



**UNCTAD / 28 February 2024**

**Understanding the ASYCUDA modules**  
Virtual Regional Workshop on  
Authorized Economic Operator (AEO) Program

**ASYCUDA Programme**  
Division on Technology and Logistics (DTL)



# ASYCUDA Programme – Technical Assistance Domain

## Implementation of Authorised Economic Operators (AEO) programmes for trusted traders

### Key principles

- ▶ **AEO validation and Authorization; Post-certification Monitoring**
- ▶ **AEO compliance and Risk management**
- ▶ **Facilitations and Simplifications**
- ▶ **Mutual Recognition Agreements and Exchange of Information**
- ▶ **Expanding the Concept of Authorized Economic Operator (AEO)**





# 1. AEO validation and Authorization; Post-certification Monitoring

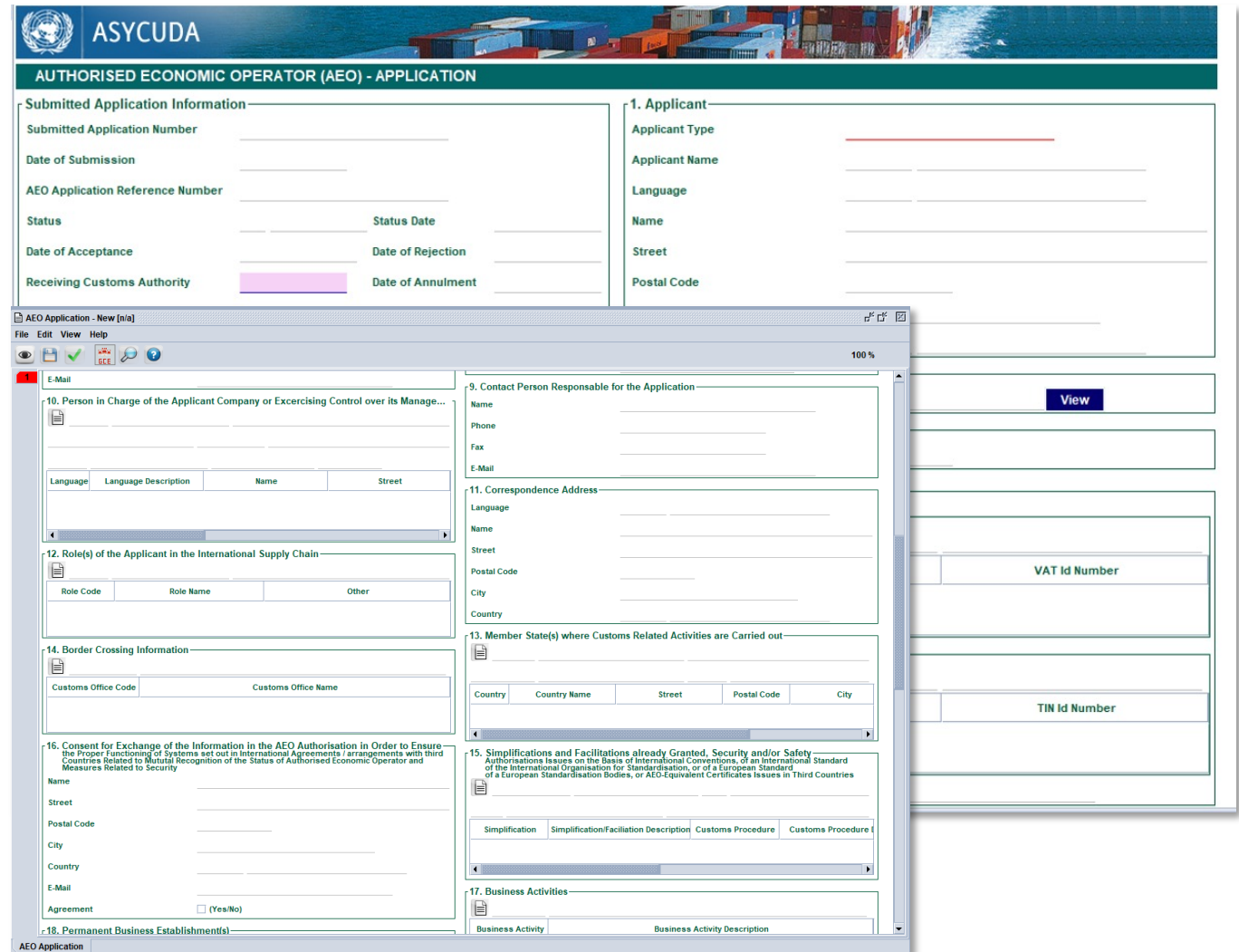
2. AEO compliance measurement - Risk management and Post Clearance Audit
3. Facilitations and Simplifications
4. Mutual Recognition Agreements and Exchange of Information
5. Expanding the Concept of Authorized Economic Operator (AEO)

# AEO Validation & Authorization Post-certification Monitoring

Workflow management system for the issuing of AEO authorisations and the management of its lifecycles once issued

