

EUROPEAN COMMISSION, DIRECTORATE-GENERAL, TAXATION AND CUSTOMS
UNION

AEO Safety and Security Guidelines: Exporter

Section I.2.5 Safety and Security Requirements Only

Brussels, 29 June 2007 TAXUD/2006/1450

AEO Safety and Security Guidelines: Exporter

1.0.0 SECURITY ASSESSMENTS.....	6
1.1.0 SELF-ASSESSMENT: SUGGESTED ASSESSMENT QUESTIONS.....	6
1.2.0 INTERNAL ORGANIZATION: SUGGESTED ASSESSMENT QUESTIONS	6
1.3.0 INTERNAL CONTROL SYSTEM: SUGGESTED ASSESSMENT QUESTIONS	6
1.4.0 INTERNAL CONTROL PROCEDURES: SUGGESTED ASSESSMENT QUESTIONS	6
1.5.0 SAFETY CERTIFICATION - EXTERNAL: SUGGESTED ASSESSMENT QUESTIONS.....	7
1.6.0 SAFETY/SECURITY SPECIFIC TO GOODS: SUGGESTED ASSESSMENT QUESTIONS	8
1.7.0 THREAT ASSESSMENTS BY OTHERS: SUGGESTED ASSESSMENT QUESTIONS.....	8
1.8.0 EXTERNALLY IMPOSED SECURITY: SUGGESTED ASSESSMENT QUESTIONS	8
2.0.0 ENTRY AND ACCESS TO PREMISES.....	9
2.1.0 ACCESS AND ENTRY ROUTINES	9
2.2.0 INTRUSION PROCEDURES	9
3.0.0 PHYSICAL SECURITY	10
3.1.0 EXTERNAL BOUNDARIES.....	10
3.2.0 GATES AND GATEWAYS	10
3.3.0 LOCKING DEVICES	10
3.4.0 LIGHTING	10
3.5.0 ACCESS TO KEYS	10
3.6.0 INTERNAL PHYSICAL SECURITY	11
3.7.0 PRIVATE VEHICLE PARKING	11
3.8.0 MAINTENANCE OF BOUNDARIES AND BUILDINGS	11
4.0.0 CARGO UNITS	12
4.1.0 CARGO UNIT ACCESS	12
4.2.0 CARGO UNIT INTEGRITY.....	12
4.3.0 CARGO SEALS.....	12
4.4.0 CARGO UNIT INSPECTION	12
4.5.0 INTRUSION/TAMPERING PROCEDURES	12
4.6.0 CARGO UNIT OWNERSHIP	12
4.7.0 CARGO UNIT MAINTENANCE.....	13
5.0.0 LOGISTICAL PROCESSES	14
5.1.0 ACTIVE TRANSPORTATION MEANS.....	14
6.0.0 NON-FISCAL REQUIREMENTS.....	15
6.1.0 NON-FISCAL ASPECTS.....	15
7.0.0 INCOMING GOODS	16
7.1.0 INCOMING INSPECTION ROUTINES	16
7.2.0 SECURITY PROCEDURE VERIFICATIONS	16
7.3.0 SUPERVISION OF INCOMING GOODS	16
7.4.0 SECURITY AWARENESS	17

