

AUTHORISED ECONOMIC OPERATOR SELF-ASSESSMENT QUESTIONNAIRE

This Self- Assessment Questionnaire (SAQ) is designed to help you ensure that your business meets the relevant qualifying criteria and conditions before you submit an application to be registered as an Authorised Economic Operator (AEO). It is recommended that you familiarise yourself with the AEO Guidelines before completing this SAQ.

You should not submit an application for AEO status until all of your relevant procedures are documented and available for inspection. In this regard you should create a tabulated folder of your procedures cross-referencing it with the relevant questions in this SAQ. It may be the case that some of your responses will simply be cross-references to sections in your procedures.

When you have completed this SAQ and compiled your documentation, you should submit them together with the AEO Application form to your nearest Customs office. A designated Customs official will make an appointment to visit your company/premises to verify the information in your Application Form and SAQ and to conduct a physical inspection.

If you have any questions or queries on the AEO application process or on this SAQ you can contact your nearest Customs office.

N.B.

Applicants should take note that an application will automatically be rejected if:

- the applicant has been convicted of a serious criminal offence linked to the economic activity of the applicant or is subject to bankruptcy proceedings or if the applicant has been involved in any fraudulent activities.
- the application is submitted within two years of the revocation of an AEO certificate.

The conditions and criteria for AEO registration will apply to all Economic Operators regardless of their nature and size.

1. Applicant information

	Question	Answer
	Name/ (legal entity)	
	Business profile	
	Date of the establishment (dd-mm-yyyy)	
	Business Partner Number (BPN)	
	Owner Type (Corporation, Partnership, Sole Trader, Wholly Owned Subsidiary, Joint Venture, etc.)	
	Commercial activity in the international supply chain (e.g., clearing agent, manufacturer, importer, exporters, carrier, consolidator, intermediary, port or airport terminal operator, warehouse operator, distributor, airline consolidator). N.B. Include all if there is more than one.	
	Participation in Customs Programmes	
	Detail the country codes for all territories in which the economic operator has been admitted to an AEO programme. (If applicable)	Country Code: Authorization Number:
	If your company is part of a group, please indicate if any other entities in the group: a) already have AEO status; or b) have applied for AEO status and are currently undergoing an AEO audit by the Customs administration.	
	Company Address	
	Town	
	Street	
	Building	
	Floor	
	Office number	

	Phone	
	Email	
	Company website address (if applicable)	
	Full physical address where the main activities of the business are carried out	
	Full physical address of the office where the Customs documentation is kept (if different to office of main activities)	
	Full physical address of the office responsible for providing all Customs documentation (If the offices have the same address, indicate “same as above”)	
	Full physical address of the office where the financial accounts are kept (If the offices have the same address, indicate “same as above”)	
	Full physical address where a third party executes outsourced activities for your company	
	Names of main shareholders including percentage shareholding held and ID/Passport	
	1.	
	2.	
	3.	
	4.	
	5.	
	Names of senior managers including positions held and ID/Passport	
	1.	
	2.	
	3.	
	4.	

5.	
Other certifications	
List certifications under other security-related programmes, standards or other national agencies or authorities, if applicable.	
Other Company Information	
Contact person (POC) for the AEO application	Names: Position: Date of birth: ID/Passport: Phone: Mobile: Email: Experience and qualifications (Customs matters):
Describe the internal organizational structure of your company (e.g., through an organization chart/organogram), the tasks/responsibilities of each department and list the names and positions of senior management personnel responsible for areas relevant to this application. NB. These should include management responsible for Customs, Security, Finance, ICT, Human Resources matters). Briefly describe the standing rules.	
How many employees do you have in your company?	
Give the annual turnover figure for the last two sets of completed annual accounts.	Year 1: Year 2:
Provide the annual net profit or loss figure for the last two sets of completed annual accounts.	Year 1: Year 2:

	Do you foresee any structural changes in your company in the next two years? Yes/no. If yes, please briefly describe the changes.	
	Describe any known planned changes to the company's business practices or relationships that will impact the handling of goods or the supply chain currently being used.	
	Has your company used the same vendors for the past six years, or does it use seasonal vendors?	
	Do you have many foreign source suppliers?	
	Does your supply chain consist of many commodities or a select few commodities?	
	Are your logistics service providers established business partners or do they change regularly?	

