Authorized Economic Operator Self-Assessment Questionnaire

Date of version:

Name of Applicant:

Date of Application:

I. Management Organization

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Is there a supply chain security (hereinafter referred to as SCS) management organization established to carry out Security and Safety Authorized Economic Operator (hereinafter referred to as AEOS) program?	∨	∨	∨	∨	∨	∨	∨	∨	∨		YES☐ NO ☐	
(II) Is the implementation of AEOS program supervised by senior manager?	∨	∨	∨	∨	∨	∨	∨	∨	∨		YES☐ NO ☐	
(III) Is there an auditing unit established to audit SCS related operation on measures and procedures?	∨	∨	∨	∨	∨	∨	∨	∨	∨		YES☐ NO ☐	
(IV) Does management organization fully understand and properly propagandize laws and regulations relevant to SCS?	∨	∨	∨	∨	∨	∨	∨	∨	∨		YES☐ NO ☐	

Note: E: Exporter   I: Importer   M: Manufacturer   F: Freight Forwarder
         B: Customs Broker   W: Warehouse Operator   H: Highway Carrier   A: Air Carrier
         S: Sea Carrier   P: Port Terminal Operator

II. Consultation, Cooperation and Communication

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(I) SCS specialists: Are there at least two staff members who have passed the AEOS SCS training conducted by the Customs or private organization authorized by the Customs designated to take charge of the company's SCS operations?	∨	∨	∨	∨	∨	∨	∨	∨	∨		YES☐ NO ☐		
(II) Customs communication and consultation window: Is there a specific accessible communication window established to facilitate communication and consultation with Customs?	∨	∨	∨	∨	∨	∨	∨	∨	∨		YES☐ NO ☐		

III. Physical and Premises Security

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Building structure:												

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
1. Are the buildings constructed of materials that resist unlawful entry?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
2. Is the integrity of structures maintained by periodic inspection and repair? Are the results documented?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(II) Proper fencing:												
1. Are the exterior of Cargo handling area (refer to areas that raw materials, semi-finished goods and finished goods being processed, assembled, and packed) and storage facilities surrounded by appropriate fencing?	∨	∨	∨	∨		∨				∨	YES☐ NO ☐	
2. Is interior fencing used to segregate raw materials, finished goods, and hazardous items?	∨	∨	∨	∨		∨				∨	YES☐ NO ☐	
3. Are all fencing maintained by periodic inspection and repair? Are the results documented?	∨	∨	∨	∨		∨				∨	YES☐ NO ☐	
(III) Segregation of secure areas: Are the secure areas segregated to facilitate management?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
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(IV) Locking devices and key controls: **Are all external and internal windows, fences and gates secured with locking devices or other security compliance alternatives? Do management or security personnel control the issuance of all locks and keys?**	�v	�v	�v	�v	�v	�v	�v	�v	�v	�v	YES☐ NO ☐		
(V) Lighting: **Is there any adequate lighting provided inside and outside the facility including the following areas: entrances and exits, cargo handling and storage areas, fence lines and parking areas?**	�v	�v	�v	�v	�v	�v	�v	�v	�v	�v	YES☐ NO ☐		
(VI) Alarms and video surveillance systems: **Is there any alarm and video surveillance system utilized to monitor premises and prevent unauthorized access to cargo handling and storage areas?**	�v	�v	�v	�v	�v	�v	�v	�v	�v	�v	YES☐ NO ☐		
(VII) Security personnel: **Is there any designated employee or the outsourced security company responsible for security?**	�v	�v	�v	�v	�v	�v	�v	�v	�v	�v	YES☐ NO ☐		

IV. Access Control

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(I)　Gate control:													
1.　Do vehicles/personnel entering or exiting gates being properly controlled?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
2.　Is the number of gates kept to the minimum necessary for proper access and safety?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(II) Personnel access identification system:													
1.　Employee identification system:													
(1)　Is there employee identification system in place to carry out positive identification and access control?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(2)　Are the employees only given access to those secure areas needed for the performance of their duties?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(3)　Is the issuance and removal of employee identification badges adequately controlled?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		

