



Customs and Excise Department



## Guidelines on Hong Kong Authorized Economic Operator (HK AEO) Programme



## Preface

Along with globalization, activities in the international supply chain today are becoming more complex and interconnected, making it more vulnerable to severe disruptions. Any major incidents such as natural disasters or terrorist attacks in the international supply chain would have serious impacts on its entire operation and result in partial or complete paralysis, shaking the economy of many countries / regions. The security of the international supply chain is thus receiving growing attention.

2. As a regional logistics hub, Hong Kong plays an important and active part in the international supply chain. To fulfill our role in safeguarding the international supply chain while further facilitating global trade, the Customs and Excise Department (C&ED) has formally rolled out the Hong Kong Authorized Economic Operator Programme (Programme). Companies participating in the Programme will be accredited as Authorized Economic Operators (AEOs) and enjoy the appropriate Customs facilitation if they meet the pre-determined security standards.

3. The Programme not only complies with the requirements stipulated under the World Customs Organization (WCO) SAFE Framework of Standards to Secure and Facilitate Global Trade (SAFE Framework), but also fits the local trading environment. Being a voluntary certification regime, the Programme aims at enhancing the Customs-to-Business partnership, and is open to all local companies engaging in the international supply chain activities.

4. This set of Guidelines provides companies with information on the operation mechanism of the Programme. It assists companies to assess their readiness for applying for an AEO status in Hong Kong. It also provides details of the accreditation procedures for interested companies to follow in making applications.

5. The implementation of the Programme enhances our trading partners' confidence in our exports. It will help bring more business opportunities to the industries by improving their corporate images and competitiveness. Through closer cooperation between the Customs and the industries, Hong Kong's position as an international trading centre and a regional logistics hub can be further consolidated, thereby sustaining Hong Kong's long-term economic development.

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## Chapter 1 - Introduction

The Programme is administered by C&ED under an open and voluntary certification regime. Under the Programme, local companies of different sizes that have met pre-determined security standards will be accredited as AEOs, and enjoy appropriate Customs facilitation.

### Programme Features

2. C&ED recognizes the importance of a close partnership between the government and the industries to secure and facilitate global trade. This partnership programme is designed to fit the local trading environment and open to enterprises of different sizes and nature of businesses.

3. Stakeholders such as manufacturers, importers, exporters, carriers, terminal operators, freight forwarders, warehouse operators, etc. involved in the international supply chain may apply for the AEO status. All participating enterprises are accredited on the same set of criteria. While there is a need to align with international standards, the Programme allows for a flexible customization of security measures based on individual company's business model.

### Accreditation Overview

4. Companies participating in the Programme should commit to adopting a set of appropriate security measures for securing their supply chains.

5. Before submitting applications, they have to conduct a self-assessment on their companies' internal policies and operational procedures against the criteria under the Programme, which are in line with the requirements of the WCO SAFE Framework<sup>1</sup> and with reference to relevant standards set out under the following documents of the International Organization for Standardization (ISO):

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<sup>1</sup> For details, please visit WCO's official website at [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)



- (a) ISO 9001:2015 on Quality Management Systems - Requirements;
- (b) ISO 27001:2017 on Information Security Management Systems - Requirements; and
- (c) ISO 28001:2007 on Security Management Systems for the Supply Chain - Best Practices for Implementing Supply Chain Security - Requirements and Guidance.

6. C&ED will initiate validation process to accredit suitable companies as AEOs upon receipt of the application documents.

### Types of Authorized Economic Operators

7. Having regard to the different operating environment and the needs of the industries, C&ED will grant AEO status to qualified companies in two tiers. This tiered accreditation will be made according to their level of compliance with the pre-determined criteria tabulated below:

Levels of Compliance	Tier 1	Tier 2
<b><i>General Criteria</i></b>		
(a) Customs Compliance	✓	✓
(b) Maintenance of Commercial Records	✓	✓
(c) Financial Soundness	✓	✓
<b><i>Security and Safety Criteria</i></b>		
(d) Premises Security and Access Control	✓	✓
(e) Personnel Security	✓	✓
(f) Cargo Security	✓	✓
(g) Conveyance Security	✓	✓
(h) Business Partner Security	✓	✓
(i) Security Education and Training	✓	✓
(j) Information Exchange, Access and Confidentiality	✓	✓
<b><i>Extra Security and Safety Criteria (for Tier 2 only)</i></b>		
(k) Crisis Management and Incident Recovery	-	✓
(l) Measurement, Analysis and Improvement	-	✓



## Benefits

8. The Programme not only encourages the industries to ensure integrity of their security practices when engaging in the supply chain, but also helps them to optimize the management of internal assets and functions. While performing self-assessment during the initial stage of AEO application, individual companies are able to streamline their operations to achieve better output.

9. The integration of enhanced supply chain security and improved business performance is a major target of the Programme. Beyond security benefits, AEOs will enjoy other trade facilitation and advantages such as:

- (a) reduced Customs inspection;
- (b) prioritized Customs clearance;
- (c) prioritized processing under the application of the Free Trade Agreement Transshipment Facilitation Scheme;
- (d) expedited review of ATA Carnet Applications;
- (e) enhanced goodwill as a secure trader with industry quality mark;
- (f) strengthened competitiveness and marketability;
- (g) reduced stock loss, theft and pilferage; and
- (h) privileged benefits under a mutual recognition arrangement (MRA).

10. Through the cooperative endeavour of the government and the industries, the Programme will strengthen both the security and efficiency of legitimate global trade.

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## Chapter 2 - Criteria

C&ED will grant AEO status to companies in two tiers according to their level of compliance with the pre-determined criteria, which are in line with the requirements of the WCO SAFE Framework and with reference to relevant ISO standards. The twelve accreditation criteria including three general criteria and nine security / safety criteria are elaborated in the ensuing paragraphs.

### General Criteria

2. There are three general criteria which are pre-requisites for acquiring either the Tier 1 or Tier 2 AEO status. Details of these criteria are as follows:

(a) Customs Compliance

A history of good compliance with Customs requirements is of paramount importance to an AEO. An applicant thus shall have a clear record of Customs offences or other offences involving fraudulence, corruption or dishonesty in the past two years when submitting the applications.

