

Authorised Economic Operator (AEO) Self-Assessment Questionnaire

This self-assessment questionnaire is designed to help you ensure that you are confident your business can meet the relevant qualifying conditions and criteria before you submit an application for an AEO certificate. This is a Community-wide questionnaire and is used in all 27 Member States. Notes for completion of this questionnaire are available at [EU notes](#)

You should not submit an application for AEO status until all of your relevant procedures are documented and available for inspection. In this regard you should create a tabulated folder of your procedures cross-referencing it with the relevant questions in this self-assessment questionnaire. It may be the case that some of your responses will simply be cross-references to sections in your procedures.

As well as studying the accompanying explanatory notes in advance of completing this self-assessment questionnaire we also recommend that you familiarise yourself with the EU AEO Guidelines at [EU Guidelines](#). Please note, the references (in italics) under headings in Sections 1 to 5 in the questionnaire, are taken directly from the EU Guidelines.

When you have completed this self-assessment questionnaire and compiled your documentation you should submit the application form to the AEO section in Customs Division in Nenagh. The application form is at [Application form](#). Please note the 11 annexes that must accompany your application. The self-assessment questionnaire and documentation should also be submitted at this stage. Your local Revenue official will visit your premises to verify the information in your questionnaire and to conduct a physical inspection.

If you have any questions or queries on the process or on this questionnaire you can contact your local Revenue official or contact the central AEO Section in Nenagh – contact details below.

Summary of Application Procedure

1. Familiarise yourself with the EU AEO Guidelines.
2. Complete the AEO self-assessment questionnaire, create a tabulated folder of your relevant document procedures and retain it in your premises.
3. Complete the application form, compile the accompanying annexes and submit to the AEO section in Nenagh along with the self-assessment questionnaire.
4. Following acceptance of your application you will be contacted by your local Revenue official who will request your documented procedures.
5. Your local Revenue official will visit you to review your procedures and conduct a physical examination of your premises.

Applicants should note that an application will automatically be rejected before examination of any other criteria if:

- the applicant has been convicted of a serious criminal offence linked to the economic activity of the applicant or is subject to bankruptcy proceedings;
- if the applicant has a legal representative in customs matters who has been convicted of a serious criminal offence related to an infringement of customs rules and linked to his activity as legal representative
- if the application is submitted within three years of the revocation of an AEO certificate.

The conditions and criteria for AEO authorisation will apply to all businesses regardless of their size. However, the means to achieve compliance may vary and be in direct relation to the size and complexity of the business and the type of goods handled.

The four main blocks of qualifying criteria are as follows:

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|---|------------------|
| Customs Compliance | Section 2 |
| Accounting and Logistical System | Section 3 |
| Financial Solvency | Section 4 |
| Safety and Security | Section 5 |

There are three types of AEO certificates and these are outlined in section 1 of the EU guidelines. While applicants are free to choose whichever type of certificate best suits their business, Revenue is recommending that if you can meet the qualifying criteria you should apply for the full AEO Simplifications/Security and Safety Certificate. This type of certificate entitles the holder to all of the benefits of being an AEO and will have a wider international standing.

Any person who is aggrieved by a written decision by the Revenue Commissioners or a Revenue official in relation to a customs matter covered by EU customs legislation may appeal such decision ([Revenue Public Notice C&E 5](#) refers).

Contact Details

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Customs Division
Revenue
Nenagh
Co. Tipperary

AEO SELF-ASSESSMENT (IE)

AEO Guidelines

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| 0.1 | Please note, it is recommended that you read the European Commission's Authorised Economic Operator Guidelines, TAXUD/2006/1450 before applying for AEO status (you can access this via the European Commission's Europa website). |
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| 0.2 | Which departments have you involved in the process to prepare your company for the AEO application, including management? |
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Response:

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| 1. | <i>Company information</i> |
| 1.1. | General company information |

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| 1.1.1 | Please state the name, address, date of the establishment and legal form of the organisation of the applying company. Please include the URL of your company's website if applicable. If your company is part of a group, please indicate if any other entities in the group: a) Already have an AEO certificate; or b) Have applied for AEO status and are currently undergoing an AEO audit by a national customs authority. |
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Response:

