

o

System Requirements Document

Authorized Economic Operator (AEO) Management System



الهيئة الاتحادية للهوية
والجنسية والجمارك وأمن المنافذ

FEDERAL AUTHORITY FOR IDENTITY,
CITIZENSHIP, CUSTOMS & PORT SECURITY

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26/8/2025	<ul style="list-style-type: none"> • Omer El Sayed • Hassan Abdelhamid 	<ul style="list-style-type: none"> • Alaa Ismail 	1.1	<ul style="list-style-type: none"> • Provide downloadable templates for the AEO authorization request documents. • Update the violation document to make it optional rather than mandatory. • Restrict the view of AEOs from MRA countries so that it is accessible only to logged-in users. • Adding reference number format for the following request types: <ul style="list-style-type: none"> ○ Commercial establishment account creation request ○ AEO authorization request. ○ Appeal request. • Remove the senior administrator approval on the create establishment account request.

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Client Review Log

Date	Author	Reviewer	Version Number	Description

Approval

Name	Job Title	Date	Signature	Comments

1. Introduction

1.1. Purpose of the Document

This document aims to define the system requirements for the development of the Authorized Economic Operator (AEO) Management System. The objective is to establish an integrated technical solution that enhances the efficiency of customs procedures and supports the supply chain at both national and international levels. The system focuses on simplifying and automating the processes of registering and certifying economic operators, thereby increasing the reliability of commercial operations, facilitating compliance with customs regulations, and providing tangible operational benefits to stakeholders in the international trade sector.

1.2. Scope of the AEO Program

The AEO Management System is a comprehensive platform for managing the full lifecycle of commercial establishment AEO status. It provides a set of core business capabilities for each stakeholder, including:

- Establishment
 - Allowing access to general information related to the AEO program.
 - Enabling registration of commercial establishments and the creation of dedicated accounts on the portal.
 - Submitting AEO authorization requests by entering required data and uploading supporting documents.
 - Enabling completion of the SAQ to enhance commercial establishment readiness prior to verification.
 - Participating in the validation process.
 - Enabling viewing issued AEO certificate.
- Local Customs Departments
 - Enable local customs Departments officers to review, verify, and approve/reject applications

- Reviewing AEO authorization requests and conducting preliminary risk assessments.
 - Developing and sharing the self-assessment questionnaire (SAQ) with the commercial establishment.
 - Conducting initial risk assessments and developing the assessment plan.
 - Conducting validation activities including managing site visits and scheduling audits to verify compliance with approved standards.
 - Developing the assessment report and the control plan.
 - Issuing the Authorized Economic Operator certificate.
 - Continuously monitoring the performance of certified AEOs.
 - Implementing procedures for suspending or revoking AEO status in case of non-compliance, with an automated mechanism for appeal and grievance submission.
 - Managing the appeal process.
- Federal Customs Department
 - Managing mutual recognition agreements and associated benefits.
 - Managing national and GCC-related benefits.
 - Shared features for all stakeholders:
 - Facilitating communication through the system between the commercial establishment and the designated customs officer.
 - Sending automated notifications and alerts throughout all stages of the application process.
 - Record and display audit log for all events and interactions that happen in the system.
 - The proposed system will be based on a responsive design for all portal, which ensures the portal pages automatically adapt to various screen sizes of users' mobile devices.

1.3. Out of AEO Program Scope

- The mobile application is not part of the AEO Management System's scope. The proposed system features a responsive web design, ensuring seamless adaptation of web pages to various mobile device screen sizes.
- The tiered system is currently out of scope for this document and may be considered as one of the proposed future enhancements to the system.

1.4. Definitions and Abbreviations

#	Term	Definition
1	Commercial Establishment	An entity that is officially registered and engages in commercial, industrial, or service activities with the aim of generating profit. It operates in accordance with the laws and regulations in force within the country.
2	Economic Operator	Any party involved in the international supply chain and directly or indirectly engaged in customs-related activities.
3	Authorized Economic Operator (AEO)	Any party participating in the international supply chain is considered trustworthy by the customs authority and meets the internationally recognized security and safety requirements and standards, thus qualifying for the AEO certificate.
4	AEO Program	A program that offers a package of agreed-upon benefits and facilitations to economic operators who meet the criteria outlined in the GCC AEO program, in line with the World Customs Organization's SAFE Framework of Standards to Secure and Facilitate Global Trade.
5	GCC AEO Guide	The policy, procedures, requirements, and benefits intended to support and facilitate the implementation of

		the AEO program across the Gulf Cooperation Council (GCC) countries.
6	GCC Authorized Economic Operator Guide (First Edition)	The policies, procedures, requirements, and benefits aimed at facilitating and supporting the Authorized Economic Operator (AEO) program in the Gulf Cooperation Council (GCC) member states.
7	Risk	The probability of not fulfilling the eligibility requirements, leading to potential violations of laws, regulations, procedures, or security protocols.
8	General Department of Customs	The General Department of Customs in the Federal Authority for Identity, Citizenship, Customs & Port Security
9	Local Customs Department	<ul style="list-style-type: none"> ● The local customs authority in one of the seven emirates of the UAE, including: <ul style="list-style-type: none"> ○ Abu Dhabi Customs ○ Dubai Customs ○ Sharjah Customs ○ Ajman Customs ○ Umm Al Quwain Customs ○ Ras Al Khaimah Customs ○ Fujairah Customs
10	Relevant Customs Department	The local customs department is responsible for processing AEO authorization requests based on the emirate in which the trade license was issued.
11	Questions Bank	A centralized database of questions used by the general department of customs to create and manage questions for the Self-Assessment Questionnaire (SAQ). Questions are organized by topic and linked to relevant