(b) Maintenance of Commercial Records

A responsible trader will document management decisions and business activities to sustain efficient operations and ensure accountability in the company. An applicant shall maintain verifiable commercial records up to a satisfactory level, as required by the relevant provisions under ISO 9001:2015. These measures include:

- (i) maintaining a system to keep commercial records, authorizations, licences, permits, certificates or other relevant documents relating to the importation or exportation of goods;
- (ii) conducting internal audit on systems and records at planned intervals;



- (iii) putting in place procedures to define the controls for identification, storage, protection, retrieval, retention and disposition of the commercial records; and
- (iv) devising security measures to protect computerized record system from unauthorized access.

(c) Financial Soundness

Strong financial position enables a company to withstand external risk and demonstrate resilience during global crisis. Financial soundness is an essential indicator to show an applicant's ability in maintaining and improving the supply chain security measures. An applicant shall:

- (i) have a good financial standing to fulfill the commitments relating to its business activities; and
- (ii) allow C&ED to assess its financial status by making reference to various reports including the Director's Report, Auditor's Report, professional accountant's reports, other relevant documents, etc.

## **Security and Safety Criteria**

3. C&ED adopts a dynamic framework to address the complexity of international supply chain, particularly the variation of business operation sizes and risks across different sectors.

4. While there is a need for alignment with international standards to pursue MRAs in the long run, C&ED allows for a flexible customization of security measures based on individual company's business model when accrediting an applicant.





5. Details of the security and safety criteria are as follows:

Security and Safety Criteria for Tier 1 Applications

(d) Premises Security and Access Control

An applicant shall adopt appropriate measures to secure, monitor and control its premises including the exterior and interior perimeters up to a satisfactory level as required by the relevant provisions under ISO 28001:2007. These requirements include:

- (i) ensuring that main entrance(s) / exit(s), external and internal windows and doors are secured with locking devices or other access monitoring / control measures;
- (ii) inspecting regularly main entrance(s) / exit(s), external and internal windows and doors, and making repairs expeditiously where necessary;
- (iii) keeping and managing properly the locks, keys and access devices by designated staff;
- (iv) providing adequate lighting within the premises;
- (v) monitoring and controlling properly vehicles and persons entering or exiting the premises;
- (vi) devising procedures and providing suitable training for staff to report any unauthorized access to the premises and irregularities detected;
- (vii) designating areas specifically for cargo processing and storage; and
- (viii) adopting appropriate security technologies or measures (e.g. theft alarm, CCTV monitoring system, security guards, etc.) to safeguard the premises.

An applicant shall, upon request, permit C&ED to gain access to relevant security monitoring systems if circumstances require.



(e) Personnel Security

An applicant shall screen the background of prospective staff to the extent that is legally possible, and prohibit unauthorized access to facilities, transport conveyances, loading docks and cargo areas that may reasonably affect the security of the supply chain under the applicant's responsibilities.

In safeguarding personnel security, an applicant shall take appropriate measures up to a satisfactory level as required by the relevant provisions of ISO 28001:2007. These requirements include:

- (i) requiring prospective staff to declare any previous conviction of Customs offences or other offences involving fraudulence, corruption or dishonesty during the recruitment stage;
- (ii) requiring current staff to report to the management any conviction of Customs offences or other offences involving fraudulence, corruption or dishonesty;
- (iii) requiring staff to display their staff identity cards prominently at all times within the company premises; and
- (iv) cancelling immediately the authorization of a terminated staff member to gain access to premises and information systems.

(f) Cargo Security

An applicant shall implement measures to ensure that the integrity and security of cargo, as well as the access control, are maintained at the highest appropriate level as required by the relevant provisions under ISO 28001:2007. These measures include:

- (i) compiling security policy manual or guidelines to uphold cargo integrity;
- (ii) keeping cargo in a secure area and devising procedures to restrict and detect unauthorized access and report the same to the appropriate law enforcement agencies;
- (iii) putting in place a mechanism to identify persons delivering or receiving cargo to or from the applicant's company;



- (iv) designating qualified personnel to supervise cargo operations and handle any irregularities detected in accordance with the established procedures;
- (v) devising procedures to secure and control the cargo under the applicant's custody throughout the course of delivery;
- (vi) devising measures to prevent security seals from being tampered with and handle irregularities detected;
- (vii) devising a mechanism to ensure that the physical structures and locking facilities of cargo conveyances are kept in good condition without being tampered with; and
- (viii) monitoring cargo storages and inventory kept therein by conducting inspections and audit checks regularly.

(g) Conveyance Security

An applicant shall take measures to ensure its conveyances are effectively secured and maintained up to a satisfactory level as required by the relevant provisions of ISO 28001:2007. These measures include:

- (i) keeping conveyances in a secure area;
- (ii) ensuring that potential places for concealment of illegal goods on conveyances are regularly inspected, and related inspection records are properly kept;
- (iii) providing security rules, procedures or guidance to conveyance operators;
- (iv) tracking and monitoring the movement of the conveyances and cargo; and
- (v) reporting any irregularities of the conveyances to the appropriate law enforcement agencies.



(h) Business Partner Security

An applicant shall put in place a mechanism to help strengthen the international supply chain security through the commitments of its business partners. The measures adopted should be up to a satisfactory level as required by the relevant provisions under ISO 28001:2007. These measures include:

- (i) screening and selecting business partners before entering into contractual relations;
- (ii) incorporating security requirements into written contracts / agreements with business partners or requesting business partners to provide security declarations with a view to ascertaining security compliance; and
- (iii) reviewing regularly business partners' practices to see if they are in conformity with the security requirements under contract.

(i) Security Education and Training

An applicant shall implement a training system to ensure that its staff are well aware of the company's security policies, and capable of recognizing shortfalls of security standards and taking appropriate rectification measures. The system should be operated up to a satisfactory level as required by the relevant provisions under ISO 28001:2007. These measures include:

- (i) providing specific security training to staff, particularly those engaging in tasks associated with the international supply chain activities;
- (ii) keeping staff well aware of the security and safety measures of the company through a proper communication channel; and
- (iii) maintaining a system to ensure that training records and guidance / handouts are properly kept.



(j) Information Exchange, Access and Confidentiality

An applicant shall ensure that entrusted information is protected from misuse or unauthorized access / alteration. These measures should be in line with the relevant provisions under ISO 27001:2017 and ISO 28001:2007 including:

- (i) devising security policies and control measures to protect information system against unauthorized access and misuse;
- (ii) ensuring that cargo information is legible, complete and accurate, and protected from unauthorized alteration;
- (iii) appointing designated staff to identify any breaches or attempted breaches of information security;
- (iv) implementing a proper system to ensure that sensitive data are made available only to authorized staff, and documents are properly kept, transferred, and disposed of; and
- (v) setting up backup facilities to safeguard business data against loss or accidental deletion.

