or tax relevant movement of goods or accounting entries?

Yes  No

If 'Yes', describe the essential features of this audit trail

## 3.2 Accounting and logistical system

### 3.2.1

What computer system (hardware/software) do you use for your business in general, and for customs matters in particular? Are those 2 systems integrated or not?

Provide information on the following.

a) Separation of functions between development, testing and operation

b) Separation of functions between users

c) Access controls (which ones/to whom)

d) Traceability between business system and declaration system

**3.2.2**

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

Yes  No

If 'Yes', give details, but if you do not deal with non-Union goods, please indicate N/A.

**3.2.3**

a) At what location are your computer activities undertaken?

b) Have computer applications been outsourced?

Yes  No

If 'Yes', provide details (name address, VAT no.) of company or companies where the applications are outsourced and how do you manage access controls for the outsourced applications?

**3.3 Internal control system****3.3.1**

Do you have in-house guidelines for the internal control system in the accounts department, buying department, sales department, customs department, production, material and merchandise management and logistics?

Yes  No

If 'Yes', describe them briefly and how they are updated. For example, actions like job instructions, employee training, instructions for checking faults and mechanism for proofreading

**3.3.2**

Have your internal control processes been subject to any internal/external audit?

Yes  No

Does this include audit of your customs routines?

Yes  No

If 'Yes', provide a copy of your most recent audit report

**3.3.3**

a) Briefly describe the procedures for checking your computer files (standing data or master files).

How do these procedures cover the following risks from your perspective?

b) Incorrect and/or incomplete recording of transactions in the accounting system

c) Use of incorrect permanent or out-of-date data such as number of articles and tariff codes

d) Inadequate control of the company processes within the applicant's business

**3.4 Flow of goods****3.4.1**

Briefly describe the registration procedure (physically and in the records) for the flow of goods starting from their arrival, the storage up to manufacture and shipment. Who keeps records and where are they kept?

**3.4.2**

Briefly describe the procedures in place for checking stock levels, including the frequency of those checks and how are discrepancies handled, for example, stocktaking and inventory?

### 3.5 Customs routines

#### 3.5.1

Do you have documented procedures for verifying the accuracy of customs declarations, including those submitted on your behalf, for example, by a customs agent or a freight forwarder?

Yes  No

If 'Yes', briefly describe the procedures

If 'No', do you verify the accuracy of customs declarations?

Yes  No

If 'Yes', in what way?

#### 3.5.2

a) Does your company have instructions or guidelines on the notification of irregularities to the competent authorities (for example, suspicion of theft, burglary or smuggling in connection with customs-related goods)?

Yes  No

Are these instructions documented, for example, work instructions, manuals, other guidance documents?

Yes  No

b) Over the last year, have you detected any irregularities (or presumed irregularities) and notified them to the competent authorities?

Yes  No

#### 3.5.3

Do you trade in goods that are subject to economic trade licences, for example, textiles, agricultural goods?

Yes  No

If 'Yes', briefly describe your procedures for administering the licences related to the import and/or export of such goods

#### 3.5.4

a) Are you dealing with goods subject to import and export licenses connected to prohibitions and restrictions?

Yes  No

b) Are you dealing with goods subject to other import and export licenses?

Yes  No

If 'Yes', please specify the type of goods and any procedures in place for the handling those licenses?

Yes  No

#### 3.5.5

Are you dealing with goods falling under the Dual Use Regulation (Council Regulation No 428/2009/EC)?

Yes  No

If 'Yes', have you implemented an Internal Compliance Programme (ICP)?

Yes  No

If 'Yes', please briefly describe how it is updated

### 3.6 Procedures for back-up, recovery, fallback and archiving

#### 3.6.1

Briefly describe your procedures for back-up, recovery, fallback, archiving and retrieval of your business records

#### 3.6.2

How long is the data saved in the production system and how long is this data archived?

#### 3.6.3

Does the company have a contingency plan for system disruption/failure?

Yes  No

### 3.7 Protection of computer systems

#### 3.7.1

a) Briefly describe the actions you have taken in order to protect your computer system from unauthorised intrusion, for example, firewall, antivirus programme, password protection?

b) Has any intrusion testing been carried out, what were the results and were any corrective measures taken?

c) Have you experienced any IT security incidents in the last year?

