
**Security management systems for
the supply chain — Guidelines for the
implementation of ISO 28000 —**

**Part 4:
Additional specific guidance
on implementing ISO 28000 if
compliance with ISO 28001 is a
management objective**

*Systèmes de management de la sûreté pour la chaîne
d'approvisionnement — Lignes directrices pour la mise en application
de l'ISO 28000 —*

*Partie 4: Lignes directrices spécifiques supplémentaires concernant
la mise en oeuvre de l'ISO 28000 si la conformité à l'ISO 28001 est un
objectif de management*



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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information

The committee responsible for this document is ISO/TC 8, *Ships and marine technology*.

This first edition cancels and replaces ISO/PAS 28004-4:2012. It also incorporates the Amendment ISO 28004-1:2007/DAmD3.

ISO 28004 consists of the following parts, under the general title *Security management systems for the supply chain — Guidelines for the implementation of ISO 28000*:

- *Part 1: General principles*
- *Part 2: Guidelines for adopting ISO 28000 for use in medium and small seaport operations*
- *Part 3: Additional specific guidance for adopting ISO 28000 for use by medium and small businesses (other than marine ports)*
- *Part 4: Additional specific guidance on implementing ISO 28000 if compliance with ISO 28001 is a management objective*

Introduction

This part of ISO 28004 has been developed to supplement ISO 28004-1. The additional guidance in this part of ISO 28004, while amplifying the general guidance provided in the main body of ISO 28004-1, does not conflict with the general guidance. While ISO 28000 is less specific than ISO 28001 on certain technical security requirements, they do not conflict. This part of ISO 28004 helps to meet the Authorized Economic Operator security criteria.

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Security management systems for the supply chain — Guidelines for the implementation of ISO 28000 —

Part 4:

Additional specific guidance on implementing ISO 28000 if compliance with ISO 28001 is a management objective

1 Scope

This part of ISO 28004 provides additional guidance for organizations adopting ISO 28000 that also wish to incorporate the Best Practices identified in ISO 28001 as a management objective on their international supply chains. The Best Practices in ISO 28001 both help organizations establish and document levels of security within an international supply chain and facilitate validation in national Authorized Economic Operator (AEO) programmes that are designed in accordance with the World Customs Organization (WCO) Framework of Standards.

This part of ISO 28004 is not designed as a standalone document. The main body of ISO 28004-1 provides significant guidance pertaining to required inputs, processes, outputs and other elements required by ISO 28000. This part of ISO 28004 provides additional specific guidance on implementing ISO 28000 if compliance with ISO 28001 is a management objective.

Some requirements specified in the WCO AEO programme are government functions and are not addressed in the ISO international standards. These include:

- Demonstrated Compliance with Customs Requirements. Customs are to take into account the demonstrated compliance history of a prospective AEO when considering the request for AEO status.
- Satisfactory System for Management of Commercial Records. The AEO is to maintain timely, accurate, complete and verifiable records relating to import and export. Maintenance of verifiable commercial records is an essential element in the security of the international trade supply chain.
- Financial Viability. Financial viability of the AEO is an important indicator of an ability to maintain and improve upon measures to secure the supply chain.
- Consultation, Co-operation and Communication. Customs, other competent authorities and the AEO at all levels — international, national and local — should consult regularly on matters of mutual interest, including supply chain security and facilitation measures, in a manner which will not jeopardize enforcement activities. The results of this consultation should contribute to Customs development and maintenance of its risk management strategy.

2 Normative references

The following referenced documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 20858, *Ships and marine technology — Maritime port facility security assessments and security plan development*

ISO 28000, *Specification for security management systems for the supply chain*

ISO 28001, *Security management systems for the supply chain — Best practices for implementing supply chain security, assessments and plans — Requirements and guidance*

ISO 28004-1, *Security management systems for the supply chain — Guidelines for the implementation of ISO 28000 — Part 1: General principles*

3 General information

The diagram in [Figure 1](#) provides an illustration of how compliance and possible certification to ISO 28000 incorporating the best practices of ISO 28001 complements the requirements of national, regional or economic Authorized Economic Operator programs and as well as those of certain industry programs and facilitates the validations of such programs. Organizations may also choose to adopt ISO 28000 and ISO 28001 to improve and document supply chain security management without the goal of achieving AEO certification.