		business activities. The bank supports multiple answer types and is used to generate standard SAQ templates for use by all local customs departments, ensuring consistency in evaluation criteria.
12	Self-Assessment Template	A standardized template created by the general department of customs using the approved questions from the Question Bank. It serves as the core framework for evaluating commercial establishments applying for the AEO program. The template is shared with local customs departments to customize according to each commercial establishment's business activity and then shared with the commercial establishment for completion. It aims to unify the evaluation mechanism and ensure transparency and consistency.
13	Self-Assessment Questionnaire (SAQ)	A form that must be completed by all applicants to the UAE AEO program, providing detailed information about the economic operator across all required areas.
14	Assessment Plan	The plan developed by the Validation Team outlines how the validation phase will be executed.
15	Assessment File	An internal comprehensive document prepared by the validation team after the validation phase. It includes field notes, validation results, recommendations, and remaining risk analysis. This file is used by the customs department to decide on granting AEO status and is not shared with the applicant commercial establishment.
16	Assessment Report	An official report prepared after the validation phase and shared with the commercial establishment. It contains the validation findings and recommendations

		required to meet the AEO program requirements and serves as guidance for improving readiness.
17	Key Accounts Team	The team responsible for monitoring the performance of the commercial establishment. It consists of multiple Key Account Managers and is led by a Key Account Lead.
18	Benefits	A package of facilitations offered by the AEO program in the United Arab Emirates.
19	Mutual Recognition Agreement (MRA)	A bilateral or multilateral international agreement that mutually recognizes AEO status and provides reciprocal benefits to certified economic operators of all parties involved.
20	Compliance Improvement Plan	A plan developed by the relevant customs department that includes corrective measures for economic operators who fail to meet AEO eligibility requirements. The plan must be implemented within a defined timeframe.
21	Authorized Economic Operator (AEO) Portal	The electronic platform used by the economic operator to perform all operations related to the AEO program.
22	Local Customs AEO Management Portal	The electronic platform is used by the local customs departments to carry out and monitor all operations related to processing AEO applications.
23	Federal AEO management portal	The electronic platform used by the general department of customs in the federal authority for identity, citizenship, customs & port security, to set up and configure the major processes in the AEO system and monitor the whole customs department and to issue the certificate.

24	Commercial establishment Account Manager	The owner/founder of the commercial establishment or an authorized representative who has the authority to add other users to perform tasks related to the AEO program.
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Table 1— Definitions and Abbreviations

1.5. Who Should Read This Document?

This document aims to define the system requirements for the development of the Authorized Economic Operator (AEO) Management System.

It should be reviewed and understood by all stakeholders involved in the implementation of the project or affected by its outcomes, to ensure role clarity and alignment.

The target audience for this document includes the following categories:

#	Category	Purpose of Reading the Document
1	Business Teams	To review the defined business requirements and ensure they align with actual needs.
2	IT Teams	To understand the technical aspects of the project and assess the technical requirements for implementation and support.
3	Quality and Performance Assurance Teams	To review performance requirements and standards to ensure the quality of the final deliverables.
4	Senior Management	To review and approve the business requirements and support the implementation of the project according to regulatory frameworks.
5	Project Managers	To plan project activities, schedule tasks, and ensure objectives are achieved based on the specified requirements.

6	Legal and Compliance Teams	To ensure all requirements comply with applicable laws and regulations.
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Table 2— The target audience for this document includes the following categories:

1.6. Assumptions

- The GCC AEO Guide is the official reference for defining policies, procedures, and requirements related to the AEO program as documented herein.
- If an economic operator engages in multiple activities across the supply chain, they may submit a single application covering all activities
- The system will have one unified list of activities across the supply chain that will be applied on national, GCC and MRA countries' AEOs.
- All notifications & reminders shared with the commercial establishment users will be sent through email only and in both languages Arabic and English.
- Currently Abu Dhabi and Dubai Customs are the only authorities authorized to issue AEO certificates. However, we will configure other emirates customs in the future as authorized AEO based on ICP request. Accordingly, for now the onboarding procedures for the program are limited to these two emirates. The roles of customs departments in the other emirates that are not authorized to issue AEO, are limited to the following:
 - Participating in the preliminary risk assessment upon receiving an "AEO Authorization Request" request, including:
 - Adding any registered violations related to the parent commercial establishment or any of its branches.
 - Adding any branches engaged in supply chain activities that were not included in the application.
 - Receiving notifications in specific cases.
 - Viewing the following:

- List of certified commercial establishments.
- Mutual recognition agreements.
- List of national and GCC-level benefits.
- Share the KPIs with the federal customs.
- The statistics and reports that can be extracted from the system will be defined and discussed in detail at a later stage and will be shared in a separate document.
- as well as potential use cases for artificial intelligence, will be discussed and defined at a later stage, and will be shared in a separate document.

2. Overview

The General Department of Customs in Federal Authority for Identity, Citizenship, Customs & Port Security (ICP) has launched an initiative to develop and implement the Authorized Economic Operator (AEO) Management System, with the goal of facilitating trade, simplifying certification and compliance procedures, and enhancing border security, while ensuring alignment with international standards and best practices.

The initiative aims to build a comprehensive system to manage AEO statuses, leveraging the latest technologies to create a secure, user-friendly digital environment that delivers operational efficiency and scalability to meet future requirements.

This initiative is in response to growing challenges faced by customs authorities worldwide and aims to:

- Simplify the certification process for economic operators while maintaining strict compliance standards.
- Enable real-time risk monitoring and compliance management to enhance border protection.
- Integrate with existing systems such as single-window platforms, financial systems, and other government entities.
- Ensure system flexibility and scalability to adapt to future regulatory and technological changes.