#### 3.7.2

a) Briefly describe how access rights for the computer systems are issued

b) Who is responsible for the running and protection of the computer system?

c) Do you have guidelines or internal instructions for IT security for your personnel?

Yes  No

d) How do you monitor that IT security measures are followed inside your company?

#### 3.7.3

a) Where is your main server located?

b) Give details of how your main server is secured

### 3.8 Documentation security (Guidelines Annex 2, point 2.9)

#### 3.8.1

Briefly describe what actions have been taken in order to protect information/documents from unauthorised access, abuse, intended destruction and loss (for example, constricted access rights, creation of electronic backup, clear-desk policy)

#### 3.8.2

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?

#### 3.8.3

Briefly answer the following questions.

a) Which categories of employees have access to detailed data about the flow of materials and goods?

b) Which categories of employees are authorised to change this data?

Are changes comprehensively documented?

Yes  No

#### 3.8.4

a) Briefly describe what requirements regarding security and safety you require from your trade partners and other contact persons in order to avoid abuse of information, for example, endangering of the supply chain through unauthorised transfer of shipping details

b) Are security declarations/agreements in place with your trade partners?

Yes  No

If 'No', how do you ensure the safety and security of information and/or goods?

### 4 Financial solvency

(Article 39 (c) UCC, Article 26 UCC IA, AEO Guidelines Part 2 Section III)

#### 4.1

Have any bankruptcy or insolvency proceedings been initiated in respect of your company's assets in the last 3 years?

Yes  No

If 'Yes', provide details

#### 4.2

Has your company had a consistently good financial standing within the meaning of Article 26 of the UCC IA, sufficient to meet its financial commitments, over the last 3 years?

Yes  No

If 'Yes', provide evidence such as a letter from your auditors or an audited report, a copy of your finalised accounts (including your management accounts) – if your accounts have not been audited, evidence from your bank or financial institution.

If 'No', supply full details.



**4.3**

If you are a newly established business, provide all records and information in relation to your financial status. For example, latest cash flow, balance sheet and profit and loss forecasts approved by the directors/partners/sole proprietor.

**4.4**

Is there anything you are aware of that could impact on your financial solvency in the foreseeable future?

Yes  No

If 'Yes', give details

**4.5**

Do you have a Duty Deferment Account?

Yes  No

If 'Yes', give deferment approval number (DAN)

## 5 Practical standards of competence or professional qualifications (Article 39 (d) UCC, Article 27 UCC IA, AEO Guidelines Part 2 Section IV)

### 5.1 Practical standards of competence

**5.1.1**

Do you or the person in charge of your customs matters have practical experience of a minimum of 3 years in customs matters?

Yes  No

If 'Yes', please provide details proving this experience.

**5.1.2**

Do you or the person in charge of your customs matters comply with a quality standard concerning customs matters adopted by a European Standardisation body, when available?

Yes  No

If 'Yes', please provide details on this quality standard.

### 5.2 Professional qualifications

**5.2.1**

Have you or the person in charge of your customs matters successfully completed training covering customs legislation consistent with, and relevant to, the extent of your involvement in customs-related activities, provided by any of the following:

a) a customs authority of a Member State

b) 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

c) 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?

Yes  No

If 'Yes', please provide details regarding the training you or the person in charge of your customs matters have successfully completed.

## 6 Security and safety requirements

(Article 39 (e) UCC, Article 28 UCC IA, AEO Guidelines Part 2, Section V)

### 6.1 General information on safety and security

#### 6.1.1

Please give the name and the position of the person competent for safety and security related questions

#### 6.1.2

a) Have you carried out a risk and threat assessment for your business?

Yes  No

b) Is there a security plan in place for each site, where appropriate?

Yes  No

How often are those documents reviewed and updated?

#### 6.1.3

Briefly describe what security risks (within the company or in your business dealings with customers, suppliers and external service providers) you have identified in relation to the AEO security criteria

#### 6.1.4

a) Briefly describe how security measures are implemented and coordinated in your company?

b) Who is responsible for them?

#### 6.1.5

If you have several premises in your company, is the implementation of the security measures harmonised in all of these locations?

Yes  No  Not applicable

#### 6.1.6

a) Do you have any security instructions? How are they communicated to your staff and people visiting your company premises?

b) How are they documented (manual, work guidelines, information sheet, and so on)?

