



## **Hong Kong Authorized Economic Operator (AEO) Programme Self-assessment Questionnaire**

Customs and Excise Department (C&ED) is committed to assisting the industries to obtain the status of Hong Kong Authorized Economic Operator (HK AEO).

2. This self-assessment questionnaire aims at assisting applicants to evaluate their readiness for the AEO accreditation. It also assists applicants to examine if their internal policies and operational procedures comply with the pre-determined criteria under the HK AEO Programme.
3. The Guidance notes under each question provide hints for applicants to prepare the supplementary information and supporting documents required by C&ED for processing their applications.
4. Applicants should furnish C&ED with accurate and comprehensive information as far as possible. Customs officers will verify the accuracy of the information during the validation process.
5. Where necessary, applicants may provide C&ED with supporting documents that are not mentioned in the Guidance notes to demonstrate their compliance with the security / safety criteria stipulated in the Guidelines on HK AEO Programme.

### Reference links:

World Customs Organization:

[http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/frameworks-of-standards/safe\\_package.aspx](http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/frameworks-of-standards/safe_package.aspx)

International Organization for Standardization (ISO):

<http://www.iso.org/iso/store.htm>

**(a) Customs Compliance**

Question	Yes	No
<p>Have your company and / or the directors / partners / sole proprietor / persons in charge of the applicant’s business been convicted of or summonsed for any Customs offences or other offences involving fraudulence, corruption or dishonesty in the past two years?</p> <p><u>Guidance notes</u></p> <p>You have to make a declaration to C&amp;ED in respect of any conviction of Customs offences or any offences involving fraudulence, corruption or dishonesty that your company and / or its directors / partners / sole proprietor and / or persons in charge of the business have committed in the past two years.</p> <p>Should there be any conviction records, please provide C&amp;ED with details of the offences and penalties given.</p> <p>Customs offences are offences committed under the following Ordinances:</p> <ol style="list-style-type: none"> <li>1. Import and Export Ordinance (Cap. 60)</li> <li>2. Post Office Ordinance (Cap. 98)</li> <li>3. Dutiable Commodities Ordinance (Cap.109 )</li> <li>4. Pesticides Ordinance (Cap. 133)</li> <li>5. Dangerous Drugs Ordinance (Cap. 134)</li> <li>6. Antibiotics Ordinance (Cap. 137)</li> <li>7. Pharmacy and Poisons Ordinance (Cap. 138)</li> <li>8. Control of Chemicals Ordinance (Cap. 145)</li> <li>9. Plant (Importation and Pest Control) Ordinance (Cap. 207)</li> <li>10. Weapons Ordinance (Cap. 217)</li> <li>11. Firearms and Ammunition Ordinance (Cap. 238)</li> <li>12. Dangerous Goods Ordinance (Cap. 295)</li> <li>13. Reserved Commodities Ordinance (Cap. 296)</li> <li>14. Air Pollution Control Ordinance (Cap. 311)</li> <li>15. Customs and Excise Service Ordinance (Cap. 342)</li> <li>16. Trade Descriptions Ordinance (Cap. 362)</li> <li>17. Control of Obscene and Indecent Articles Ordinance (Cap. 390)</li> <li>18. Ozone Layer Protection Ordinance (Cap. 403)</li> <li>19. Drug Trafficking (Recovery of Proceeds) Ordinance (Cap. 405)</li> <li>20. Rabies Ordinance (Cap. 421)</li> <li>21. Toys and Children’s Products Safety Ordinance (Cap. 424)</li> <li>22. Organized and Serious Crimes Ordinance (Cap. 455)</li> <li>23. Consumer Goods Safety Ordinance (Cap. 456)</li> <li>24. Mutual Legal Assistance in Criminal Matters Ordinance (Cap. 525)</li> <li>25. Copyright Ordinance (Cap. 528)</li> <li>26. Prevention of Copyright Piracy Ordinance (Cap. 544)</li> <li>27. Chinese Medicine Ordinance (Cap. 549)</li> <li>28. Chemical Weapons (Convention) Ordinance (Cap. 578)</li> <li>29. Prevention of Child Pornography Ordinance (Cap. 579)</li> <li>30. Protection of Endangered Species of Animals and Plants Ordinance (Cap. 586)</li> <li>31. Food Safety Ordinance (Cap. 612)</li> <li>32. The Cross-boundary Movement of Physical Currency and Bearer Negotiable Instruments Ordinance (Cap. 629)</li> </ol>	<input type="checkbox"/>	<input type="checkbox"/>