## AEO Authorisations

- ▶ AEO applications management, including the related rejections and right to be heard, additional information requests, decision on granting authorisations
- ▶ AEO authorisations management, including the related suspensions, right to be heard before suspensions, revocations, revocation suspensions and re-assessments
- ▶ AEO status indicator update in Economic Operator Registration and Identification (EORI), and Customs Decisions Management System (CDMS)



The screenshot displays the ASYCUDA web interface for the 'AUTHORISED ECONOMIC OPERATOR (AEO) - APPLICATION' form. The form is divided into several sections:

- Submitted Application Information:** Fields for Submitted Application Number, Date of Submission, AEO Application Reference Number, Status, Status Date, Date of Acceptance, Date of Rejection, Receiving Customs Authority, and Date of Annulment.
- 1. Applicant:** Fields for Applicant Type, Applicant Name, Language, Name, Street, and Postal Code.
- 10. Person in Charge of the Applicant Company or Exercising Control over its Manage...:** A table with columns for Language, Language Description, Name, and Street.
- 12. Role(s) of the Applicant in the International Supply Chain:** A table with columns for Role Code, Role Name, and Other.
- 14. Border Crossing Information:** Fields for Customs Office Code and Customs Office Name.
- 16. Consent for Exchange of the Information in the AEO Authorisation in Order to Ensure the Proper Functioning of Systems set out in International Agreements or arrangements with third Countries Related to Mutual Recognition of the Status of Authorised Economic Operator and Measures Related to Security:** Fields for Name, Street, Postal Code, City, and Country, along with an Agreement checkbox (Yes/No).
- 18. Permanent Business Establishments(s):** Fields for Business Activity and Business Activity Description.
- 9. Contact Person Responsible for the Application:** Fields for Name, Phone, Fax, and E-Mail.
- 11. Correspondence Address:** Fields for Language, Name, Street, Postal Code, City, and Country.
- 13. Member State(s) where Customs Related Activities are Carried out:** A table with columns for Country, Country Name, Street, Postal Code, and City.
- 15. Simplifications and Facilitations already Granted, Security and/or Safety:** A table with columns for Simplification, Simplification/Facilitation Description, Customs Procedure, and Customs Procedure Description.
- 17. Business Activities:** Fields for Business Activity and Business Activity Description.

Additional elements include a 'View' button on the right side of the form and a 'VAT Id Number' field below the main form area.

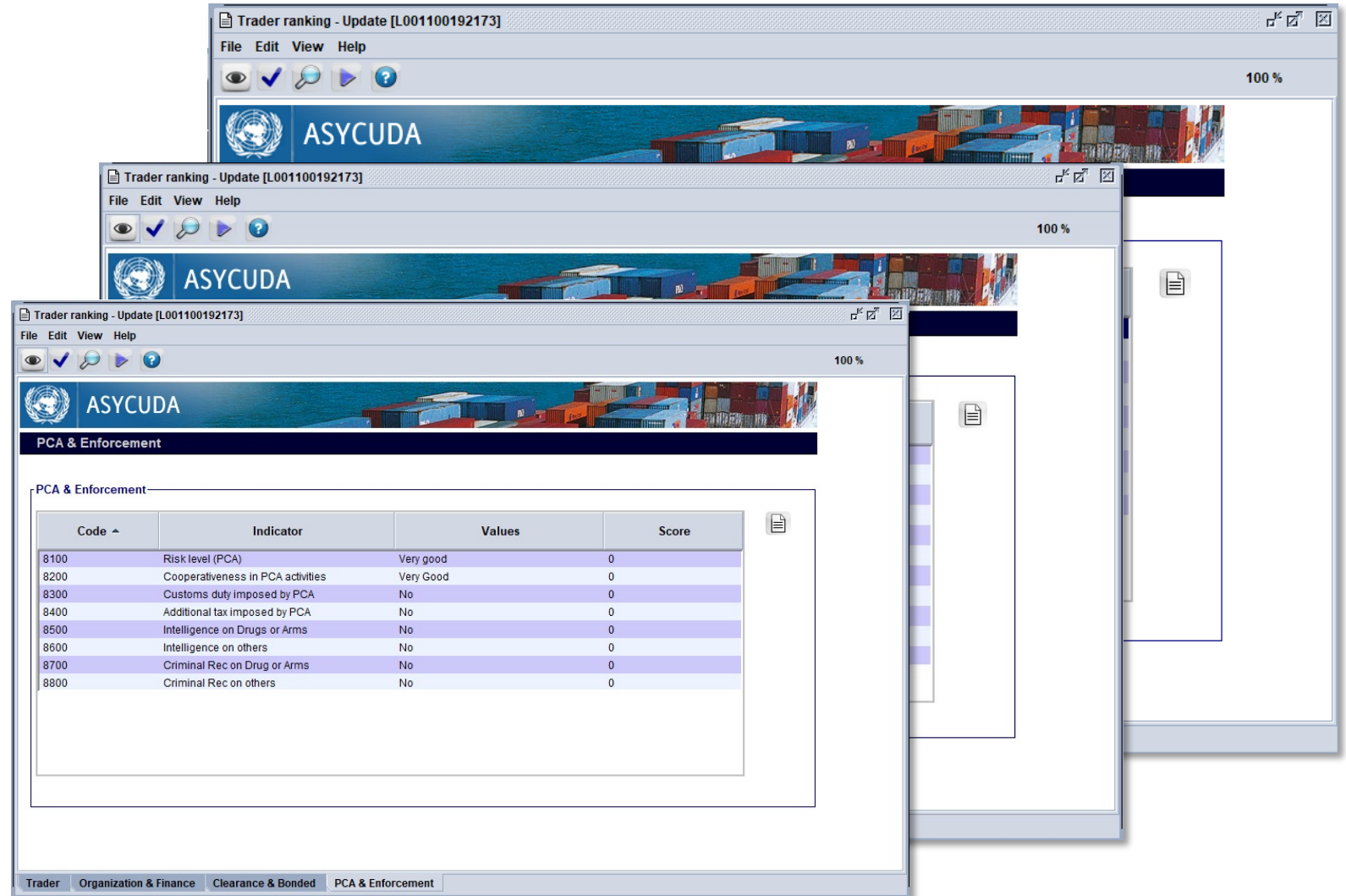
# Economic Operator compliance assessment