#### 6.1.7

a) Have you had any security incidents?

Yes  No

If 'Yes', give a brief description of the incidents and what measures you have introduced to prevent them from reoccurring

b) Do you keep records of security incidents and the measures taken?

Yes  No

#### 6.1.8

a) Have you already been certified/authorised/approved by another public agency or authority for (transport, civil aviation, etc) security purposes?

Yes  No

If 'Yes', provide a copy of the certificate/authorisation/approval and give details of the premises/sites, which are covered by the relevant certificate/authorisation/approval

b) Provide a list of any independently accredited standards/licences/authorisations that you adhere to and specify what control/audits these standards are subject to

c) Have you planned to apply or have you already applied for any other certification/authorisation/approval for security purposes (eg regulated agent, known consignor, etc

If 'Yes', provide details

#### 6.1.9

Are there particular security and safety requirements for the goods you are importing/exporting?

#### 6.1.10

a) Do you use the services of a security company? If so, which company do you use?

b) Has this company made a threat assessment of your company? If so, describe briefly what security risks they have identified in relation to the AEO security criteria

#### 6.1.11

Do your customers or insurance company impose any safety and security requirements on you?

Yes  No

If 'Yes', provide details

**6.2 Building security**  
(AEO Guidelines Part 2 Section V, Subsection 2)

**6.2.1**

- a) Give a brief description of how the external boundary of your company's premises is secured
- b) How is compliance with these procedures checked?
- c) How, by whom and at what intervals are checks carried out on the fences and buildings?
- d) How are these checks and their results recorded?
- e) How are security incidents reported and dealt with?

**6.2.2**

Answer the following questions.

- a) What types of access are there to your business premises?
- b) How are these managed?
- c) Are access points restricted to time/day?

**6.2.3**

Are the premises adequately illuminated (for example, continuous light, movement sensors, twilight switch)?

Yes  No

If 'Yes', provide details

**6.2.4**

a) How is the administration of keys handled in your company (for example, location, access, logging)?

b) Does written documentation exist for this?

Yes  No

**6.2.5**

a) Is the parking of private vehicles permitted on the premises?

Yes  No

b) If 'Yes', for which persons?

c) Who gives the approval?

d) Are the vehicles checked (at the entrance to the premises or at the car park entrance)?

Yes  No

e) Do written regulations exist?

Yes  No

**6.3 Access to premises**  
(AEO Guidelines Part 2 Section V, Subsection 3)

**6.3.1**

a) Briefly describe how the process of access to your premises (buildings, production areas, warehouses, and so on) is regulated for staff, visitors, other persons, vehicles and goods?

b) Who checks that the prescribed procedures are complied with?

**6.3.2**

a) Describe the procedures that are to be followed if an unauthorised person/vehicle is discovered on company premises, for example, grounds or buildings?

b) How are these procedures communicated to the staff (eg action plan, manual, working guidelines, training)?

**6.3.3**

Please provide a site plan for each location of your company that is involved in customs related activities (for example, layout plan, draft) from which the frontiers, access routes and the location of the buildings can be identified, if available

**6.3.4**

If applicable provide details of any other companies that are co-located on the same premises

#### 6.4 Cargo units (as containers, swap bodies, transport boxes)

(AEO Guidelines Part 2 Section V, Subsection 4)

##### 6.4.1

Is access to cargo units subject to rules/restrictions?

Yes  No

If 'Yes', how are such restrictions enforced?

##### 6.4.2

Briefly describe what measures are in place to prevent unauthorised access to and tampering with cargo units (particularly in open storage areas, for example, constant supervision, training staff and making them aware of risks, seals, instructions on procedures to follow in the case of unauthorised entry)

##### 6.4.3

a) Do you use seals to prevent unauthorised tampering with goods?

Yes  No

b) If 'Yes', what kind?

c) Do these seals satisfy any specific standards (for example, ISO)?

d) How do you make sure that goods are not tampered with if seals are not used?

##### 6.4.4

What control measures do you use for checking cargo units (for example, 7-point inspection process: front wall, left side, right side, floor, covering/roof, inside/outside of doors, outside/undercarriage)?

