

# APPLICATION FOR EXPORTERS ONLY

## Pre-Qualification Questionnaire

Are you a registered business in existence for at least 3 years?	Yes [Y]
Do you have an established and verifiable business location?	Yes [Y]
On average, how do you Export your goods per year?	One (1) full container loads or more. [A1]
Do you have written procedures for the following?	
Selection of your business partners?	Yes [A1]
Container Security?	Yes [A1]
Conveyance Security?	Yes [A1]
Seal Security?	Yes [A1]
Audit of security procedures/processes/systems?	Yes [A1]
Recruitment of personnel?	Yes [A1]
Termination of personnel?	Yes [A1]
Employee conduct?	Yes [A1]

## APPLICATION FOR EXPORTERS ONLY

Customs processes?	Yes [A1]
Shipping processes?	Yes [A1]
Cargo handling processes?	Yes [A1]
Treatment of visitors?	Yes [A1]
Physical security?	Yes [A1]
Export processes?	Yes [A1]
Information technology security?	Yes [A1]
Issuance and return of uniform & company ID?	Yes [A1]
Do you have trade-sensitive information stored for the last two years (minimum) of operation?	Yes [Y]
Does your accounting system facilitate a full audit trail of your Customs Activities?	Yes [Y]
Do you have any outstanding liabilities with the Jamaica Customs Agency?	No [N]
Do you have procedures in place for reporting suspicious/illegal activities to your management team and Customs?	Yes [Y]

**Application**

## APPLICATION FOR EXPORTERS ONLY

Name of Company	XXXXXXXXXX
Tax Registration Number (TRN)	XXXXXXXXXXXXXXXXXX
Legal status of the company as given in the certificate of incorporation.	limited liability [A1]
Other	
Date of incorporation	15.10.2013
Date Company began trading.	06.10.2013
Registered address of company	XXXXXXXXXX
Mailing address if different from registered address of company	XXXXXXXXXXXXXXXXXX

Company's website (if applicable)	
How many branches/locations of the company exist?	1 branch [A1]
Other	
Full address of all locations/branches	XXXXXXXXXXXXXXXXXX
Nature of the economic activity carried out by the company	XXXXXXXXXXXXXXXXXX
Full address of the office where the Customs documentation is kept.	XXXXXX

## APPLICATION FOR EXPORTERS ONLY

Full address of the office responsible for providing all Customs documentation.	
Full address of the office where the full accounts are kept.	
Designated contact within the company.	
Name	xxx
Job title of applicant	xx
Phone/Fax	xx
Email	xx
Signature of designated contact (e sign)	map.png (17.548KB) -
	File count [1]
Date of application	15.10.2013

### Self Assessment - Section 1 - 1.1 General Company Information

Which departments have you involved in the process to prepare your company for the AEO application including management?

Finance & Accounts

Yes [Y]

## APPLICATION FOR EXPORTERS ONLY

Information Technology	Yes [Y]
Human Resource Department	
Warehouse Department	
Purchasing/Sales Department	
Export Department	
Executive body	
Other	
If your company is part of a group, indicate if there are any other entities in the group that:	
Already have an AEO certificate	Yes [A1]
Have applied for AEO status and are currently undergoing an AEO audit by Jamaica Customs Agency	No [A2]
Full details of the main shareholders including percentage shareholding.	
Name	xx
TRN	xx

## APPLICATION FOR EXPORTERS ONLY

Address	xx
Percentage	xx
Do you have any additional main shareholders?	No [N]
Full details of the board of directors	
Name	xx
TRN	xx
Address	xx
Do you have any additional directors?	No [N]
Full details of advisory board, if any	
Name	xxx
TRN	xx
Address	xx
Do you have any additional advisory board members?	No [N]
Indicate the details of the person responsible for Customs matters in the applicant's administration	

# APPLICATION FOR EXPORTERS ONLY

Name	xxx
------	-----

TRN	xxx
-----	-----

Address	xx
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Indicate your positions in the international supply chain in the following list. If you have more than one position indicate the ones that apply.

