

Section 1 - Trader information

1A Organisational characteristics

(1) Depending on your legal status, provide the names and addresses of:

The sole proprietor, or

All partners, or

All directors, major shareholders and legal representatives of the applicant.

(2) Briefly describe your main business activities.

(3) Give the location of each site and/or subsidiary of the business involved in international trade and briefly describe the business activities at each location.

(4) State if the business and each site/subsidiary, listed at question 3, act within the supply chain:

In its own name and on its own behalf, or

In its own name and on behalf of another person or company, or

In the name and on behalf of another person or company.

(5) Do you buy from/sell to businesses which are associated to you?

Yes

No

(6) Provide details of any independently accredited standards recognized to which you adhere.

1B Internal organisation

(7) Have you documented the internal structure of your business?

Yes

No

(8) How many staff are employed in your business?

(9) Give the names of your senior personnel involved in the international trade supply chain.

(10) Have you documented fallback procedures when key staff are absent?

Yes

No

1C Volume of business

(11) Give the annual turnover figure for the last three sets of completed annual accounts. If a new business, state "Not Applicable" or "N/A".

(12) Provide the annual net profit or loss figure for the last three sets of completed annual accounts. If a new business, state "Not Applicable" or "N/A".

(13) If you own or use storage sites/premises, give the total storage capacity and average percentage of the storage capacity normally utilised.

(14) For each of the following give the number and value of the declarations you have made in each of the last three years.

Import

Number:

Value:

(Re-)export

Number:

Value:

Transit

Number:

Value:

(15) For each of the following give the total amount you have paid in each of the last three years.

Customs duty:	<input type="text"/>	Import VAT:	<input type="text"/>
Excise duty:	<input type="text"/>		

(16) For each of the following provide an estimate of the number and value of the declarations you expect to make in the next two years.

Import	Number:	Value:
(Re-)export	Number:	Value:
Transit	Number:	Value:

1D Information on customs matters

(17) List the main countries with which you trade.

(18) Have you documented procedures for the classification of your goods?

Yes No

(19) Do you deal in goods subject to tariff preferences?

Yes No

(20) Have you documented procedures for claiming preferential rates of duty on imports?

Yes No

(21) Have you documented procedures for issuing certificates/invoice declarations at (re-)export?

Yes No

(22) Do you import/(re-)export goods subject to licences, permits, certificates or restrictions?

Yes No

(23) Have you documented procedures for administering these licences?

Yes No

(24) Do you deal in goods subject to anti-dumping duties or countervailing duties?

Yes No

(25) If yes, give details of the manufacturer(s) or countries whose goods are subject to the above duties.

(26) Have you documented procedures for determining the correct value for duty and VAT (for both imports and (re-)exports)?

Yes

No

Section 2 - Compliance record

2A Compliance history

(27) Give brief details of any customs authorisation held or sought by your business which has been withdrawn, suspended or refused in the last three years.

(28) Have you documented procedures for identifying and disclosing irregularities/errors to MRA or other regulatory authorities as appropriate?

Yes

No

(29) Give brief details of any compliance errors or irregularities you have discovered in the last three years.

(30) Have you taken any remedial action as a result?

Yes

No

2B Intelligence information

(31) Give brief details of any monetary or non-monetary irregularities for import, (re-)export, handling, transfer or transport of goods you have made in the last three years.

(32) Have you taken any remedial action as a result?

Yes

No

(33) Give details of any high-risk or controlled goods you handle, for example hazardous materials.

Section 3 - The accounting and logistical system of the business

3A Audit trail

(34) Do you maintain a full audit trail of your customs activities?

Yes

No

3B Accounting and logistical system

(35) What type of computer system(s) do you use for your commercial and, if used, duty management systems?

(36) What operating system do you run on your computer system which supports the logistical/accounting operations of your business?

(37) Which accounting and logistics software applications are used by your business?

(38) Give the name of the software supplier if the applications used by your business include a specific duty management and/or reporting system.

(39) Where are your computer activities undertaken?

3C Internal control systems

(40) Have you documented procedures by which employees within the purchase, storage, production and sale processes must operate?

Yes

No

(41) Have your internal control processes been subject to any internal/external audit?

