
**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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ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

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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.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

In other circumstances, particularly when there is an urgent market requirement for such documents, a technical committee may decide to publish other types of document:

- an ISO Publicly Available Specification (ISO/PAS) represents an agreement between technical experts in an ISO working group and is accepted for publication if it is approved by more than 50 % of the members of the parent committee casting a vote;
- an ISO Technical Specification (ISO/TS) represents an agreement between the members of a technical committee and is accepted for publication if it is approved by 2/3 of the members of the committee casting a vote.

An ISO/PAS or ISO/TS is reviewed after three years in order to decide whether it will be confirmed for a further three years, revised to become an International Standard, or withdrawn. If the ISO/PAS or ISO/TS is confirmed, it is reviewed again after a further three years, at which time it must either be transformed into an International Standard or be withdrawn.

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.

ISO/PAS 28004-4 was prepared by Technical Committee ISO/TC 8, *Ships and marine technology*.

ISO/PAS 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 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/PAS 28004 has been developed to supplement ISO 28004-1. The additional guidance in this part of ISO/PAS 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/PAS 28004 helps to meet the Authorized Economic Operator security criteria.

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/PAS 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/PAS 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/PAS 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 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 are indispensable for the application of this document. 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*

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 28000/28001 to improve and document supply chain security management without the goal of achieving AEO certification.



Figure 1 — Complementary Security Standards to Secure Supply Chain