##### 6.4.5

Answer the following questions.

a) Who is the owner/operator of the cargo units?

b) Who maintains/repairs the cargo units?

c) Are there regular maintenance plans?

Yes  No

d) Are external maintenance works checked?

Yes  No

#### 6.5 Logistical processes

(AEO Guidelines Part 2 Section V, Subsection 4)

##### 6.5.1

a) Which means of transport are normally used by your company?

b) Does your company carry out all its own transport, or does it also use external service providers (for example, freight forwarders/carriers)?

c) How do you establish whether the freight forwarder/carrier meets the required security standards (for example, by means of a security certificate, declarations or agreements)?

d) Do you take other measures for outsourced transport activities with a view to meeting security standards?

Yes  No

e) If 'Yes', outline the nature and scope of your measures in this respect

#### 6.6 Incoming goods

(AEO Guidelines Part 2 Section V Subsection 4)

##### 6.6.1

a) Briefly describe the procedure for ensuring the security and safety of incoming goods

b) Briefly describe how the compliance with these procedures is checked

##### 6.6.2

a) Are your employees informed about security arrangements with suppliers?

b) How is compliance ensured?

**6.6.3**

a) Briefly describe how checks on the integrity of the seals on incoming goods are conducted

b) Are incoming goods sealed, if appropriate?

Yes  No

c) Does your company deal with specific types of goods requiring specific security measures (eg air cargo/air mail)?

Yes  No

d) If 'Yes', what routines/measures are in place?

**6.6.4**

a) Are the incoming goods marked?

Yes  No

b) If 'Yes', how are they marked?

**6.6.5**

Briefly describe the process for counting and weighing incoming goods

**6.6.6**

a) Briefly describe how incoming goods are checked against the accompanying documents and entered in your records

b) Briefly describe when incoming goods are checked against the accompanying documents and entered in your records

c) Briefly describe, by whom and what incoming goods are checked against the accompanying documents and entered in your records

**6.6.7**

a) Are the sections responsible for the purchase of goods, the receipt of goods and general administration clearly separated?

Yes  No

b) Do integrated internal control mechanisms exist between the sections?

Yes  No

c) If 'Yes', how are they executed?

**6.7 Storage of goods**

(AEO Guidelines Part 2 Section V, Subsection 4)

**6.7.1**

Describe at which locations you have set aside areas for the storage of goods

**6.7.2**

a) Briefly describe the routine for allocating a storage position for incoming goods

b) Do you have outdoor storage locations?

Yes  No

c) If 'Yes', describe them briefly

**6.7.3**

a) Do you have documented stocktaking and procedures for dealing with irregularities?

Yes  No

b) If 'Yes', briefly describe your arrangements

**6.7.4**

a) Are goods of different risk levels stored separately?

Yes  No  Not applicable

b) Describe the criteria for any separate storage, for example, hazardous goods, high-value goods, chemicals, weapons, air cargo/air mail

c) Describe how you make sure that the goods are immediately recorded in the logistical accounts/stock records

**6.7.5**

a) Briefly describe how goods are protected against unauthorised access to the warehousing premises

b) Briefly describe how compliance with these procedures is checked

**6.7.6**

If storage of goods is outsourced to a third party please describe briefly how and where the goods are stored and your control measures you use to supervise the handling of goods.

**6.8 Production of goods**  
(AEO Guidelines Part 2 Section V, Subsection 4)

**6.8.1**

a) Briefly describe what locations/areas are designated for the production of goods

b) Is production carried out by an external partner (for example, job processing, drop shipment)?

Yes  No

c) Briefly describe how the integrity of the goods is ensured (for example, contractual agreements)

**6.8.2**

a) Are there any security measures protecting goods against unauthorised access to the production zone?

Yes  No

b) If 'Yes', briefly describe how compliance with these procedures is checked

**6.8.3**

Briefly describe the procedures for packing products and whether they exist in written form

**6.8.4**

If final product packaging is outsourced to a third party, briefly describe how the integrity of the goods is guaranteed

**6.9 Loading of goods**  
(AEO Guidelines Part 2 Section V, Subsection 4)

**6.9.1**

a) Briefly describe how loading of goods is managed in your company (for example, allocation of responsibilities, checks on goods, and means of transport, recording of results, provision of information, and so on)?

b) Are there any written instructions on how the process should be organised?

