Republic of the Philippines

Department of Finance

**Bureau of Customs**

1099 Manila

**Annex B**

**AUTHORIZED ECONOMIC OPERATOR PROGRAM:**

**SELF-ASSESSMENT QUESTIONNAIRE**

|  |
| --- |
| **IMPORTANT**: Please accomplish this form as truthfully as possible. Please **attach pertinent documents** evidencing or further explaining your answers. |
| **I. GENERAL INFORMATION** |
| Company Name: |  |
| **II. GENERAL CRITERIA** |
| 1. **Business ownership, structure, and organization**
 |
| 1. Date of Establishment (yyyy-mm-dd)
 |  |
| 1. Owner Type (Corporation, Partnership, Sole Proprietor, Wholly Owned Subsidiary, Joint Venture, etc.)
 |  |
| 1. Organizational Chart
 | *(attach Organizational Chart)* |
| 1. Principal Businesses (e.g. manufacturers, importers, exporters)
 |  |
| 1. Office/Department Functions
 | *(attach relevant documents)* |
| 1. Senior Management Personnel responsible for areas relevant to application (e.g. Security, Customs Procedure, Finance, Human Resource)
 | Full Name | Designation | Office |
|  |  |  |
|  |  |  |
|  |  |  |
| 1. Total No. of Employees
 |  |
| 1. **Corporate or business profile and projected business activity;**
 |
| 1. Brief Corporate or Business Profile
 | *(attach Company profiles and relevant documents)* |
| 1. Detail the country/ies in which the applicant has been admitted to an AEO or similar programme.
 |

|  |  |
| --- | --- |
| Country | Authorization Code, if any: |
|  |  |

 |
| 1. If your company is part of a group, please indicate if any other entities in the group:
	1. already have an AEO certificate; or;
	2. have applied for AEO status and are currently undergoing an AEO audit by a national Customs authority.
 |  |
| 1. List certifications under other security-related programmes, standards or other national agencies or authorities if applicable
 | *(attach relevant documents, as necessary)* |
| 1. Please describe any known planned changes to the company’s business practices or relationships that will impact the handling of goods or the supply chain currently being used.
 | *(attach relevant documents, as necessary)* |
| 1. **End-to-end import or export process (goods, documentation, and payment flow) and local distribution system, if any:** *(attach relevant documents)*
 |
| 1. **Entities involved in foreign supply and/or local distribution chain;**
 |
|  | Foreign Supplier/Principal | Local Distributor/Agent |
| 1. Company Name
 |  |  |
| 1. Owner Type (Corporation, Partnership, Sole Proprietor, Wholly Owned Subsidiary, Joint Venture, etc.)
 |  |  |
| 1. Business Type
 |  |  |
| 1. Company Address
 |  |  |
| 1. Tel. No.
 |  |  |
| 1. Email Address
 |  |  |
| 1. Website
 |  |  |
| 1. AEO Accredited? (If yes, please indicate:)
 |  |  |
| 1. Country
 |  |  |
| 1. AEO Authorization Code
 |  |  |
| 1. Other related certification, if any
 |  |  |
| 1. **List of goods imported or exported including the nature, specific description in tariff terms, customs value, preferential rates to be availed of, and volume (over time)**
 |
| 1. **Internal Customs compliance control**
 |
| 1. Please describe the internal control system for the relevant departments of your company to identify, report to responsible management and rectify discrepancies in process and assure proper implementation of customs procedures and legislation.
 |  |
| 1. Have your internal control processes been subject to any internal/external audit, including audit of your Customs routines?
 | * Yes
* No

If yes, please specify details of the audit. |
| 1. Describe in brief your procedures for checking your computer files (standing data or master files)?
 |  |
| 1. How do these procedures cover the following risks from your perspective?

