WCO AEO Validator Guide

Carrying out of Customs AEO Validation controls
1. History
2. Background and Aim
3. Framework
4. Validator's Profile
5. Validation procedure
6. Reporting and Follow-up
7. Quality Assurance and Developments of programmes
8. Practices and Techniques
9. Way Forward
1. HISTORY

- Concern and request by several WCO Member
- Discussed and agreed in SAFE WG meeting
- Guide and training module to enhance Auditors/validators credibility or professionalism
- To harmonize validation procedure/process
- To provide transparency & predictability to traders
BACKGROUND

- SAFE Framework of standards
- Partnership customs - economic operator
- Criteria to satisfy
- Role Validation (Validator)
- Improve Risk Management and better use customs resources
2. BACKGROUND and AIM

AIM

- Create set of competences
- Set out essential elements to carry out validation
- Provide practical guidance
- Promote a Common approach
3. FRAMEWORK

- SAFE Framework of Standards
- Scope
- Organisation
4. VALIDATOR'S PROFILE
4. VALIDATOR'S PROFILE

COMPETENCES/SKILLS

➢ General competences
  ✓ Knowledge
  ✓ Skills
  ✓ Practical experience
  ✓ Professional values, ethics and attitudes

➢ Validator competences

➢ External knowledge/development
4. VALIDATOR'S PROFILE

Understand
Coordinate
Visit
Available
Report

Thank you!
5. VALIDATION PROCEDURE
5. VALIDATION PROCEDURE

<table>
<thead>
<tr>
<th>Pre-application Phase (Not mandatory)</th>
<th>Examination of acceptability of AEO-application</th>
<th>AEO-procedure</th>
<th>AEO Review and Maintenance</th>
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</thead>
<tbody>
<tr>
<td>AEO – guidance by customs to economic operator</td>
<td>Legal requirements met?</td>
<td>Yes</td>
<td>AEO-authorization</td>
</tr>
<tr>
<td></td>
<td>No</td>
<td></td>
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<tr>
<td></td>
<td>No AEO</td>
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<td>Monitoring</td>
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<td>Reassessment</td>
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</tbody>
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§3. AEO Application Acceptance Procedure
§3.1 Preparation phase by the economic operator
§3.2 The formal submission of the application
§3.3 Approval or rejection of AEO-application

§4 AEO Audit/validation procedure

§5. AEO Review and Maintenance
5. VALIDATION PROCEDURE

PREPARATION PHASE

- Self-assessment
- Further information provided by traders
- Other sources
4. VALIDATION PROCEDURE

ASSESSMENT CRITERIA

- **Compliance**
  - With customs requirements and other related regulations
  - Satisfactory system management commercial records
  - Financial viability

- **Security**
  - Cargo
  - Trading Partner
  - Access building
  - Personnel
  - IT

- **Others**
EXECUTING PHASE

- Visit
- Meeting
- Assessment criteria
- Risk mapping
6. REPORTING and FOLLOW-UP

- Reporting
- Monitoring
- Reassessment
7. QUALITY ASSURANCE and DEVELOPMENTS PROGRAMMES

- **Quality assurance**
  - Consistent level of performance validators
  - Quality control system

- **Training and development programme**
TRAINING

✓ Common approach on Training to equip officers with specific skills & information to successfully participate, manage, lead an AEO Validation
✓ Training material available
✓ Practice
Practical techniques/practices of material for validators

- EU SAQ + EU guidelines "Threats, Risks and Possible Solutions (to facilitate the validation addressed both to customs and economic operators)
- US best practice catalogue
- Canada PIP Training
- Other
9. WAY FORWARD

GUIDE:

- Further INPUT
- FINALISE for SAFE meeting
- AVAILABILITY/USE (Who, where, how?)

DEVELOPMENT OF TRAINING MODULES
WCO Instruments for AEO

- AEO Implementation Guidance
- AEO Compendium
- Model AEO Appeal Procedure
- AEO Benefits
- The AEO and SMEs
- MRA Guidelines
- AEO Template

.... AEO Validator Guide ... Soon!!
QUESTIONS