Additional Security and Safety Criteria for Tier 2 Applications

To acquire Tier 2 AEO status, an applicant should comply with two additional security and safety criteria on top of the ones mentioned above. These criteria are:

(k) Crisis Management and Incident Recovery

An applicant shall have a set of crisis management and recovery plan to minimize the impact created by a disaster or security incident. A contingency plan should be devised in accordance with the relevant provisions under ISO 28001:2007 with measures including:

- (i) putting in place a contingency plan to deal with crisis, ensure business continuity and reactivate the entire security system;
- (ii) ensuring that staff are well informed of the details of the contingency plan, and will take timely and appropriate remedial measures to respond 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.;



- (iii) devising procedures to timely report an incident or a risk situation to the appropriate law enforcement agencies;
- (iv) ensuring that incidents are properly investigated and analyzed to identify rooms for improvement; and
- (v) conducting proper training and regular drills for staff to acquaint them with the contingency measures.

(1) Measurement, Analysis and Improvement

An applicant shall implement measures to ensure that its company's security and safety policies and practices are in conformity with the requirements spelt out in the relevant provisions under ISO 28001:2007. These requirements include:

- (i) appointing designated staff to assess regularly the security risks within the business ambit, and take appropriate measures to mitigate the potential risks;
- (ii) reviewing regularly the security management system including the revision of security policies and practices;
- (iii) devising a system to ensure that staff designated to conduct security and risk assessments are well acquainted with their responsibilities, and all assessment procedures and records are properly kept for inspection; and
- (iv) ensuring that recommendations adopted for enhancing the overall security management system are timely and properly implemented.

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## Chapter 3 - Application Procedures

### Information Required

An applicant shall provide C&ED with the following information when applying for AEO status:

- (a) a completed application form ([Annex 1](#));
- (b) an introduction of the company, outlining its:
  - (i) background;
  - (ii) major business activities;
  - (iii) organizational structure with the total number of staff and key personnel shown;
  - (iv) major operational procedures; and
  - (v) awarded accreditations where appropriate;
- (c) a completed self-assessment questionnaire ([Annex 2](#));
- (d) a folder containing all necessary documents to ensure conformity with the accreditation criteria; and
- (e) supporting documents which include:
  - (i) process map(s) [[specimen at Annex 3](#)] to illustrate the flow of goods and information along the company's supply chain;
  - (ii) site plan(s) [[specimen at Annex 4](#)] to show the layout of the company's premises with clear depiction of the location(s) of the structure(s), perimeters, access areas, security and control measures adopted, cargo loading / unloading areas, etc.; and
  - (iii) relevant documents including those mentioned in the self-assessment questionnaire.



## Submission of Application

2. Completed application documents can be submitted in one of the following ways:

In person or by post:	Customs and Excise Department Office of Trade Relations and Public Communication Room 3219, 32/F Customs Headquarters Building 222 Java Road, North Point Hong Kong
Online application	<a href="https://eform.one.gov.hk/form/ced007/en/">https://eform.one.gov.hk/form/ced007/en/</a>
Enquiry E-mail:	<a href="mailto:aeo@customs.gov.hk">aeo@customs.gov.hk</a>

## Application Fee

3. Application for the AEO status is free of charge.

## Joint Validation

4. Apart from documentary inspection, Customs officers will visit a company on different occasions to verify the accuracy of the information outlined in the application and the implementation of measures required. As part of the Customs-to-Business partnership programme, the joint validation will enable the participating company to review its security profile with the assistance of the Customs officers.

5. Validation will include the verification of supply chain security processes and procedures that a company agrees to perform under the auspices of the Programme. Reliability and effectiveness of key security measures will be evaluated with reference to risk management principles, whereas best practices for securing supply chain will be shared during the validation.

6. The company will be notified by C&ED in advance of the validation along with the need for supporting documentation. If situation requires, selective validation on the company's business partners may be arranged.



## Duration of Accreditation

7. C&ED will assess the level of compliance with the accreditation criteria of a company and give advice for rectification whenever appropriate. The duration of accreditation process will depend on the completeness of information submitted to C&ED, the complexity of a company's business operations and the number of sites where joint validation will be conducted.

## Assistance / Enquiries

8. C&ED will offer guidance to interested local enterprises during the application process whenever required. The companies may contact C&ED for assistance or enquiries:

Customs and Excise Department  
Office of Trade Relations and Public Communication  
Room 3219, 32/F  
Customs Headquarters Building  
222 Java Road, North Point  
Hong Kong

Telephone: (852) 3759 2153 (Monday to Friday 9:00 am to  
6:00 pm (except public holidays))

Fax: (852) 3108 2311

E-mail: [aeo@customs.gov.hk](mailto:aeo@customs.gov.hk)

9. Under the Programme, there is no requirement for an applicant to hire a professional consultant to make risk assessment during the application, which is totally up to the applicant's discretion.

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## Chapter 4 - Post Accreditation Management

As a voluntary partnership initiative, the Programme is largely built on traders' commitment to supply chain security. C&ED will monitor the continuous compliance of the relevant security / safety standards by the accredited companies.

### Accountability

2. A company will be granted a Hong Kong AEO certificate upon successful accreditation. The accredited company should ensure the maintenance of appropriate standards granted in the AEO certification. Non-compliance with the standards should be reported to C&ED as soon as possible.

3. Any changes to the company's business that may affect its AEO status should be timely reported to C&ED. These changes include, but not limited to:

- (a) legal entity;
- (b) business address / nature / structure;
- (c) senior personnel responsible for customs-related matters;
- (d) accounting / information system; and
- (e) security management system.

4. Upon receipt of the notification, C&ED will evaluate the implications arising from such change(s) for the AEO status granted to a company on a case-by-case basis. An AEO should note that changes of a company's information (e.g. legal entity, business nature, etc.) may result in the invalidation of the AEO status. Re-application for the AEO status in the name of the new legal entity may be required.

### Validity, Renewal and Withdrawal

5. A Hong Kong AEO certification is valid for three years. A company can renew its certification by writing to C&ED six months before the expiry of its AEO status.



6. Likewise, the company can lodge a written request with reasons for withdrawal from the Programme. The AEO status and associated benefits will be removed upon its withdrawal.