## (b) Maintenance of Commercial Records

Item	Question	Yes	No	Reference Standard
1	<p>Do you have an established record system to maintain your commercial records<sup>1</sup>, authorizations, licences, permits, certificates or other relevant documents relating to the importation or exportation of goods?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with the indexing method and filing procedures for keeping the following records:</p> <p>certificate of origin;</p> <p>licences and permits for dutiable commodities;</p> <p>import and export permits for controlled chemicals;</p> <p>carriage licences for prescribed articles;</p> <p>import licences for pharmaceutical products and medicines;</p> <p>import licences, import certificates and export authorizations or diversion certificates from exporting country for dangerous drugs;</p> <p>import and export licences for strategic commodities; and</p> <p>authorizations for articles the import or export of which are prohibited or controlled under the laws of Hong Kong.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 9001: 2015 Section 7.5.3

<sup>1</sup> Commercial records include sales orders, purchase orders, inventory records, delivery orders, production records, accounting documents (e.g. invoices, credit and debit notes, payment vouchers, etc.) and shipping documents (e.g. bill of lading, air waybills, etc.)

Item	Question	Yes	No	Reference Standard
2	<p>Do you conduct internal audit on systems and records at planned intervals?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>a list of responsible persons for conducting the internal audit;</p> <p>a copy of the schedule or action plan for conducting the internal audit;</p> <p>information about the methodology for auditing the computerized commercial records; and</p> <p>latest internal audit reports.</p> <p>You will also be required to conduct a real-time demonstration of how to safe-keep and retrieve commercial records.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item B
3	<p>Do you have procedures in place to define the controls for identification, storage, protection, retrieval, retention and disposition of your commercial records?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with information about:</p> <p>the time when commercial records will be classified as inactive and be archived;</p> <p>the ways and media to archive commercial records;</p> <p>the place(s) where the archived commercial records are kept;</p> <p>the authority for approving the retrieval of archived commercial records;</p> <p>the retention period of archived commercial records; and</p> <p>the schedule for disposing of obsolete commercial records.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 9001: 2015 Section 9.2

Item	Question	Yes	No	Reference Standard
4	<p>Do you have security measures to protect your computerized record system from unauthorized access?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>information about the security measures (e.g. RFID tag, barcode system, password, smart card, token, etc.) adopted; and</p> <p>procedures for safe-guarding commercial records from being accessed by unauthorized persons.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<p>SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item B</p>

**(c) Financial Soundness**

Item	Question	Yes	No
1	<p><b>For Limited Company:</b></p> <p>Do you have a copy of the Auditor’s Reports, or any other documents that can show the financial status of your company, for the last two financial years?</p> <p><b>For Sole Proprietorship / Partnership Company:</b></p> <p>Do you have the following financial documents to justify the financial soundness of your company:</p> <p><sup>2/21</sup> Professional Accountant’s Reports or any other documents that reflect the financial status of your company for the last two financial years; or</p> <p><sup>2/21</sup> unaudited financial statements (certified by the sole proprietor / all partners of the company) and other financial documents covering the latest two financial years?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with a copy of the above-mentioned documents.</p> <p>While the above-mentioned documents are not exhaustive, you may provide C&amp;ED with any relevant financial documents that you think fit including debtors and creditors aging reports, loan repayment schedules, profit forecasts, budget plans and financial ratio analysis reports.</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>

**(d) Premises Security and Access Control**

Item	Question	Yes	No	Reference Standard
1	<p>Are the main entrances / exits, external and internal windows, and doors secured with locking devices or other access monitoring / control measures?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>a site plan (<u>Annex 4</u> of the Guidelines on HK AEO Programme) of your premises (e.g. warehouse, production plant, etc.) depicting the areas where cargoes are handled, manufactured, packed, consolidated, stored, or loaded / unloaded;</p> <p>information about the specifications and types of locking devices; and</p> <p>information about the access control measures.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item I
2	<p>Are the main entrances / exits, external and internal windows, and doors maintained by periodic inspection and repair?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for governing the requirements for periodic inspection and repair;</p> <p>inspection and repair records of your premises (including both indoor and outdoor areas) where cargoes are handled, manufactured, packed, consolidated, stored, or loaded / unloaded; and</p> <p>a copy of the maintenance contract or agreement signed between you and the maintenance agent (e.g. building management agent, maintenance contractor, etc.), where applicable.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item I