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| 1.1.2 | Please give the following details (if they apply to the legal form of your company): a) Full details of the main shareholders including percentage shareholding held b) Full details of the board members and/or managers c) Full details of advisory board if any and board of directors. Details should include full name and address, date of birth and National Identification Number (e.g. national ID Card number or National Insurance Number). |
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Response:

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| 1.1.3 | Please indicate the name of the person responsible for customs matters in the applicant's administration. Details should include full name and address, date of birth and National Identification Number (e.g. national ID Card number or National Insurance Number) |
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Response:

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| 1.1.4 | Please describe briefly your commercial activity and state your position in the international supply chain (for example: producer, exporter, forwarder, customs warehouse keeper, customs agent, carrier, importer). If you have more than one position include all. |
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Response:

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| 1.1.5 | Please specify the locations, list the names, addresses, telephone numbers, email addresses of contact points and give a brief description of the actions conducted in the following: (including other MS and third countries): a) The individual locations of your company as a legal entity (please indicate approximate number of employees in each department) and b) The locations where a third party executes outsourced activities for your company |
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Response:

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| 1.1.6 | Do you buy from/sell to businesses with which you are associated? Yes/No |
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Response:

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| 1.1.7 | Describe the internal organisational structure of your company and the tasks/ responsibilities of each department. |
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Response:

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| 1.1.8 | Please give the names of senior management:(Directors, heads of departments, head of accounting, head of customs department and so on) of the company and briefly describe the stand-in rules. |
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Response:

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| 1.1.9 | How many employees do you have in your business? |
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Response:

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| 1.1.10 | a) Please give the names and the position of persons within your company who have specific customs expertise. b) Please detail briefly the level of knowledge of these persons in regards of the use of IT technology in customs and commercial processes and general commercial matters. |
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Response:

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| 1.1.11 | I hereby consent to the publication of the information in the AEO certificate in the list of authorised economic operators referred to in Article 14x (4) of Customs Code Implementing Provisions (CCIP). Yes/No If yes: Signature..... Capacity of Signatory..... (The completed questionnaire should be signed by a Director/Managing Partner/Sole Proprietor as appropriate) Date:..... |
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| 1.1.12 | <p>I hereby consent to the exchange of the information in the AEO authorization in order to ensure the implementation of international agreements with third countries on mutual recognition of the status of authorized economic operators and measures related to security: Yes/No</p> <p>If yes Signature..... Capacity of Signatory.....</p> <p>(The completed questionnaire should be signed by a Director/Managing Partner/Sole Proprietor as appropriate but for this case it is recommended that consent be given by an authorised signatory)</p> <p>Date:.....</p> |
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| 1.1.13 | <p>In case you have provided your consent for mutual recognition in box 1.1.12 please provide also the following information:</p> <p>Transliterated name:..... Transliterated street and number:..... Transliterated postal code and city:.....</p> <p>Only Latin characters should be used as codified in http://www.unicode.org/charts/PDF/U0000.pdf</p> |
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| 1.2. | <p><i>Volume of business</i> (Guidelines Part 2, Section I, Subsection 2 – I.2.1.1)</p> |
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| 1.2.1 | <p>a) Give the annual turnover figure for the last three sets of completed annual accounts. If a new business, state N/A. b) Provide the annual net profit or loss figure for the last three sets of completed annual accounts. If a new business, state N/A.</p> |
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Response:

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| 1.2.2 | <p>If you use storage facilities and they are not owned by you please indicate who you rent/lease the storage facilities from.</p> |
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Response:

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| 1.2.3 | <p>For each of the following give an estimate of the number and value of the declarations you</p> |
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| | <p>have made in each of the last three years. If a new business, state N/A.</p> <ul style="list-style-type: none"> • Import • Export/Re-export • Transit |
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Response:

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| 1.2.4 | <p>For each of the following give an estimate of the total amount you have paid in each of the last three years. If a new business, state N/A</p> <ul style="list-style-type: none"> • Customs duty • Excise duty • Import VAT |
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Response:

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| 1.2.5 | <p>a) Do you foresee any structural changes in your company in the next 2 years? Yes/no. If yes, please briefly describe the changes.</p> <p>b) Do you foresee any major changes in your supply chain for your company in the next 2 years? Yes/No. If yes, please describe briefly the changes.</p> |
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Response:

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| 1.3 | <p>Information and Statistics on customs matters</p> <p><i>(Guidelines Part 2, Section I, Subsection 2 – I.2.1.2)</i></p> |
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| 1.3.1 | <p>Please answer the following questions:</p> <p>a) Do you perform customs formalities in your own name and for your own account?</p> <p>b) Are you being represented by someone regarding customs formalities, if yes by whom and how (directly or indirectly)? Please include the name, address and EORI number of the representative.</p> <p>c) Do you represent other persons in customs formalities? If yes, who and how (directly or indirectly)? Name the most significant companies.</p> |
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Response:

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| 1.3.2 | <p>a) How, and by whom, is the tariff classification of goods decided?</p> <p>b) What quality assurance measures do you take to ensure that tariff classifications are correct (e.g. checks, plausibility checks, internal working instructions, regular training)?</p> <p>c) Do you keep notes on these quality assurance measures?</p> <p>d) Do you regularly monitor the effectiveness of your quality assurance measures?</p> <p>e) What resources do you use for tariff classification (e.g. database of standing data on goods)?</p> |
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Response:

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| 1.3.3 | <p>a) How and by whom is the customs value established?</p> <p>b) 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, other means)?</p> <p>c) Do you regularly monitor the effectiveness of your quality assurance measures?</p> <p>d) Do you keep notes on these quality assurance measures?</p> |
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Response:

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| 1.3.4. | <p>a) Give an overview of the preferential or non-preferential origin of the imported goods.</p> <p>b) What internal actions have you implemented to verify that the country of origin of the imported goods is declared correctly?</p> <p>c) Describe your approach in the issuing of proof of preferences and certificates of origin for exportation.</p> |
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Response:

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| 1.3.5. | <p>Do you deal in goods subject to anti-dumping duties or countervailing duties? Yes/No.</p> <p>If yes, provide details of the manufacturer(s) or countries outside the EU whose goods are subject to the above duties.</p> |
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Response:

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| 2. | <p>Compliance record <i>(Article 5a Customs Code (CC); Article 14h CCIP, Annex 1 of the explanatory notes (Annex 1C CCIP); Guidelines Part 2, Section II – I.2.2)</i></p> |
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| 2.1 | <p>a) Have breaches of customs rules been detected within your company or by the customs authorities in the last three years? If a new business, state N/A. If so, briefly describe the breaches.</p> <p>b) How you have notified breaches to the relevant governmental authorities and what quality assurance measures were introduced to avoid such breaches in future? Do you keep notes on these quality assurance measures?</p> |
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Response:

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| 2.2 | <p>Have any applications for authorisations/certifications been refused, or existing authorisations been suspended or revoked because of breaches of customs rules in the last three years? Yes/No. If a new business, state N/A If yes, how many and what were the reasons?</p> |
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Response:

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| 3. | <p>Accounting and logistical system <i>(Article 5a CC, Article 14i CCIP; Guidelines Part 2, Section III – I.2.3)</i></p> |
| 3.1 | <p>Audit trail <i>(Guidelines Part 2, Section III, Subsection 1 – I.2.3.1)</i></p> |

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| 3.1.1 | <p>Does your accounting system facilitate a full audit trail of your customs activities or tax relevant movement of goods or accounting entries? If yes, please describe the essential features of this audit trail.</p> |
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Response:

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| 3.2 | <p>Accounting system <i>(Guidelines Part 2, Section III Subsection 2 – I.2.3.2)</i></p> |
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| 3.2.1 | <p>What computer system (hardware/software) do you use for your business in general, and for customs matters in particular? Provide information on the following:</p> <ul style="list-style-type: none"> - 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. |
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Response:

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| 3.2.2 | <p>Are your accounting systems capable of distinguishing between Community and non-Community goods? Yes/No.</p> <p>If yes, give details.</p> |
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Response:

