

Sample Proforma for Submission of AEO Application

Revision	1
Revision Date	14.03.2014

ANNEXURE E-(F) Premises Security

3.4	Premises Security	Yes	No	Guidance with examples on what is needed
3.4.1	Whether building is secured against unlawful entry?			<p>There is wall of 'X' ft. height and 'Y' ft. Barbed Wire. Further, the premise is monitored by Security Personnel as well as by CCTVs.</p>  <p align="center"><u>Annexure-3.4.1</u></p> <p>Layout of the CCTV and Security Personnel deployment are enclosed.</p> <p>There is a system of intrusion detection 'X', details of this system is as under:</p>
3.4.2	Whether external and internal windows, gates and fences are secured with locking devices or alternative			<p>Three are total 'X' main gates for entry/ exit. However, only 'Y' gates are used for entry/ exit.</p> <p>Gate 'A' is used for purpose. Gate 'B' is used for purpose. Gate 'C' is used for purpose. All other gates are kept locked and these unused gates locks are sealed by authorized person.</p> <p align="center"><u>Annexure-3.4.2A</u></p>

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3.4	Premises Security	Yes	No	Guidance with examples on what is needed
	access monitoring or control measures?			<p>As per SOP 'XYZ', all gates are monitored by security personnel as well as by CCTVs.</p>  <p align="center"><u>Annexure-3.4.2B</u></p> <p>Further, register of such monitorings are maintained. Some copies of these registers are enclosed.</p>
3.4.3	Whether management or security personnel control the issuance of locks and keys?			<p align="center"><u>Annexure-3.4.3A</u></p> <p>There is a SOP 'XYZ' regarding Key Management. Accordingly, a Key Box is maintained containing keys for any facility door. The Key Box is locked and stored in a secured area with limited access. Keys are labeled with ... tags. The responsibility of storage of the duplicate keys of the facility lies with the 'X'.</p> <p align="center"><u>Annexure-3.4.3B</u></p> <p>The 'XYZ' Department acknowledges the inventory of keys lying with the 'X' and the end of every week/ month. Some copies of this register are enclosed.</p>
3.4.4	Whether adequate internal and external lighting has been provided especially for entrances and exits, cargo handling and storage areas, fence lines and parking areas?			<p>There are adequate lightings inside and outside of the premises. It covers all cargo handling areas, cargo storage areas, entrances and exits, fence lines, parking areas and all other areas covered by CCTVs.</p> <p>There are 'X' High Mast and 'Y' Halogen to ensure proper lighting inside and outside of the premises.</p>

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3.4.5	Whether gates through which vehicles and/or personnel enter/exit have been manned, monitored or otherwise controlled?			<p align="center"><u>Annexure-3.4.5A</u></p> <p>Gates through which vehicles and/ or personnel enter/ exit are monitored by security personnel as well as by CCTVs. records of these movements are maintained. Some copies of these records are enclosed.</p> <p align="center"><u>Annexure-3.4.5B</u></p> <p>These gates are equipped with Inverted Mirror and Hand Held Metal Detector. Further, frisking also done at the main gate. The entry/ exit details are recorded and maintained at every gate in register as well as in soft copy in computer. Only cargo vehicles and trailers can enter in the areas surrounding to warehouses. These vehicles enter only after clearance from the concerned department. All the details of these vehicles are captured and further designated warehouse is allotted where they have to report. Some copies of these records are enclosed.</p>
3.4.6	Whether vehicles accessing restricted areas are parked in approved area and their license plate numbers furnished to Customs upon request?			<p align="center"><u>Annexure-3.4.6</u></p> <p>Only bonded truck/ trailer meant for cargo movements have access to the warehouse areas. Details of these conveyances and their drivers are recorded in entry/ exit register meant for this purpose. Some copies of these records are enclosed.</p>
3.4.7	Whether only properly identified and authorized persons, vehicles and goods are permitted access?			<p align="center"><u>Annexure-3.4.7</u></p> <p>There is a list of vehicles. Vehicles of this list only can enter to the Corporate Office area. List of these vehicles is enclosed.</p> <p>No other vehicles can be parked in the premises.</p>
3.4.8	Whether access to document or cargo storage areas is			<p align="center"><u>Annexure-3.4.8A</u></p> <p>As per page no. ... of SOP 'XYZ', access to the cargo storage areas (Warehouses) is restricted. Only employees who work in warehouse area have access to the warehouse area. Before entering into the surrounding area of warehouses;</p>