Item	Question	Yes	No	Reference Standard
3	<p>Do you have designated staff to control all access control devices (e.g. locks, keys, access cards, etc.)?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>a list of names and post titles of staff responsible for premises security and access control;</p> <p>information about the security measures adopted for safe-keeping the access control devices such as locks, keys or access cards; and</p> <p>procedures for safe-keeping and monitoring the access control devices with information on:</p> <ul style="list-style-type: none"> <li>- storage of access control devices;</li> <li>- issuing / retrieval records;</li> <li>- log-in / log-out records;</li> <li>- mechanism for reporting losses of keys / access cards, and malfunctions of the access control systems; and</li> <li>- investigation into any reported losses of keys / access cards and malfunctions of the access control systems.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item I
4	<p>Is there adequate lighting provided inside and outside the premises, particularly the entrances and exits, as well as cargo handling and storage areas?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to demonstrate to C&amp;ED that:</p> <p>adequate lighting inside and outside the premises is in place where cargoes are handled, manufactured, packed, consolidated, stored, or loaded / unloaded; and</p> <p>emergency lighting system and energy saving practices are in place for use during emergency and non-operation hours.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item I



Item	Question	Yes	No	Reference Standard
5	<p>Do you have procedures in place to monitor and control the vehicles and persons entering or exiting the premises?</p> <p><u>Guidance notes</u> If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>information about the access control measures in place to prevent unauthorized access to the respective control areas;</p> <p>procedures for recording, where appropriate, the vehicle registration number, time and identity, etc. of persons / vehicles entering or exiting the premises; and</p> <p>information about the retention period for the entry / exit records.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item I
6	<p>Do you have procedures and training for staff to report any suspicious incidents or unauthorized access to the premises?</p> <p><u>Guidance notes</u> If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>information about the mechanism for reporting any unauthorized access and irregularities found; and</p> <p>procedural guidelines, training materials and attendance records relating to the security training.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3
7	<p>Do you designate and secure a restricted area for cargo processing and storage?</p> <p><u>Guidance notes</u> If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>information about locations of these designated areas on the site plan (<u>Annex 4</u> of the Guidelines on HK AEO Programme);</p> <p>access control measures for these areas (including how unauthorized access is prevented and reported); and</p> <p>information about the security measures (CCTV, identity checkpoints, access permits, etc.) adopted for safe-guarding the designated areas.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item I

Item	Question	Yes	No	Reference Standard
8	<p>Do you have appropriate security technologies or measures to safeguard the premises, such as the installation of theft alarm / CCTV monitoring system and employment of security guards?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>premises layout plans showing clearly the locations where the theft alarm devices, motion detectors, and CCTV cameras (with coverage) are installed;</p> <p>details about the operation of the CCTV system including:</p> <ul style="list-style-type: none"> <li>- procedures for monitoring, keeping, and disposing of CCTV images recorded;</li> <li>- the storage media of CCTV image;</li> <li>- locations of server and recording devices;</li> <li>- information about external agencies involved in operating and maintaining the CCTV system (e.g. security agent, building management office, etc.); and</li> <li>- a list of false alarm records in the past 12 months.</li> </ul> <p>detailed information about the deployment of security guards including:</p> <ul style="list-style-type: none"> <li>- frequency of patrol and inspection;</li> <li>- locations of security checkpoints;</li> <li>- mechanism for reporting and recording patrol outcome, and irregularities found; and</li> <li>- procedures for handling suspicious items and irregularities found.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3

## (e) Personnel Security

Item	Question	Yes	No	Reference Standard
1	<p>Do you require prospective staff to declare any previous conviction of Customs offences or other offences involving fraudulence, corruption or dishonesty in the recruitment process?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>guidelines, security requirements, and employment policy for recruiting staff;</p> <p>information about the mechanism for prospective staff to report their previous convictions of the aforesaid offences;</p> <p>copies of the relevant application and / or declaration form;</p> <p>procedures for conducting checks on previous employment history and employers’ recommendations of prospective staff; and</p> <p>recruitment interview records where necessary.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3
2	<p>Do you require your current staff to report to the management any conviction of Customs offences or other offences involving fraudulence, corruption or dishonesty?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>information about the mechanism for existing staff to report their convictions of the aforesaid offences (including cases under investigation);</p> <p>relevant reports of conviction of / involvement in the aforesaid offences of existing staff; and</p> <p>information about the actions taken by your company upon receipt of the conviction / investigation notices submitted by existing staff.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3