 1. Incorrect and/or incomplete recording of transactions in the accounting system.
 |  |
| 1. Use of incorrect permanent or out-of-date data such as number of articles and tariff codes.
 |  |
| 1. Inadequate control of the company processes within the applicant's business, if applicable.
 |  |
| 1. **Customs compliance history.**
 |
| 1. If you trade in goods that are subject to economic trade licences e.g. textiles, agricultural goods, dual-use goods please describe briefly your procedures for administering the licences related to the import and/or export of such goods.
 |  |
| 1. Do you deal in goods subject to anti-dumping duties or countervailing duties? If, yes, please briefly provide further information.
 |  |
| 1. Do you perform Customs formalities in your own name and for your own behalf?
 | **** Yes**** No |
| 1. Are you being represented by someone regarding customs formalities (e.g. customs broker / agent)?
 | **** Sometimes**** Always**** Never |
| 1. If sometimes/always, how?
 | **** Directly**** Indirectly |
| 1. If sometimes/always, name the most significant companies
 |  |
| 1. Please describe your procedures for verifying the accuracy of Customs declarations, including those submitted on your behalf by, e.g., a Customs agent or a freight forwarder.
 |  |
| 1. Please provide information on the instructions and guidelines for the internal reporting and investigation of breaches in connection with customs-related procedures, and mechanisms for appropriate recording and reporting to Customs
 |  |
| 1. Please provide information on the procedures in place on the establishment of Customs value.
 |  |
| 1. What quality assurance measures do you take to ensure that the Customs value is correctly established (e.g. checks, plausibility checks, internal working instructions, regular training, and other means)?
 |  |
| 1. Regarding country of origin:
2. Give an overview of process followed to establish the preferential or non-preferential origin of the imported goods.
 |  |
| 1. What internal actions have you implemented to verify that the country of origin of the imported goods is declared correctly?
 |  |
| 1. Describe your approach in the issuing of proof of preferences and certificates of origin for exportation.
 |  |
| 1. How and by whom, is the tariff classification of goods decided?
 |  |
| 1. What quality assurance measures do you take to ensure that the Customs tariff is correctly established (e.g. checks, plausibility checks, internal working instructions, regular training, and other means)?
 |  |
| 1. Is documentation retained supporting the measures relating to the procedures referred to in questions 7(g) to (k)?
 | **** Yes**** No |
| 1. Do you regularly monitor the effectiveness of your quality assurance measures relating to the procedures referred to in questions 7(g) to (k)?
 | **** Yes**** No |
| 1. Do you have procedures in place regarding the quality assurance measures relating to the procedures referred to in questions 7(g) to (k)? If yes, please describe the procedures in place.
 | **** Yes **** No |
| 1. Demonstrated record of compliance over the last three (3) years, as applicable:
* BOC Validated External Audit on Customs Compliance
* Regular Post-Clearance Audit
 | **** Yes **** No**** Yes **** No |
| 1. Have any applications for Customs authorizations/certifications been refused, or existing authorizations been suspended or revoked because of breaches of Customs rules in the last three (3) years, as applicable?
 |  |
| 1. **Business process continuity mechanism**
 |
| 1. Describe briefly the crisis management, business continuity and security recovery plans in place.
 |  |
| 1. Describe briefly the training provided for employees in crisis management and any drill conducted for the contingency plan.
 |  |
| 1. **Financial Viability**
 |
| 1. Do you have a good financial standing which is sufficient to fulfil your customs related obligations with due regard to the characteristics of the type of your business activity?
 |  |
| 1. If applicable, please provide financial evaluation parameters (e.g., asset liability ratio, leverage ratio, asset turnover ratio), which you generally use to assess your financial situation
 |  |
| 1. Please provide profit and loss statements and balance sheet for the last three sets. If a new business, state N/A.
 |  |
| 1. Have insolvency proceedings been initiated in respect of your company in the last three years?
 | * Yes
* No