APPLICATION PHASE			OFFICIAL USE			
Self-Assessment Questionnaire (SAQ)			SAQ Review			Notes for Validator
Questions	Answer (Yes/No)	Documents attached (Yes/No)	Assessment			
			Fully Compliant	Partially Compliant	Not Compliant	
2. SAFE Criterion A: Demonstrated Compliance with Customs Requirements						
2.1. Have breaches of Customs legislation and procedures been detected within your company/business or by the Customs						

authorities in the last two years? If so, briefly describe the breaches.						
2.2. Have any designated persons committed any infringements /offences as defined in the Customs & Excise Act [CAP 23:02] over the last two years? If so, briefly describe the breaches.						
2.3. Have any of your applications for AEO registrations been rejected, or existing AEO registrations been suspended or revoked because of breaches of Customs rules and regulations in the last two years?						
2.4. Was there any overdue or unpaid tax or Customs duty over the last two years?						
2.5. Do you perform Customs formalities in your own name and for your own account?						
2.6. Do you have representatives for Customs formalities (e.g., Customs broker/agent)? If yes, please include the name (s), addresses and BPNs and TINs (of the representatives).						
2.7. Do you have documented procedures for verifying the accuracy of Customs declarations, including those submitted on your behalf by e.g. Customs clearing agents?						
2.8. a) How and by whom is the customs value, origin and tariff classification of goods determined? b) Do you have documented procedures to ensure accurate establishment of Customs						

values, origin and correct tariff classification of goods?						
2.9. a) Do you have quality assurance measures to ensure that the value, origin and tariff classification of goods are correctly established (e.g., credibility checks, internal working instructions, regular training etc.)? b) Do you keep records on these quality assurance measures?						
2.10. Regarding Country of origin: a) Do you have documented processes that are followed to establish the preferential origin of the imported goods? b) Do you have a defined approach for the issuance of proof of preferences and certificates of origin for exportation?						
2.11. Do you regularly monitor the effectiveness of your quality assurance measures relating to the procedures in place on the establishment of Customs value, origin or tariff?						
2.12. If you trade in goods that are subject to trade licences/permits, describe briefly your procedures for administering the licences/permits related to the import and/or export of such goods.						
2.13 Do you have documented procedures, instructions and guidelines for internal reporting and investigation of breaches						

connected to Customs-related procedures; and mechanisms for appropriate recording and reporting to Customs?						
3. SAFE Criterion B: Satisfactory System for Management of Commercial Records						
3.1. Does your company have policies, procedures and/or guidelines in place for the management of commercial records?						
3.2. Is your company subject to any other legislative requirements and standards with regard to management of commercial records, such as laws on data protection, the right to access information, or records management (e.g., ISO 15489)?						
3.3. Does your company give Customs full access to necessary records and make available any authorizations, powers of attorney and licenses relevant to the importation or exportation of goods?						
3.4. Does your accounting system facilitate a full audit trail of your Customs activities or tax relevant to the movement of goods or accounting entries?						
3.5. What computer system (hardware/software) do you use for your business in general, and for Customs matters in particular?						
3.6. a) Have computer applications been outsourced?						

b) If yes, from which company were the applications outsourced and how do you manage access controls for the outsourced applications?						
3.7. a) Does the company have sufficient internal control systems? b) Does the internal control system of your company identify, report to responsible management, rectify and process discrepancies, and ensure proper implementation of Customs procedures and legislation?						
3.8. a) Have your internal control processes been subject to any internal/external audit? b) Does this include audit of your Customs routines? If yes attach evidence.						
3.9. Does your company have procedures for checking your computer files (standing data or master files) and do these procedures cover the following risks? a) Incorrect and/or incomplete recording of transactions in the accounting system. b) Use of incorrect or out-of-date data regarding number of items and tariff codes respectively. c) Inadequate control of the company processes within the applicant's business.						
3.10. Does your company have documented procedures for back-up, recovery, fall-back,						