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| 3.2.3 | <p>a) At what location are your computer activities undertaken? b) Have computer applications been outsourced? If yes, to which company were the applications outsourced and how do you manage access controls for the outsourced applications?</p> |
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Response:

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| 3.3 | Internal control system <i>(Guidelines Part 2, Section III, Subsection 3 – I.2.3.3)</i> |
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| 3.3.1 | <p>Do you have in house guidelines for the internal control system in the accounts department, buying department, sales department, customs department, production, material and merchandise management and logistics? Yes/No.</p> <p>If yes, please describe them briefly and how they are updated. For example, actions like job instructions, employee training, instructions for checking faults and mechanism for proof-reading.</p> |
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Response:

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| 3.3.2 | <p>Have your internal control processes been subject to any internal/external audit? Yes/No. Does this include audit of your customs routines? Yes/No.</p> <p>If yes, please provide a copy of your most recent audit report.</p> |
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Response:

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| 3.3.3 | <p>Describe in brief your procedures for checking your computer files (standing data or master files). How do these procedures cover the following risks from your perspective:</p> <ul style="list-style-type: none"> a) Incorrect and/or incomplete recording of transactions in the accounting system. b) Use of incorrect permanent or out-of-date data such as number of articles and tariff codes. c) Inadequate control of the company processes within the applicant's business. |
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Response:

3.4 **Flow of goods**
(Guidelines Part 2 Section III, Subsection 4 – I.2.3.4)

3.4.1 Describe briefly the registration procedure (physically and in the records) for the flow of materials starting with the arrival of the materials, the storage up to manufacture and shipment. Who keeps records and where are they kept?

Response:

3.4.2 Briefly describe the procedures in place for checking stock levels, including the frequency of those checks and how are discrepancies handled (e.g. stocktaking and inventory).

Response:

3.5 **Customs routines**
(Guidelines Part 2 Section III, Subsection 5 – I.2.3.5)

3.5.1 Do you have documented procedures for verifying the accuracy of customs declarations, including those submitted on your behalf by, e.g., a customs agent or a freight forwarder? Yes/No.
If yes, please describe briefly the procedures.
If no, do you verify the accuracy of customs declaration? Yes/No. If yes, in what way?

Response:

3.5.2 **a) Does your company have instructions or guidelines on the notification of irregularities to the competent authorities (e.g. suspicion of theft, burglary or smuggling in connection with customs-related goods)?**
Are these instructions documented (e.g. work instructions, manuals, other guidance documents)?
b) Over the last year, have you detected any irregularities (or presumed irregularities) and notified them to the competent authorities? Yes /No

Response:

3.5.3 Do you trade in goods that are subject to economic trade licences e.g. textiles, agricultural goods? Yes/No.
If yes, please describe briefly your procedures for administering the licences related to the import and/or export of such goods.

Response:

3.6 Procedures for back-up, recovery and fallback and archiving
(Guidelines Part 2 Section III, Subsection 6 – I.2.3.6)

3.6.1 Describe briefly your procedures for back-up, recovery, fallback, archiving and retrieval of your business records

Response:

3.6.2 How long is the data saved in the production system and how long is this data archived?

Response:

3.6.3 Does the company have a contingency plan for system disruption/failure? Yes/No.

Response:

3.7 Protection of computer systems
(Guidelines Part 2 Section III, Subsection 7 – I.2.3.7)

3.7.1 a) Describe briefly the actions you have taken in order to protect your computer system from unauthorised intrusion (Firewall, antivirus programme, password protection).
b) Has any intrusion testing been carried out, what were the results and were any corrective measures taken?

Response:

3.7.2 a) Describe briefly how access rights for the computer systems are issued.
b) Who is responsible for the running and protection of the computer system?

Response:

3.7.3 a) Where is your main server located?
b) Give details of how your main server is secured.

Response:

3.8 Documentation security
(Guidelines Part 2 Section III, Subsection 8 – I.2.3.8)

3.8.1 Describe briefly what actions have been taken in order to protect (e.g. constricted access rights, creation of electronic backup) information/documents from unauthorised access, abuse, intended destruction and loss.

Response:

3.8.2 Have there been any cases of unauthorised access to documents in the last year, and if so, what measures have been taken to prevent this from happening again?