Manufacturer of goods	Yes [Y]
Exporter	
Freight forwarder	
Warehouse keeper	
Customs Broker	
Carrier	
Importer	
Consolidator	
Terminal operator	

## APPLICATION FOR EXPORTERS ONLY

Other	
Specify the name, the address, the phone number and the email of the contact persons in all locations /branches.	XXXX
Give a brief description of the activities conducted in the following.	

The individual locations of your company	XX
The locations where a third party executes outsourced activities for your company	XX
How many employees are in each location?	50 [opt1]
Other	
Do you buy from/sell to businesses with which you are associated?	Yes [Y]
Describe the internal organisational structure of your company and the tasks/responsibilities of each department.	XXX
Give the names of senior management of the company (directors, heads of departments, heads of accounting, head of logistics department and so on)	XXX
Give the names and the position of persons within your company who have specific customs expertise (incl. In-house brokers)	XX
Briefly detail the level of knowledge of these persons regarding customs processes (for example, use of ICASE; tariff classification; WTO valuation issues; etc.)	XX

## APPLICATION FOR EXPORTERS ONLY

I hereby consent to the publication of my AEO status on the JCA website	No [N]
I also give consent for the exchange of the information in the AEO authorization in order to ensure the implementation of international agreements with other countries on mutual recognition of the status of authorised economic operators and measures related to security	No [N]
Capacity of Signatory (The completed questionnaire should be signed by a director/managing partner/sole proprietor, as appropriate)	xxx
<b>Self Assessment - 1.2 Volume of business</b>	
Give the annual turnover figure for the last two (2) sets of completed annual accounts.	
Year/Figure	343
Year/Figure	343
Provide the annual net profit or loss figure for the last two (2) sets of completed annual accounts.	
Year/Figure	343
Year/Figure	343
Do you use storage facilities that are not owned by you?	No [N]
Do you foresee any structural changes in your company in the next two (2) years?	No [N]



## APPLICATION FOR EXPORTERS ONLY

Do you foresee any major changes in your supply chain for your company in the next two (2) years?	No [N]
<b>Self Assessment - 1.3 Information &amp; Statistics on Customs matters</b>	
Do you perform customs formalities in your own name and for your own account?	No [N]
Are you being represented by someone regarding customs formalities?	No [N]
Do you represent other persons in customs formalities?	No [N]
How, and by whom, is the tariff classification of goods decided?	xxxx
What quality assurance measures do you take to ensure that tariff classifications are correct ( for example, checks, plausibility checks, internal working instruction regular training, other means, none)?	xxxxxx
Do you keep notes on these quality assurance measures?	Yes [Y]
Do you regularly monitor the effectiveness of your quality assurance measures?	Yes [Y]
What resources do you use for tariff classification (for example, database of goods frequently imported)?	xxx
How and by whom is the customs value established?	xxxx
What quality assurance measures do you take to ensure that the customs value is correctly established (for example, checks, plausibility checks, internal working instruction, regular training, other means, none)?	xxxx
Do you regularly monitor the effectiveness of your quality assurance measures?	Yes [Y]
Do you keep notes on these quality assurance measures?	Yes [Y]
State the preferential or non-preferential origin of the imported goods (for example, Caricom, EU, etc.)	xxxx
What internal actions have you implemented to verify that the country of origin of the imported goods is declared correctly?	xxxx
Do you deal in goods subject to anti-dumping or countervailing duties?	No [N]
<b>Self Assessment - Section 2 Compliance Record</b>	
Have breaches of customs rules been detected within your company or by the customs authorities in the last two (2) years?	No [N]
Have any applications for AEO certification been refused, or existing authorizations been suspended or revoked because of breaches of customs rules in the last two (2) years?	No [N]
<b>Self Assessment - Section 3 - Accounting and logistical system - 3.1 Audit Trail</b>	
Does your accounting system facilitate a full audit trail of your customs activities or tax relevant movement of goods or accounting entries?	Yes [Y]

