

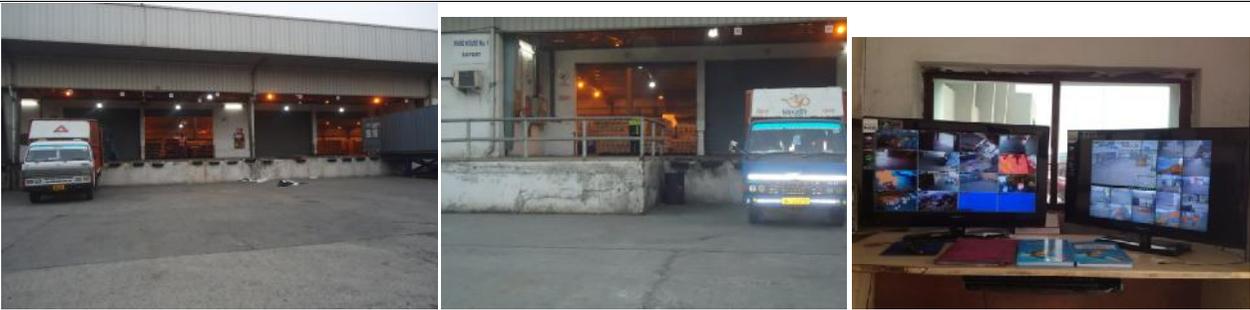
Sample Proforma for Submission of AEO Application

ANNEXURE E-(C) Cargo Security

| | |
|----------------------|-------------------|
| Revision | 1 |
| Revision Date | 14.03.2014 |

| 3.1 | Cargo Security | YES | NO | Guidance with examples on what is needed |
|--------------|--|------------|-----------|--|
| 3.1.1 | Whether only properly identified and authorised persons have access to the cargo? | | | <p align="center"><u>Annexure-3.1.1A</u></p> <p>SOP 'XYZ' defines 'Restricted Areas' and deals with entry/ exit norms with these areas. As per this SOP, all the 'X' warehouses have restricted entry. Further, only designated employees, bonded truck and trailer meant for cargo movements have access to the warehouse areas. Before entering into the surrounding area of warehouses; every employee and visitor has to put his details in the register meant for it.</p> <p align="center"><u>Annexure-3.1.1B</u></p> <p>Further, every warehouse has a separate register where details are recorded again. Thus, every warehouse has 'Y' layers of security. Some copies of these registers are enclosed.</p> <div style="text-align: center; border: 1px solid black; width: fit-content; margin: 0 auto; padding: 5px;"> <p>WAREHOUSE REGISTER</p> </div> |
| 3.1.2 | Whether integrity of cargo has been ensured by permanent monitoring or keeping in a safe, locked area? | | | <p>All loading and unloading bays of warehouses are equipped with shutters which are kept locked when these are not in use.</p> <p align="center"><u>Annexure-3.1.2A</u></p> <p>All the bays and inside/ outside of the warehouses are monitored by security personnel as well as by CCTVs. Location wise details of all the CCTVs are in CCTV layout. Copy of CCTV layout is enclosed.</p> <p>These CCTVs are monitored by CCTV operators who monitor these CCTVs on shift basis. The CCTVs monitoring room has 'Restricted Entry'.</p> |

Sample Proforma for Submission of AEO Application

| | | | |
|-------|---|--|--|
| | | |  <p>Backup of the recording of these CCTVs are kept for 'X' days.</p> <p align="center"><u>Annexure-3.1.2B</u></p> <p>All the warehouses have separate register to maintain records of entry/ exit in the warehouses. Some copies of these register are enclosed.</p> |
| 3.1.3 | Whether all seals meet the current PAS / ISO 17712 standards for high security seals? | | <p align="center"><u>Annexure-3.1.3</u></p> <p>All the seals are procured by 'XYZ' firm, which is entitled to issue ISO 17712 seal. Certificate of the supplier regarding ISO 17712 is enclosed.</p> |
| 3.1.4 | Whether the integrity of container seals has been checked and appropriate procedure exists for the fixing of seals? | | <p align="center"><u>Annexure-3.1.4A</u></p> <p>SOP 'XYZ' ensures that only designated person 'X' is entitled to maintain and issue seals.</p> <p align="center"><u>Annexure-3.1.4B</u></p> <p>Further, there is/ are register (s) maintained regarding seal management. Copies of these registers are enclosed.</p> |
| 3.1.5 | Whether only designated personnel distribute container seals and safeguard their appropriate and legitimate use? | | <p>As per 'Para 3.1.4'</p> |