Response:

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| 3.8.3 | Please briefly answer the following questions: a) Which categories of employees have access to detailed data about the flow of materials and goods? b) Which categories of employees are authorised to change this data? Are changes comprehensively documented? |
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Response:

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| 3.8.4 | Describe briefly what requirements regarding security & safety you require from your trade partners and other contact persons in order to avoid abuse of information (e.g. endangering of the supply chain through unauthorised transfer of shipping details). |
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Response:

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| 4. | Financial solvency <i>(Article 5a CC, Article 14j CCIP, Guidelines Part 2 Section IV – I.2.4)</i> |
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| 4.1 | Have any insolvency proceedings been initiated in respect of your company's assets in the last three years? Yes/No. If yes, please provide details. |
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Response:

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| 4.2 | Has your company a consistently good financial standing within the meaning of Article 14j of the CCIPs, sufficient to meet its financial commitments, over the last 3 years? If yes, please provide evidence such as a letter from your auditors or an audited report, a copy of your finalised accounts (if your accounts have not been audited), evidence from your bank or financial institution. If no, please supply full details. |
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Response:

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| 4.3 | 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. |
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Response:

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| 4.4 | Is there anything you are aware of that could impact on your financial solvency in the foreseeable future? Yes/No. If yes, give details. |
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Response:

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| 5. | Safety and security requirements <i>(Article 5a CC, Article 14k CCIP, Guidelines Part 2 Section V – I.2.5)</i> |
| 5.1 | Self assessment <i>(Guidelines Part 2 Section V, Subsection 1 – I.2.5.1)</i> |

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| 5.1.1 | a) Have you carried out a risk and threat assessment for your business? Yes/No. b) Is there a security plan in place for each site (where appropriate)? Yes/No. How often are those documents reviewed and updated? |
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Response:

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| 5.1.2 | Describe briefly what security risks (within the company or in your business dealings with customers, suppliers and external service providers) you have identified in relation to the AEO security criteria. |
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Response:

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| 5.1.3 | How are security measures implemented and coordinated in your company and who is responsible for them? |
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Response:

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| 5.1.4 | If you have several premises in your company, is the implementation of the security measures harmonised in all of these locations? Yes/No. |
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Response:

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| 5.1.5 | a) Do you have any security instructions? How are they communicated to your staff and people visiting your company premises? b) How are they documented (manual, work guidelines, information sheet, etc.)? |
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Response:

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| 5.1.6 | a) Have you had any security incidents over the last year? Yes/No. If yes, please give a brief description of the incidents and what measures you have introduced to prevent them from re-occurring. b) Do you keep records of security incidents and the measures taken? Yes/No. |
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Response:

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| 5.1.7 | a) Have you already been certified by another public agency or authority for (transport) security purposes? Yes/No. If yes, please provide a copy of the certificate and give details of the premises/locations, which are covered by the certificate. b) Provide a list of any independently accredited standards/licences/authorisations to which you adhere and specify what control/audits these standards are subject to. |
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Response:

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| 5.1.8 | Are there particular security and safety requirements for the goods you are importing/exporting? |
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Response:

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| 5.1.9 | a) Do you use the services of a security company? If so, which company do you use? b) Has this company made a threat assessment of your company? If so, describe briefly what security risks they have identified in relation to the AEO security criteria. |
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Response:

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| 5.1.10 | Do your customers or insurance company impose any safety and security requirements on you? Yes/No If yes, provide details. |
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Response:

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| 5.2 | Access to premises <i>(Guidelines Part 2 Section V, Subsection 2 – I.2.5.2)</i> |
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| 5.2.1 | a) Describe briefly how the process of access to your premises (buildings, production areas, warehouses etc.) is regulated for staff, visitors, other persons, vehicles and goods. b) Who checks that the prescribed procedures are complied with? |
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Response:

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| 5.2.2 | a) Describe the procedures that are to be followed if an unauthorised person/vehicle is discovered on company premises (grounds or buildings). b) How are these procedures communicated to the staff (e.g. action plan, manual, working guidelines, training)? |
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Response:

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| 5.2.3 | Present a site plan for each location of your company that are involved in customs related activities (e.g. layout plan, draft) from which the frontiers, access routes and the location of the buildings can be identified, if available. |
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Response:

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| 5.2.4 | Name, if appropriate, the companies (e.g. outside companies, outsourced company parts) that are also located at the premises of each location. |
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Response:

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| 5.3 | Physical security <i>(Guidelines Part 2 Section V, Subsection 3 – I.2.5.3)</i> |
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| 5.3.1 | a) Give a brief description of how the external boundary of your company's premises is secured. How is compliance with these procedures checked? b) How, by whom and at what intervals are checks carried out on the fences and buildings? How are these checks and their results recorded? c) How are security incidents reported and dealt with? |
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Response:

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| 5.3.2 | Please answer the following questions: a) What access possibilities exist? b) How are these observed? Are there limitations in the opening hours of each access? |
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Response:

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| 5.3.3 | Are the premises adequately illuminated (e.g. continuous light, movement sensors, twilight switch)? |
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Response:

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| 5.3.4 | How is the administration of keys handled in your company (e.g. location, access, logging)? Does written documentation exist for this? Yes/No. |
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Response:

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| 5.3.5 | Please answer the following questions: a) Is the parking of private vehicles permitted on the premises? b) If yes, for which persons? c) Who gives the approval? d) Are the vehicles checked (at the entrance to the premises or at the car park entrance)? Do written regulations exist? Yes/No. |
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Response:

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| 5.4 | Cargo units (as containers, swap bodies, transport boxes) <i>(Guidelines Part 2 Section V, Subsection 4 – I.2.5.4)</i> |
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| 5.4.1 | Is access to cargo units subject to rules/restrictions? Yes/No. If yes, how are such restrictions enforced? |
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Response:

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| 5.4.2 | Describe briefly what measures are in place to prevent unauthorised access to and tampering with cargo units (particularly in open storage areas) e.g. constant supervision, training staff and making them aware of risks, seals, instructions on procedures to follow in the case of unauthorised entry. |
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Response:

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| 5.4.3 | a) Do you use seals to prevent unauthorised tampering with goods? If you do, what kind? Do these seals satisfy any specific standards (e.g. ISO)? b) How do you ensure that goods are not tampered with if seals are not used? |
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Response:

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| 5.4.4 | What control measures do you use for checking cargo units (e.g. seven-point inspection process: front wall, left side, right side, floor, covering/roof, inside/outside of doors, outside/undercarriage)? |
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Response:

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| 5.4.5 | Please answer the following questions: a) Who is the owner/operator of the cargo units? b) Who maintains/repairs the cargo units? c) Are there regular maintenance plans? Are external maintenance works checked? |
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Response:

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| 5.5 | Logistical processes <i>(Guidelines Part 2 Section V, Subsection 5 – I.2.5.5)</i> |
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|--------------|--|
| 5.5.1 | a) Which means of transport are normally used by your company? b) Does your company carry out all its own transport, or does it also use external service providers (e.g. freight forwarders/carriers)? c) How do you establish whether the freight forwarder/carrier meets the required security standards (e.g. by means of a security certificate, declarations or agreements)? d) Do you take other measures for outsourced transport activities with a view to meeting security standards (see Part 1, Section IV, point IV.2 of the AEO Guidelines)? If appropriate, please outline the nature and scope of your measures in this respect. |
|--------------|--|

Response:

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| 5.6 | Non-fiscal requirements <i>(Guidelines Part 2 Section V, Subsection 6 – I.2.5.6)</i> |
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|--------------|--|
| 5.6.1 | a) Do you deal with dual-use goods and/or goods for which import licenses are required or goods that are subjected to export restrictions or embargoes or other non-fiscal requirements? If yes, describe briefly what procedures you use to ensure compliance with the relevant provisions regarding these goods (e.g. management of licences, authorisations, special responsibilities, specially trained staff, etc.)? b) Are there special working instructions, manuals, or other guidelines in your company regarding such goods? Yes/No. |
|--------------|--|

Response:

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| 5.7 | Incoming goods <i>(Guidelines Part 2 Section V, Subsection 7 – I.2.5.7)</i> |
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|--------------|---|
| 5.7.1 | a) Describe briefly the procedure for ensuring the security and safety of incoming goods. b) Describe briefly how the compliance with these procedures is checked. |
|--------------|---|

Response:

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|--------------|--|
| 5.7.2 | Are your employees informed about security arrangements with suppliers, and how is compliance ensured? |
|--------------|--|

Response:

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|--------------|---|
| 5.7.3 | a) Describe briefly how checks on the integrity of the seals on incoming goods are conducted? b) Are incoming goods sealed if appropriate? Yes/No. If yes, what routines/measures are in place? |
|--------------|---|

Response:

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|-------|---|
| 5.7.4 | Are the incoming goods uniformly marked or stored in separate areas? Yes/No If yes, how are they marked/where are they stored? |
|-------|---|

Response:

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|-------|--|
| 5.7.5 | Describe briefly the process for counting and weighing incoming goods. |
|-------|--|

Response:

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|-------|---|
| 5.7.6 | Describe briefly how, when and by whom incoming goods are checked against the accompanying documents and entered in your records. |
|-------|---|

Response:

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|-------|--|
| 5.7.7 | a) Are the sections responsible for the purchase of goods, the receipt of goods and general administration clearly separated? Yes/No. b) Do integrated internal control mechanisms exist between the sections? Yes/No. If yes, how are they executed? |
|-------|--|

Response:

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|------------|---|
| 5.8 | Storage of goods <i>(Guidelines Part 2 Section V, Subsection 8 – I.2.5.8)</i> |
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|-------|---|
| 5.8.1 | Please describe at which locations you have set aside areas for the storage of goods. |
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Response:

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|-------|---|
| 5.8.2 | a) Please describe briefly the routine for allocating a storage position for incoming goods. b) Do you have outdoor storage locations? Yes/No. If yes, please describe them briefly. |
|-------|---|

Response:

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|-------|--|
| 5.8.3 | Do you have documented procedures for stock-taking and dealing with irregularities detected during stock-taking? Yes/No If yes, please describe your arrangements in brief. |
|-------|--|

Response:

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|-------|---|
| 5.8.4 | Are goods of different risk levels stored separately? Yes/No. a) Please describe the criteria for any separate storage (e.g. hazardous goods, high-value goods, chemicals, weapons). b) Please describe how you ensure that the goods are immediately recorded in the logistical accounts/stock records |
|-------|---|

Response:

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|-------|--|
| 5.8.5 | a) Describe briefly how goods are protected against unauthorised access to the warehousing premises. b) Describe briefly how compliance with these procedures is checked. |
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Response:

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|-------|---|
| 5.8.6 | If storage of goods is outsourced to a third party/service provider, please describe briefly how and where the goods are stored and your control measures you use to supervise the handling of goods. |
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Response:

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|------------|--|
| 5.9 | Production of goods <i>(Guidelines Part 2 Section V, Subsection 9 – I.2.5.9)</i> |
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|-------|---|
| 5.9.1 | a) Describe briefly what locations/areas are designated for the production of goods. b) If production is carried out by an external partner (e.g. job processing, drop shipments), describe briefly how the integrity of the goods is ensured (e.g. contractual agreements). |
|-------|---|

Response:

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|-------|---|
| 5.9.2 | Are there any security measures protecting goods against unauthorised access to the production zone? Yes/No. If yes, describe briefly what these measures are and whether they exist in written form. Describe briefly how compliance with these procedures is checked. |
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Response:

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|-------|--|
| 5.9.3 | Describe briefly the procedures for packing products and whether they exist in written form. |
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Response:

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| 5.9.4 | If final product packaging is outsourced to a third party, describe briefly how the integrity of the goods is guaranteed. |
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Response:

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|-------------|---|
| 5.10 | Loading of goods <i>(Guidelines Part 2 Section V, Subsection 10 – I.2.5.10)</i> |
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|--------|--|
| 5.10.1 | a) Describe briefly how loading of goods is managed in your company (e.g. allocation of responsibilities, checks on goods, means of transport, recording of results, provision of information, etc.). b) Are there any written instructions on how the process should be organised? Yes/No. |
|--------|--|

