



## DRAFT AMENDMENT ISO 28004:2007/DAmD 3

ISO/TC 8

Secretariat: SAC

Voting begins on:  
2010-09-01

Voting terminates on:  
2011-02-01

INTERNATIONAL ORGANIZATION FOR STANDARDIZATION • МЕЖДУНАРОДНАЯ ОРГАНИЗАЦИЯ ПО СТАНДАРТИЗАЦИИ • ORGANISATION INTERNATIONALE DE NORMALISATION

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

### AMENDMENT 3: Additional specific guidance 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*

*AMENDEMENT 3: Guide spécifique additionnel si la conformité avec l'ISO 28001 est un objectif du management*

ICS 47.020.99

**iTeh STANDARD PREVIEW**  
**(standards.iteh.ai)**

[ISO 28004-1:2007/DAmD 3](https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3)

<https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3>

**In accordance with the provisions of Council Resolution 15/1993 this document is circulated in the English language only.**

**Conformément aux dispositions de la Résolution du Conseil 15/1993, ce document est distribué en version anglaise seulement.**

**To expedite distribution, this document is circulated as received from the committee secretariat. ISO Central Secretariat work of editing and text composition will be undertaken at publication stage.**

**Pour accélérer la distribution, le présent document est distribué tel qu'il est parvenu du secrétariat du comité. Le travail de rédaction et de composition de texte sera effectué au Secrétariat central de l'ISO au stade de publication.**

THIS DOCUMENT IS A DRAFT CIRCULATED FOR COMMENT AND APPROVAL. IT IS THEREFORE SUBJECT TO CHANGE AND MAY NOT BE REFERRED TO AS AN INTERNATIONAL STANDARD UNTIL PUBLISHED AS SUCH.

IN ADDITION TO THEIR EVALUATION AS BEING ACCEPTABLE FOR INDUSTRIAL, TECHNOLOGICAL, COMMERCIAL AND USER PURPOSES, DRAFT INTERNATIONAL STANDARDS MAY ON OCCASION HAVE TO BE CONSIDERED IN THE LIGHT OF THEIR POTENTIAL TO BECOME STANDARDS TO WHICH REFERENCE MAY BE MADE IN NATIONAL REGULATIONS.

RECIPIENTS OF THIS DRAFT ARE INVITED TO SUBMIT, WITH THEIR COMMENTS, NOTIFICATION OF ANY RELEVANT PATENT RIGHTS OF WHICH THEY ARE AWARE AND TO PROVIDE SUPPORTING DOCUMENTATION.

**PDF disclaimer**

This PDF file may contain embedded typefaces. In accordance with Adobe's licensing policy, this file may be printed or viewed but shall not be edited unless the typefaces which are embedded are licensed to and installed on the computer performing the editing. In downloading this file, parties accept therein the responsibility of not infringing Adobe's licensing policy. The ISO Central Secretariat accepts no liability in this area.

Adobe is a trademark of Adobe Systems Incorporated.

Details of the software products used to create this PDF file can be found in the General Info relative to the file; the PDF-creation parameters were optimized for printing. Every care has been taken to ensure that the file is suitable for use by ISO member bodies. In the unlikely event that a problem relating to it is found, please inform the Central Secretariat at the address given below.

**iTeh STANDARD PREVIEW**  
**(standards.iteh.ai)**

[ISO 28004-1:2007/DAmD 3](https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3)

<https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3>

**Copyright notice**

This ISO document is a Draft International Standard and is copyright-protected by ISO. Except as permitted under the applicable laws of the user's country, neither this ISO draft nor any extract from it may be reproduced, stored in a retrieval system or transmitted in any form or by any means, electronic, photocopying, recording or otherwise, without prior written permission being secured.

Requests for permission to reproduce should be addressed to either ISO at the address below or ISO's member body in the country of the requester.

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](mailto:copyright@iso.org)  
Web [www.iso.org](http://www.iso.org)

Reproduction may be subject to royalty payments or a licensing agreement.

Violators may be prosecuted.

**Contents**

Page

Foreword .....	iv
Introduction.....	v
1 Scope .....	1
2 Normative references .....	2
3 General information .....	2
4 Organization of this addendum : .....	3
5 Synergy between the World Customs Organization SAFE Framework Authorized Economic Operator requirements .....	3
6 Practical guidance as to where the various requirements of ISO 28001 would plug into ISO 28000 as inputs, processes or outputs.....	6
7 Notes on terminology.....	7

**iTeh STANDARD PREVIEW**  
**(standards.iteh.ai)**

[ISO 28004-1:2007/DAmD 3](https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3)

[https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-  
d7ed76d65c29/iso-28004-1-2007-damd-3](https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3)

## 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.

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.

Amendment 3 to ISO 28004:2007 was prepared by Technical Committee ISO/TC 8, *Ships and marine technology*.

## iTeh STANDARD PREVIEW (standards.iteh.ai)

[ISO 28004-1:2007/DAmD 3](https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3)

<https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3>

## Introduction

This Addendum has been developed to supplement ISO 28004. In addition the additional guidance in this addendum to ISO 28004 while amplifying the general guidance provided in the main body of ISO 28004 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 Addendum helps to meet the Authorized Economic Operator security criteria.

## iTeh STANDARD PREVIEW (standards.iteh.ai)

[ISO 28004-1:2007/DAmD 3](https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3)

<https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3>

**iTeh STANDARD PREVIEW**  
**(standards.iteh.ai)**

[ISO 28004-1:2007/DAmD 3](#)

<https://standards.iteh.ai/catalog/standards/sist/1ee94325-85f4-4588-8077-d7ed76d65c29/iso-28004-1-2007-damd-3>

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

## AMENDMENT 3: Additional specific guidance if compliance with ISO 28001 is a management objective

### 1 Scope

This addendum to 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 Framework of Standards.

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

Some requirements specified in the WCO AEO program are government functions and are not addressed in the ISO standards these include:

- Demonstrated Compliance with Customs Requirements

Customs shall 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 shall 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, *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



#### 4 Organization of this addendum :

- a) 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.
- b) Practical guidance as to where the various requirements of ISO 28001 would plug into ISO 28000 as inputs, processes or outputs
- c) 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 the charts A-I that follow the AEO requirement section 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. Majority of the WCO AEO requirements are addressed in the charts in A-I and those defined as government functions in the introduction section of this document. 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.

##### **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)

##### **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)

##### **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)