Sample Proforma for Submission of AEO Application

| | | |
|---|--|--|
| <p>3.1.6 Whether when appropriate to the type of cargo container used, a seven-point inspection process is in place i.e. Front wall, Left side, Right side, Floor, Ceiling/Roof, Inside/outside doors, Outside /undercarriage?</p> | | <p align="center"><u>Annexure-3.1.6A</u></p> <p>As per page no. 'X' of SOP 'XYZ', seven point inspection process is conducted and a proforma meant for that is filled for every container and kept in record with other documents of that container.</p>  <p align="center"><u>Annexure-3.1.6B</u></p> <p>Some copies of filled in seven point inspection report are enclosed.</p> |
| <p>3.1.7 Whether appropriate procedures have been laid down on measures to be taken when an unauthorized access or tampering is discovered?</p> | | <p align="center"><u>Annexure-3.1.7</u></p> <p>SOP 'XYZ' is established for this. In case of any mismatch of weight from the train summary, the same is intimated to Customs in writing. Further, in case of seal mismatch or tampering of the seal is noticed during the inspection at the gate, the same is intimated to Customs officials immediate in writing. Necessary joint inspection is carried out involving Customs, shipper and 'XYZ'.</p> |
| <p>3.1.8 Whether it is possible to deliver goods to an unsupervised area?</p> | | <p align="center"><u>Annexure-3.1.8</u></p> <p>SOP 'XYZ' ensures that loading and unloading of goods in the warehouse are done through designated bays which are clearly marked and numbered. There is a software system of 'XYZ' which clearly define the storage</p> |

Sample Proforma for Submission of AEO Application

| | | | |
|--------|---|--|---|
| | | | area for a specific cargo. On the basis of it, cargo delivered to any other areas other than designated area is not allowed. |
| 3.1.9 | Whether goods have been uniformly marked or stored in designated areas and procedures exist to weigh / tally them and compare them against transport documents, purchase/sales orders and Customs papers? | | <p align="center"><u>Annexure-3.1.9A</u></p> <p>Cargo Management is supported by a real time automated software application named 'ABC' (web bases software). Some snap shots of steps of this software are enclosed.</p> <p>This 'ABC' software system ensures delivery of the goods at its designated storage area/ bay which is kept in record in soft copy as well as in hard copy for record. Further, this software system ensures accuracy of weighing, tallying and reconciliation with documents.</p> <p align="center"><u>Annexure-3.1.9B</u></p> <p>Further, SOP 'XYZ' deals with the internal control procedures to check discrepancies and/ or irregularities.</p> |
| 3.1.10 | Whether internal control procedures exist when discrepancies and/or irregularities are discovered? | | <p align="center"><u>Annexure-3.1.10</u></p> <p>SOP 'XYZ' deals with the internal control procedures to check discrepancies and/ or irregularities.</p> |
| 3.1.11 | Is periodic risk analysis done based on past history of cases of security breach or new threat inputs and SOP annually reviewed? | | <p align="center"><u>Annexure-3.1.11</u></p> <p>As per SOP 'XYZ', there is a 'ABC Committee' which has been appointed to oversee security aspects. The responsibilities of the committee are as follows:</p> <ul style="list-style-type: none"> ➤ ABC ➤ DEF ➤ ... ➤ XYZ. <p>This committee meets monthly/ quarterly/ biannually/ early for above assigned tasks.</p> |