2.1. AEO Program Eligibility Requirements:

The GCC AEO program sets the eligibility criteria for the AEO program, therefore the commercial establishment must have:

- A proper record of compliance with customs laws and regulations and other laws and obligations related to customs activities.
 - Compliance with the required level of laws, regulations, and procedures for a period not less than three (3) years.
- A record management system that enables the necessary internal control
 - Implementing procedures and measures that enables maintaining records and internal control, and ensures compliance with the required standards, including customs systems and procedures as well as transport records.
 - Implementing accounting and inventory systems and standards that allow customs control to be conducted by tracking imported or exported goods and the various relevant operations.
- Financial Solvency.
 - Proof of financial solvency by showing the settlement of fees, duties, taxes and all dues without delay and the soundness of the financial position.
- The World Customs Organization SAFE Framework of Standards to Secure and Facilitated Global trade (SAFE Framework).
 - Implement security and safety conditions in the supply chain, as well as the risk assessment system, in accordance with the standards of SAFE.

2.2. Current State

- Currently, there is no dedicated electronic system for managing the AEO status.
- related processes—registration, application submission, data review, and application evaluation—are performed manually, which leads to several challenges, including:

- Prolonged processing times for applications.
- Increased risk of human errors during data collection and review.
- It is difficult for applicants to accurately and transparently track the status of their applications.
- Limited effective communication between commercial establishments and customs departments.
- Absence of digital systems for structured documentation and recordkeeping.
- This current situation underscores the urgent need for the development of a comprehensive electronic system that automates processes and enhances performance efficiency and the quality of services delivered to stakeholders.

2.3. Future State

With the introduction of the electronic system for the Authorized Economic Operator (AEO) management system, the lifecycle of commercial establishment AEO status will be fully digitized and managed through a unified electronic platform that supports all required processes and procedures. This system will contribute to enhancing operational efficiency, ensuring transparency, and improving the quality of services provided through the following features:

- Display general information about the program to inform target commercial establishments of the objectives, benefits, and AEO status requirements.
- Enable commercial establishments to register and create dedicated electronic accounts via the portal.
- Allow submission of “AEO Authorization Request”, including data entry and document uploads.
- Review applications and conduct automated preliminary risk assessments.
- Prepare the self-assessment questionnaire (SAQ) by the customs department and share it with the commercial establishment.
- Fill out the self-assessment questionnaire (SAQ) electronically by commercial establishments in preparation for the field phase.
- Prepare the field evaluation plan, conduct field visits, and perform verification.

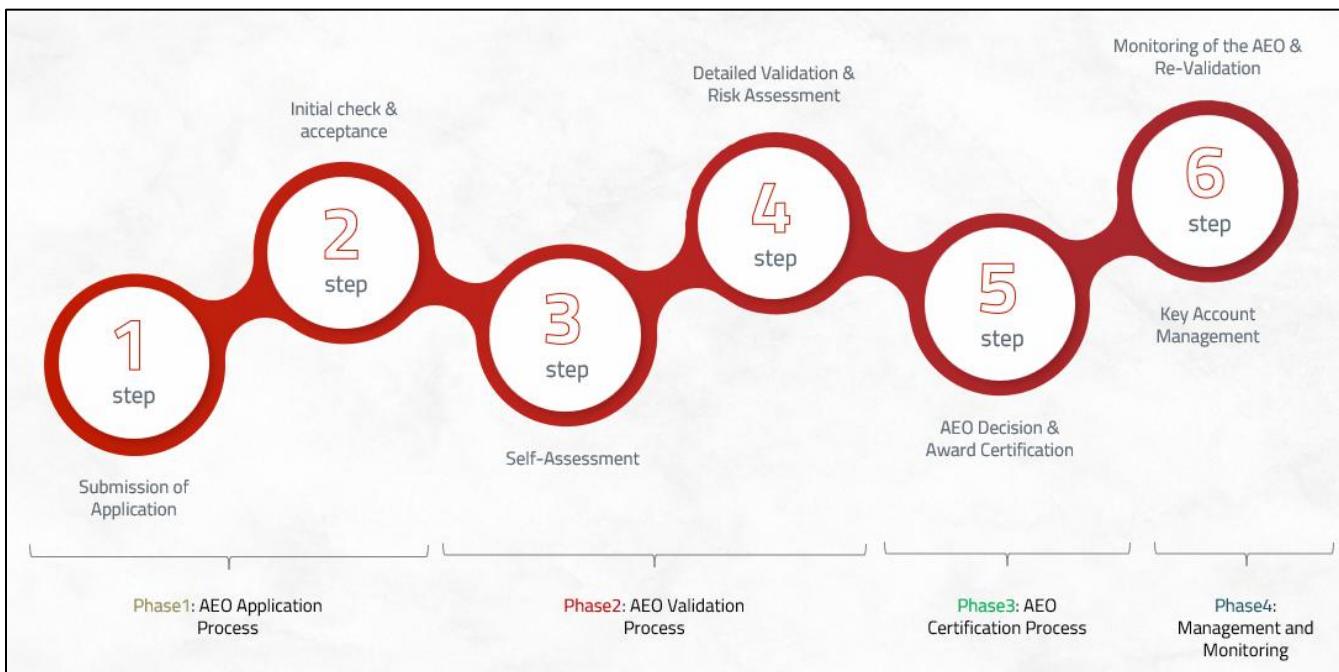
- Document evaluation results through detailed reports and control plans.
- Issue certificates electronically to companies that meet the requirements.
- Monitor the ongoing performance of approved companies and manage reassessment or membership cancellation procedures when necessary.
- Provide an electronic mechanism for objections and appeals against program decisions.
- Manage Mutual Recognition Agreements (MRA):
 - Exchange of statistical lists and reports with other countries (manual/email notifications).
 - Record of benefits according to agreements.
- Enable direct communication between commercial establishments and designated customs officers.
- Send real-time electronic notifications and alerts at all stages of the application process.
- Key Performance Indicators (KPIs):
- Advanced risk management:
 - Risk classification based on the approved map in the Gulf AEO Program.
- Interactive dashboard:
 - For establishments: Track requests, benefits, and performance indicators.
 - For customs administrations: Request status, performance, notifications.
- Support training and documentation:
 - User awareness interfaces.
 - Electronic library of documents and guidelines.
- Document management:
 - Central repository for attachments and system-generated reports.
 - Track the status of grievances and objections electronically.