If Yes, please provide details |
| 1. If applicable, please provide information about your financial standing over the last three years such as a letter from your audited financial statements, a copy of your finalized accounts (if your accounts have not been audited) or bank or financial institution statements that demonstrate financial viability.
 |  |
| 1. If you are a newly established business provide all records and information in relation to your financial status e.g. latest cash flow, balance sheet and profit and loss forecasts approved by the directors/partners/sole proprietor.
 |  |
| 1. Please provide any information that you are aware of, which will impact the financial solvency of your business in the foreseeable future (for example, whether company has lost/will lose a major project or a major supplier/buyer).
 |  |
| **III. SECURITY CRITERIA** |
| 1. **Cargo handling and safekeeping.**
 |
| 1. Describe briefly the procedures in place to protect against the introduction of unauthorized material and persons?
 |  |
| 1. **Documentation Processing and Verification**.
2. Describe briefly the procedures in place to ensure that information in all documentation used in the movement and clearance of cargo, both electronic and manual, including those documents prepared by third parties such as Customs house brokers, are legible, complete and protected against the exchange, loss or intentional introduction of erroneous information and available for examination.
 |  |
| 1. Describe briefly the procedures in place in directing staff on what should be done if they encounter a suspicious document.
 |  |
| 1. **Receipt and Release of Cargo**.
2. Describe briefly the procedures in place to ensure that arriving and departing cargo is reconciled against relevant documents, for example, cargo manifest, packing list, bill of lading, purchase order and delivery order.
 |  |
| 1. Describe briefly the procedures in place to compare, where feasible, the cargo with delivery documents when receiving and releasing cargo and to inform the appointed security officer if a discrepancy is detected.
 |  |
| 1. Describe briefly the procedures in place to ensure that persons / drivers delivering or receiving cargo are positively identified before cargo is received or released and to provide supervision to cargo handling processes.
 |  |
| 1. **Procedural Documentation**:
2. Describe briefly the documented procedures in place for critical process handover points (e.g., document preparation processes, issue of seals, breaking of seals, physical count of cargo, conveyance inspection, cargo delivery, cargo receipt).
 |  |
| 1. Describe briefly the documented procedures in place pertaining to custody and responsibility over cargo when a party takes receipt of the cargo or when a service is provided.
 |  |
| 1. Describe briefly the documented procedures in place in monitoring on a continuous basis the movement of the cargo.
 |  |
| 1. Describe briefly the documented procedures in place for controlling the movement of cargo within the port or airport prior to exit or the movement prior to entry, where applicable.
 |  |
| 1. Describe briefly the documented procedures in place for monitoring the loading of cargo for export, as applicable.
 |  |
| 1. **Inspection of Cargo Conveyance**:
2. Describe briefly the documented procedures in place to verify the physical integrity of the cargo conveyance prior to stuffing, including the reliability of the locking mechanisms of the doors.
 |  |
| 1. Describe briefly the documented procedures in place for inspecting the structure of the transport conveyance including the reliability of the access controls
 |  |
| 1. When appropriate to the type of conveyance is a seven-point inspection process carried out for all dedicated transport conveyances prior to stuffing, including:

a) Front wall;b) Left side;c) Right side;d) Floor;e) Ceiling;f) Inside/outside doors; andg) Outside/undercarriage? |  |
| 1. **Container Seals**:
2. Do you use ISO 17712 compliant high security seals?
 |  |
| 1. Describe briefly the procedures in place on how seals are to be controlled[[1]](#footnote-1), affixed and checked to ensure only designated authorized person(s) distribute seals.
 |  |
| 1. Do you require haulers to have documented procedures for regular vehicle inspections after stops in journey; that drivers ensure the integrity of the load whilst other consignments are added or removed; and that drivers have been trained in prompt reporting of incidents?
 |  |
| 1. Describe briefly the procedures in place to periodically review compliance with these requirements.
 |  |
| 1. **Storage of Conveyances, Containers and Cargo**:
2. Describe briefly the procedures in place to prevent unauthorized access and/or tampering of conveyances, containers and cargo in your custody stored in a secure area.
 |  |
| 1. **Record keeping and IT System**
 |
| 1. **Accounting and logistical system**
2. Please describe the essential elements of your business processes that facilitate a full audit trail of your Customs activities or tax relevant movement of goods or accounting entries[[2]](#footnote-2).
 |  |
| 1. Describe briefly your procedures for back-up, recovery, fallback, archiving and retrieval of your business records
 |  |
| 1. How long are the data saved in the production system and how long are these data archived?
 |  |
| 1. **Information Technology**:
2. Describe briefly the procedures in place to maintain confidentiality and integrity of data and information systems used in the supply chain including protection against misuse and unauthorized alteration.
 |  |
| 1. Describe briefly the procedures in place to ensure proper transfer, storage and final disposal of data and information.
 |  |
| 1. **Documentation Security**:
2. Describe briefly what actions have been taken in order to protect (e.g. constricted access rights, creation of electronic backup) information/documents from unauthorized access, abuse, intended destruction and loss?
 |  |
| 1. Have there been any cases of unauthorized access to documents in the last year, and if so what measures have been taken to prevent this from happening again?
 |  |
| 1. Which categories of employees have access to detailed data about the flow of materials and goods?
 |  |
| 1. Which categories of employees are authorized to change detailed data about the flow of materials and goods? Are changes comprehensively documented?
 |  |
| 1. **Information Security Procedures:**
2. Describe briefly how access rights for the computer systems are issued and who is responsible for the running and protection of the computer system?
 |  |
| 1. Describe briefly the information security procedures and/or security related controls in place to protect information systems from unauthorized access?
 |  |
| 1. **Accountability**:
2. What computer system (hardware/software) do you use for your business in general, and for Customs matters in particular?
 |  |
| 1. Provide information on the following:
* separation of functions between development, testing and operation;
 |  |
| * separation of functions between users;
 |  |
| * access controls (which ones/to whom);
 |  |
| * traceability between business system and declaration system.
 |  |
| 1. At what locations are your Customs related computer activities undertaken?
 |  |
| 1. Have Customs related computer applications been outsourced? If yes, to which company were the applications outsourced and how do you manage access controls for the outsourced applications?
 |  |
| 1. Describe briefly the procedures/ systems in place to identify the detected abuse of IT including improper access, tampering or the unauthorized altering of business data?
 |  |
| 1. **Data Back-ups and Recovery Plans:**
2. Please describe where your main server is located and give details of how it is secured.
 |  |
| 1. Describe briefly the actions you have taken in order to protect your computer system from unauthorised intrusion (Firewall, antivirus programme, password protection, etc ...)?
 |  |
| 1. Describe briefly the procedures and back-up capabilities in place to protect against the loss of information?
 |  |
| 1. Does the company have a contingency plan for system disruption/failure?
 |  |
| 1. **Supply and trading partner**
 |
| 1. Please provide a list of regular business partners including the modes of transportation and modes.
 |  |
| 1. **Selection of Business Partners.** Describe briefly the procedures in place for the selection of and working with business partners taking into account elements that can identify and rectify security weaknesses?
 |  |
| 1. **Security Requirements for Business Partners.** As far as possible and in accordance with the business model, describe briefly the procedures in place for business partners to demonstrate they are meeting the company’s supply chain security requirements (e.g. through written or electronic confirmation; through contractual obligations; through a letter from a senior business partner officer attesting to their compliance; through a written statement demonstrating their compliance with Customs supply chain security programme(s); or by providing a completed supply chain security profile)?
 |  |
| 1. **Security Certification.** For business partners who have obtained certification in a supply chain security programme administered by the Customs administration of another country describe briefly the procedures in place to maintain documentary proof of the business partners’ certification?