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(4) Are the procedures for the issuance, removal and changing of access devices (e.g. keys, key cards, etc.) documented?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	YES☐ NO ☐	
2. Visitor identification system:												
(1) Are visitors (including suppliers) required to present photo identification for documentation purposes upon arrival?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	YES☐ NO ☐	
(2) Do all visitors being escorted and visibly display temporary identification?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	YES☐ NO ☐	
(3) Is there proper vendor ID verification mechanism in place?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	YES☐ NO ☐	
(III) Screening mechanism of arriving packages (including mail): Are arriving packages and mail screened before being disseminated?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	YES☐ NO ☐	
(IV) Parking: Are all vehicles only parked in designated areas or spaces of secure areas?	✓	✓	✓	✓		✓	✓			✓	YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
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(V) Suspicious personnel: **Are there any procedures in place to report unauthorized access and unlawful entry?**	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(VI) Challenging and removing unauthorized persons: **Are there any procedures in place to identify, challenge and address unauthorized/unidentified persons?**	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(VII) Additional physical access control measures for sea carriers:													
1. Access controls to vessels and cargo facilities:													
(1) Are there any procedures for access controls of employees and visitors in place to prevent unauthorized entry to vessels and cargo facilities as well as to protect company assets?									∨		YES☐ NO ☐		
(2) Do access controls include the positive identification of all employees, visitors, service providers, government officials and vendors at all secure access points of entry?									∨		YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
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(3) Do shore employees and service providers only have access to those areas of the vessel where they have legitimate business? Are the vessel and facility access controls governed by International Ship and Port Security code (hereinafter referred to as ISPS) and the Maritime Transportation Security Act (hereinafter referred to as MTSA)?									∨		YES☐ NO ☐		
2. Controlling vessel boarding and disembarking:													
(1) Does it consistent with the vessels' ISPS security plan and all crew, employees, vendors and visitors may be subject to a search when boarding or disembarking vessels?									∨		YES☐ NO ☐		
(2) Are the vessel visitor log maintained and a temporary visitor pass issued as required by the vessels' security plan?									∨		YES☐ NO ☐		
(3) Do all crewmembers, employees, vendors and visitors, including government officials, display proper identification, as required by the applicable ISPS/MTSA security plan?									∨		YES☐ NO ☐		

V. Employee Security

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(I) **Requiring maintaining an employee list:** Is there a current employee list for internal and governmental checks maintained?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(II) **Requiring pre-employment verification:** Is application information, such as employment history and references verified prior to employment?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(III) **Conducting background checks/investigations for prospective employees:** Is there an appropriate background check/investigation mechanism in place for prospective employees according to the sensitivity of specific work items, without violating the basic rights protected by laws and regulations?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(IV) **Conducting investigations for current employees:** Do companies conduct periodic investigations for employees with sensitive positions or abnormal social activities or financial status?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(V) Requiring denying access to terminated or transferred employees: **Do companies have procedures in place to remove identification, facility and system access for terminated or transferred employees?**	˅	˅	˅	˅	˅	˅	˅	˅	˅	˅	YES☐ NO ☐	

VI. Procedural security

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Are there any security measures in place to ensure the integrity and security of processes relevant to the transportation, handling, and storage of cargo in the supply chain?	˅	˅	˅	˅	˅	˅	˅	˅	˅	˅	YES☐ NO ☐	
(II) Requiring information accuracy:												

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
1. Requiring accurate document processing: Are there any procedures in place to ensure that all documentation used in the clearing of cargo, is legible, complete, accurate and protected against the exchange, loss or introduction of erroneous information?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
2. Requiring accurate and timely manifest procedures:													
(1) To help ensure the integrity of cargo received from abroad, are there any procedures in place to ensure that information received from business partners is reported accurately and timely?		∨	∨	∨		∨	∨	∨	∨	∨	YES☐ NO ☐		
(2) To help ensure the integrity of export cargo, are there any procedures in place to ensure that information received from business partners is reported accurately and timely?	∨		∨	∨		∨	∨	∨	∨	∨	YES☐ NO ☐		
3. Requiring shipping and receiving information against the cargo manifest (bill of lading):													

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(1) Is the import cargo reconciled against the information on the bill of lading?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(2) Are the weights, labels, marks and piece count of the import/export cargo accurately indicated?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(3) Is the import/export cargo verified against purchase or delivery orders?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(4) Are the drivers delivering or receiving cargo positively identified before cargo is received or released?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
4. Resolving and reporting cargo discrepancies:												
(1) Are all shortages, overages, and other significant discrepancies or anomalies resolved and/or investigated appropriately?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(2) Are the customs and/or other appropriate law enforcement agencies notified if illegal or suspicious activities are detected – as appropriate?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	