Item	Question	Yes	No	Reference Standard
3	<p>Do you require your staff to display their staff identity cards prominently at all times within the company premises?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for requiring staff to display prominently their identity cards on their persons within the company premises;</p> <p>an outline of the design and functions of your company’s staff identity card (e.g. availability of staff photos on the identity cards, provision of access control functions, etc.);</p> <p>procedures for issuing, retrieving, and reporting losses of staff identity card; and</p> <p>procedures for monitoring staff access to areas where cargoes are handled, manufactured, packed, consolidated, stored, or loaded / unloaded.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item J
4	<p>Do you have procedures in place to immediately cancel the authorization for a terminated staff member to gain access to your premises and information systems?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with details of the measures adopted for terminating staff and cancelling their access authorizations which should include:</p> <p>appointing designated staff to cancel the access authorization; and</p> <p>recording properly the details of the cancellation including effective date, time and parties informed.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3

## (f) Cargo Security

Item	Question	Yes	No	Reference Standard
1	<p>Do you have a security policy manual or guidelines to uphold cargo integrity?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with your security manual or guidelines.</p>	<input type="checkbox"/>	<input type="checkbox"/>	-
2	<p>Do you keep your cargo in a secure area and have procedures in place to restrict, detect and report unauthorized access?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with procedures for:</p> <p>monitoring the access control of the cargo storage areas;</p> <p>preventing and detecting any unauthorized access to cargo storage areas; and</p> <p>reporting and handling irregularities found.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3
3	<p>Do you have a mechanism in place to identify the staff delivering or receiving cargo to / from your company?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for identifying persons involved in delivering or receiving cargoes to / from your company;</p> <p>procedures for receiving or releasing cargoes outside office hours;</p> <p>recent identification records of persons involved in delivering or receiving cargoes to / from your company; and</p> <p>records of persons involved in delivering, releasing and receiving cargoes.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3

Item	Question	Yes	No	Reference Standard
4	<p>Do you deploy designated staff to supervise cargo operations and handle any irregularities found in accordance with the established procedures?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>a list of names and post titles of staff responsible for supervising cargo operations;</p> <p>procedures for handling and reporting suspicious or illegal consignments found; and</p> <p>checklists for reconciliation of all incoming and outgoing cargoes against relevant shipping documents.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3
5	<p>Do you have procedures in place to secure and control the cargo under your custody throughout the course of delivery?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for upholding cargo security throughout the course of delivery; and</p> <p>procedures for handling any irregularities found during the course of delivery.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item G

Item	Question	Yes	No	Reference Standard
6	<p>Do you have measures in place to prevent security seals from being tampered with and handle irregularities found?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for monitoring the issue and application of seals, checking of the seals affixed, and reporting any irregularities relating to seal application;</p> <p>a list of names and post titles of staff responsible for carrying out the aforesaid seal-controlling duties;</p> <p>recent seal inventory records; and</p> <p>procedures for ensuring that seals are properly affixed to all containers under your custody irrespective whether the containers are fully / partially loaded.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3
7	<p>Do you have a mechanism in place to ensure that the physical structures and locking facilities of the conveyances are kept in a good condition without being tampered with?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for inspecting the exterior and interior structures of conveyances including:</p> <ul style="list-style-type: none"> <li>- front wall;</li> <li>- left side;</li> <li>- right side;</li> <li>- floor;</li> <li>- ceiling / roof;</li> <li>- inside and outside doors;</li> <li>- outside and undercarriage; and</li> </ul> <p>recent inspection records.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3

Item	Question	Yes	No	Reference Standard
8	<p>Do you have procedures in place to monitor cargo storages and inventory kept therein by conducting regular inspections and audit checks?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for monitoring and checking of cargo storages as well as inventory kept therein; and</p> <p>recent audit / inspection reports, reconciliation records and stock-take records with information on:</p> <ul style="list-style-type: none"> <li>- particulars of importers and exporters; and</li> <li>- particulars of cargo including type, quantity, weight, storage location, etc.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	-



## (g) Conveyance Security

Item	Question	Yes	No	Reference Standard
1	<p>Do you keep your conveyances in a secure area?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p><b>For companies with self-owned conveyance fleet</b></p> <p>a list outlining the following information of each conveyance:</p> <ul style="list-style-type: none"> <li>- vehicle / vessel registration number;</li> <li>- type of vehicle / vessel;</li> <li>- vessel name;</li> <li>- driver / coxswain name; and</li> <li>- parking / berthing location;</li> </ul> <p>information about security and access control measures adopted for managing the parking area;</p> <p>a floor plan indicating the locations of security devices (e.g. CCTV camera, motion detector, etc.) installed at the parking area; and</p> <p>recent conveyance key issuing / retrieval records.</p> <p><b>For companies without self-owned conveyance fleet</b></p> <p>procedures for outsourcing the conveyance service to service providers; and</p> <p>procedures for monitoring the service providers’ performance, particularly the level of security compliance stated in the contract.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<p>ISO 28001: 2007 Section A.3.3</p>