Response

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|--------|---|
| 5.10.2 | a) Are outgoing goods or vehicles sealed? Yes/No. If yes, how, by whom and what sort of seals do you use? b) Are any seal numbers mentioned in the documents accompanying the goods? Yes/No c) How do you keep a record of your seals? |
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Response:

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|--------|--|
| 5.10.3 | Describe briefly how compliance with customers' security requirements for loading is guaranteed. |
|--------|--|

Response:

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|--------|---|
| 5.10.4 | Describe briefly the arrangements that are in place, which ensures that goods to be loaded and the loading process are not left unsupervised. |
|--------|---|

Response:

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|--------|--|
| 5.10.5 | Are the outgoing goods checked for completeness (e.g. counted, weighed)? Yes/No. If yes, how and by whom? |
|--------|--|

Response:

| | |
|--------|--|
| 5.10.6 | Describe briefly how, when and by whom departing goods are checked against orders and loading lists and recorded out of the stock records. |
|--------|--|

Response:

| | |
|--------|--|
| 5.10.7 | Describe briefly what control mechanisms you have in place for detecting irregularities concerning the loading of goods. |
|--------|--|

Response:

5.11 Security requirements for business partners (Guidelines Part 2 Section V, Subsection 11 – I.2.5.11)

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|--------|---|
| 5.11.1 | a) Describe briefly what security and safety requirements you apply when choosing business partners (e.g. security declarations, contractual requirements, trade partners with own AEO status). b) Describe briefly how compliance with these procedures is checked. |
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Response:

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|--------|---|
| 5.11.2 | Describe briefly how your company verifies the identity of trade partners in order to secure the supply chain (information search before accepting orders or placing orders). |
|--------|---|

Response:

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|--------|--|
| 5.11.3 | Over the last year, have you detected any breaches of the security agreements you have with partners? Yes/No. If yes, what measures have you taken? |
|--------|--|

Response:

5.12 Personnel security (Guidelines Part 2 Section V, Subsection 12 – I.2.5.12)

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|---------------|---|
| 5.12.1 | <p>a) Describe briefly how your employment policy deals with security and safety requirements. Who is responsible for this area?</p> <p>b) Are the security procedures recorded in writing? Yes/No.</p> <p>c) Describe briefly how compliance with these procedures is checked.</p> |
|---------------|---|

Response:

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|---------------|---|
| 5.12.2 | <p>To what extent are the following types of employees subjected to security checks (e.g. police checks to confirm that he/she has no criminal record):</p> <p>a) New employees who will be working in security-sensitive fields.</p> <p>b) Existing employees who are to be transferred into security-sensitive fields.</p> <p>How is it ensured that when staff leave, they no longer have any physical or electronic access to company premises or data?</p> |
|---------------|---|

Response:

| | |
|---------------|---|
| 5.12.3 | <p>Is security and safety training provided for employees? Yes/No. If yes:</p> <p>a) What is the frequency of security and safety training?</p> <p>b) Do you have yearly refresher training? Yes/No.</p> <p>c) Is this training internal or provided by an external supplier?</p> <p>d) Are there written records on this training? Yes/No.</p> |
|---------------|---|

Response:

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|---------------|--|
| 5.12.4 | <p>Please answer the following questions:</p> <p>a) Specify the areas where temporary employees are used.</p> <p>b) Are these employees checked regularly according to security standards? If yes, how and by whom?</p> <p>Are there also security instructions for these employees?</p> |
|---------------|--|

Response:

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|-------------|--|
| 5.13 | External Services <i>(Guidelines Part 2 Section V, Subsection 13 – I.2.5.13)</i> |
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|---------------|--|
| 5.13.1 | <p>Do you use any “external services” under contract, such as transportation, security guards, cleaning, supplies, maintenance etc.? Yes/No. If yes:</p> <p>a) Describe briefly what services they provide, and to what extent (for the ones that have not been described in the previous sections).</p> <p>b) Are there written agreements with the external service providers containing security requirements? Yes/No.</p> <p>c) Describe briefly how compliance with the procedures included in these agreements is checked.</p> |
|---------------|--|

Response:

Revised: August 2015