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(III) Requiring additional procedural security measures for Customs brokers:													
1. Document processing: Is all information provided by the importer/exporter, freight forwarder, etc., and used in the clearing of cargo, is legible and protected against the exchange, loss or introduction of erroneous information ensured?					∨						YES□ NO □		
2. Ensuring consistent of information: Is the consistency of information transmitted to Customs through the automatic clearance system with the information that appears on the transaction documents provided to the broker ensured?					∨						YES□ NO □		
3. Ensuring completed/clear documentation: Is documentation reviewed for completeness and clarity? Is the business partner or importer/exporter contacted as necessary, to obtain corrected documentation or information?					∨						YES□ NO □		

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
4. Ensuring error-reporting procedures: Is the importer/exporter alert and Customs notified while shortages and overages of cargo occurred which caused a security risk in the supply chain?					∨						YES☐ NO ☐		
(IV) Requiring additional procedural security measures for sea carriers:													
1. Complying with "Notice of Arrival and Departure" requirements for sea carriers: Do sea carriers ensure compliance with "Notice of Arrival and Departure" requirements so that accurate, timely and advanced transmission of data associated with international passengers and crew is provided to government agencies and Customs?									∨		YES☐ NO ☐		
2. Providing BAPLIEs on request: At the request of Customs, will sea carriers provide a requested BAPLIE and/or stowage plan, in a format readily available?									∨		YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
3. Will such requests be made on a voyage specific basis when Customs requires additional voyage information and be honored by the sea carrier in a timely manner?									∨		YES☐ NO ☐	

VII. Business partner security

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Requiring written procedures for selecting business partners: Taking supply chain security into consideration, does the company have written and verifiable process for the selection of business partners including Customs brokers, freight forwarders, manufacturers, suppliers, vendors, carriers, port terminal operators, consolidators, and warehouse operators?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(II) Requiring documentation of partners' AEOS certification: **For those business partners eligible for AEOS certification, (carriers, port terminal operators, consolidators, warehouse operators, Customs brokers, freight forwarders, and manufacturers, etc.) does the company have documentation (e.g. photocopy of AEOS certificate) indicating these business partners are certified?**	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(III) For non-AEOS partners, requiring written confirmation of meeting AEOS-equivalent security criteria:													

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
1. Are business partners without AEOS certificate required to provide one of the following written documents demonstrating their compliance with security criteria? (1) Contractual document. (2) A completed self-assessment security questionnaire from the applicant. (3) A written statement from the business partner demonstrating their compliance with AEOS security criteria. (4) Senior business partner officer attesting to compliance. (5) Documents from the business partners demonstrating their compliance with an equivalent and accredited security program administered by a foreign Customs authority. (6) A certificate issued by the domestic or foreign third-party security validation institution, which is publicly accepted by the Directorate General of Customs, Ministry of Finance.	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
2. Based upon a documented risk assessment process, is non-AEOS eligible business partners subject to verification of compliance with AEOS security criteria by the applicant?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(IV) Are business partners ensured to develop security process and procedures consistent with AEOS security criteria to enhance the integrity of the shipment at point of origin?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(V) Are periodic reviews of business partners' processes and facilities being conducted based on risk, and should maintain the security standards required by the company?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(VI) Is there assessment against a risk-based process as determined by a business partner management team?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐		
(VII) Additional partner vetting processes for air carriers:													
1. Are periodic reviews of business partners' security procedures required at point of origin?								∨			YES☐ NO ☐		

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	E	I	M	F	B	W	H	A	S	P			
2. Does the AEOS air carrier ensure business partners to develop security processes and procedures consistent with the AEOS security guidelines to enhance the integrity of the shipment at point of origin?								∨			YES☐ NO ☐		
3. Are service providers required to screen and select?								∨			YES☐ NO ☐		
4. Does the AEOS air carrier has documented service provider screening and selection procedures to screen the contracted service provider for validity, financial soundness, ability to meet contractual security requirements, and the ability to identify and correct security deficiencies as needed?								∨			YES☐ NO ☐		
5. Is there a risk-based process as determined by the internal management team utilized by the service provider?								∨			YES☐ NO ☐		
6. Screening customers:													

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(1) Does the AEOS air carrier have documented procedures to screen prospective customers for validity, financial soundness, the ability of meeting contractual security requirements, and the ability to identify and correct security deficiencies as needed?								∨			YES☐ NO ☐		
(2) Is there a risk-based process as determined by the internal management team utilized in the customer screening procedures?								∨			YES☐ NO ☐		
(VIII) Additional partner vetting processes for sea carriers:													
1. Is written procedures required for screening new customers?									∨		YES☐ NO ☐		
2. Do carriers have written or web-based procedures for screening new customers to whom they issue bills of lading, which identify specific factors or practices, the presence of which would trigger additional scrutiny by the sea carrier?									∨		YES☐ NO ☐		