## “Trader/EO ranking” module

### EO Risk scoring

Set of indicators:

- ▶ Organisation & Finance (Trader/EO profile)
- ▶ Clearance & Bonded (Trade data)
- ▶ Post Clearance Audit & Enforcement (Information & Intelligence)



The screenshot displays the ASYCUDA application interface for the 'Trader ranking - Update [L001100192173]' module. The interface includes a menu bar (File, Edit, View, Help), a toolbar with icons for eye, checkmark, magnifying glass, play, and help, and a header with the ASYCUDA logo and a background image of shipping containers. The main content area is titled 'PCA & Enforcement' and contains a table with the following data:

Code ^	Indicator	Values	Score
8100	Risk level (PCA)	Very good	0
8200	Cooperativeness in PCA activities	Very Good	0
8300	Customs duty imposed by PCA	No	0
8400	Additional tax imposed by PCA	No	0
8500	Intelligence on Drugs or Arms	No	0
8600	Intelligence on others	No	0
8700	Criminal Rec on Drug or Arms	No	0
8800	Criminal Rec on others	No	0

The application also features a bottom navigation bar with tabs for 'Trader', 'Organization & Finance', 'Clearance & Bonded', and 'PCA & Enforcement'.

## Additional information

- ▶ **Economic Operator Registration and Identification (EORI)**
- ▶ AEO/Trader compliance level indicator
  - 0 – **Not an AEO**
  - 1 – **AEO** Customs Simplifications
  - 2 – **AEO** Customs Simplifications/ Security and Safety
  - 3 – **AEO** Security and Safety
  - 4 – **Trust & Check** Trader
  - 9 – AEO **Suspended/Revoked**
- ▶ Authorisations granted (e.g. AEO) and rejected Applications
- ▶ Processing Programs (Inward/Outward processing)
- ▶ ASYCUDA Accounts (Prepayment, Credit, Guarantee)
- ▶ Bank Accounts

ASYCUDA

EORI MANAGEMENT

**EORI record**

EORI number	Country code*	AL	Albania	EORI number	National ID*	2AL000001
Full name*	CIP SRL	Short name*	CIP	Date of establishment/Date of birth	01/01/2000	
Language	EN	EN	English	Start date*	01/01/1990	
Start date*	01/01/1990		Expiry date			

AEO Indicator\* **NAEO** 0 **Not AEO**

**Authorisation(s)**

Authorisation	Issu	Description	Location	Submitted date	Status
AL AEOs 000002	21/01/2023	AEOC 1 Customs Simplifications			
		AEOF 3 Customs Simplifications/Security and Safety			
		AEOs 2 Security and Safety	2023001	14/01/2023	Accepted
		NAEO 0 Not AEO			
		RAEO 9 AEO Suspended/Revoked			

**Processing Program(s)**

Program	Description	Valid From	Valid To
RLPATA/DE52261...	Advanced shpk	24/11/2014	20/11/2015 00:00:00

**Asycuda Account(s)**

Account	Type	Description	Valid From	Valid To	Status
CIPTEST	1	Credit	20/02/2023		Active
CIPTEST2	2	PrePayment	20/02/2023		Suspended

**Bank Account(s)**

Number	Code	Name
11111111111111111111	ALPHA_BANK	Alpha Bank A.E.
Reload Bank Accounts 2	SOCIETE_GENERALE	Banka Societe Generale Albania

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## Art. 7.4 – Risk Management

- Selection of declarations by criteria, randomly etc.
- Pre-loading/Pre-arrival/Clearance/Post clearance phase
- Multi-agency Risk Management
- Dynamic Selectivity
- Inspection Act / Selectivity Control Page
- Offence Database
- Economic Operator compliance ranking (**reduced levels of controls for AEOs**)