- Expected future impacts:
 - Accelerate registration and review procedures, reducing the time required to process applications.
 - Improve the accuracy of data collection and analysis, relying on actual performance indicators.
 - Enable companies to track their requests instantly and transparently.
 - Enhance the efficiency of customs departments in managing operations and monitoring performance.
 - Reduce dependence on paperwork and achieve full digital transformation.
 - Document procedures and improve electronic record management.
 - Strengthen integration and communication between customs authorities and beneficiary companies.

This digital transformation will contribute to raising customer satisfaction levels and achieving the highest standards of performance and customs compliance in line with international best practices.

2.4. Overview of the Enrollment Procedures in the Authorized Economic Operator (AEO) Program

The diagram below provides an overview of the enrollment procedures in the Authorized Economic Operator (AEO) Program.



The AEO qualification process consists of several subprocesses:

- AEO Application process
- AEO Validation (evaluation) process
- AEO Certificate process
- Continuous monitoring and performance evaluation process

3. AEO Management System Overview

The Authorized Economic Operator (AEO) Management System is a centralized digital platform designed to support and streamline all processes related to the AEO program in the United Arab Emirates. It serves a wide range of stakeholders including:

- Commercial establishments applying for or currently holding AEO status
- Commercial entities interested in engaging with AEO-certified partners
- AEOs from within the UAE, the GCC, or internationally
- Countries with Mutual Recognition Agreements (MRAs) with the UAE

- Countries interested in initiating MRAs with the UAE

To enhance user experience and streamline operations, the AEO Management System will be integrated with multiple internal and external systems. These integrations will ensure data accuracy, reduce duplication, and support real-time decision-making.

The system is composed of three integrated portals, each tailored to meet the specific needs of different user groups:

1.AEO Portal

- Target Users:
 - Anonymous users
 - Registered Commercial establishments.
- Key Capabilities:
 - View and understand the Emirati AEO Program
 - Registered and anonymous users
 - Access existing MRA agreements
 - Registered and anonymous users
 - Browse national AEOs.
 - Registered and anonymous users
 - Browse GCC and MRA AEOs
 - Registered users
 - Initiate communication with the General Department of Customs
 - Registered users
 - Submit and manage AEO authorization requests.
 - Registered users

- View post-authorization benefits and interactions.
- Use case diagram.
 - [AEO Establishment portal use case Level 01](#)
 - [AEO Establishment portal use case Level 02](#)