Yes

No

(42)	Have you documented procedures to control your standing data?	Yes	No
3D Flow of goods			
(43)	Have you documented procedures for the purchase and receipt of goods?	Yes	No
(44)	Have you documented procedures to control stock movement of goods?	Yes	No
(45)	Have you documented procedures to control your manufacturing processes?	Yes	No
(46)	Have you documented procedures to control the delivery of goods from stock to your customers?	Yes	No
3E Making customs declarations and the use of customs agents			
(47)	Have you documented procedures for verifying the accuracy of customs declarations including those submitted on your behalf by a third party representative, for example agent, forwarder and so on?	Yes	No
3F Procedures for back-up, recovery and fallback and archiving			
(48)	Have you documented procedures for back-up, recovery, fallback, archiving and retrieval of your business records?	Yes	No
3G Information security - protection of security systems			
(49)	Have you documented procedures to protect your computer system against unauthorised access?	Yes	No
3H Information security - documentation security			
(50)	Have you documented procedures to control your document security?	Yes	No
Section 4 - Financial solvency			
4A Proven solvency			
(51)	Are all your finalised annual accounts up to date?	Yes	No
(52)	If you are a company, have you submitted your annual accounts to Registrar of Companies within the required time limits?	Yes	No

Section 5 - Safety and security requirements

5A Security assessment conducted by the applicant (self assessment)

(53) Who in your business is responsible for safety and security measures?

(54) Have you undertaken and documented a safety and security assessment?

Yes No

(55) Have you documented your safety and security measures?

Yes No

(56) Have you documented procedures for recording and reporting incidents?

Yes No

(57) Are there any particular security and safety requirements for the goods you are importing/
(re-)exporting?

Yes No

(58) If yes, give brief details.

(59) Have you made a threat assessment of your business?

Yes No

(60) Does your insurance company impose any security requirements on you?

Yes No

(61) Have your customers imposed security requirements on you?

Yes No

5B Physical security

(62) Are the external boundaries of your premises secured?

Yes No

(63) Have you documented procedures to control access through all gates/entrance points?

Yes No

(64) Do you have locks/security measures for inner and outer doors, windows and gates?

Yes No

(65) Have you documented procedures for the handling of keys?

Yes No

(66) Have you documented procedures for ensuring only authorised staff has access to internal parts of the premises?

Yes No

(67) Have you documented procedures to protect your premises against unauthorised access by private vehicles?

Yes No

(68) Have you documented procedures for dealing with unauthorised access or intrusion?

Yes No

(69) Have you documented procedures for checking and maintaining the security of buildings and external boundaries?

Yes No

5C Cargo units

(70) Do you own the cargo units used by your business?

Yes No

(71) Do you carry out routine inspections of the cargo and tractor units?

Yes No

(72) Have you documented control procedures to monitor the security of cargo units used by your business whilst under your responsibility?

Yes No

(73) Have you documented procedures to deal with incidents of unauthorised access or tampering with a cargo unit?

Yes No

(74) Is the maintenance/repair of the cargo units carried out at your premises or externally?

Yes No

(75) If externally, have you documented procedures for inspection of the cargo units on their return prior to loading?

Yes No

5D Logistical processes

(76) Which means of transport are normally used by your business?

--

(77) Is the transport owned by you or an external contractor?

(78) If the latter, do you use the contractor on a regular basis and do you have agreements in place outlining responsibilities and procedures for the secure transport of your goods?

(79) If you do not use a regular contractor, how do you ensure the safety and security of the transport of your goods?

5E Incoming goods

(80) Have you documented procedures to address safety and security issues surrounding your incoming goods?

YES NO

(81) Have you documented procedures to deal with situations if incoming goods breach security and safety arrangements agreed with your suppliers?

YES NO

(82) Do you ensure that goods are received only in a supervised area?

YES NO

(83) Have you documented procedures for ensuring staff are informed of safety and security measures/arrangements?

YES NO

(84) Have you documented procedures for the receipt of goods which pose a safety and security risk?

YES NO

(85) Have you segregated duties between the ordering of the goods, receipt, entering the goods in the system and payment of the invoice?

YES NO

5F Storage of goods

(86) Have you documented procedures to address the safety and security issues surrounding storage of your goods?

YES NO

5G Manufacture of goods	
(87)	Have you documented procedures to address the safety and security issues surrounding your manufacturing processes?
YES	NO
5H Loading of goods	
(88)	Have you documented physical and documentary procedures to control the loading of goods?
YES	NO
(89)	Have you documented any safety and security measures required by your customers at the time of loading?
YES	NO
5I Security requirements on suppliers	
(90)	Do you have any arrangements regarding the implementation of safety and security measures with your suppliers?
YES	NO
5J Personal security	
(91)	Have you documented procedures on your employment policy that takes into account the security requirements of your business?
YES	NO
(92)	Do you train your staff in security and safety requirements?
YES	NO
(93)	Do you have security requirements in place for the employment of temporary personnel?
YES	NO
5K External services	
(94)	Do you have security requirements incorporated into contractual arrangements with external suppliers, for example security guards, cleaning, and maintenance?
YES	NO