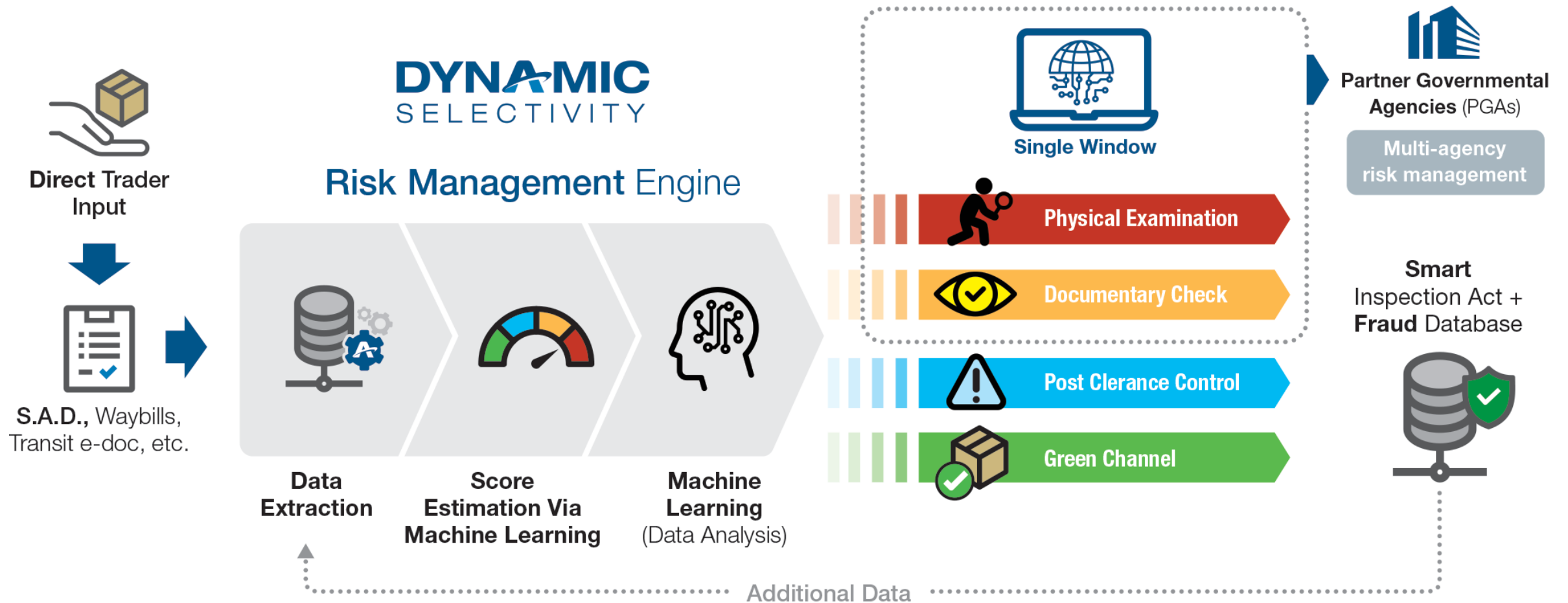
## Art. 7.5 – Post-clearance Audit

ASYCUDA provides capabilities for post-clearance audit including:

- Definition of Annual Audit Plan
- Selection of companies for audit based on PCA risk indicators,
- Use sampling techniques to select the transactions subject of review
- Frequency of audit based on EO compliance level (e.g. annual, bi-annual etc.)

\* *Reduction of controls at the clearance stage due to simplification and trade facilitation have to be compensated by post-clearance controls i.e. Customs administrations should perform sufficient post clearance controls as to compensate for the limited number of controls during clearance process*





- ▶ Automatic management of risk profiles
- ▶ Risk management engine based on Machine Learning (AI)
- ▶ Enhancement of selectivity mechanism
- ▶ Recommended by IMF, WB and Requested by countries

- ▶ **Audit Plan** - Functionality to define **Annual Audit Plan(s)** at different levels (**national, regional and local level**), including:
  - Setting out **overall audit priorities (audit areas)**
  - Number of **planned audits, their type (desk/field audit), their frequency and duration**
  - Monitor resource allocation and view the progress of audits, planned vs finalised audits to give an overview picture of **current status**
  - **Assign teams of auditors** for carrying out particular post clearance audits and controls, including automatic assignment of work orders and notifications of companies about the planned audit period
  - Record **traders selected for Post Clearance Audit**
- ▶ **Case Management** - Functionality to manage case files and prepare **audit report**:
  - Automatically **notify traders about audit**
  - **Use sampling techniques** to select the transactions subject of review (Customs declarations for check)
  - Record and display information about **trader's compliance history** e.g. previous audits, risk factor, history of administrative measures etc.
  - **Record the job of each auditor**
  - Report the **summary of checks and findings (irregularities, penalties, recovered duty/tax)** of post clearance audit, including facility to record **recommendations**