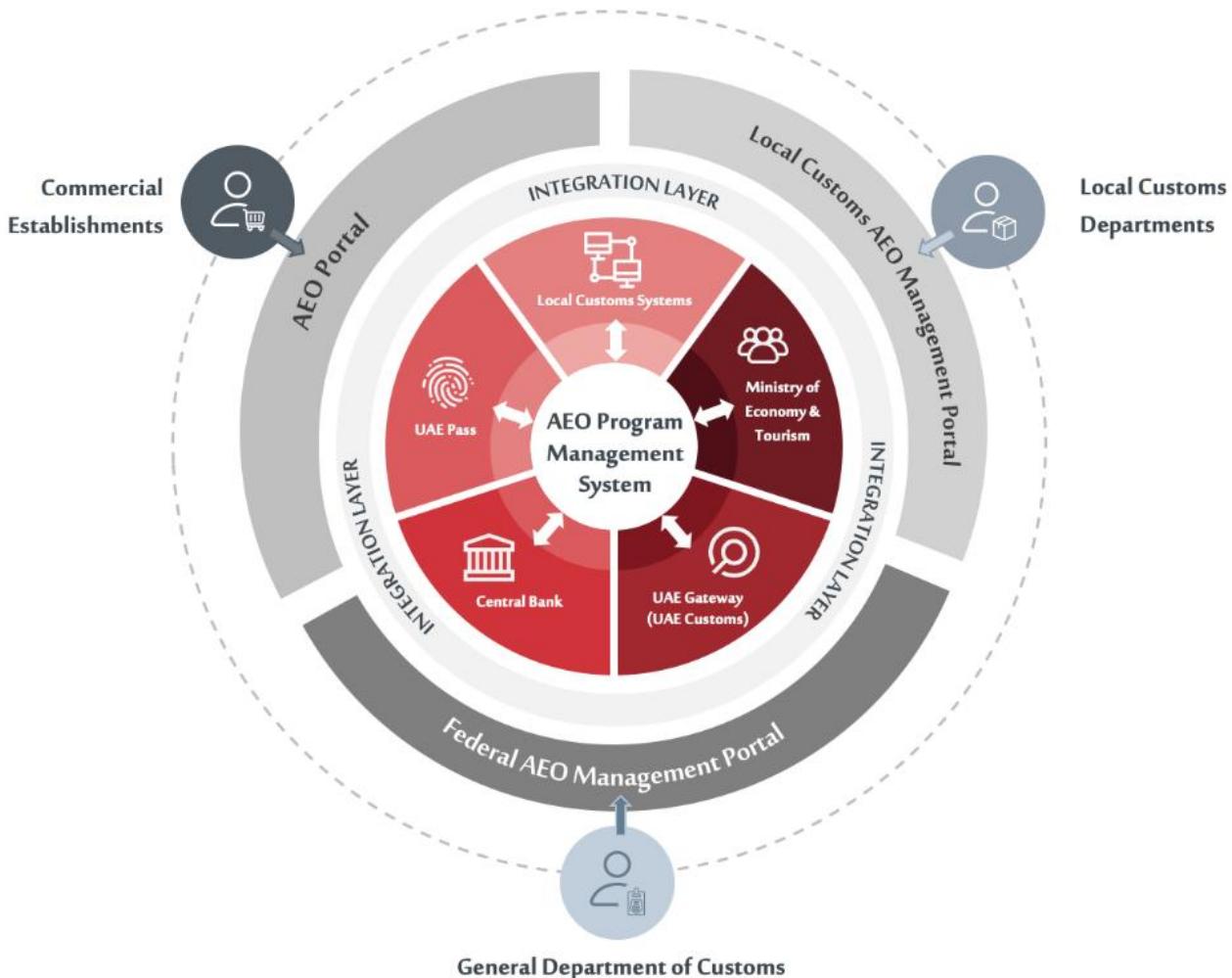
2. Local Customs AEO Management Portal

- Target Users:
 - Local customs department.
- Key Capabilities:
 - Manage all backend processes related to AEO authorization requests.
 - Monitor and support AEOs after status has been granted.
 - Report key performance indicators (KPIs) to the General Department of Customs
- Use case diagram.
 - [Local customs department use cases diagram – Level 01](#)
 - [Local customs department use cases diagram – Level 02](#)

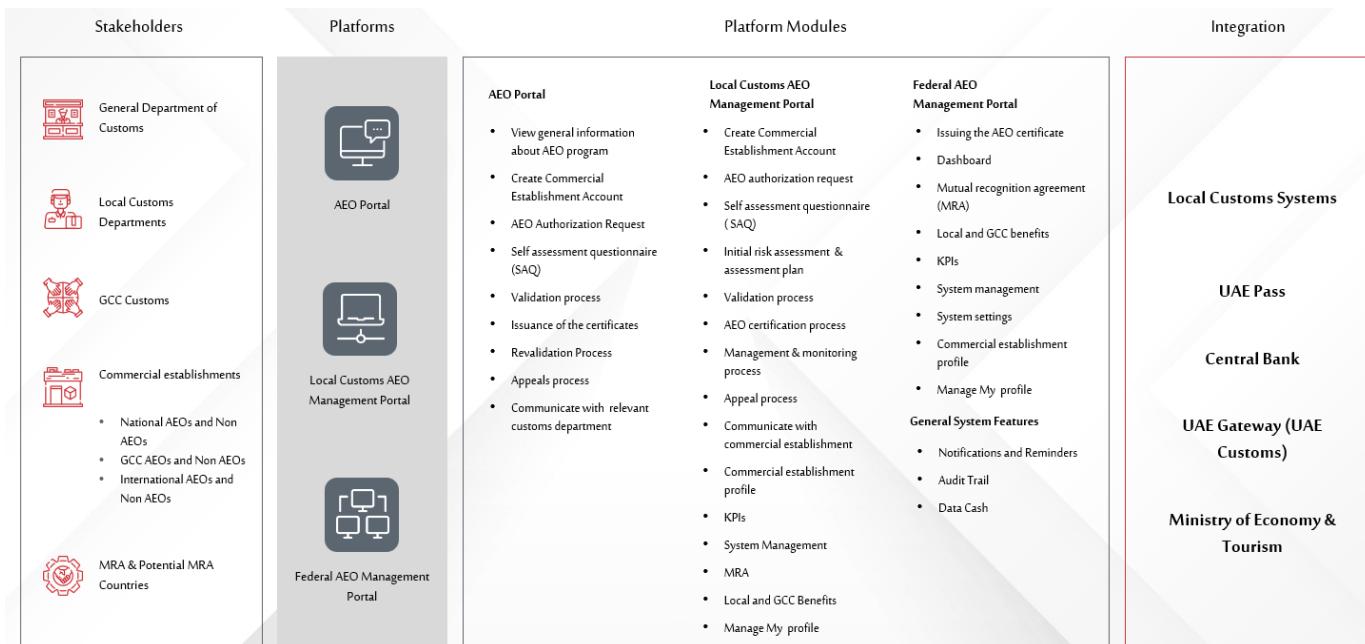
3. Federal AEO Management Portal

- Target Users:
 - General Department of Customs
- Key Capabilities:
 - Oversee and govern the AEO program nationwide.
 - Manage MRAs and engagement with foreign customs authorities.
 - Configure system-wide settings and access controls.
 - Monitor program performance and ensure consistent implementation across local customs entities and serve as an escalation point when necessary.

- Use case diagram:
 - [AEO General customs department portal use case Level 01](#)
 - [AEO General customs department portal use case Level 02](#)
- The following diagram demonstrates a high-level overview of the system component and the proposed integrations so far.