### **Suspension and Revocation**

7. C&ED may suspend a company's AEO status on several occasions including:

- (a) non-compliance with the criteria for the AEO certification;
- (b) existence of non-rectified security weaknesses; or
- (c) commission of a Customs offence or an offence involving fraudulence, corruption or dishonesty.

8. In addition, an AEO status can be revoked if the company:

- (a) fails to make necessary rectifications after a suspension of status; or
- (b) has committed a serious Customs offence or an offence involving fraudulence, corruption or dishonesty.

9. Upon revocation, the company will have its AEO status and associated benefits removed and may not re-apply for AEO certification within two years.

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香港海關  
CUSTOMS AND EXCISE DEPARTMENT

香港認可經濟營運商計劃申請表  
Application Form for Hong Kong  
Authorized Economic Operator (AEO) Programme



第 I 部 一般資料  
Part I General Information

1.	申請證書類別 Type of AEO Certificate Applied
	<input type="checkbox"/> 第一級 Tier 1 <input type="checkbox"/> 第二級 Tier 2

第 II 部 公司資料  
Part II Company's Information

2.	公司名稱 Company Name	
	中文 (In Chinese) :	
	英文 (In English) :	
3.	公司註冊 (有限公司適用) Registration of Company (for limited company)	
	公司註冊處公司編號 Companies Registry Company No. :	
4.	商業登記 Business Registration	
	商業登記證號碼 Business Registration Certificate No. :	
	分行登記證號碼 Branch Registration Certificate No(s). :	
5.	營業地點 Place(s) of Business	
	辦事處 Office(s)	
	貨倉 Warehouse(s)	
	廠房 Manufacturing Plant(s)	
(倘空位不敷應用請另行加紙填寫 Please use a separate sheet of paper if there is not enough space)		

見附註 1  
See Note 1

見附註 2  
See Note 2

見附註 3  
See Note 3



**第 II 部 公司資料 (續)**  
**Part II Company's Information (Cont'd)**

見附註 4  
See Note 4

6.	<b>業務範圍 Line of Business</b>			
	<p>(請列出所有主要商業活動 Please list all principal activities)</p>			
	<input type="checkbox"/> 製造商 Manufacturer	<input type="checkbox"/> 進口商 Importer	<input type="checkbox"/> 出口商 Exporter	<input type="checkbox"/> 貨倉營運商 Warehouse Operator
	<input type="checkbox"/> 貨運代理 Freight Forwarder	<input type="checkbox"/> 貨運站營運商 Terminal Operator	<input type="checkbox"/> 承運商 Carrier	<input type="checkbox"/> 其他 Others _____
(可選擇多於一項 You may choose more than 1 item)				
7.	<b>僱員數目 Number of Employees</b>			
	全職員工人數: No. of Full-time Employee		兼職 / 臨時員工人數: No. of Part-time/Casual Staff	
8.	<b>董事姓名 Name(s) of Directors</b>			
	中文姓名 :		Name in English :	
	中文姓名 :		Name in English :	
	中文姓名 :		Name in English :	
	(倘空位不敷應用請另行加紙填寫 Please use a separate sheet of paper if there is not enough space)			
9.	<b>公司通訊地址 Correspondence Address of the Company</b>			
10.	<b>認可經濟營運商計劃公司聯絡人 Company Contact Person for AEO Programme</b>			
	指定聯絡人 Designated Contact	姓名 Name :		
		職位 Designation :		
		電話 Phone No. :		
		電郵 Email :		
其他聯絡人 Other Contact(s)	姓名 Name :			
	職位 Designation :			
	電話 Phone No. :			
	電郵 Email :			
(倘空位不敷應用請另行加紙填寫 Please use a separate sheet of paper if there is not enough space)				

見附註 5  
See Note 5

見附註 6  
See Note 6

見附註 7  
See Note 7

**第 III 部 申請文件**  
**Part III Application Documents**

11.	<b>申請文件 Application Documents</b>
	<p>請隨申請書提交以下文件: Please attach the following documents:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> 公司註冊 / 更改名稱證書 Copy of Certificate of Incorporation / on Change of Name</li><li><input type="checkbox"/> 公司註冊處周年申報表 Annual Return to Company Registry (NAR1)</li><li><input type="checkbox"/> 商業登記證副本 Copy of Business Registration Certificate</li><li><input type="checkbox"/> 分行登記證副本 Copy of Branch Registration Certificate(s)</li><li><input type="checkbox"/> 公司組織圖 Organization Chart of the company</li><li><input type="checkbox"/> 場所平面圖 Site Plan(s)</li><li><input type="checkbox"/> 供應鏈程序圖 Process Map of Supply Chain(s)</li><li><input type="checkbox"/> 過去兩年經審核財務報表 Audited Financial statements of the last two years</li><li><input type="checkbox"/> 自我評估問卷及相關文件 Self-assessment Questionnaire and supporting documents</li></ul>

**第 IV 部 查詢香港認可經濟營運商計劃**  
**Part IV Enquiries on Hong Kong AEO Programme**

地址 Address : 香港海關  
貿易關係及公共傳訊科  
香港北角  
渣華道 222 號  
海關總部大樓 32 樓 3219 室  
Customs and Excise Department  
Office of Trade Relations and Public  
Communication  
Room 3219, 32/F  
Customs Headquarters Building  
222 Java Road, North Point  
Hong Kong

電話號碼 Telephone : (852) 3759 2153  
(星期一至五上午九時至下午六時(公眾假期除外))  
(Monday to Friday 9:00 am to 6:00 pm (except public holidays))

電郵地址 E-mail : [aeo@customs.gov.hk](mailto:aeo@customs.gov.hk)

**第 V 部 聲明**  
**Part V Declaration**

本人謹此聲明，在本申請書及隨申請書附上的所有文件載列的資料，均屬真確無訛。

I hereby declare that all the information given in this application and in all documents submitted herewith is true and accurate.