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3. Do these procedures also include a referral to Customs or other competent authorities for further review?									∨		YES☐ NO ☐	
4. Does the sea carrier work with Customs to identify specific information regarding what factors, practices or risks are relevant?									∨		YES☐ NO ☐	

VIII. Cargo security

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Cargo receiving management:												
1. Establishing procedures for the control of cargo receiving:												
(1) Are there designated employees in contact with the delivery driver and in charge of cargo receiving?	∨	∨	∨			∨					YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(2) Are there registering and verifying shipping documents on cargo and documents required by the Customs?	∨	∨	∨			∨					YES□ NO □	
(3) Are there recording the completion of inspection and the result?	∨	∨	∨			∨					YES□ NO □	
(4) Is active notifying procurement and administration departments of the completion of receiving cargo required?	∨	∨	∨			∨					YES□ NO □	
(5) Is delivering cargo required to the designated areas to prevent the cargo from being unsupervised?	∨	∨	∨			∨					YES□ NO □	
2. Inspecting the seals on cargo delivered: Are there procedures of inspecting seals in place for verifying the intact of the seals when receiving cargo?	∨	∨	∨			∨					YES□ NO □	
3. Designating storage areas with marks: Are designated cargo storage areas being clearly marked?	∨	∨	∨			∨					YES□ NO □	

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4. **Making an inventory or weighing:** Are there any standard operation procedures in place for making an inventory or weighing of the cargo?	v	v	v			v					YES☐ NO ☐		
5. **Management procedures of cargo receiving:**													
(1) Are there management procedures of cargo receiving in place?	v	v	v			v					YES☐ NO ☐		
(2) Are needed documents, arriving time and designated management personnel required for cargo receiving?	v	v	v			v					YES☐ NO ☐		
(3) Is verifying cargo required based on purchase order and cargo list?	v	v	v			v					YES☐ NO ☐		
(4) Is completing storage registration required right after receiving the cargo?	v	v	v			v					YES☐ NO ☐		
6. **Internal control procedures:**													
(1) Is there any internal control procedure in place for dealing with anomalies or discrepancies of cargo receiving?	v	v	v			v					YES☐ NO ☐		

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(2) Are there different departments or personnel in charge of ordering (procurement), receiving and registering (warehouse management), and payment (disbursement)?	∨	∨	∨			∨					YES☐ NO ☐		
(II) Cargo storage management:													
1. Designating cargo storage areas: Are there designating areas for cargo storage?	∨	∨	∨			∨					YES☐ NO ☐		
2. Internal control procedures:													
(1) Is there any procedure for inventory handling in place?	∨	∨	∨			∨					YES☐ NO ☐		
(2) Is there any procedure for dealing with anomalies or discrepancies in place?	∨	∨	∨			∨					YES☐ NO ☐		
3. Separated storage for different cargo:													
(1) Is separated storage required for different types of cargo (e.g. hazardous cargo, damaged cargo, chemicals etc)?	∨	∨	∨			∨					YES☐ NO ☐		

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(2) Is registering on the logistics management system required when the cargo is delivered to the storage area?	∨	∨	∨			∨					YES☐ NO ☐	
4. Additional security measures for receiving cargo: Are security measures or additional security methods required to protect cargo against access of unauthorized personnel?	∨	∨	∨			∨					YES☐ NO ☐	
5. Authorization level for different type of employees: Are only designated staff and authorized personnel being allowed to access storage areas and cargo?	∨	∨	∨			∨					YES☐ NO ☐	
(III) Management of cargo production:												
1. Designating production areas:											YES☐ NO ☐	
(1) Is designating areas required for production?			∨								YES☐ NO ☐	
(2) Are security measures and designating management personnel required to ensure the integrity and security of cargo if it is outsourced?			∨								YES☐ NO ☐	

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2. Internal control procedures													
(1) Is there any securing production procedure to ensure the integrity and security of cargo in the process of production?			∨								YES☐ NO ☐		
(2) Are only designated technicians, authorized personnel or supervisors allowed to access cargo?			∨								YES☐ NO ☐		
(3) Is there a system or designated employees to supervise the process of production?			∨								YES☐ NO ☐		
(4) Are there different departments in charge of manufacturing and production procedures?			∨								YES☐ NO ☐		
3. Additional security measures for access to cargo: **Are there security measures or additional security methods in the process of production to protect cargo from the access of unauthorized personnel?**			∨								YES☐ NO ☐		