## APPLICATION FOR EXPORTERS ONLY

If 'Yes', which of the following reports are generated? (select all that apply)	
Financial statements (these comprise: balance sheets; profit or loss accounts/income statement; cash flow statements)	Yes [Y]
Trial balances	

## APPLICATION FOR EXPORTERS ONLY

General ledgers	Yes [Y]
Accounts payable (with related suppliers' statements). This includes payables directly to the supplier, his agent and any other party in relation to the imported goods	Yes [Y]
Bank statements and encashed cheques	Yes [Y]
Sales	Yes [Y]
Accounts receivable (schedules)	Yes [Y]
Inventory accounts	
Schedules of all foreign purchases	
Schedules of all payments made to foreign suppliers, freight forwarders, and any other party in relation to imported goods	
Bank reconciliation statements	
Contracts giving importers exclusive agency rights for specific product(s) or service(s)	
Contracts relating to royalties and license fees	
Contracts and agreements between importer and freight forwarder/ consolidators in relation to the movement, packaging, consolidation and storage of imported goods	
Other contracts and agreements between importer and suppliers related to imports	
Credit card statements (relating to overseas purchases for the business)	
Wire transfers	
Suppliers/commercial invoices	
Freight forwarders files	
Purchase orders	
Delivery notes	
Journals & Ledgers	Yes [Y]
<b>Self Assessment - Section 3 - Accounting and logistical system - 3.2 Accounting system</b>	
What computer system (software) do you use for your business in general, and for customs matters in particular?	xxxxx
Based on your response to the previous question, provide information on the following.	
Separation of functions between users	xx
Access controls (which ones/to whom)	xx
Traceability between business system and declaration system	xx
Are your accounting systems capable of distinguishing between Caricom and non-Caricom goods?	No [N]

# APPLICATION FOR EXPORTERS ONLY

Have your accounting services been outsourced?

No [N]

## **Self Assessment - Section 3 - Accounting and logistical system - 3.3 Internal control system**

Do you have in-house guidelines for the internal control system in the following?:

## APPLICATION FOR EXPORTERS ONLY

Accounts Department	Yes [A1]
Buying Department	Yes [A1]
Sales Department	Yes [A1]
Logistics Department	Yes [A1]
Production Department	Yes [A1]
If 'Yes', describe them briefly and how they are updated. For example, actions like job instructions, employee training, instructions for checking faults.	xx
Have your internal control processes been subject to any internal/external audit?	Yes [Y]
If yes, does this include audit of your customs routines?	No [N]
Briefly describe your procedures for maintaining your computer system.	xx
<b>Based on your response to the previous question, from your perspective, how do these procedures cover the following risks?</b>	
Incorrect and/or incomplete recording of transactions in the accounting system	xx
Use of incorrect or outdated data (for example, relating to tariff codes)	xx
Inadequate control of the company processes within the business	xx
<b>Self Assessment - Section 3 - Accounting and logistical system - 3.4 Flow of goods</b>	
Briefly describe the flow of goods from the purchase order stage to the arrival of goods	xx
Briefly describe the procedure for the flow of materials starting with their arrival, the storage up to manufacture and shipment. Who keeps records and where are they kept?	xx
Briefly describe the procedures in place for checking stock levels, including the frequency of those checks and how are discrepancies handled, for example, stocktaking and inventory?	xx
<b>Self Assessment - Section 3 - Accounting and logistical system - 3.5 Customs Routine</b>	
Do you have documented procedures for verifying the accuracy of customs declarations, including those submitted on your behalf, for example, by a customs agent or a freight forwarder?	Yes [Y]
If 'Yes' briefly describe the procedures	xx
Does your company have instructions or guidelines on the notification of irregularities to the competent authorities (for example, suspicion of theft, burglary or smuggling in connection with customs-related goods)?	Yes [Y]
If yes, are these instructions documented, for example, work instructions, manuals, other guidance documents?	Yes [Y]