在提交本申請書以申請參加香港認可經濟營運商計劃時，本人確認明白及接納下列條款及條件：

By tendering this application form for joining the Hong Kong Authorized Economic Operator (HK AEO) Programme, I acknowledge my understanding and acceptance of the following terms and conditions:

- 按照香港認可經濟營運商計劃指引（本指引），對本人公司的簡介、內部政策、運作程序及 / 或其他保安及安全措施進行自我評估；  
To conduct self-assessment of my company's profile, internal policies, operating processes and/or other security and safety measures against the requirements stated in the Guidelines on HK AEO Programme (Guidelines);
- 將自我評估的結果記錄，以查核是否已符合本指引的規定，及 / 或根據本人公司的業務模式，以評定供應鏈所存在的風險；  
To document the assessment findings for verifying compliance with the Guidelines and/or determining risk in my company's supply chain based upon its business model;
- 在是項申請中，向香港海關（海關）提交填妥的申請表、自我評估問卷，及本指引內列明的證明文件；  
To provide in the application the completed application form, self-assessment questionnaire, and supporting documents as specified in the Guidelines to the Customs and Excise Department (C&ED);
- 若申請表及其他文件內所申報的資料有任何更改，應在審核文件 / 實地評審進行前或其間立即通知海關；  
To inform C&ED immediately of any change in the particulars declared on this application form and in all submitted documents any time before the starting of or during the documentary check(s) / on-site validation(s);
- 在海關進行文件審核 / 於本人公司營運場所內實地評審時，提供足夠及合理的協助；以及  
To offer adequate and reasonable assistance to C&ED on documentary check(s) / on-site validation(s) at my company's operating premises; and
- 在獲得認證後，讓海關在其網頁內公布本人公司名稱。  
To allow C&ED to publish on its homepage the name of my company once accredited.

本人已閱讀及明白本申請表內的「個人資料收集聲明」。

I have read and understood the "Personal Information Collection Statement" stated in this application form.

本人明白及同意香港海關在有需要時，查核本人所提交與本申請有關的所有資料。

I understand and agree that all information I submit in relation to this application will be verified by the C&ED as required.

\_\_\_\_\_  
( )

簽署 Signature \*

( 姓名全寫 Full Name )

\_\_\_\_\_  
公司蓋章 Company Chop

\_\_\_\_\_  
職位 Position in Company

\_\_\_\_\_  
日期 Date

\* 除獨資經營或合夥經營外，本申請書的簽署人須獲得其公司董事的書面授權，才可提出是項申請，並代表公司行事。  
Except for sole proprietorship or partnership, the person who signs this application shall have a written authorization from a director of the company to make this application and act on behalf of the company.

**香港認可經濟營運商計劃申請表須知**  
**Notes for Guidance on Application for**  
**Hong Kong Authorized Economic Operator (AEO) Programme**

- 附註 1 – 有限公司請提供「公司註冊證書」及「公司更改名稱註冊證書」(如有)副本。  
Note For limited company, please provide a copy of your Certificate of Incorporation and Certificate of Incorporation on Change of Name (*if any*).
- 附註 2 – 請提供「商業登記證」及「分行登記證」副本。  
Note Please provide a copy of your Business Registration Certificate and Branch Registration Certificate(s).
- 附註 3 – 請提供營業地點的場所平面圖。  
Note Please provide site plan(s) of your place(s) of business.
- 附註 4 – 請提供公司供應鏈的程序圖。  
Note Please provide a process map of your supply chain(s).
- 附註 5 – 請提供具體的組織圖以展示公司的人員配置。  
Note Please provide a detailed organization chart showing the deployment of staff in your company.
- 附註 6 – 有限公司請提供最近期的公司註冊處周年申報表。  
Note For limited company, please provide your latest Annual Return to Company Registry (NAR1).
- 附註 7 – 請指定合適人員負責認可經濟營運商認證及後繼合作的聯絡工作。指定聯絡人需獲公司  
Note 獨資經營者 / 合夥人 / 董事授權以代表公司向「認可經濟營運商計劃」提交資料。公司可同時委派其他聯絡人協助有關合作。  
Please appoint a designated officer as the point of contact for AEO accreditation and subsequent on-going co-operations. This designated officer shall be authorized by the owner / partner / director of the company to represent the company in the HK AEO Programme. You may also assign other contact persons to assist in the co-operations under this Programme.

# 個人資料收集聲明

## Personal Information Collection Statement

### 收集資料的目的

#### Purpose of Collection

1. 香港海關會將本申請表所提供的個人資料，用作下列一項或多項用途：  
The personal data provided in this form will be used by the Customs and Excise Department for one or more of the following purposes:
  - 考慮及處理香港認可經濟營運商計劃的申請；  
Considering and processing applications for the Hong Kong Authorized Economic Operator Programme;
  - 執行香港海關各項職務及職能；  
Discharging various duties and functions of the Customs and Excise Department;
  - 利便你 / 貴公司與香港海關職員溝通；以及  
Facilitating communications between you / your company and staff members of the Customs and Excise Department; and
  - 利便按照香港認可經濟營運商計劃指引及世界海關組織保障及便利國際貿易標準框架的條文，與海外的海關當局進行認可經濟營運商的相互認可協議及其後的相關安排。  
Facilitating mutual recognition of the Authorized Economic Operator status and subsequently related arrangements with overseas Customs Administrations as provided in the Guidelines on Hong Kong Authorized Economic Operator Programme and the World Customs Organization Framework of Standards to Secure and Facilitate Global Trade.
2. 在本申請表提供不完整或不準確的資料可能會影響本部門對有關申請的考慮和處理，並且可能導致申請被延遲處理或否決。  
Incomplete or inaccurate information provided in the form may affect our consideration and processing of the application, and may result in the application being deferred or rejected.

### 接受轉交資料的機構類別

#### Classes of Transferees

3. 為執行上文第 1 段所述目的，或當法律予以授權或規定須作出披露時，在本申請表所提供的個人資料或會向其他政府決策局及部門 / 執法機構披露。  
The personal data provided in this form may be disclosed to other Government bureaux and departments / enforcement agencies for the purposes mentioned in paragraph 1 above; or where such disclosure is authorized or required by law.