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4. Employee authorization level and classification: Are only designated technicians and authorized personnel allowed to access cargo?			∨								YES☐ NO ☐		
5. Quality inspection: Is there the quality inspection procedure in place to further ensure the security and integrity of cargo?			∨								YES☐ NO ☐		
(IV) Loading management:													
1. Routine check of cargo:													
(1) Are there designated personnel in contact with the delivery driver and in charge of cargo loading?	∨		∨			∨					YES☐ NO ☐		
(2) Is registering and verifying the shipping documents required on cargo and the documents required by the Customs?	∨		∨			∨					YES☐ NO ☐		
(3) Requiring verifying cargo, shipping documents on cargo and the documents required by the Customs?	∨		∨			∨					YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(4) Is recording the completion of inspection and the result required?	∨		∨			∨					YES☐ NO ☐	
(5) Are sales and administration department actively notified of the cargo status as it is shipped from the company?	∨		∨			∨					YES☐ NO ☐	
2. Loading supervision: Are there designating personnel in charge of supervising the loading of cargo?	∨		∨			∨					YES☐ NO ☐	
3. Consistent marking: Is cargo to be shipped requiring consistently marked and stored in designated areas?	∨		∨			∨					YES☐ NO ☐	
4. Weighing cargo with record: Is there any operation procedure in place for making an inventory and weighing cargo with record?	∨		∨			∨					YES☐ NO ☐	
5. Management process of cargo loading and delivery:												

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(1) Are needed documents, time and management personnel required for cargo loading, and they must be consistent with shipping record of warehouse management?	✓		✓			✓					YES☐ NO ☐		
(2) Are verifying cargo required based on shipping list?	✓		✓			✓					YES☐ NO ☐		
(3) Is completing the shipping registration required as the cargo is shipped from the company and must be consistent with the shipping record of warehouse management?	✓		✓			✓					YES☐ NO ☐		
6. Sealing of the cargo to be shipped: Is verifying and sealing export cargo required to be shipped in accordance with Customs regulations?	✓		✓			✓	✓		✓		YES☐ NO ☐		
7. Internal control procedures: Is there internal control procedure in place for dealing with anomalies or discrepancies of cargo to be shipped?	✓		✓	✓	✓	✓	✓		✓		YES☐ NO ☐		
(V) Management of cargo to be exported:													

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
1. Security measures must be in place for export cargo delivered by trucks, bonded trucks, bonded cartons, or containers to export warehouses, terminal operators, or export ports to protect against loss, theft, or damage.													
(1) Do the seals for containerized export cargo meet or exceed the current ISO PAS 17712 standards (e.g. electronic seal) for high security seals?	✓		✓	✓			✓		✓		YES☐ NO ☐		
(2) Is using seals issued or authorized by Customs for export cargo shipped by bonded trucks or bonded cartons required?	✓		✓	✓			✓		✓		YES☐ NO ☐		
(3) Is proper security measure for export cargo delivered by truck in place to ensure cargo security required?	✓		✓								YES☐ NO ☐		
2. Are drivers to check the integrity of seals and record the result before delivering export cargo required?	✓		✓			✓	✓				YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(VI) Maintaining logistics data: **Is the integrity and correctness of the content of the documents/electronic data of cargo transaction, logistics, and Customs clearance ensured with a mechanism to protect against tampering, exchange, or loss?**	∨	∨	∨	∨	∨	∨	∨	∨	∨		YES☐ NO ☐		
(VII)　　Additional container security requirements for warehouse operator:													
1.　**Is complying with relevant regulations governing Customs management of warehouses (e.g. warehouses, bonded warehouses, logistics centers, terminal operators, etc.) required?**						∨					YES☐ NO ☐		
2.　**Is there any standard operation procedure in place for controlling the storage, withdrawal, and transfer of container/cargo?**						∨					YES☐ NO ☐		
3.　**Is there any security measure for cargo storage area in place to protect against the access of unauthorized personnel?**						∨					YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
4. Is there any adequate measure in place to protect against unauthorized movement, exchange, or damage?						∨					YES☐ NO ☐	