## APPLICATION FOR EXPORTERS ONLY

Over the last two (2) years have you detected any irregularities (or presumed irregularities) and notified the relevant authorities?	No [N]
Do you trade in goods that are subjected to economic trade licences or permits, for example, pharmaceuticals, agricultural goods?	Yes [Y]
If yes, select all that apply:	

## APPLICATION FOR EXPORTERS ONLY

Ministry of Health	Yes [Y]
Coconut Industry Board	Yes [Y]
JAMPRO	
Ministry of Agriculture	Yes [Y]
Pesticide Control Authority	
Trade Board Limited	
Ministry of National Security	
Other	

### Self Assessment - Section 3 - Accounting and logistical system - 3.6

Do you have documented procedures for back-up, recovery, fall back, archiving and retrieval of your business records?	Yes [Y]
If 'Yes', how long is this data archived?	xx
Does the company have a contingency plan for system disruption/failure?	Yes [Y]

### Self Assessment - Section 3 - Accounting and logistical system - 3.7 Protection of computer system

Briefly describe the actions you have taken in order to protect your computer system from unauthorised intrusion, for example, firewall, antivirus program, password protection	xx
Has any intrusion testing been carried out, what were the results and were any corrective measures taken?	xx
Briefly describe how access rights for the computer systems are issued	xx
Who is responsible for the running and protection of the computer system?	xx
Where is the main server located?	xx
Give details of how you main server is secured.	xx

### Self Assessment - Section 3 - Accounting and logistical system - 3.8 Documentation security

Briefly describe what actions have been taken in order to protect information/documents from unauthorised access, abuse, intended destruction and loss (for example constricted access rights, creation of electronic backup)	zz
Have there been any cases of unauthorised access to documents in the last two (2) years, and if so what measures have been taken to prevent this from happening again?	zz
Do your business partners have security certification such as AEO, CTPAT or BASC?	No [N]

## APPLICATION FOR EXPORTERS ONLY

Do you administer the <i>Business Partner Security Questionnaire</i> to your business partners having no form of security certification?	Yes [Y]
<b>Self Assessment - Section 4 - Financial Solvency</b>	
Have any insolvency proceedings been initiated in respect of your company's assets in the last three (3) years?	No [N]

## APPLICATION FOR EXPORTERS ONLY

Has your company had a consistently good financial standing sufficient to meet its financial commitments over the last three (3) years?	Yes [Y]
Is there anything you are aware of that could impact on your financial solvency in the foreseeable future?	No [N]
<b>Self Assessment - Section 5 - Security and safety requirements</b>	
Have you carried out a risk assessment for your business?	Yes [Y]
Is there a security plan in place for each location, where applicable?	Yes [Y]
How often are those documents reviewed and updated?	zz
Based on the security requirements, have you identified any risks within your organization or in your business dealings?	Yes [Y]
If so, please state	zz
How are security measures implemented and coordinated in your company and who is responsible for them?	zz
If your company has several premises, is the implementation of the security measures harmonised in all of these locations?	Yes [Y]
Do you have any security policies?	Yes [Y]
If yes, how are they communicated to your staff and people visiting the company premises?	zz
How are they documented (manual, work guidelines, information sheet etc.)?	zz
Have you had any security incidents over the last year?	No [N]
Have you already been certified by another public agency or authority for security purposes?	Yes [Y]
If ‘Yes’, give details of the premises/locations, which are covered by the certificate	zz
List any independently accredited standards/licences/authorisations that you adhere to and specify what control/audits these standards are subject to	zz
Are there particular security and safety requirements for the goods you are importing/exporting?	Yes [Y]
Do you use the services of a security company? If so which company do you use?	zzz
<b>Self Assessment - Section 5.2 Access to premises</b>	
Briefly describe how the process of access to your premises (buildings, production areas, warehouses, etc.) is regulated for staff, visitors, other persons, vehicles and goods	xxxx
Who checks that the prescribed procedures are complied with?	xxxx
Describe the procedures that are to be followed if an unauthorised person/vehicle is discovered on company premises	xxx