 |  |
| 1. **Review of Business Partners’ Compliance to Security Requirements.** Describe briefly the procedures in place to review business partners’ compliance to security requirements?
 |  |
| 1. **Storage Facilities.** If you use storage facilities and they are not owned by you please indicate who you rent/lease the storage facilities from.
 |  |
| 1. **External Services**
2. Describe briefly the ‘external services’ under contract, such as security guards, cleaning companies, suppliers, maintenance companies, etc., which are based at your premises?
 |  |
| 1. Are there written agreements with the external service providers containing security requirements (i.e. restricted access controls etc.)?
 |  |
| 1. Describe briefly how compliance with the procedures included in these agreements is checked?
 |  |
| 1. **Physical premises and access control**
 |
| 1. **Perimeter Fencing**:
2. Describe the perimeter fencing and/or appropriate peripheral barriers in place to enclose the areas around cargo handling and storage facilities.
 |  |
| 1. Briefly describe the procedures in place for the following:
* segregation of high value and hazardous cargo
 |  |
| * to ensure that all fencing is regularly inspected for integrity, damage and repaired.
 |  |
| * for perimeters identifiable (signage) as controlled areas for authorized personnel only.
 |  |
| 1. **Gates and Gate Houses**:
2. Briefly describe the procedures in place:
* to control the movement of all vehicles and/or personnel entering or exiting the gates.
 |  |
| * to protect premises against unauthorised access by private vehicles
 |  |
| * that specify when and how searches of vehicles or personnel entering or exiting controlled areas of the premises are to be performed
 |  |
| 1. Are gates through which vehicles and/or personnel enter or exit manned, monitored or otherwise controlled?
 | **** Yes **** No |
| 1. **Parking**. Briefly describe the procedures in place to prohibit the parking of employees and visitors’ vehicles in close proximity to cargo handling and storage areas.
 |  |
| 1. **Building Structure**:
2. Is the building constructed of materials that resist unlawful entry and protected against external intrusion?
 |  |
| 1. Briefly describe the procedures in place to ensure that the integrity of the structures is maintained by periodic inspection and repair.
 |  |
| 1. **Locking Devices and Key Controls**:
2. Briefly describe the procedures in place to ensure that all external and internal windows, doors, fences and gates are secured with locking devices or alternative access monitoring or other control measures.
 |  |
| 1. Briefly describe the procedures in place for issuance and access to locks and keys
 |  |
| 1. Briefly describe the procedures in place for conducting periodic inventory of locks and keys.
 |  |
| 1. **Lighting**:
2. Describe briefly the procedures in place to ensure adequate lighting inside and outside company facilities including the following areas: entrances and exits, cargo handling and storage areas, fence lines and parking areas.
 |  |
| 1. Describe the processes in place to maintain equipment and retention of recordings.
 |  |
| 1. **Alarm Systems and Video Surveillance Cameras.** Are alarm systems and video surveillance cameras utilized to prevent potential intruders from attempting to gain entry, detect possible intrusion, expand the area of security surveillance and assist in post-incident investigations?
 |  |
| 1. **Security Personnel and Organization**:
2. If personnel is in charge of the security of the company please describe briefly the procedures in place?
 |  |
| 1. If an organization/unit is in charge of the security of the company please describe briefly the procedures in place.
 |  |
| 1. **Access Controls for Employees**:
2. Describe briefly company’s employee access controls to the premises/site at all times
 |  |
| 1. Is an employee identification system in place that provides positive identification for access control purposes and while working in restricted areas?
 |  |
| 1. Are employees only given access to those areas needed for the performance of their duties?
 |  |
| 1. **Access Controls for Visitors and Vendors / Contractors**:
2. Describe briefly the positive identification procedures and access controls to the premises/site at all times for visitors, vendors and contractors
 |  |
| 1. Are visitors, vendors and contractors, etc. registered and controlled?
 |  |
| 1. Are visitors, vendors and contractors, etc. required to present photo identification or proper vendor ID for positive identification and access control purposes?
 |  |
| 1. Are visitors, vendors and contractors, etc. required to visibly display identification passes?
 |  |
| 1. **Challenging and Removing Unauthorized Persons.** Describe briefly the procedures in place for employees to report and challenge any unauthorized or unidentified persons?
 |  |
| 1. **Personnel complement**
 |
| 1. **Pre-Employment Verification and Background Checks**:
2. Describe briefly the procedures in place to ensure the application information for both permanent and temporary personnel, such as employment history and references, verified prior to employment.
 |  |
| 1. Describe briefly the procedures in place to ensure background checks conducted on prospective permanent and temporary personnel as appropriate and to the extent allowed for by law
 |  |