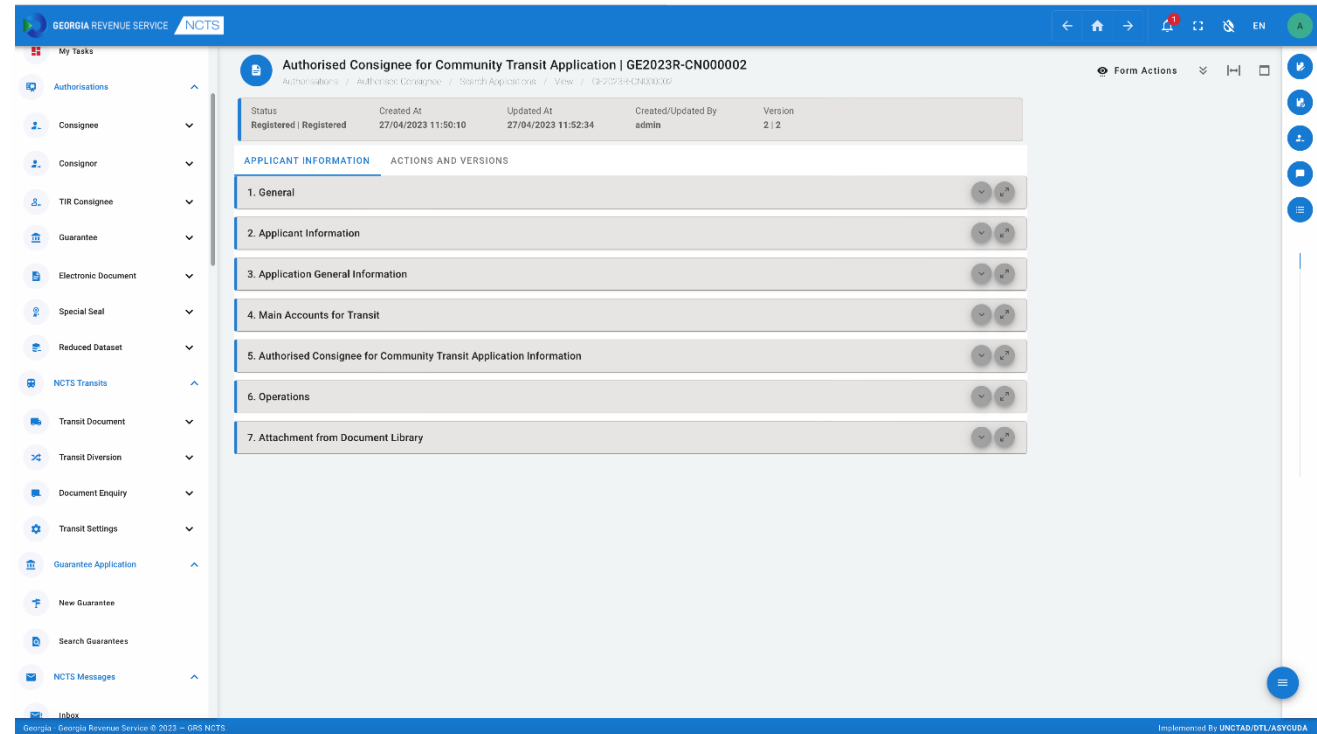
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## New Computerised Transit System (NCTS)

- ▶ Authorisation for the status of **authorised consignee** for Common transit
- ▶ Authorisation for the status of authorised consignee for TIR operation
- ▶ Authorisation for the status of **authorised consignor** for Common transit
- ▶ Authorisation for the provision of a **comprehensive guarantee**, including possible reduction or waiver
- ▶ Authorisation to use of seals of a special type
- ▶ Authorisation to use transit declaration with a reduced dataset
- ▶ Authorisation for the use of an electronic transport document as customs declaration



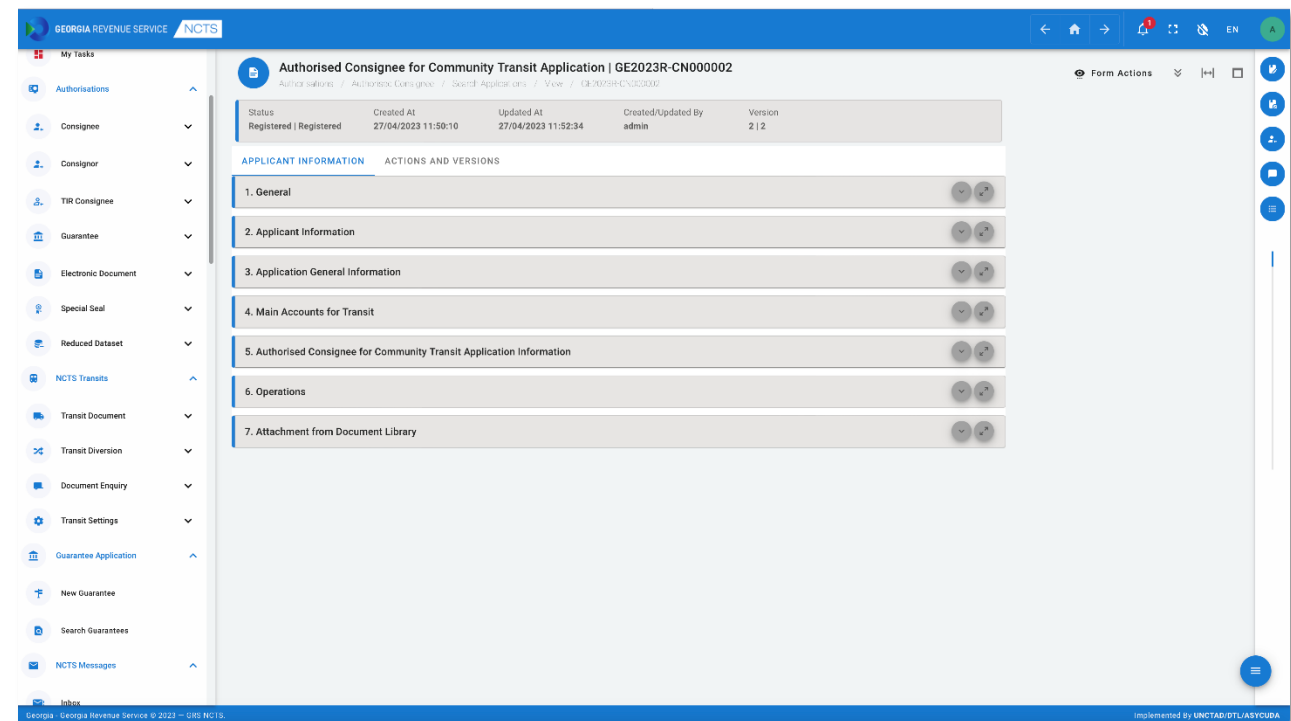
The screenshot displays the NCTS (New Computerised Transit System) interface for the Georgia Revenue Service. The main content area shows the details for an 'Authorised Consignee for Community Transit Application' with ID GE2023R-CN000002. The application status is 'Registered | Registered', created on 27/04/2023 at 11:50:10, and updated on 27/04/2023 at 11:52:34. The application is managed by 'admin' and is at version 2.1.2.