## APPLICATION FOR EXPORTERS ONLY

How are these procedures communicated to staff (for example, action plan, manual, working guidelines, training)?	xxx
Do you have a site plan for each location of your company that is involved in customs related activities (for example layout plan, draft) from which the frontiers, access routes and the location of the buildings can be identified?	Yes [Y]

## APPLICATION FOR EXPORTERS ONLY

Name, if applicable, other companies that are also located at the premises of each location	xxx
<b>Self Assessment - Section 5.3 Physical Security</b>	
Give a brief description of how the external boundary of your company's premises is secured. How is compliance with these procedures checked?	xxx
How, by whom and at what intervals are checks carried out on the fences and buildings? How are these checks and their results recorded?	xxx
How are security incidents reported and dealt with?	xxx
What are the access points within the organization?	xx
How are they monitored and are there limitations in the opening hours of each access?	xx
Are the premises adequately illuminated (for example, continuous light, movement sensors, twilight switch)?	Yes [Y]
How is the administration of keys handled in your company (for example, location, access, logging)?	xx
Does written documentation exist for this?	Yes [Y]
Is the parking of vehicles permitted in the cargo handling areas during loading and unloading activities?	Yes [Y]
Are vehicles checked and logged at the entrances and exits?	Yes [Y]
<b>Self Assessment - Section 5.4 Containers</b>	
Is access to containers subject to rules/restrictions?	Yes [Y]
If 'Yes', how are such restrictions enforced?	xx
Briefly describe what measures are in place to prevent unauthorised access to and tampering with containers, particularly in open storage areas (for example constant supervision, training staff and making them aware of risk, seals, instructions and procedures to follow in case of unauthorised entry)	xx
Do you use seals which meet or exceed the ISO 17712 standard for high security seals?	Yes [Y]
Tick which of the following container inspection process(es) is followed	
Seven Point	Yes [Y]
Ten Point	
None	
Other	

**APPLICATION FOR EXPORTERS ONLY**

**Self Assessment - Section 5.5 Logistical Processes**

What means of transportation are normally used by your company?

Both [A3]

Does your company utilize the services of freight forwarders/consolidators?

Yes [Y]

## APPLICATION FOR EXPORTERS ONLY

How do you establish whether the freight forwarder/carrier meets the required security standards (for example, by means of certification, declarations or agreements)?	xx
<b>Self Assessment - Section 5.6 Incoming Goods</b>	
Briefly describe the procedure for ensuring the security and safety of incoming goods	xx
Briefly describe how the compliance with these procedures is checked	xx
Briefly describe how checks on the integrity of the seals on incoming goods are conducted	xx
Are finished goods which are imported for export under the bonded facility stored separately from goods imported for consumption on the domestic market?	Yes [Y]
If 'Yes', how are they marked, where are they stored?	xx
Briefly describe how, when and by whom incoming goods are checked against the accompanying documents and entered in your records	xx
Is there segregation of duties as it relates to the purchase of goods, the receipt of goods and general administration?	Yes [Y]
<b>Self Assessment - Section 5.7 Storage of Goods</b>	
State the location(s) where imported goods are stored	xx
Do you have documented procedures for stocktaking and dealing with irregularities detected during stocktaking?	Yes [Y]
If 'Yes', describe your arrangements in brief.	xx
Are goods of different risk levels stored separately?	Yes [Y]
Describe the criteria for any separate storage, for example, hazardous goods, high-value goods, chemicals, weapons	xx
Briefly describe how goods are protected against unauthorised access to the warehousing premises	xx
Briefly describe how compliance with these procedures is checked	xx
If goods are stored in a rented/leased facility, briefly describe the control measures you use to supervise the handling of goods	xx
<b>Self Assessment - Section 5.8 Production of goods</b>	
Are you a manufacturer?	Yes [Y]
Briefly describe what locations/areas are designated for the production of goods.	xx