| 1. **Periodic Background Checks / Reinvestigations for Current Personnel**:
2. Describe briefly the procedures in place for the provision of periodic checks to the extent allowed by law performed on current permanent employees
 |  |
| 1. Describe briefly the procedures in place as to whether the periodic checks are based upon the position and responsibilities of the personnel in the company.
 |  |
| 1. **Resignation and Termination of Personnel**:
2. Describe briefly the procedures in place to remove identification cards, as well as premises and information systems access for terminated and resigned permanent and temporary personnel.
 |  |
| 1. Describe briefly the procedures in place to control the employee's ability to compromise security standards, if company policy, national law, employment contract or union agreement allows for a period of continued employment between termination/resignation notice and last work day
 |  |
| 1. **Temporary personnel security standards**:
2. Describe briefly the procedures in place to ensure temporary employees are checked regularly according to security standards.
 |  |
| 1. Please specify how and by whom the temporary employees are checked.
 |  |
| 1. Please specify the areas where these employees are used.
 |  |
| 1. Please specify the security instructions for these employees
 |  |
| 1. **Security training, threat awareness, and outreach**
 |
| 1. **Education, Training and Awareness**
2. Describe briefly the procedures in place to educate your personnel with regard to the risks associated with movements of goods in the international trade supply chain
 |  |
| 1. Describe briefly what educational material, expert guidance and appropriate training on the identification of potentially suspect cargo is provided to all relevant personnel involved in the supply chain.
 |  |
| 1. Describe briefly what procedures are in place for employees to identify and report suspicious incidents.
 |  |
| 1. Describe briefly any specific training conducted to assist employees in maintaining cargo integrity, recognizing potential internal threats to security and protecting access controls.
 |  |
| 1. **Crisis Management and Incident Recovery.**
2. Describe briefly the procedures in place identifying such threats as terrorism, contraband/Human Smuggling, Organized Crime or other Conditions which may increase the probability of a security breach
 |  |
| 1. Describe briefly the procedures in place to report and respond an incident or risk situation and identify root causes so that actions can be taken to protect against recurrences.
 |  |
| 1. **Conveyance Security**
 |
| 1. Describe briefly the procedures in place to protect, to the extent and scope of your authority and responsibility, conveyances (e.g. trucks, prime movers, trailers) against the introduction of unauthorized personnel and material
 |  |
| 1. Describe briefly the procedures in place to consider potential places of concealment on conveyances and ensure that these are regularly inspected.
 |  |
| 1. Describe briefly the procedures in place to train drivers on subjects such as:
2. Inspection of conveyance;
3. Confidentiality of load, route and destination;
4. Policy on keys, parking area, refuelling and unscheduled stops;
5. Reporting for accident or emergency;
6. Reporting of any irregularity in loading, locking and sealing; and
7. Testing of security alarms and tracking devices, if any.
 |  |
| **IV. DECLARATION** |
| I hereby declare under the penalty of perjury and falsification of public documents under RA 3815 otherwise known as Revised Penal Code of the Philippines and RA 8792 otherwise known as the E-Commerce Act of 2000 that all the information contained in this application are true and correct to the best of my knowledge. |
| 1. Name
 |
| 1. Signature
 | 1. Date
 |
| **FOR OFFICIAL USE ONLY** |
| Date received: |
| Date(s) additional information requested: |
|  Accepted |  Rejected |
| Reasons for rejection: |
| Name and position of examining officer: |
| Signature of examining officer: |

Republic of the Philippines )

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ )s.s.

**SUBSCRIBED AND SWORN** to before me this \_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_. 20\_\_ in \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, affiant exhibited to me his Community Tax Certificate No. \_\_\_\_\_\_\_\_\_\_ issued at \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ on \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

|  |
| --- |
|  |
| **Notary Public** |

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Series of : \_\_\_\_\_\_\_\_\_\_\_

1. Controlled might mean received, securely stored, assessed, used and accounted for. [↑](#footnote-ref-1)
2. The accounting system would normally include:

• general ledger

• sales ledger

• purchase ledger

• assets

• financial statements (balance sheet, income statement, statement of cash flows and statement

of stockholders equity)

• management accounts

The logistical system would normally include:

• sales order processing

• purchase order processing

• manufacture

• inventory – storage, warehousing

• shipping/transport

• supplier/customer lists

The audit trail would normally include:

• sales

• purchases and purchase orders

• inventory control

• storage (and movements between storage locations)

• manufacture

• sales and sales orders

• customs declarations and documentation

• shipping

• transportation accounting e.g. invoicing, credit and debit notes, remittances/payments [↑](#footnote-ref-2)