The interface includes a sidebar menu with categories like 'My Tasks', 'Authorisations', 'Consignee', 'Consignor', 'TIR Consignee', 'Guarantee', 'Electronic Document', 'Special Seal', 'Reduced Dataset', 'NCTS Transits', 'Transit Document', 'Transit Diversion', 'Document Enquiry', 'Transit Settings', 'Guarantee Application', 'New Guarantee', 'Search Guarantees', and 'NCTS Messages'. The main form area is titled 'APPLICANT INFORMATION' and 'ACTIONS AND VERSIONS', and contains seven sections: 1. General, 2. Applicant Information, 3. Application General Information, 4. Main Accounts for Transit, 5. Authorised Consignee for Community Transit Application Information, 6. Operations, and 7. Attachment from Document Library. Each section has expand/collapse and refresh icons.

At the bottom of the page, it states 'Georgia - Georgia Revenue Service © 2023 - GRS NCTS' and 'Implemented By UNCTAD/DTL/ASYCUDA'.

## Transit simplifications

- ▶ Application for Transit simplifications – **Structure of data to be filled in/Sections of Application creation page:**
  - Applicant information, Application General, Information, Application Specific Information
- ▶ Application workflows
  - Process “**Accept application**” :
    - *Conditions and criteria for acceptance, Request for additional information, Withdrawal of application, Accept/Refuse application*
  - Process “**Take decision**”
    - *Additional conditions and criteria that must be checked by the Customs officer. Verification of conditions and criteria if **the trader is holder of an AEO certificate***
    - *Request for additional information*
    - *Favorable/Not-favorable decision*



The screenshot displays the NCTS (New Computerised Transit System) interface for an 'Authorised Consignee for Community Transit Application'. The application ID is GE2023R-CN000002. The status is 'Registered | Registered', created on 27/04/2023 at 11:50:10, and updated on 27/04/2023 at 11:52:34. The application is managed by 'admin' and is at version 2 | 2.

The interface is divided into two main sections: 'APPLICANT INFORMATION' and 'ACTIONS AND VERSIONS'. The 'APPLICANT INFORMATION' section contains seven sections, each with a collapse/expand icon:

1. General
2. Applicant Information
3. Application General Information
4. Main Accounts for Transit
5. Authorised Consignee for Community Transit Application Information
6. Operations
7. Attachment from Document Library

The left sidebar shows a navigation menu with various options such as 'My Tasks', 'Authorisations', 'Consignee', 'Consignor', 'TIR Consignee', 'Guarantee', 'Electronic Document', 'Special Seal', 'Reduced Dataset', 'NCTS Transits', 'Transit Document', 'Transit Diversion', 'Document Enquiry', 'Transit Settings', 'Guarantee Application', 'New Guarantee', 'Search Guarantees', and 'NCTS Messages'. The footer indicates the system is implemented by UNCTAD/ITL/ASYCUDA.

# Transit simplifications

## Easier access to simplifications where the applicant is AEO

2. Action Checklist

- Applicant/holder regularly uses the union transit arrangements
- DTCA are able to supervise the procedure and carry out controls without disproportionate administrative effort
- Applicant can demonstrate a high level of control of his operations and of the flow of goods, by means of a system of managing commercial and, where appropriate, transport records, which allows appropriate customs control
- Applicant demonstrates practical standards of competence or professional qualifications directly related to the activity
- Applicant has not been convicted of serious criminal offence or committed serious infringement of customs legislation
- Applicant allows the customs authority access to its customs and, where applicable, to its transport records
- The Customs Officer confirms that no other reason could lead to the rejection of the authorisation

Decision \*

Accept  Reject

4. Main Accounts for Standard Customs Decision + Add Account ^ ↵

Place of Accounts

Is the applicant AEO authorised?