- The following diagram demonstrates a general overview of the main features of the system:



- The following diagram demonstrates the main features of the AEO portal:



- The following diagram demonstrates the main features of local customs AEO management portal:

Local Customs AEO Management Portal

Create Commercial Establishment Account	AEO authorization request	Self assessment questionnaire (SAQ)	Initial Risk Assessment & Assessment Plan
<ul style="list-style-type: none"> Approve/reject the request 	<ul style="list-style-type: none"> Approve/reject/return AEO authorization request Preliminary risk assessment. Cancelling AEO authorization request Auto-escalate delayed local customs responses. 	<ul style="list-style-type: none"> Assigning validation team Preparing and sharing the SAQ with the commercial establishment Return / confirm submitted SAQ completion 	<ul style="list-style-type: none"> Conducting initial risk assessment Preparing the assessment plan Confirming the completion initial risk assessment & assessment plan Approve the initial risk assessment and assessment plan
Validation Process	AEO Certification Process	Management & Monitoring Process	
<ul style="list-style-type: none"> Scheduling meetings Developing assessment file Approving assessment file Developing assessment report+ Define the scope of the assessment report 	<ul style="list-style-type: none"> Sharing draft assessment report with the commercial establishment Approving the assessment report Assessing compliance improvement plan Confirming the completion the compliance improvement plan Developing of control plan AEO decision 	<ul style="list-style-type: none"> Assign KAM Assign local and GCC benefits group 	<ul style="list-style-type: none"> Key account manager Revalidation process Post revalidation AEO decision
Appeal Process	Communicate with commercial establishment	Commercial establishment profile	
<ul style="list-style-type: none"> Approve/reject an appeal request Schedule hearing session 	<ul style="list-style-type: none"> Share the MOM with the commercial establishment. Approve/ reject the appeal request after the hearing session. 	<ul style="list-style-type: none"> Start new conversation Reply to messages 	<ul style="list-style-type: none"> Manage commercial establishment profile Add violations
KPIs	System Management	MRA	Local and GCC Benefits
<ul style="list-style-type: none"> Enter the KPIs. Share the KPIs with the general department of customs 	<ul style="list-style-type: none"> Managing validation teams Managing key account managers teams 	<ul style="list-style-type: none"> View MRAs View MRAs AEOs View MRAs Benefits 	<ul style="list-style-type: none"> View local and GCC Benefits and benefits groups
Manage My Profile			
			<ul style="list-style-type: none"> Define preferred communicating language.

- The following diagram demonstrates the main features of the federal AEO management portal:

Federal AEO Management Portal

Issuing the AEO certificate	Commercial Establishment Profile	KPIs
<ul style="list-style-type: none"> Generate AEO certificate for each trade license 	<ul style="list-style-type: none"> View Commercial Establishment Profile Manage Commercial Establishment Documents 	<ul style="list-style-type: none"> View KPIs submitted by local customs Approve/ return the shared KPIs
System management	System settings	Mutual recognition agreement (MRA)
<ul style="list-style-type: none"> Manage question bank Managing risk bank Manage the SAQ template Content management Managing lookups for initial risk assessment Managing lookups for control plan actions Managing lookups for additionally inquiries in the SAQ Managing violations lookups Role based access control 	<ul style="list-style-type: none"> Manage local customs settings for AEO program KPIs sharing settings Notifications & reminders settings Meetings setting Appeal setting 	<ul style="list-style-type: none"> Configuring MRA benefits groups and benefits Adding new MRA Adding AEOs from MRA countries Sharing national AEOs with MRA partner country
Dashboard	Local and GCC Benefits	Manage My Profile
<ul style="list-style-type: none"> View all the transactions handled by local customs 	<ul style="list-style-type: none"> Managing national & GCC benefit groups Managing national & GCC benefits 	<ul style="list-style-type: none"> Define preferred communicating language

4. Detailed Overview of AEO Program Processes

Below is a detailed overview of the components and roles of the main processes within the AEO program, from application submission to certificate issuance and ongoing relationship management and performance monitoring of the certified commercial establishments.

4.1. Phase (1): Submitting the AEO Authorization Request

This phase marks the formal starting point for a commercial establishment's journey toward obtaining AEO status. It includes two closely related core processes:

- First: Creating the commercial establishment account on the AEO portal, which is a prerequisite for obtaining a user account.
- Second: Submitting the "AEO Authorization Request" after the account information has been reviewed and confirmed by the relevant customs department.

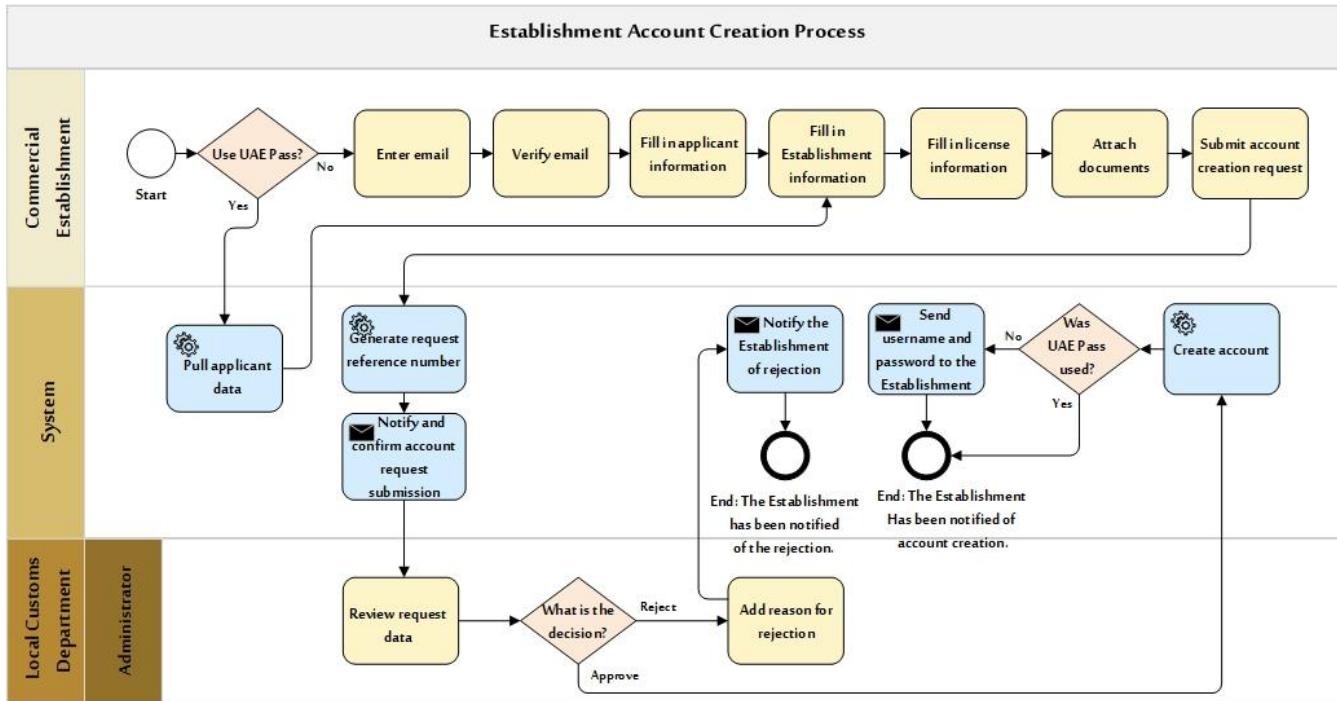
A detailed look at the processes involved in this phase is provided below:

4.1.1. Commercial establishment Account Creation Process

4.1.1.1. Purpose of the Process:

- The purpose of the "Commercial establishment Account Creation" process is to enable commercial establishments to register on the AEO portal in preparation for submitting their AEO authorization requests.
- The process begins with submitting a request to create the account by filling in the basic required data and attaching the necessary documents. The request is then reviewed by the designated administrator in the relevant customs department.
- The process concludes either with approval where the commercial establishment receives its username and password or with rejection, in which case the reasons for rejection are explained.

4.1.1.2. Process Flow Diagram



4.1.2. AEO Authorization Request Submission Process

4.1.2.1. Purpose of the Process

- The purpose of the “AEO Authorization Request Submission to the Authorized Economic Operator (AEO) Program” process is to enable the commercial establishment to complete the “AEO Authorization Request” form and enter the preliminary eligibility assessment phase for joining the AEO program.
- The process begins with the commercial establishment submitting the “AEO Authorization Request” through the AEO portal, where the required data is entered, and the necessary documents are attached.
- The process concludes either with acceptance of the application, confirming the commercial establishment’s eligibility to proceed to the self-assessment phase; or with rejection if the requirements are not met; or with cancellation of the application by the commercial establishment during the processing stages or by the relevant customs department.

4.1.2.2. Process Flow Diagram

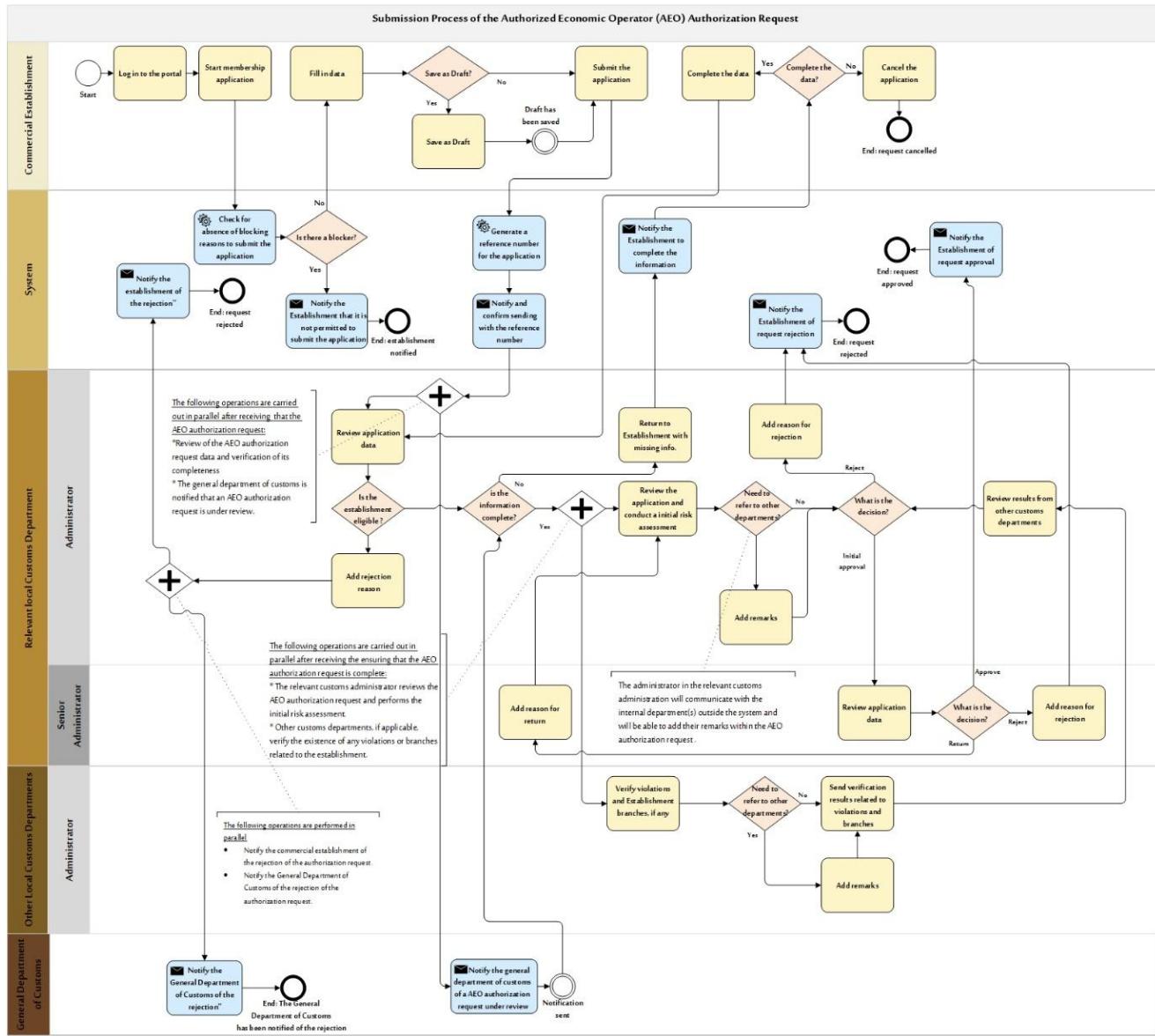


Figure 2 – AEO Authorization Request Submission Process Diagram

4.2. Phase (2): Validation and Risk Assessment

The validation and risk assessment phase is the central stage in validating a commercial establishment's eligibility for Authorized Economic Operator (AEO) status. During this phase, information is collected and analyzed to form an accurate understanding of the commercial establishment's compliance level with the program's requirements.

