


Sample Proforma for Submission of AEO Application

Point 3(ii) and 11 of Circular 28/2012-Cus., dated 16.11.2012-Managing commercial and (where appropriate) transport records

Revision	1
Revision Date	05.03.2014

4	Document Security	YES	NO	Guidance with examples on what is needed
a	Documents are secured in hard copy			<p>Commercial Documents (in hard copy) are kept in designated Record Room as per row, bay and tier manner. This room has restricted entry. 'Restricted Area' is clearly demarcated.</p> <p align="center"><u>Annexure-</u></p> <p>Further, inventory of the documents are maintained by the individual departments also in the record room for reference/ easy retrieval in case of future requirement. Primary responsibility of security of these documents lies with XYZ Section/ Department.</p>  <p align="center"><u>Annexure-</u></p>

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4	Document Security	YES	NO	Guidance with examples on what is needed
				<p>SOP 'XYZ' ensures handling and procurement of all the documents. Personnel documents are maintained in 'XYZ' Section and its responsibility lies with 'XYZ'.</p>
b	Documents are secured in soft copy			<p align="center"><u>Annexure-</u></p> <p>There is a software application named 'XYZ' (web based software) which is implemented and developed using 'XYZ' technology. This setup is hosted primarily at 'XYZ'. This setup is managed and maintained by 'XYZ' IT team stationed at 'XYZ'. Details of this software system are enclosed.</p> <p>The setup and server are properly secured with 'XYZ'.</p> <p>The database and application server kept as standby at the primary site. An auto-script is enabled on daily/ Weekly basis to copy data from the live database server to the BCP database server. In case of any failure of the live server, the latest backup data can be retrieved/ restored.</p>
c	Procedure in place to archive and retrieve records and information and also against the loss of information.			<p align="center"><u>Annexure-</u></p> <p>A 'XYZ' Site has been set up & it is at a geographically different location. This setup is on a 'XYZ' Platform/ Technology. This 'XYZ' setup ensures continuity of business even during the adverse situation of the whole primary setup going down at 'XYZ' due to any unexpected natural calamities. Details of this software system are enclosed.</p> <p>The replication of data between the Primary Site and 'XYZ' Site is with a time interval of 'XYZ' minutes/ hours.</p> <p>SOP 'XYZ' ensures handling and procurement of all the documents.</p>
d	Is periodic review done based on past history of cases of breach of documents security and SOP annually reviewed?			<p align="center"><u>Annexure-</u></p> <p>There is a SOP 'XYZ' regarding periodic review based on past history of cases of breach of documents security.</p> <p>There is a 'Security Committee' which has been appointed to oversee security aspects. The responsibilities of the committee are as follows:</p>

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				<ul style="list-style-type: none"> ➤ Compliance of Security Policy within the facility. ➤ Amendments in the existing policy. ➤ Identifying security related threats/ suspicious objects. ➤ Taking corrective and preventive actions on the threats identified ➤ Security within the facility should not be breached. ➤ Conducting security awareness trainings at desired intervals. <p>This committee meets monthly/ quarterly/ yearly for above assigned tasks.</p>