#4.1

Location \* Street and Number \* Postcode \*

City \* Country \* Please select? ▼

Type of Accounts \*

Language

# Customs Decisions Management System

## Reduced number of conditions/criteria to be checked where the applicant is an AEO

The screenshot displays the CDS interface for a 'TST - Temporary Storage Authorisation' application. The header includes the 'Customs Service Of The Republic of Moldova' logo and the 'CDS' title. A navigation menu on the left lists various decision types such as ACR, ACT, CGU, ETD, SSE, TRD, IPO, OPO, CWP, DPO, TST, TEA, SDE, EUS, and EIR. The main content area is titled 'TST - Temporary Storage Authorisation' and shows the breadcrumb path: 'Customs Decisions / Authorisations / TST | Temporary Storage / Search Authorisations / View / MDTST2023R000001'. The form is divided into three main sections: 'A. General Application Information', 'B. Placing Goods Application Information', and 'C. Temporary Storage Application Information'. Section A includes 'Customs Decision Application Type' (TST | Application or authorisation for the operation of storage facilities for the temporary storage of goods) and three sub-sections: '1. General', '2. Applicant Information', and '3. Application General Information'. Section B includes '4. Main Accounts for Placing Goods Under a Customs Procedure'. Section C includes '4. Goods to Be Placed Under Temporary Storage' and '6. Guarantee'. At the bottom, the 'Customs Office of Guarantee' (MD2000 | BV Centru) and 'Customs Office of Supervision' (MD2030 | PVFI Leuseni) are listed. The footer contains the copyright information 'Customs Service of The Republic of Moldova © 2023 - SVM CDS.' and 'Implemented By UNCTAD/DTL/ASYCUDA'.

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# Mutual Recognition Agreements & Exchange of Information

## EU - Republic of Moldova AEO MRA Summary



### Who

- ▶ EU & Moldova
- ▶ AEOS & AEOC/S combined authorisation holders

### How

- ▶ Data automatically retrieved & exchanged
- ▶ The AEO does not have to do anything beforehand