Item	Question	Yes	No	Reference Standard
2	<p>Do you regularly inspect the conveyances for potential places of concealment of illegal goods and keep the inspection records?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for inspecting your conveyances / containers; and</p> <p>recent inspection records.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3
3	<p>Do you provide conveyance operators with security rules, procedures or guidelines to maintain security of conveyances and cargo at all times?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>copies of the security rules, procedures or guidelines issued to your conveyance operators; and</p> <p>issue / receipt records relating to the aforesaid security rules, procedures or guidelines for conveyance operators.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3
4	<p>Do you have procedures in place to track and monitor the conveyance activities and cargo situation throughout the local transportation process?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for tracking and monitoring the activities of your conveyances and cargo throughout the local transportation process;</p> <p>procedures for handling itinerary deviation incidents and emergency; and</p> <p>recent drill records.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3

Item	Question	Yes	No	Reference Standard
5	<p>Do you have procedures in place to report any irregularities concerning the conveyances?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for reporting any irregularities found concerning the conveyances; and</p> <p>recent reports on security incidents concerning the conveyances.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3

## (h) Business Partner Security

Item	Question	Yes	No	Reference Standard
1	<p>Do you have procedures in place to screen and select your business partners before entering into contractual relations?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with procedures to screen and select your business partners, such as suppliers, service providers, contractors, etc.</p>	<input type="checkbox"/>	<input type="checkbox"/>	-
2	<p>Do you have security requirements incorporated into the written contracts / agreements with your business partners, and / or do you request business partners to provide security declarations to ascertain their level of security compliance?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>a copy of the contracts / agreements with security terms signed with your business partners; and / or</p> <p>a copy of the security declarations made by your business partners.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.4.1
3	<p>Do you regularly review your business partners’ practices to ensure their compliance with your security requirements stated in the contracts or security declarations?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for monitoring your business partners to ensure that they comply with your security requirements laid down in the contract or security declaration; and</p> <p>records showing the recent reviews on the level of compliance of your business partners.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3

**(i) Security Education and Training**

Item	Question	Yes	No	Reference Standard
1	<p>Do you provide specific security training to staff, particularly those engaging in tasks associated with international supply chain activities?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>a list of names and post titles of staff responsible for organizing internal seminars on international supply chain security training;</p> <p>a brief outlining the security training programmes organized;</p> <p>copies of relevant training materials; and</p> <p>recent training schedules and related attendance records.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.4.1
2	<p>Do you have a proper communication channel to keep your staff well aware of the security and safety measures of your company?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for updating your staff with the latest security news / incidents; and</p> <p>copies of relevant notification records.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.4.1
3	<p>Do you maintain a system to ensure that Guidance notes / handouts for training are properly kept?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for keeping the training materials properly and systematically; and</p> <p>a list of names and post titles of staff responsible for keeping the training materials.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.4.2

**(j) Information Exchange, Access and Confidentiality**

Item	Question	Yes	No	Reference Standard
1	<p>Do you have security policy and control measures in place to protect your information system against unauthorized access and / or misuse?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>information about your security policy and control measures adopted for protecting your information systems; and</p> <p>a demonstration of the security measures adopted for protecting your information system and detecting unauthorized access.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3
2	<p>Do you have procedures in place to ensure that your cargo information is legible, complete, accurate, and protected against misuse and unauthorized alteration?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with the procedures for securing cargo information which should include:</p> <p>appointing designated staff to handle information of cargo shipments;</p> <p>ensuring that consignments are properly covered by licences, permits or certificates where necessary;</p> <p>putting in place mechanism to ensure that cargo information is legible, complete and accurate;</p> <p>updating timely cargo information; and</p> <p>conducting reconciliation of cargo information against the source documents by designated staff.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3