### 查閱及改正個人資料

#### Access to and Correction of Personal Data

4. 根據《個人資料（私隱）條例》，你有權查閱及改正你的個人資料。你的查閱權利包括有權獲得本申請表內你的個人資料的副本。根據有關條例的條款，本部門可以就處理你提出查閱資料的要求，向你收取合理費用。  
Under the Personal Data (Privacy) Ordinance, you have a right of access to and correction of your personal data. Your right of access includes the right to obtain a copy of your personal data provided in this form. In accordance with the terms of the Ordinance, we have the right to charge a reasonable fee for the processing of any data access request.
5. 有關查閱本申請表的個人資料，包括查閱或改正資料，可向下列人員提出：  
Enquiries concerning the personal data collected by this form, including the request for access to and correction of personal data, should be addressed to:

Mail: Customs and Excise Department  
Office of Departmental Administration  
Executive Officer (Personnel)3  
31/F, Customs Headquarters Building  
222 Java Road, North Point,  
Hong Kong

Telephone: (852) 3759 3841

Fax: (852) 3108 2305

郵寄: 香港海關  
內務行政科  
行政主任（人事）3  
香港北角渣華道 222 號  
海關總部大樓 31 樓

電話: (852) 3759 3841

傳真: (852) 3108 2305



## **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><b>SAFE Framework Annex IV “AEO Conditions, Requirements and Benefits” Item B</b></p>

### (c) Financial Soundness

[illegible]

## (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 style="padding-left: 40px;">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 style="padding-left: 40px;">information about the specifications and types of locking devices; and</p> <p style="padding-left: 40px;">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 style="padding-left: 40px;">procedures for governing the requirements for periodic inspection and repair;</p> <p style="padding-left: 40px;">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 style="padding-left: 40px;">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><a href="#">Guidance notes</a></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"/>	ISO 28001: 2007 Section A.3.3

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>a description of how the assessment procedures are documented; and</p> <p>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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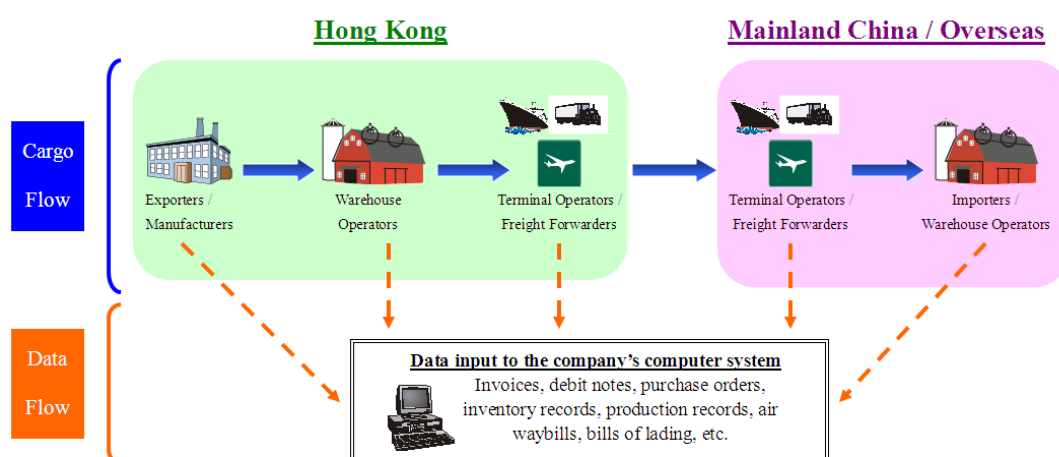
Customs and Excise Department  
January 2022 version

## **Examples of Process Map**

AEO applicants should provide the Customs and Excise Department (C&ED) with process maps to explain their business operations.

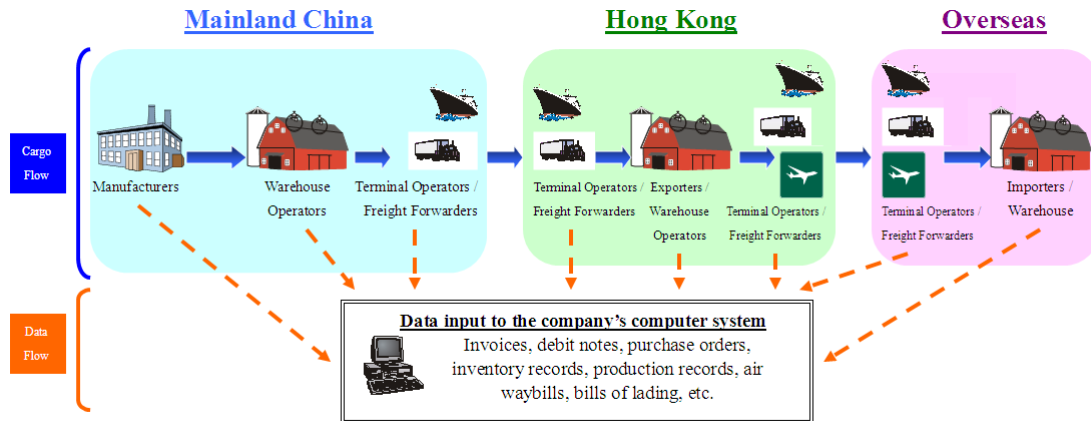
2. A supply chain process map establishes a relation among the processes along the end-to-end supply chain of a company, and illustrates the flows of goods and information among the processes.
3. In general, a company delivering a consignment to the end customers outside Hong Kong involves some core processes. Applicants should prepare a process map which covers the logistical chain of a consignment from the originating point to the destination, involving manufacturing, warehousing and transporting, and the inter-linking activities taking place for the systematic movement of the consignment. It accounts for both the physical and documentary processes.
4. Applicants should provide separate process maps for sites with different operation modes. Examples of process maps depicting some common scenarios in Hong Kong are illustrated below for reference.

### **Scenario 1: Manufacturing with Major Production Line in Hong Kong**



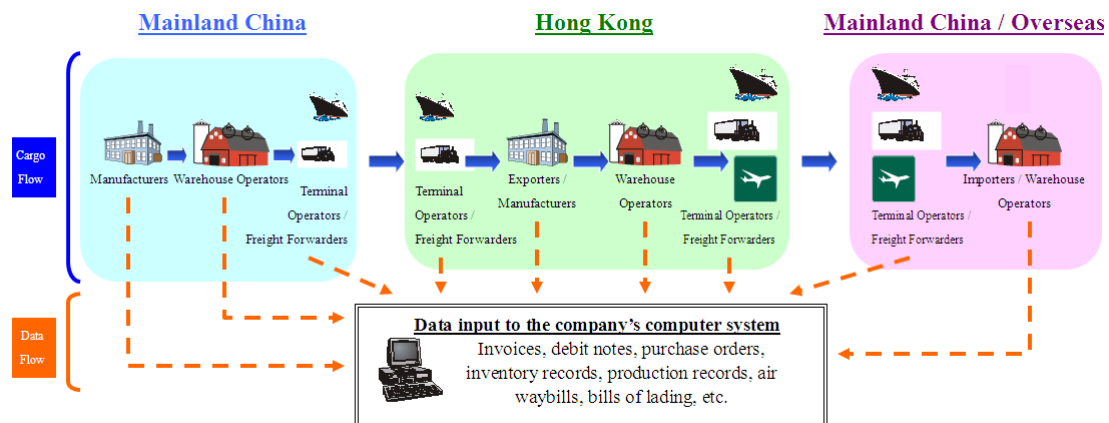
- The whole production line is in Hong Kong. The finished products are stored in local warehouses before they are exported to Mainland China / overseas markets by air / sea / land.