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3.4	Premises Security	Yes	No	Guidance with examples on what is needed
	restricted?			<p>every employee and visitor has to put his details in the register meant for it. Further, every warehouse has a separate register where details are recorded again. Thus, every warehouse has ‘X’ layers of security.</p> <p align="center"><u>Annexure-3.4.8B</u></p> <p>Documents are kept in Record Room and as per page no. ... of SOP ‘XYZ’ Record Room has restricted entry. The documents in the record room are maintained in following way:</p>
3.4.9	Whether there are appropriate security systems for theft and/or access control?			<p align="center"><u>Annexure-3.4.9</u></p> <p>There is a system ‘X’. In this system, processes have been highlighted how to lock or open warehouses. Further, there is a SOP ‘XYZ’ which describes process to ensure security system to check theft and/ or any such activity.</p>
3.4.10	Whether restricted areas have been clearly identified?			<p align="center"><u>Annexure-3.4.10A</u></p> <p>As per page no. ... of SOP ‘XYZ’, all the warehouse areas are Restricted Areas and only identified person can enter in these areas. These areas have ‘Restricted Area’ identification mark. 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-3.4.10B</u></p> <p>Further, every warehouse has a separate register where details are recorded again. Thus, every warehouse has ‘X’ layers of security. Some copies of these registers are enclosed.</p> <p align="center"><u>Annexure-3.4.10C</u></p> <p>Further, as per page no. ... of SOP ‘XYZ’, no visitors are allowed in any warehouse un-escorted at any time.</p>
3.4.11	Whether the integrity of structures and systems is periodically inspected?			<p align="center"><u>Annexure-3.4.11A</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>

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3.4	Premises Security	Yes	No	Guidance with examples on what is needed
				<p align="center"><u>Annexure-3.4.11B</u></p> <p>Further, there is a SOP 'Self Assessment' which evaluates the effectiveness of the security measures used within the supply chain. It also helps to identify the need for additional resources, as well as correct gaps, vulnerabilities and weaknesses.</p> <p align="center"><u>Annexure-3.4.11C</u></p> <p>Some copies of carried out Self Assessment are enclosed.</p>
3.4.12	Whether perimeter fencing exists for enclosing the areas around cargo handling and storage facilities?			<p>Perimeter fencing exists for enclosing the areas around cargo handling and storage facilities. Photographs of these areas are as follows:</p> <div style="display: flex; justify-content: space-around;">   </div> <p>All the warehouses fall under restricted entry. There are separate entry/ exit register for every warehouse.</p> <p>Further, all the bays of warehouses are equipped with shutters which are kept closed when not in use.</p>
3.4.13	Whether interior fencing exists within a cargo handling structure to segregate domestic, international, high value and hazardous cargo?			<p>There are total 'X' warehouses. Warehouse no. 'A' and 'B' are meant for export cargo. All other warehouses are meant for Import only. All the warehoused are categorized with type of cargo (high value, perishable, hazardous etc.) and are monitored.</p> 

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3.4	Premises Security	Yes	No	Guidance with examples on what is needed
3.4.14	Whether all fencing has been regularly inspected for integrity and damage?			<p align="center"><u>Annexure-3.4.14A</u></p> <p>As per SOP 'XYZ', there is a 'ABC Committee' which meets quarterly to review the system.</p> <p align="center"><u>Annexure-3.4.14B</u></p> <p>Inspection of the premises security is conducted and documented on daily/ weekly/ monthly basis to verify systems and devices are working and fence lines are operational and maintained and records of these inspections are maintained. Some copies of these inspection are enclosed.</p>
3.4.15	Whether the number of gates is kept to the minimum necessary for proper access and safety?			<p>There are 'X' gates. However, only 'A' gates are open for entry/ exit. These gates are designated with different activities. All other gates which are kept locked are locked with authorized seal and further monitored manually as well as through CCTVs.</p> 
3.4.16	Whether private passenger vehicles are prohibited from parking in or			<p align="center"><u>Annexure-3.4.16A</u></p> <p>As per page no. ... of SOP 'XYZ', the vehicles and trailer only meant for cargo are allowed adjacent to cargo handling and storage area.</p>

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	adjacent to cargo handling and storage areas?			<p align="center"><u>Annexure-3.4.16B</u></p> <p>Further, there is a list which contains the details of the vehicles which are allowed inside the premises. These vehicles have only access to the Corporate Office.</p> <p>Private vehicles are not allowed inside the premises.</p>
3.4.17	Is periodic risk analysis done based on past history of cases or security breach or new threat inputs and SOP annually reviewed?			<p align="center"><u>Annexure-3.4.17</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>