IX. Container security

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Requiring secure container storage: Are the containers stored in secure area to prevent unauthorized access and/or manipulation?	∨	∨	∨	∨		∨	∨		∨	∨	YES☐ NO ☐	
(II) Requiring container integrity at point of stuffing:												
1. Is the container integrity maintained to protect against the introduction of unauthorized material and/or persons?	∨	∨	∨	∨		∨	∨		∨	∨	YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
2. At the point of stuffing, is there any procedure in place to properly seal and maintain the integrity of the shipping containers?	✔	✔	✔	✔		✔	✔		✔	✔	YES☐ NO ☐	
(III) Transmission of container/cargo movement message: Is relevant business of import, export, transit and transshipment required to transmit container information to the Dynamic Tracking System of Containers (Cargoes) in accordance with "Operational Directions for the Dynamic Tracking System of Containers (Cargoes)"?	✔	✔	✔	✔		✔			✔	✔	YES☐ NO ☐	
(IV) Container security:												
1. Are there inspective procedures in place to verify the physical integrity of the container structure prior to stuffing, to include the reliability of the locking mechanisms of the doors?	✔		✔			✔	✔		✔	✔	YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
2. Is seven-point inspection process required for loaded containers? **(1) Inside/outside doors** **(2) Front wall** **(3) Left side** **(4) Right side** **(5) Floor** **(6) Ceiling/Roof** **(7) Outside/undercarriage**	V		V			V	V		V	V	YES☐ NO ☐		
(V) Requiring ISO PAS 17712 standard high security seals: **Does all seal meet or exceed the current ISO PAS 17712 standards for high security seals?**	V	V	V	V		V	V		V	V	YES☐ NO ☐		
(VI) Controlling container seals:													
1. Are there written procedures stipulated for how seals are to be controlled and affixed to loaded containers?	V	V	V	V		V	V		V	V	YES☐ NO ☐		
2. Is there any procedure in place for recognizing and reporting compromised seals and/or containers to Customs?	V	V	V	V		V	V		V	V	YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
3. Requiring designated units or employees to distribute container seals and record the use of seals for integrity purposes?	✓	✓	✓	✓		✓	✓		✓	✓	YES☐ NO ☐	
(VII) Management of empty containers: Is there a mechanism (including designated areas, periodic patrol, etc.) to protect against unauthorized access?	✓	✓	✓			✓	✓	✓	✓	✓	YES☐ NO ☐	

X. Conveyance Security

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Requiring maintaining management procedures for security of conveyance (e.g. trucks, vessels, aircrafts etc.):												
1. Is there any procedure in place for preventing unauthorized entry into conveyance to ensure conveyance security?						✓	✓	✓			YES☐ NO ☐	
2. Security measures for conveyance:												

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(1) Is periodic search of internal/external cargo hold for suspicious persons or goods?							∨	∨	∨		YES☐ NO ☐	
(2) Are all internal/external compartments, or walls/doors of vessels and aircraft secured?								∨	∨		YES☐ NO ☐	
(3) Is there procedure in place to address unauthorized entry or other illegal cases?							∨	∨	∨		YES☐ NO ☐	
(4) Is there any procedure in place to address un-manifested goods in vessels or aircraft?								∨	∨		YES☐ NO ☐	
3. Are the routes for receiving and delivering cargo predetermined?							∨				YES☐ NO ☐	
4. Is confidentiality of the planned cargo loading place, routes and destinations ensured?							∨				YES☐ NO ☐	
5. Are there management procedures in place for keys, parking areas, fueling, and unplanned stops?							∨				YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
6. Are there procedures in place for reporting incidents or emergencies?							∨	∨	∨		YES☐ NO ☐		
7. Are there procedures in place for reporting anomalies of cargo or seals?							∨	∨	∨		YES☐ NO ☐		
(II) Additional security requirements for air carriers:													
1. Are there procedures for maintaining aircraft integrity?								∨			YES☐ NO ☐		
2. Is aircraft integrity maintained to protect against the introduction of unauthorized personnel and material?								∨			YES☐ NO ☐		
3. Do conveyance security procedures include the physical search of all readily accessible areas, securing all internal/external compartments and panels and reporting cases in which un-manifested materials or signs of tampering are discovered?								∨			YES☐ NO ☐		
(III) Requiring additional security measures for highway carriers:													
1. Requiring conveyance tracking and monitoring procedures:													