Figure 1 — Complementary security standards to secure supply chain

4 Organization of this part of ISO 28004

[Clause 5](#) provides a series of charts showing the synergy between the World Customs Organization SAFE Framework Authorized Economic Operator requirements and the clauses in ISO 28000 and ISO 28001 that address the AEO requirements.

[Clause 6](#) provides practical guidance as to where the various requirements of ISO 28001 would plug into ISO 28000 as inputs, processes or outputs.

[Clause 7](#) provides notes, to clarify slight differences in terminology used in ISO 28000 and ISO 28001.

5 Synergy between the World Customs Organization SAFE Framework Authorized Economic Operator requirements

In Tables 1 to 9 that follow, the AEO requirement sections are listed first in **Bold** type. This is followed by a brief summary of that requirement. In the boxes below each summary are the clauses of ISO 28000 and ISO 28001 that address those requirements. The majority of the WCO AEO requirements are addressed in Tables 1 to 9 and those defined as government functions in the introduction section of this part of ISO 28004. Please note that National AEO programs may have additional requirements such as specific minimum criteria that may not be fully addressed in ISO 28000 or ISO 28001.

Table 1

A. Education, Training and Awareness
Customs and AEOs shall develop mechanisms for the education and training of personnel regarding security policies, recognition of deviations from those policies and understanding what actions must be taken in response to security lapses
ISO 28000, 4.4.2 (Competence, training and awareness)
ISO 28001, 5.3.1 (Assessment personnel)

Table 2

B. Information Exchange, Access and Confidentiality
Customs and AEOs, as part of an overall comprehensive strategy to secure sensitive information, shall develop or enhance the means by which entrusted information is protected against misuse and unauthorized alteration.
ISO 28000, 4.2 (Security management policy), 4.4.5 (Document and data control), 4.5.4 (Controls of Records)
ISO 28001, 5.8 (Protection of the security information)

Table 3

C. Cargo Security
Customs and AEOs shall establish and/or bolster measures to ensure that the integrity of cargo is maintained and that access controls are at the highest appropriate level, as well as establishing routine procedures that contribute to the security of cargo.
ISO 28000, 4.4.6 (Operational control)
ISO 28001, 5.4 (Development of the supply chain security plan)

Table 4

D. Conveyance Security
Customs and AEOs shall jointly work toward the establishment of effective control regimes, where not already provided for by other national or international regulatory mandate, to ensure that transport conveyances are capable of being effectively secured and maintained
ISO 28000, 4.4.6 (Operational control)
ISO 28001, 5.4 (Development of the supply chain security plan)

Table 5

E. Premises Security
Customs, after taking into account the views of AEOs and their necessary compliance with mandatory international standards, shall establish the requirements for the implementation of meaningful Customs-specific security enhancement protocols that secure buildings, as well as ensure the monitoring and controlling of exterior and interior perimeters.
ISO 28000, 4.4.6 (Operational control)
ISO 28001, 5.4 (Development of the supply chain security plan)

Table 6

F. Personnel Security
Customs and AEOs shall, based on their authorities and competencies, screen the background of prospective employees to the extent legally possible. In addition, they shall prohibit unauthorized access to facilities, transport conveyances, loading docks and cargo areas that may reasonably affect the security of those areas in the supply chain under their responsibility
ISO 28000, 4.4.6 (Operational control)
ISO 28001, 5.4 (Development of the supply chain security plan)