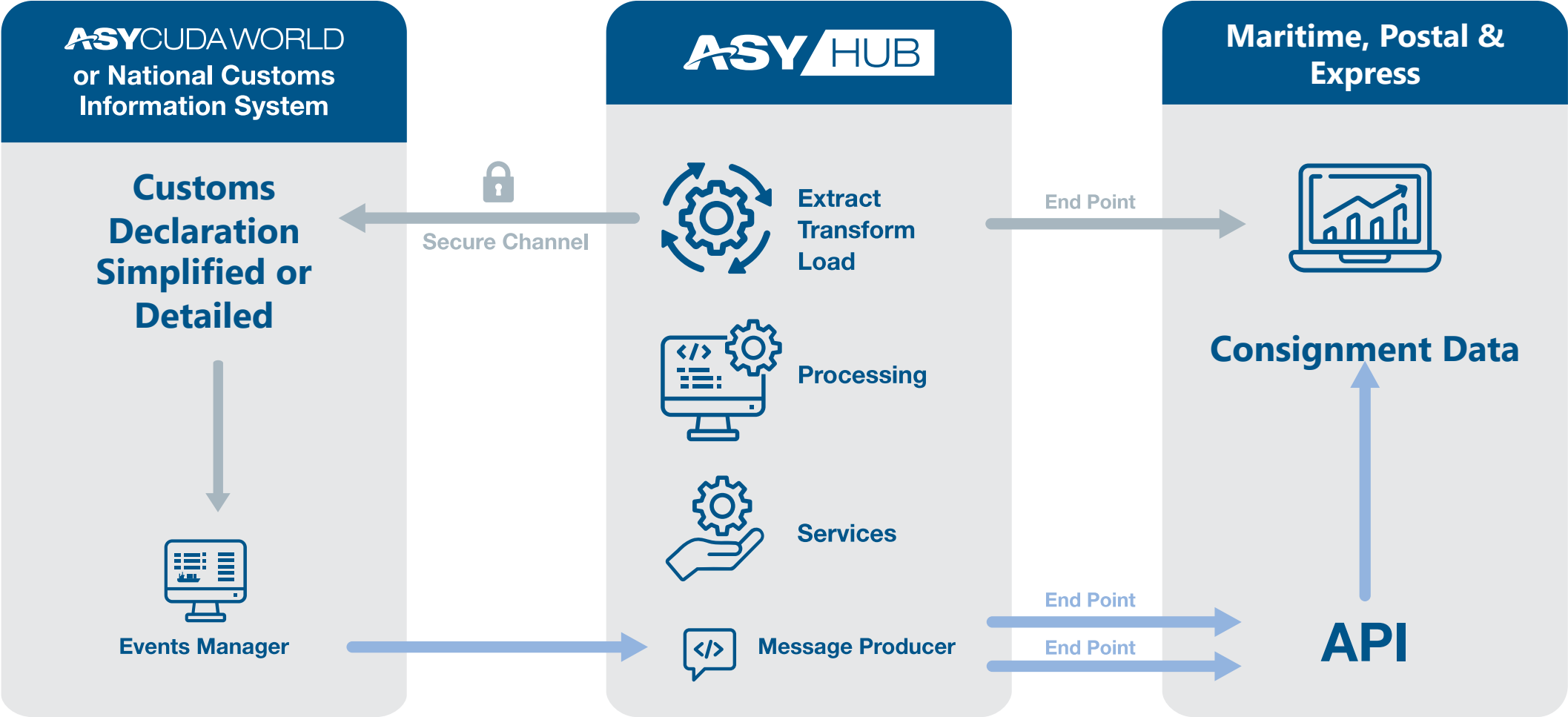
### Why

- ▶ Fewer security & safety related controls
- ▶ Recognition of business partners during the application process
- ▶ Priority treatment at customs clearance
- ▶ Business continuity mechanism

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# Building ASYCUDA Data Ecosystem

“Trust & Check” Upgrading and strengthening the current Authorised Economic Operators (AEO) programmes



ASYHUB – New Data Exchange and Data Integration platform with 3<sup>rd</sup> party platforms



- ▶ **ASYHUB** is an open **standardized platform** that facilitates the Data processing and Data Integration between Customs Information System and Other external systems/platforms
- ▶ It is **fully Integrated** with **ASYCUDAWorld System**
- ▶ It is **Integrated** with **Ship Data Providers (DCSA/IMO/WCO), Postal Data Providers (UPU/WCO), Express Consignment Data Providers (GEA/WCO)**
- ▶ It is a **multi-connectors extendable** platform that receives data from different sources
- ▶ Enables **Pre-Arrival** and **Pre-Departure Processing** for Maritime, Postal & Express Consignments
- ▶ Enables EO's to connect and **provide real-time data on the movement of their consignments** and evidence of their compliance with all relevant regulations
- ▶ Provides Customs authorities with **richer information** to support a more informed risk assessment for a better targeting and more effective decision on which consignment to inspect
- ▶ Provides Customs authorities with **full supply chain overview**, which can be analysed in full or in part at any time

## END-2-END Supply Chain Visibility



### ASY HUB



## eCommerce – Postal



## eCommerce – Express





# Expanding the Concept of AEO to Cross-Border E-Commerce



Clearance procedure for express consignments streamlined and expedited, facilitating the processing prior to the arrival of goods with a view to expediting the release of goods upon arrival

ASYHUB Platform UI

Express Consignments  
Express Cargo / Express Consignments

Column Visibility Filter Reset Filter Export CSV Reload + New

Reference	Parent Reference	Loading Place	Discharge Place	Departure Port	Departure Date	Voyage Id	Transport Means	Document Status	Weight	System Category	Currency	USD Value	Flow
MH888-AWB18	MH888-MASTER1	SGSIN	KHPNH	SGSIN	2024-02-12	MH888	MILO TRANS	underRelease	13	CATEGORY_3	USD	60	IMPORT
MH888-MASTER		SGSIN	KHPNH	SGSIN	2024-02-12	MH888	MILO TRANS	underRelease	1000	NO_CATEGORY	USD	0	IMPORT
MH888-AWB36	MH888-MASTER1	SGSIN	KHPNH	SGSIN	2024-02-12	MH888	MILO TRANS	underRelease	43	CATEGORY_3	USD	60	IMPORT
MH778-AWB11	MH778-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH778	MILO TRANS	underRelease	3	CATEGORY_3	USD	60	IMPORT
MH775-MASTER		SGSIN	KHPNH	SGSIN	2024-01-12	MH775	MILO TRANS	underRelease	1000	NO_CATEGORY	USD	0	IMPORT
MH778-AWB09	MH778-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH778	MILO TRANS	Released	1	CATEGORY_2	USD	40	IMPORT
MH778-AWB08	MH778-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH778	MILO TRANS	Released	1	CATEGORY_2	USD	40	IMPORT
MH778-AWB07	MH778-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH778	MILO TRANS	underControl	3	CATEGORY_2	USD	40	IMPORT
MH778-AWB12	MH778-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH778	MILO TRANS	underRelease	3	CATEGORY_3	USD	60	IMPORT
MH775-HB55	MH775-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH775	MILO TRANS	underRelease	1000	CATEGORY_3	USD	400	IMPORT
MH778-AWB13	MH778-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH778	MILO TRANS	underRelease	13	CATEGORY_3	USD	60	IMPORT
MH775-BOL02	MH775-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH775	MILO TRANS	underRelease	1000	CATEGORY_3	USD	400	IMPORT
Manith-Testing	MH775-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH775	MILO TRANS	underRelease	1000	CATEGORY_3	USD	400	IMPORT
MH778-AWB06	MH778-MASTER	SGSIN	KHPNH	SGSIN	2024-01-12	MH778	MILO TRANS	Released	1	CATEGORY_2	USD	40	IMPORT

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**THANK YOU!**  
QUESTIONS & ANSWERS



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