

Sample Proforma for Submission of AEO Application

ANNEXURE –E (D) Procedural Security

Revision	1
Revision Date	14.03.2014

3.2	Procedural Security	Yes	No	Guidance with examples on what is needed
3.2.1	Whether the security measures are in place to ensure the integrity and security of processes relevant to the transportation, handling, and storage of cargo in the supply chain?			<p align="center"><u>Annexure-3.2.1</u></p> <p>There is SOP ‘XYZ’ which covers points as below:</p> <ol style="list-style-type: none"> I. Procedure for ABC. II. Procedure for DEF III. Procedure for Visitor/s entry and exit IV. Procedure for CCTV monitoring V. Procedure for Security deployment VI. Procedure for GHI VII. Procedure for XYZ <p>The above mentioned SOP ensures the integrity and security of processes relevant to the transportation, handling and storage of cargo in the supply chain.</p> <p>The software system ‘ABC’ also ensures that any step and procedure not skipped. Further, it ensures proper handling and storage of cargo. Captured screenshots of steps of this software system are in ‘Para b’ below.</p>
3.2.2	Whether proper documentation management procedure are in place to ensure that all documentation used in the clearing of cargo, is legible, complete, accurate and protected against the exchange, loss of introduction of erroneous information?			<p align="center"><u>Annexure-3.2.2</u></p> <p>All the documents are generated in soft copy in the software application named ‘ABC’. It is a software in which later stage are dependent on earlier stage which ensures that all the documentations are completed. Further, it ensures its genuineness also. Some snap shots of this software are enclosed:</p> <div data-bbox="840 1045 1182 1165" style="border: 1px solid black; padding: 5px; margin: 10px auto; width: fit-content;"> <p align="center">SNAP SHOTS OF STEPS OF SOFTWARE</p> </div> <p>There is another Site ‘X’ for backup/ recovery of application which is at a geographically different location at ‘Z’.</p> <p>The replication of data between the Primary Site and ‘X’ Site is with a time interval of ‘Y’ minutes.</p>

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3.2.3	Whether procedures are in place to ensure that information received from business partners is reported accurately and timely as well as declared in the time limit regulated by customs?		<p style="text-align: center;"><u>Annexure-3.2.3A</u></p> <p>There are different procedure/ system to ensure the genuineness of the informations which are received from the Business Partners. All the procedures are enclosed.</p> <p style="text-align: center;"><u>Annexure-3.2.3B</u></p> <p>Further, there are Contracts also with all the Business Partners. Copies of all the contracts are enclosed.</p> <p style="text-align: center;"><u>Annexure-3.2.3C</u></p> <p>There is SOP 'XYZ' which deals with the terms of monitoring and reporting system of cargo at the time of movement through road.</p>
3.2.4	Whether procedures are in place to ensure that (a) Import / Export cargo are reconciled against the information on the bill of lading. (b) The weights, labels, marks and piece count of the import/export cargo are accurately indicated. (c) Import/export cargo are verified against purchase / delivery orders. (d) Drivers delivering or receiving cargo are positively identified before cargo is received or released?		<p style="text-align: center;"><u>Annexure-3.2.4A</u></p> <p>SOP 'XYZ' ensures that the cargo is properly examined before commencement of carting/ offloading activity. It is cross verified with the documents and any discrepancy found, it immediately brought into the notice of Customs and the forwarder.</p> <p>Further, the software system 'ABC' ensures accuracy of weighing, tallying and reconciliation with documents.</p> <p style="text-align: center;"><u>Annexure-3.2.4B</u></p> <p>There are registers at entry/ exit gates to ensure that only positively identified drivers and conveyance entering/ exiting to the premises. Copies of the some pages of the register are enclosed.</p>

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3.2.5	Whether all shortages, overages, and other significant discrepancies or anomalies must be resolved and/or investigated appropriately?		<p>All the documents are generated in soft copy in the software application named 'ABC'. It is a software in which later stage are dependent on earlier stage which ensures that all the documentations are completed. Further, it ensures its genuineness also.</p> <p>It also ensures that accuracy of quantity/ weight. If there are some discrepancies in these regard, software will not allow completion of the entry.</p> <p style="text-align: center;"><u>Annexure-3.2.5</u></p> <p>Further, SOP 'XYZ' deals with discrepancies. The cargo is properly examined before commencement of carting/ offloading activity. It is cross verified with the documents and any discrepancy found by Security Person is immediately brought into the notice of Customs and the forwarder.</p>
3.2.6	Is periodic risk analysis of all the SOPs done based on past history of cases/ security breach/ new threat inputs/ customs irregularities etc. and all the SOPs annually reviewed?		<p style="text-align: center;"><u>Annexure-3.2.6</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>