Table 7

G. Trading Partner Security
Customs shall establish AEO requirements and mechanisms whereby the security of the global supply chain can be bolstered through the commitment of trading partners to voluntarily increase their security measures.
ISO 28000, 4.4.6 (Operational control)
ISO 28001, 4.1 (Statement of application), 4.2 (Business partners), 4.3 (Internationally accepted certificates or approvals), 4.4 (Business partners exempt from security declaration requirement), 4.5 (Field of Application)

Table 8

H. Crisis Management and Incident Recovery
In order to minimize the impact of a disaster or terrorist incident, crisis management and recovery procedures should include advance planning and establishment of processes to operate in such extraordinary circumstances.
ISO 28000, 4.5.3 (Security-related failures, incidents, non-conformances and corrective and preventive action), 4.4.6 (Operational control), 4.4.7 (Emergency preparedness, response and security recovery)
ISO 28001, 5.7 (Actions required after a security incident)

Table 9

I. Measurement, Analyses and Improvement
The AEO and Customs should plan and implement monitoring, measurement, analysis and improvement processes in order to:
<ul style="list-style-type: none"> — assess consistency with these guidelines; — ensure integrity and adequacy of the security management system; — identify potential areas for improving the security management system in order to enhance supply chain security.
ISO 28000, 4.1 (General requirements), 4.3 (Security risk assessment and planning)
ISO 28001, 5.1 (Supply chain security process- General) 5.2 (Identification of the scope of security assessment), 5.3.2 (Assessment process), 5.4 (Development of the supply chain security plan), 5.5 (Execution of the supply chain security plan), 5.6 (Documentation and monitoring of the supply chain security process)

6 Practical guidance as to where the various requirements of ISO 28001 would plug into ISO 28000 as inputs, processes or outputs

ISO 28000	Best Practices Additions from ISO 28001	Comments
4.2 Security Policy	A policy statement that specifies where the Best Practices will be applied. This information can be drawn from the documentation of the information required in ISO 28001, 4.1 a and b	Organizations that are adopting the Best Practices for the purposes of ultimately being validated as a Authorized Economic Operator (AEO) should confer with the Customs Administration(s) with authority to confer AEO status to ensure that the intended scope of the Best Practices application is adequate to gain AEO status by that Customs Administration.
4.3.1 Security Risk Assessment	<p>Clause 5.3.1 specifies the skills and knowledge of the personnel that will conduct the security assessment</p> <p>Clause 5.3.2 requires the inclusion of security threat scenarios deemed necessary by appropriate government officials in addition to those proposed by the assessment personnel. Documentation required is:</p> <ul style="list-style-type: none"> a) All security threat scenarios considered b) Processes used in the evaluating those threats; and c) All countermeasures identified and prioritized 	<p>ISO 28001 does not require organizations in the supply chain that hold Internationally accepted certificates or approvals (as defined in 4.3), nor does it require organizations that have been certified compliant with a management standard integrating either ISO 20858 or ISO 28001 to redo security assessments on those portions of the supply chain already assessed (see 4.4).</p> <p>Note: If AEO validation or certification is sought, the relevant Customs administration or the certifying body, involved, shall determine the selection of International Certificates or approvals, and certifications, that are recognized.</p> <p>ISO 28001, Clause 4.2 recognizes that some business partners in the supply chain will not wish to participate in a security assessment for each company they deal with. In these cases ISO 28001 allows these companies to state in writing the security measures that they will be providing (declarations of security). The credibility of these declarations must be reviewed as specified in 4.5.</p>
4.3.1 Security Risk Planning	Clause 5.4 specifies the requirements of the security plan developed for the covered sections of the supply chain(s). Organizations are required to review and consider for use the guidance in informative Annexes A and B when developing their security plans.	
		ISO 28001, Clauses 5.5 to 5.6.2 require the security plan developed be implemented and monitored as part of a management system
4.5.3 Security-related failures, incidents, non-conformances and corrective and preventative action.	Clause 5.7 in addition requires that in the event of a security breach, the organization shall follow reporting procedures to Customs and/or appropriate law enforcement agencies.	