## APPLICATION FOR EXPORTERS ONLY

If production is carried out by an external partner ( for example, job processing, drop shipments), briefly describe how the integrity of the goods is ensured (for example, contractual agreements)	xx
Are there any security measures protecting goods against unauthorised access to the production zone?	Yes [Y]
If 'Yes', describe briefly what these measures are and whether they are written. Briefly describe how compliance with these procedures is checked?	xx

## APPLICATION FOR EXPORTERS ONLY

Briefly describe the procedures for packing products and whether they exist in a written format	x
If final product packaging is outsourced to a third party, briefly describe how the integrity of the goods is guaranteed.	xx
<b>Self Assessment - Section 5.9 Loading of Goods</b>	
Are you an exporter?	Yes [Y]
Briefly describe how loading of goods is managed in your company (for example, allocation of responsibilities, checks on goods, and means of transport, recording of results, provision of information, etc.)	xx
Are there documented procedures governing the loading of goods?	Yes [Y]
Are outgoing containers sealed?	Yes [Y]
If 'Yes', how and by whom?	xx
Are any seal numbers mentioned in the documents accompanying the goods?	Yes [Y]
How do you keep a record of your seals?	xx
Briefly describe how compliance with customers' security requirements for loading is guaranteed	xx
Briefly describe the arrangements that are in place which ensures that goods to be loaded and the loading process are not left unsupervised	xx
Are the outgoing goods checked for completeness (for example, counted, weighed)?	Yes [Y]
If 'Yes', how and by whom?	xx
Briefly describe how, when and by whom departing goods are checked against orders and loading lists and recorded out of the stock records	xx
Briefly describe what control mechanisms you have in place for detecting irregularities concerning the loading of goods	xx
<b>Self Assessment - Section 5.10 Security requirements for business partners</b>	
Briefly describe what security and safety requirements you apply when choosing business partners (for example ensuring that they have C-TPAT, AEO or BASC certification; or administering the <i>Business Partner Security Questionnaire</i> where the business partner has no security certification)	xx
Briefly describe how compliance with these procedures is checked	xx
Briefly describe how your company verifies the identity of trade partners in order to secure the supply chain (information search before accepting orders or placing orders)	xx
Over the last year, have you detected any breaches of the security agreements you have with partners?	Yes [Y]

# APPLICATION FOR EXPORTERS ONLY

If 'Yes', what measures have you taken?	XX
<b>Self Assessment - Section 5.11 Personnel Security</b>	
Briefly describe how your employment policy deals with security and safety requirements. Who is responsible for this area?	XX



## APPLICATION FOR EXPORTERS ONLY

Do you have written security procedures for your employees?	Yes [Y]
Briefly describe how compliance with these procedures is checked	xx
To what extent are the following types of employees subjected to security checks (for example, police checks to confirm that he/she has no criminal records)?	
New employees who will be working in security-sensitive areas	xx
Existing employees who are to be transferred into security-sensitive areas	xx
How is it ensured that when employees leave the organization they no longer have any physical or electronic access to company premises or data?	xx
Is security and safety training provided for employees?	Yes [Y]
If 'Yes', what is the frequency of security and safety training?	xx
Is this training internal or provided by an external party?	xx
Are there written records of these training sessions?	Yes [Y]
Specify the areas where temporary employees are used	xx
Are these temporary employees' records updated annually to ensure that they are in compliance with security standards?	Yes [Y]
Are there security instructions for these employees?	Yes [Y]
<b>Self Assessment - Section 5.12 External services</b>	
Do you use any "external services" under contract such as transportation, security guards, cleaning, supplies maintenance, etc?	Yes [Y]
If 'Yes', briefly describe what services they provide, and to what extent (for the ones that have not been described in the previous sections)	xx
Are there written agreements with the external service providers regarding security requirements?	Yes [Y]
Briefly describe how compliance with the procedures included in these agreements is checked?	xx

# APPLICATION FOR EXPORTERS ONLY