7.5.0	INCOMING GOODS SEALS	17
7.6.0	UNIFORM MARKINGS.....	17
7.7.0	WEIGHING AND TALLYING	17
7.8.0	GOODS RECEPTION PROCESSING	17
7.9.0	INTERNAL CONTROL PROCEDURES	17
8.0.0	STORAGE OF GOODS.....	18
8.1.0	ASSIGNMENT OF STORAGE LOCATION.....	18
8.2.0	INTERNAL CONTROL PROCEDURES	18
8.3.0	STORAGE OF DIFFERENT GOODS	18
8.4.0	ADDITIONAL SAFETY/SECURITY FOR ACCESS TO GOODS	18
8.5.0	AUTHORIZATION LEVEL FOR STAFF CATEGORIES	18
9.0.0	PRODUCTION OF GOODS	19
9.1.0	ASSIGNMENT OF LOCATION – N/A.....	19
9.2.0	INTERNAL CONTROL PROCEDURES – N/A.....	19
9.3.0	ADDITIONAL SAFETY/SECURITY MEASURES – N/A	19
9.4.0	AUTHORIZATION BY STAFF LEVEL – N/A	19
9.5.0	PACKING - WHERE APPROPRIATE	19
9.6.0	QUALITY INSPECTION - WHERE APPROPRIATE	19
10.0.0	LOADING OF GOODS.....	20
10.1.0	OUTBOUND CHECKING ROUTINES	20
10.2.0	VERIFICATION OF SECURITY MEASURES	20
10.3.0	SUPERVISION OF LOADING.....	20
10.4.0	SAFETY/SECURITY AWARENESS.....	20
10.5.0	OUTBOUND SEALS	21
10.6.0	UNIFORM MARKINGS	21
10.7.0	WEIGHING AND TALLYING	21
10.8.0	PROCESSES FOR LOADING GOODS	21
10.9.0	INTERNAL CONTROL PROCEDURES.....	21
11.0.0	BUSINESS PARTNER SECURITY REQUIREMENTS	22
11.1.0	EXTERNALLY IMPOSED SECURITY - EXPORT	22
11.2.0	EXTERNAL CONTROL PROCEDURES - EXPORT.....	22
12.0.0	PERSONNEL SECURITY REQUIREMENTS	23
12.1.0	EMPLOYMENT POLICY	23
12.2.0	SECURITY CHECKS	23
12.3.0	TRAINING	23
12.4.0	TEMPORARY PERSONNEL	24
13.0.0	EXTERNAL SERVICES SECURITY REQUIREMENTS	25
13.1.0	EXTERNAL SERVICES.....	25

AEO Safety and Security Guidelines: Exporter

An exporter, pursuant to Article 788 of CCIP, is the person on whose behalf the export declaration is made and who is the owner of the goods or has a similar right of disposal over them at the time when the declaration is accepted. Where the ownership or a similar right of disposal over the goods belongs to a person established outside the Community pursuant to the contract on which the export is based, the exporter shall be considered to be the contracting party established in the Community.”

“An exporter's responsibility in the international supply chain can be regarded as follows: 1) Responsible for the correctness of the export declaration and for its timely lodgment, if the export declaration is lodged by the exporter; 2) Responsible, if the export declaration is lodged by the exporter, for lodging an export declaration which contains the data elements of the exit summary declaration, once the provisions on exit summary declaration will become applicable from 1 July 2009; 3) Apply the legal export formalities in accordance with the customs rules, including commercial policy measures and where appropriate, export duties; and, 4) Ensure a secure and safe supply of the goods to the carrier or freight forwarder or customs agent.”

1.0.0 Security Assessments

1.1.0 Self-Assessment: Suggested Assessment Questions

1.1.1 What kind of safety and security risks or dangers have you identified?

1.2.0 Internal Organization: Suggested Assessment Questions

1.2.1 How are safety and security measures coordinated within your applicant?

1.2.2 Indicate which person and/or unit of your company is responsible for this coordination.

1.3.0 Internal Control System: Suggested Assessment Questions

1.3.1 Are there existing documented security routines and how they are communicated to the personnel and other people visiting your company?

1.4.0 Internal Control Procedures: Suggested Assessment Questions

1.4.1 During the last year what type of incidents have occurred and what type of measures have resulted thereof?

1.4.2 Does the threat assessment cover these types of incidents?

1.4.3 What procedures exist for registering and reporting of incidents?

1.5.0 Safety Certification - External: Suggested Assessment Questions

1.5.1 Have you already been certified by another public agency or public body for (transport) security purposes?

1.6.0 Safety/Security Specific to Goods: Suggested Assessment Questions

1.6.1 Are there particular security and safety requirements for the goods you are importing/exporting?

1.7.0 Threat Assessments by Others: Suggested Assessment Questions

1.7.1 If you are making use of the services of a security company, has this company made a threat assessment of your company?

1.8.0 Externally Imposed Security: Suggested Assessment Questions

1.8.1 Does your insurance company impose security requirements on you?

1.8.2 Have your customers imposed security arrangements on you?

13.0.0 External Services Security Requirements

13.1.0 External Services

13.1.1 In case that services are outsourced, i.e., transportation, security guards, cleaning and maintenance, security demands shall be incorporated in the contractual arrangements made with the external companies.