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(1) En route conveyance security: **Do highway carriers ensure that conveyance and trailer integrity is maintained while the conveyance is en route transporting cargo to export/import points or import/transit containers by utilizing a tracking and monitoring activity log or records?**							∨				YES☐ NO ☐		
(2) Predetermined routes and random security checks: **Are the predetermined routes identified by the dispatcher, and are the procedures consisted of random route checks along with documenting and verifying the length of time between the loading point/trailer pickup and the delivery destinations?**							∨				YES☐ NO ☐		
(3) Notification of route delays: **Do drivers notify the dispatcher of any route delays due to weather, traffic and/or rerouting?**							∨				YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(4) Periodic, random and documented checks by carrier management: Does highway carrier management perform a documented, periodic, and unannounced verification process to ensure the logs are maintained and conveyance tracking and monitoring procedures are being followed and enforced?							∨				YES☐ NO ☐		
2. Conveyance inspection procedures:													
(1) Using a checklist for conveyances inspection: Are the drivers trained to inspect their conveyances for security by using a checklist?							∨				YES☐ NO ☐		
(2) Training in conveyance searches: Is training in conveyance searches adopted as part of the company's on-the-job training program?							∨				YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(3) Inspecting conveyance upon both entering and exiting truck yard: **Are conveyance inspections completed upon entering and departing from the truck yard and at the last point of loading prior to export and/or import?**							∨				YES☐ NO ☐		
(4) Random search by security managers: **To counter internal conspiracies, does the supervisory personnel or a security manager, held accountable to senior management for security, search the conveyance after the driver has conducted a search?**							∨				YES☐ NO ☐		
(5) Are the searches random, documented, and based on risk?							∨				YES☐ NO ☐		
(6) Are the searches conducted at the truck yard and after the truck have been loaded and en route to import and/or export?							∨				YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(IV) Highway carrier must require the following additional security measures for bonded trucks:													
1. Requiring secure bonded trucks storage: **Are the bonded trucks stored in a secure area to prevent unauthorized access and/or manipulation? Are any procedures in place for reporting unauthorized entry into or storage in correct areas?**							∨				YES☐ NO ☐		
2. Requiring bounded truck seals: **Are all seals approved by the Customs and applied on the bonded truck doors?**							∨				YES☐ NO ☐		
3. Requiring procedures for treatment of goods in transit:													
(1) Do the clearly defined written procedures stipulate how seals in the highway carrier's possession are to be controlled during transit?							∨				YES☐ NO ☐		
(2) Are these written procedures briefed to all drivers?							∨				YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(3) Is there a mechanism to ensure that these procedures are implemented properly?							∨				YES☐ NO ☐	
4. Requiring procedures for treatment of goods in transit include:												
(1) Verifying that the seal is intact, and if it exhibits evidence of tampering along the route?							∨				YES☐ NO ☐	
(2) Verifying that the seal number is the same as stated on the shipping documents?							∨				YES☐ NO ☐	
(3) Properly documenting the number of original and replaced seals?							∨				YES☐ NO ☐	
(4) Does the driver immediately notify the dispatcher that the seal was broken, by whom; and the number of replaced seal that is placed on the bonded truck?							∨				YES☐ NO ☐	
(5) Does the carrier immediately notify the relevant partners or customs the number of replaced seal?							∨				YES☐ NO ☐	
(V) Additional security requirements for port terminal operators:												

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
1. Is protecting conveyance against tampering required?										∨	YES☐ NO ☐	
2. Is the conveyance/vessel integrity maintained to protect against the introduction of unauthorized personnel and material?										∨	YES☐ NO ☐	
3. Do the conveyance/vessel security procedures include the physical search of all readily accessible areas, securing all internal/external compartments, panels and reporting cases in which un-manifested materials or signs of tampering are discovered?										∨	YES☐ NO ☐	
4. Is full collaboration with other business entities at ports for inspection and transmission of real-time trade data, container (cargo) status and high-risk targets required?										∨	YES☐ NO ☐	
5. While at port, are the pier and waterside of vessel adequately illuminated? Are shore employees and service providers limited to those areas of the vessel where they have legitimate business?										∨	YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
6. Is constant contact with CSI local representatives required to discuss supply chain security issues with further improvement in which the international port is deployed with CSI representatives?										✔	YES☐ NO ☐	

XI. Information Technology Security

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Information security management:												
1. Are there proper procedures of information security management in place to protect information system against unauthorized access or misuse?	✔	✔	✔	✔	✔	✔	✔	✔	✔	✔	YES☐ NO ☐	
2. Can the automated systems only be accessed with individually assigned accounts, and are they protected with passwords that must be changed periodically?	✔	✔	✔	✔	✔	✔	✔	✔	✔	✔	YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
3. Are there IT security policies, procedures and standards in place and provided to employees in the form of annual training?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(II) Requiring IT accountability:												
1. Is there any system in place to identify the abuse of IT including improper access, tampering or the altering of business data?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
2. Are all system violators subject to appropriate disciplinary actions for abuse?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(III) Information classification and control:												
1. Are mechanisms for proper classifying and managing information (including documents) based on its sensitivity and priority required?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
2. Is proper securing or encrypting for critical and sensitive information with periodic audit based on the condition of its use required?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
3. Is the access and management of information to include computer permission and information protection required?	v	v	v	v	v	v	v	v	v	v	YES□ NO □	
(IV) Information backup and recovery: Are there data backup and recovery procedures in place to protect against information loss?	v	v	v	v	v	v	v	v	v	v	YES□ NO □	

