

**Sample Proforma for Submission of AEO Application**

<b>Revision</b>	<b>1</b>
<b>Revision Date</b>	<b>14.03.2014</b>

**Annexure-E (G) Personnel Security**

<b>3.5</b>	<b>Personnel Security</b>	<b>Yes</b>	<b>No</b>	<b>Guidance with examples on what is needed</b>
<b>3.5.1</b>	Whether all reasonable precautions have been taken when recruiting new staff to verify that they are not previously convicted of security-related, Customs or other criminal offences?			<p align="center"><b><u>Annexure- 3.5.1</u></b></p> <p>SOP 'XYZ' deals with recruitment and termination policy of employees.</p> <p>There are X types of employments as follows:</p> <ol style="list-style-type: none"> <li>1. Payroll employment</li> <li>2. Contractual employment</li> <li>3. Security personnel employment</li> <li>4. Housekeeping employment</li> <li>5. XYZ...</li> </ol> <p>All employees undergo background check as well as address check process which covers past employment check, criminal background check and address verification. Contractual labourers also go with the same checks and their records are also maintained in their personnel files.</p> <p>Records of these checks are kept in X section. These records are maintained in different folders which are maintained with respect to type of employment. Some captured documents and records are as follows:</p>

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				<p align="center"><b>ADDRESS CHECK REPORT</b></p> <table border="1" data-bbox="770 354 1352 692"> <thead> <tr> <th colspan="2">Present Address</th> </tr> </thead> <tbody> <tr> <td>Address</td> <td></td> </tr> <tr> <td>Person Contacted</td> <td></td> </tr> <tr> <td>Date of Verification</td> <td></td> </tr> <tr> <td>Duration of Stay</td> <td></td> </tr> <tr> <td>Type of Ownership</td> <td></td> </tr> <tr> <td>Additional Remarks</td> <td></td> </tr> </tbody> </table> <p align="center"><b>CRIMINAL CHECK</b></p> <table border="1" data-bbox="770 858 1352 1075"> <thead> <tr> <th colspan="2">Background Profile</th> </tr> </thead> <tbody> <tr> <td>Respondent Name</td> <td>Mr. _____</td> </tr> <tr> <td>Police Station</td> <td>_____</td> </tr> <tr> <td>Date of Verification</td> <td>_____</td> </tr> <tr> <td>Address Provided</td> <td>_____</td> </tr> <tr> <td>Remarks (if any)</td> <td>_____</td> </tr> </tbody> </table>	Present Address		Address		Person Contacted		Date of Verification		Duration of Stay		Type of Ownership		Additional Remarks		Background Profile		Respondent Name	Mr. _____	Police Station	_____	Date of Verification	_____	Address Provided	_____	Remarks (if any)	_____
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3.5.2	Whether periodic background checks are conducted on employees working in security sensitive positions?			<p align="center"><b><u>Annexure-3.5.2</u></b></p> <p>Periodic background checks are conducted on employees working in security sensitive position. Some copies of such background checks are enclosed.</p>																										
3.5.3	Whether employee identification procedures			<p align="center"><b><u>Annexure-3.5.3 A</u></b></p>																										

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	require all employees to carry proper identification that uniquely identifies the employee and organisation?			<p>There are different types of ID cards for different types of employment such as company’s employee, contractual employee and security personnel.</p> <p>Further, there are different types of uniforms for different types of employments such as Company employees, Contractual labourers, Housekeeping, Security etc. to easily distinguish their identity.</p> <p align="center"><b><u>Annexure-3.5.3 B</u></b></p> <p>Some copies of different ID cards are enclosed.</p>
3.5.4	Whether procedures to identify, record and deal with unauthorized or unidentified persons, such as photo identification and sign-in registers for visitors etc. have been ensured at all points of entry?			<p>There are registers at every point of entries of main gate, warehouse premises and warehouse gates. These entries make layers of security. There are ‘X’ points which have to be accessed before entering into any warehouse. All the ‘X’ points maintain separate register which record entry/ exit details.</p> <div style="display: flex; justify-content: space-around; align-items: center;">   </div> <p>Further, at main gate entry, photo of the visitor is captured and a verification code is sent through SMS, which is entered and print out is taken. The records are kept in soft copy as well as hard copy for further reference. Thereafter Visitor Pass is issued.</p>
3.5.5	Whether procedure to expeditiously remove identification and access to premises and information for employees whose employment is terminated is in place?			<p align="center"><b><u>Annexure-3.5.5</u></b></p> <p>There is a SOP ‘XYZ’ which deals with termination/ resignation procedure. As per the procedure, there is a form, which is filled in by the employee before termination/ resignation. Once, this form is accepted by the concerned authority, the NOC is issued regarding termination/ resignation.</p>

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3.5	Personnel Security	Yes	No	Guidance with examples on what is needed
3.5.6	Whether a system exists to encourage other concerned business entities/trading partners to assess and enhance supply chain security?			<p>There is a system vide which we encourage other concerned business entities/ trading partners to assess and enhance supply chain security. Further, record of such ‘Self Assessment’ is maintained and shared by trading partners.</p> <p align="center"><b><u>Annexure-3.5.6</u></b></p> <p>Some records of such ‘Self Assessment’ are enclosed.</p>
3.5.7	Whether the applicant is able to produce documentation showing the safety and security measures and controls put in place for verification by the AEO Programme Team?			<p>We have established proper safety and security records. The records are kept at X location.</p>
3.5.8	Whether a self assessment has been carried out by a person with extensive knowledge of the risks and threats applicable to his type of business?			<p>There is a ‘Self Assessment Programme’, in which self assessment is carried out at interval of ‘X’ month by ‘XYZ’ headed by ‘X’. Further, Minutes of Meeting of this committee is maintained.</p> <p align="center"><b><u>Annexure-3.5.8</u></b></p> <p>Some copies of ‘Self Assessment Programme’ and ‘Minutes of Meetings’ are enclosed.</p>
3.5.9	Is periodic risk analysis done based on past incidents related to personal security and SOP amended accordingly			<p>As above in ‘(Para 3.5.8)’.</p>