archiving and retrieval of your business records?						
4. SAFE Criterion C: Financial viability						
4.1. Have you provided the financial statements for your company based on Generally Accepted Accounting Principles (GAAP) in the last two years? If yes, please provide evidence						
4.2. Have any insolvency proceedings been initiated in respect of your company's assets in the last two years? If yes, provide the details						
4.3. Has the company fulfilled its financial obligations regarding payment of Customs duties and all other taxes?						
5. SAFE Criterion D: Consultation, Co-operation and Communication						
5.1. Does the company engage in open and continuous information exchange with Customs?						
5.2. Is there shared training and professional development between Customs and the company?						
5.3. a) Are there physical documents or electronic recording of differences concerning goods, so that excesses or shortages/deficiencies in goods and articles are reported to Customs?						

b) Is there a procedure to notify Customs in a timely manner if disasters or emergencies occur which involve goods?						
5.4. Does the company have contact information of Customs where its goods are entered for importation or exportation?						
5.5. Is there joint development and sharing of contingency plans both for Customs and the company including business resumption procedures in the case of systems outages?						
6. SAFE Criterion E: Education, Training and Awareness						
6.1. Does your company have a documented internal training system for trade security? If yes, provide evidence.						
6.2. Are your drivers and other personnel that conduct security inspection of empty conveyances and Instruments of International Traffic (IIT) trained to inspect their conveyances/IIT for security purpose?						
6.3. Are the training records maintained so that they may be verified by AEO auditors? If yes, provide evidence.						
6.4. Does your company provide, on a regular basis, education and training on the risks associated with the flow of goods and articles in the international trade supply chain? If yes, provide evidence.						

6.5. Is there periodic training for employees on crisis management, including simulation exercises on crisis response? If yes, provide evidence.						
6.6. Are employees aware of what procedures to follow during an emergency response? If yes, provide evidence.						
6.7. Is there documented internal training material on Customs laws and regulations? If yes, provide evidence.						
6.8. Is internal training on Customs laws and regulations offered at all levels of the company (management and employees) to make sure knowledge is current?						
7. SAFE Criterion F: Information Exchange, Access and Confidentiality						
7.1. Are there written procedures in place to manage import/export activities? If yes, provide evidence.						
7.2. Does your company have documented procedures for back-up, recovery, fall-back, archiving and retrieval of your business records? If yes, provide evidence.						
7.3. Does the company have documented procedures in order to protect your computer system from unauthorised intrusion (Firewall, antivirus programme, password protection)?						

7.4. How long is the data saved in the production system and how long is this data stored in the archive?						
7.5. Does the company offer training for employees on information security?						
8. SAFE Criterion G: Cargo security						
8.1. Is there written documentation to ensure the integrity and security of import/export goods during transportation, handling, and storage? If yes, provide evidence.						
8.2. Is there a procedure to confirm that the goods loaded conform to the data and/or information on documents regarding such goods, including the weight, labels, number of cases, etc.? If yes, provide evidence.						
8.3. Does the company keep records to document how it controls and monitors the safe shipping of exported goods? If yes, provide evidence.						
8.4. Are there procedures regarding affixing, checking and controlling of signatures and seals, where required? If yes, provide evidence.						
8.5. Prior to loading/stuffing/packing, do all empty IIT undergo security inspection (including a 7-point inspection of all empty containers and unit load devices) and an 8-point inspection of all empty refrigerated						

containers and ULDs, conducted prior to loading/stuffing to ensure their structures have not been modified to conceal contraband?						
8.6. Are there documented procedures to ensure the integrity and security of the containers, including sealing and keeping them in secure areas to prevent unauthorized entry or tampering? If yes, provide evidence.						
8.7. a) Are containers kept in secure areas to prevent unauthorized entry or tampering? b) Are there documented reporting and handling procedures in the case of unauthorized entry into containers or container storage areas? If yes, provide evidence.						
8.8. a) Does the business have information on the conveyance and the identification of the driver in advance of the loading or receipt of goods? b) Does the business have procedures to respond to significant route deviations and late arrivals at the loading dock/area, transfer points, or the final destination?						
9. SAFE Criterion H: Conveyance security						
9.1. Is a tracking and monitoring activity log, or equivalent technology (such as GPS), used to track the conveyance while it is enroute to						