Item	Question	Yes	No	Reference Standard
3	<p>Do you have designated staff to identify any breaches or attempted breaches of information security?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>a list of names and post titles of staff responsible for monitoring the security of your information systems;</p> <p>information about your mechanism / procedures for detecting security breaches;</p> <p>recent records of security checks; and</p> <p>incident reports on previous security breaches and / or abnormal incidents identified where applicable.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 27001: 2017 A.16.1
4	<p>Do you have a proper system in place to ensure that sensitive data are only made available to authorized staff, and documents are properly kept, transferred and disposed of?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for safekeeping of documents, particularly those in relation to the retrieval, transfer, storage and destruction of documents;</p> <p>information about the equipment / documentation system supporting the activities; and</p> <p>information about the document classification system and the disposal methods adopted for disposing of general and sensitive documents.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 27001: 2017 A.8.2

Item	Question	Yes	No	Reference Standard
5	<p>Do you have back-up facilities in place to safeguard business data against loss or being deleted accidentally?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for safeguarding / archiving data;</p> <p>information about the following aspects:</p> <ul style="list-style-type: none"> <li>- the data retention period of the computer system;</li> <li>- frequency of archiving information;</li> <li>- the media for keeping the data;</li> <li>- the place for keeping the archived data and documentary information;</li> <li>- the personnel responsible for archiving data, system maintenance and recovery;</li> <li>- the personnel authorized to approve the retrieval of archived data and documentary information;</li> <li>- the way to recover the back-up business information; and</li> <li>- the frequency of conducting drills on business information recovery.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.12.3



### (k) Crisis Management and Incident Recovery

Item	Question	Yes	No	Reference Standard
1	<p>Do you have a contingency plan in place to deal with crisis, ensure business continuity, and reactivate the entire security system?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with the contingency plan in response to a disaster or security incident.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.3
2	<p>Do you have procedures in place to ensure your staff are well informed of the details of the contingency plan?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>procedures for keeping your staff notified of the contingency plan details; and</p> <p>action plans in response to security threat scenarios, such as intrusion or unlawful control of an asset within the supply chain, smuggling, breach of information security or cargo integrity, etc.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.3.4
3	<p>Do you have procedures in place to timely report an incident or a risk situation to the appropriate law enforcement agencies?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with the procedures for reporting security breaches or risky situations to the appropriate law enforcement agencies.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section A.4.3

Item	Question	Yes	No	Reference Standard
4	<p>Do you have procedures in place to ensure that incidents are properly investigated and analyzed to identify rooms for improvement?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with the incident investigation procedures and previous incident reports with information about:</p> <p>appointing designated staff to investigate an incident;</p> <p>compiling detailed incident report after the completion of an investigation;</p> <p>reporting the outcome of investigation to the appropriate managerial staff; and</p> <p>making recommendations to the senior management to rectify the problem.</p>	<input type="checkbox"/>	<input type="checkbox"/>	ISO 28001: 2007 Section 5.7
5	<p>Do you conduct proper training and regular drills for staff to acquaint them with the contingency measures?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>the drill schedule for the contingency plan; and</p> <p>drill reports and attendance records of related training.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item L

## (I) Measurement, Analysis and Improvement

Item	Question	Yes	No	Reference Standard
1	<p>Do you have designated staff to regularly assess the security risks within the business ambit, and take appropriate measures to mitigate the potential risks?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>a list of names , post titles and qualifications of staff responsible for identifying and assessing security risks in your business operations;</p> <p>information about the scope of the risk assessment, frequency of conducting the assessment, and methodology employed for assessing security risks; and</p> <p>information about the measures adopted for mitigating security risks.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<p>SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item M</p> <p>ISO 28001: 2007 Section A.1 to A.3</p>
2	<p>Do you regularly review your security management system including the revision of security policy and practices?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p>a list of names and post titles of staff responsible for reviewing the security policy and practices;</p> <p>information about the frequency and scope of the security review; and</p> <p>previous assessment reports and / or assessment checklist.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<p>ISO 28001: 2007 Section A.7</p>

Item	Question	Yes	No	Reference Standard
3	<p>Do you have a system in place to ensure that staff designated to conduct security and risk assessments are well acquainted with their responsibilities, and all assessment procedures and reports are properly kept for inspection?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with:</p> <p style="padding-left: 40px;">a description of how the assessment procedures are documented; and</p> <p style="padding-left: 40px;">a description of duties of the designated staff responsible for execution of the assessment of the security risks.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item M
4	<p>Do you have a mechanism in place to ensure that recommendations adopted for enhancing the overall security management system are timely and properly implemented?</p> <p><u>Guidance notes</u></p> <p>If your answer is “Yes”, you have to provide C&amp;ED with the previous assessment reports, minutes or notes of meeting, implementation progress reports, etc.</p>	<input type="checkbox"/>	<input type="checkbox"/>	SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item M

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Customs and Excise Department  
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