XII. Security Training and Threat Awareness

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Establishing a threat awareness program:												
1. Is there any threat awareness program established and maintained to recognize and foster awareness of the threat at each point in the supply chain?	v	v	v	v	v	v	v	v	v	v	YES□ NO □	
2. Are employees made aware of the procedures the company has in place to address a situation and how to report it?	v	v	v	v	v	v	v	v	v	v	YES□ NO □	

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
3. Is there any additional training provided to employees in the shipping and receiving areas, as well as those receiving and opening mail?	v	v	v	v	v	v	v	v	v	v	YES☐ NO ☐		
(II) Developing supply chain security training for employees: Is there any specific training offered to assist employees in maintaining cargo integrity, recognizing internal conspiracies, and protecting access controls?	v	v	v	v	v	v	v	v	v	v	YES☐ NO ☐		
(III) Does supply chain security training of employees include the following items?													
1. Security policy of the company.	v	v	v	v	v	v	v	v	v	v	YES☐ NO ☐		
2. Potential risk to internal security of the company.	v	v	v	v	v	v	v	v	v	v	YES☐ NO ☐		
3. Maintaining cargo security.	v	v	v	v	v	v	v	v	v	v	YES☐ NO ☐		
4. Access control measures of the company.	v	v	v	v	v	v	v	v	v	v	YES☐ NO ☐		

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
5. Identifying and reporting suspicious cargo and personnel.	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(IV) Keeping records of security training: Is keeping records of security training required for the checks conducted by the Customs?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(V) Do these programs offer incentives for active employee participation?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(VI) Do conveyance management personnel receive training in conveyance maintenance and cargo security?	∨	∨	∨			∨	∨	∨	∨	∨	YES☐ NO ☐	
(VII)　　Additional security awareness requirements for sea carriers:												
1. Is security protocol shortcomings identified and reported?									∨		YES☐ NO ☐	
2. Does the carrier ascertain what led to the breakdown and to formulate remedial measures as well as circulate to the Customs when finding shortcoming or identifying security incidents in security assessments and improvements?									∨		YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
3. Does the carrier's senior management identify appropriate remedial measures to be taken and circulate to Customs if Customs considers that the security incident raises substantial impact or a security weakness requires substantial remediation?									∨		YES☐ NO ☐	

XIII. Incident Prevention and Handling

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
(I) Incident reporting: Are all shortages, overages, anomalies of loading/unloading and other violations of security management reported to Customs and internal unit?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(II) Mechanism of risk management: Is there mechanism of risk management in place to deal with serious incidents or emergencies?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(III) Incident drill:													
1. Is there periodic incident drill and test held?	✔	✔	✔	✔	✔	✔	✔	✔	✔	✔	YES☐ NO ☐		
2. Is there mechanism of the drill updated when the internal operation or organization alters?	✔	✔	✔	✔	✔	✔	✔	✔	✔	✔	YES☐ NO ☐		
(IV) Incident investigation procedures and analysis: Are there investigation procedures in place for the occurred incidents to identify the causes and revise the mechanism of incident prevention and handling to protect against the recurrence?	✔	✔	✔	✔	✔	✔	✔	✔	✔	✔	YES☐ NO ☐		

XIV.   Assessment and Improvement

Validation Criteria	Supply Chain Related Operator										Self-assessment		Customs Review
	E	I	M	F	B	W	H	A	S	P			
(I) Security assessment:													

Validation Criteria	Supply Chain Related Operator										Self-assessment	Customs Review
	E	I	M	F	B	W	H	A	S	P		
1. Is conducting self-assessment required annually based on the security criteria announced by the Customs?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
2. Is conducting periodic risk assessment regarding the company's operation in supply chain security and establishing the appropriate mechanism to reduce risk required?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(II) Keeping records of security assessment: Are there designated personnel in charge of security assessment and relevant complete documentation?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	
(III) Continuous security management: Is there a security management mechanism in accordance with assessment results and recommendations for possible enhancements to be incorporated in a plan for the forthcoming period to ensure its continuity and soundness?	∨	∨	∨	∨	∨	∨	∨	∨	∨	∨	YES☐ NO ☐	