## Scenario 2: Manufacturing with Major Production Line in Mainland China



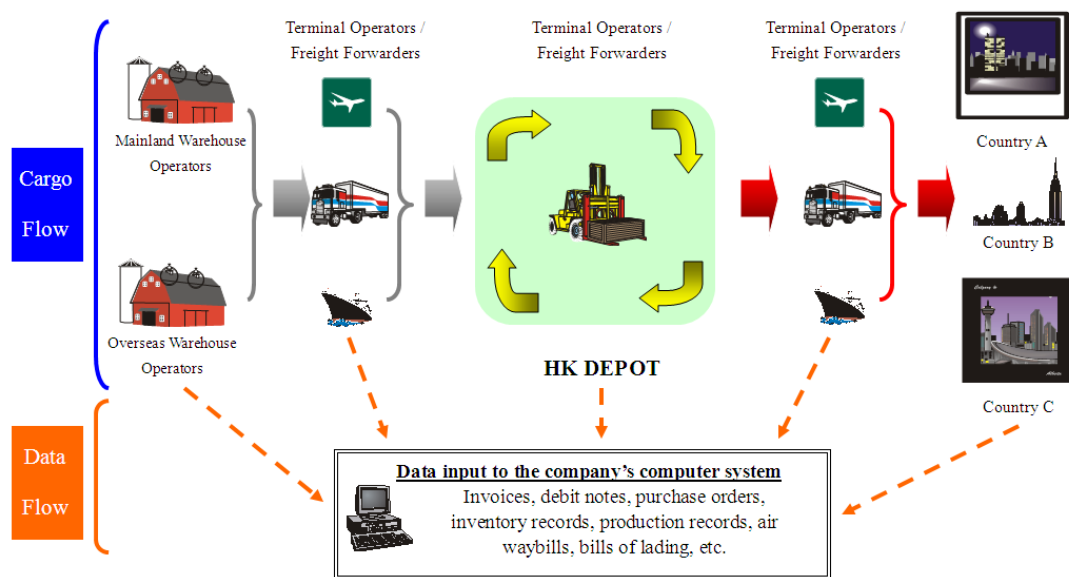
- The whole production line is in Mainland China. The finished products are stored in warehouses in Mainland China before they are sent to Hong Kong for subsequent shipment to overseas markets, either in the form of transit or transshipment. The products do not undergo further processing in Hong Kong.

## Scenario 3: Manufacturing in Mainland China and Remaining Production / Assembly Processes in Hong Kong



- Component parts of the product manufactured in Mainland China are sent to Hong Kong, where assembly, bar-coding, pre-packing and other value-added functions are performed in local manufacturing plants. Finished products will be exported to Mainland China / overseas markets.
- Similarly, semi-finished products sent from Mainland China to Hong Kong will undergo further processing such as assembly in local manufacturing plants. Finished products will be exported to Mainland China / overseas markets.

## Scenario 4: Taking the Role of Logistics Service Provider (e.g. freight forwarder)



- Containerized and express cargoes sent from Mainland China / overseas to Hong Kong are categorized, re-packed, reloaded and ultimately exported to overseas markets / Mainland China by air / sea / land.

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Customs and Excise Department

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## **Examples of a Site Plan**

AEO applicants should provide the Customs and Excise Department (C&ED) with site plans to explain their business operations.

2. A site plan is a pictorial description of a company's premises where goods are manufactured / packed / consolidated / stored / loaded for delivery. It provides information such as location of structures, exterior facades, conveyance parking and goods storage / loading areas, as well as lighting and security devices equipped.

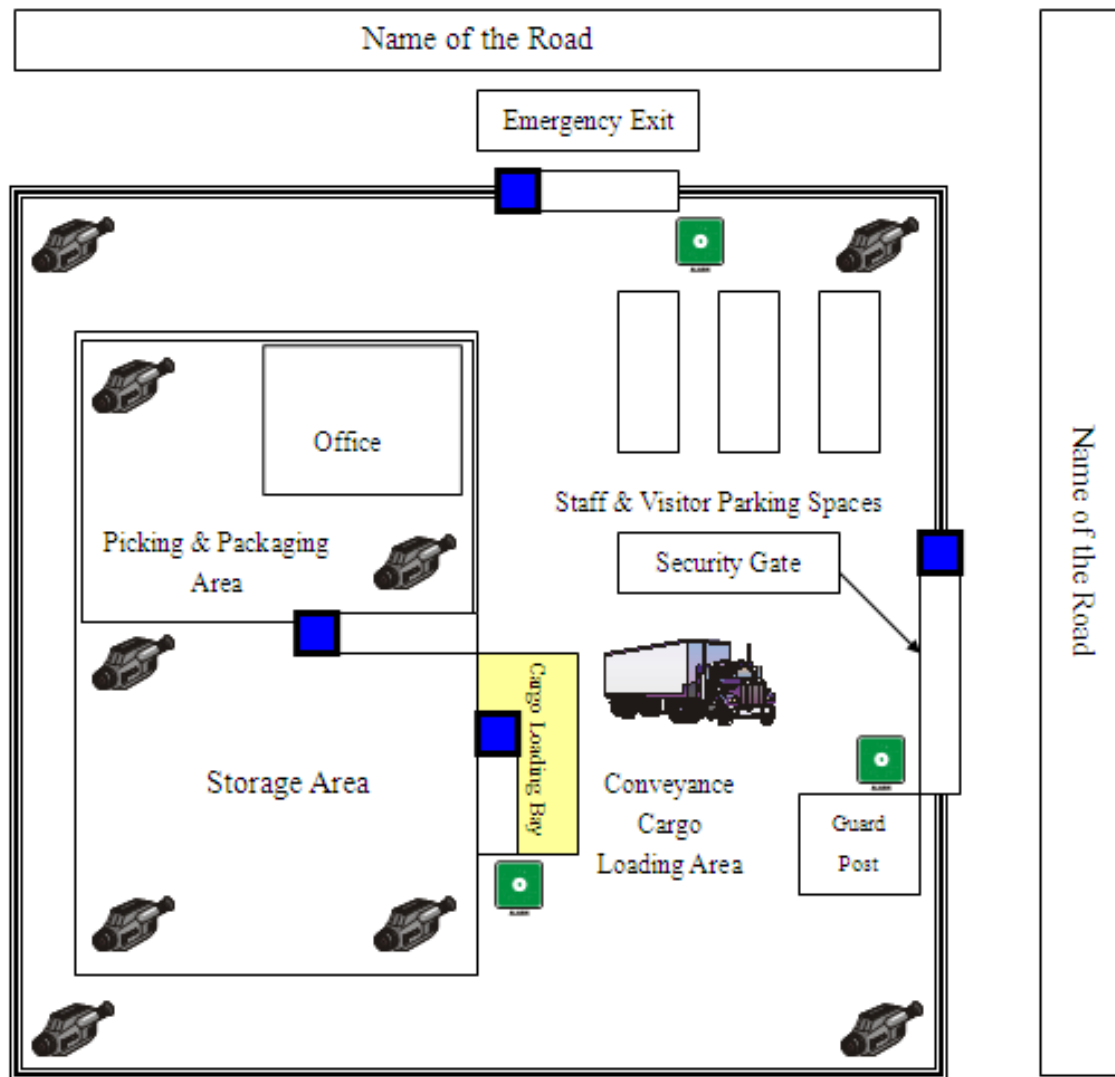
3. A site plan allows C&ED to have an overview of the surroundings of a site with focus on the floor layout showing all entrances/exits, specific areas where goods are handled, and the security features and facilities to ensure integrity of the goods throughout the supply chain under the company's custody.