Yes  No

**6.9.2**

a) Are outgoing goods or vehicles sealed?

Yes  No

b) If 'Yes', how, by whom and what sort of seals do you use?

c) Are any seal numbers mentioned in the documents accompanying the goods?

Yes  No

d) How do you keep a record of your seals?

**6.9.3**

Briefly describe how compliance with customers' security requirements for loading is guaranteed

**6.9.4**

Briefly describe the arrangements that are in place which ensures that goods to be loaded and the loading process are not left unsupervised

**6.9.5**

a) Are the outgoing goods checked for completeness (for example, counted, weighed)?

Yes  No

b) If 'Yes', how and by whom?

**6.9.6**

a) Briefly describe how departing goods are checked against orders and loading lists and recorded out of the stock records

b) Briefly describe when departing goods are checked against orders and loading lists and recorded out of the stock records

c) Briefly describe, by whom and what departing goods are checked against orders and loading lists and recorded out of the stock records

**6.9.7**

Briefly describe what control mechanisms you have in place for detecting irregularities concerning the loading of goods

**6.10 Security requirements for business partners**  
(AEO Guidelines Part 2 Section V, Subsection 5)

**6.10.1**

Briefly describe how your company verifies the identity of trade partners in order to secure the supply chain (information search before accepting orders or placing orders)

**6.10.2**

a) Briefly describe what measures you have taken to confirm that your business partners ensure the security of their part of the international supply chain (for example, security declarations, contractual requirements, trade partners with own AEO status)

b) Briefly describe how compliance with these procedures is checked?

**6.10.3**

a) Over the last year, have you detected any breaches of the security agreements you have with partners?

Yes  No

b) If 'Yes', what measures have you taken?

**6.11 Personnel security**  
(AEO Guidelines Part 2 Section V, Subsection 6)

**6.11.1**

a) Briefly describe how your employment policy deals with security and safety requirements?

b) Who is responsible for this area?

c) Are the security procedures recorded in writing?

Yes  No

d) How is compliance with these procedures checked?

**6.11.2**

To what extent are the following types of employees subject to security checks: (for example police checks to confirm he/she has no criminal record)?

a) New employees who will be working in security-sensitive fields

b) Existing employees who are to be transferred into security-sensitive fields

c) How is it ensured that when staff leave, they no longer have any physical or electronic access to company premises or data?

**6.11.3**

a) Is security and safety training provided for employees?

Yes  No

b) What is the frequency of security and safety training?

c) Do you have yearly refresher training?

Yes  No

d) Is this training internal or provided by an external supplier?

e) Are there written records on this training?

Yes  No

**6.11.4**

Answer the following questions

a) Specify the areas where temporary employees are used

b) Are these employees checked regularly according to security standards?

Yes  No

c) If 'Yes', how and by whom?

d) Are there also security instructions for these employees?

Yes  No

**6.13 External services**

(AEO Guidelines Part 2 Section V, Subsection 7)

**6.12.1**

a) Do you use any 'external services' under contract, such as transportation, security guards, cleaning, supplies, maintenance, and so on?

Yes  No

b) If 'Yes', briefly describe what services they provide, and to what extent (for the ones that have not been described in the previous sections)

c) Are there written agreements with the external service providers containing security requirements?

Yes  No

d) Briefly describe how compliance with the procedures included in these agreements is checked



**Annex 1**

**Consent to disclose the AEO details on the TAXUD website**

I hereby give my consent to the publication of the information in the AEO authorisation in the list of authorised economic operators

Yes  No

Signature

Print name

Capacity of signatory

The completed questionnaire should be signed by a director/managing partner/sole proprietor as appropriate but for this case it is recommended that consent is given by an authorised signatory.

Date

**Consent to the exchange of the information in the AEO authorisation in order to ensure the implementation of international agreements with third countries on mutual recognition of the status of authorised economic operators and measures related to security**

I hereby give my consent to the exchange of the information in the AEO authorisation in order to ensure the implementation of international agreements with third countries on mutual recognition of the status of authorised economic operators and measures related to security

Yes  No

Signature

Print name

Capacity of signatory

The completed questionnaire should be signed by a director/managing partner/sole proprietor as appropriate but for this case it is recommended that consent is given by an authorised signatory.