an international land border? If yes, provide evidence.						
9.2. a) Does the company conduct inspections of conveyances and goods, when required, to prevent and report the concealment of suspicious or undeclared goods? b) If so, are conveyance inspection records properly documented? If yes, provide evidence. c) Is there training for employees to understand the purpose of inspection and learn inspection techniques?						
9.3. a) Is there a secure area for parking of conveyances to prevent unauthorized entry or other damage? If yes, explain. b) Are there procedures to report unauthorized entry into storage areas or damage to the conveyance? If yes, provide evidence.,78						
9.4. a) Are there administrative control measures concerning the transport units carrying exported goods and articles during the transport process after loading, enroute to the point of export? If yes, explain. b) Are there procedures in place to track the conveyance? If yes, provide evidence.						
10. SAFE Criterion I: Premises security						

10.1. Are there written procedures for managing the safety and security of the business premises? If yes, provide evidence.						
10.2 Are the entrances and exits to the business premises secured? If yes, explain.						
10.3. Does the building in which the business operates prevent unauthorized entry and is it inspected and repaired regularly to ensure its integrity and safety?						
10.4. Is there adequate lighting provided on the premises, including the following areas: exit/entry, cargo and handling of shipment areas, storage areas, fences, parking areas, etc.?						
10.5 Has the company installed security technology, such as video monitoring equipment, to prevent unauthorized entry to the following areas: entrances and exits, loading, unloading and warehousing areas, surroundings of perimeter walls, and parking areas?						
10.6. a) Are all internal and external windows and doors of the business premises equipped with locking devices? b) Does the business register the distribution and return of keys?						
10.7. Are there documented processes for the control of vehicles and personnel? If yes, provide evidence.						

10.8. a) Are there access controls for employees, such as checking employee ID (containing information such as name, department, photo, etc.)? b) Are there restrictions on access by unauthorized employees to sensitive areas in the building? If yes, explain.						
10.9 Do visitors wear temporary identification badges, and are they escorted by staff and are their vehicles registered and parked in designated areas?						
10.10 Are procedures in place to identify, challenge and address unauthorized/unidentified persons? If yes, provide evidence.						
11. SAFE Criterion J: Personnel security						
11.1. Do you have documented procedures to deal with security and safety requirements on recruitment of new staff e.g., criminal vetting?						
11.2. Is there a record of all employees working at the business premises? If yes, provide evidence.						
11.3. Is access to facilities withdrawn and are IDs cancelled for suspended and terminated employees?						
12. SAFE Criterion K: Trading Partner Security						

12.1. Does the company have written security and safety requirements applied when choosing business partners (e.g., security declarations, contractual requirements, trade partners with own AEO status)? If yes, provide evidence.						
12.2. Does the company encourage its business partners to optimize and improve their trade security processes, and document these in operating procedures or agreements? If yes, explain.						
12.3. Are there processes to regularly review business partners in the context of building a secure supply chain?						
13. SAFE Criterion L: Crisis management and incident recovery						
13.1. Has a contingency plan been put in place to respond to disasters and emergencies, and is it updated in a timely manner? If yes, explain.						
14. SAFE Criterion M: Measurement, analysis and improvement						
14.1. Does the company have internal mechanisms in place to continuously audit/review import/export activities and to						

document its records? If yes, provide evidence.						
14.2. Does the company conduct regular monitoring activities against AEO criteria and keep records of monitoring activities? If yes, provide evidence.						
14.3. Does the company perform regular internal audits to assess continuous compliance with AEO criteria? If yes, provide evidence.						
14.4. a) Does the company have internal mechanisms in place to continuously improve import/export activities and address issues identified in audits/reviews? If yes, explain.						