4. For a company with several sites of operations such as office premises, warehouses and production plants etc., the applicant should provide a separate site plan for each site. Examples of site plans are given on the next pages for reference.

## Example 1 - Site Plan of a Production Plant

Site name : \_\_\_\_\_ Date : \_\_\_\_\_

Site address : \_\_\_\_\_



### Legends:



Security Card Entry



CCTV Camera



Concrete Walls and High Fencing

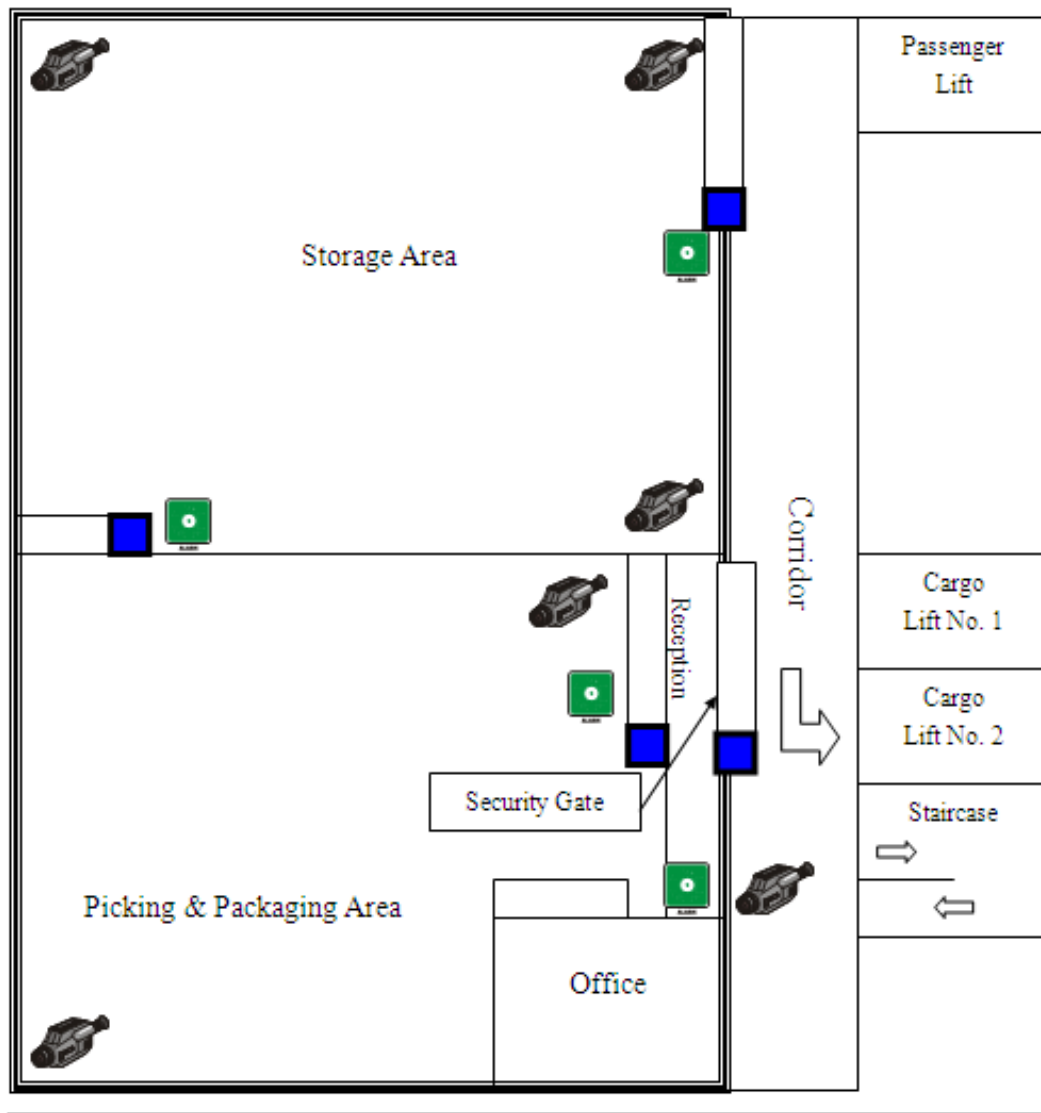


Security Alarm System

## Example 2 - Site Plan of an Industrial Premises

Site name : \_\_\_\_\_ Date : \_\_\_\_\_  
Site address : \_\_\_\_\_

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### Legends:



Security Card Entry



Security Alarm System



CCTV Camera



Concrete Walls and High Fencing

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