This phase includes a series of interconnected processes, starting with the management of the Question Bank, which serves as the primary source for the content of the Self-Assessment Questionnaire (SAQ). It continues with the creation of a standardized template, which is used as the basis for generating a customized SAQ for each commercial establishment according to its supply chain activities and then sharing it with the commercial establishment to be completed.

This is followed by the initial risk assessment process, aimed at determining validation priorities. Based on this, an assessment plan is prepared, and then the validation process is carried out, which includes visiting the commercial establishment's facilities and verifying its systems and operational procedures.

Below is a detailed view of the processes included in this phase:

4.2.1. Self-Assessment Questionnaire Preparation Process

4.2.1.1. Purpose of the Process

- The purpose of this process is to prepare the Self-Assessment Questionnaire (SAQ) by the relevant customs department and share it with the commercial establishment. This is done by filtering the questions in the template to align with the commercial establishment's activities within the supply chain.
- The process begins with the senior administrator in the relevant customs department assigning the validation team to start creating the SAQ and ends with the approval of the questionnaire once all data has been completed.

4.2.1.2. Process Flow Diagram

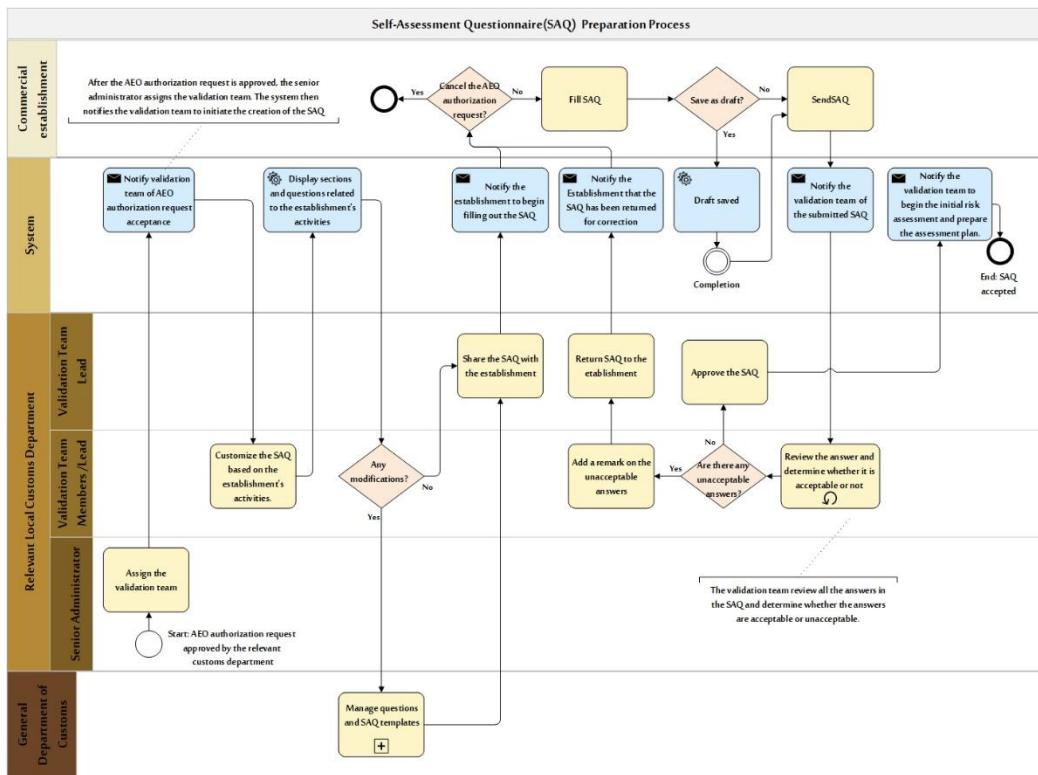


Figure 5 – Self-Assessment Questionnaire (SAQ) Process Diagram

4.2.2. Initial Risk Assessment and Assessment Plan Preparation Process

4.2.2.1. Purpose of the Process

- The purpose of this process is to enable the relevant customs department to conduct the initial risk assessment and prepare the assessment plan, by reviewing the Self-Assessment Questionnaire (SAQ) completed by the commercial establishment.
- The process begins with the validation team reviewing the SAQ responses, identifying the risks associated with each leaf section, and then preparing the assessment plan.
- The process ends with a review and approval of the initial risk assessment and the assessment plan by the validation team lead.

4.2.2.2. Process Flow Diagram

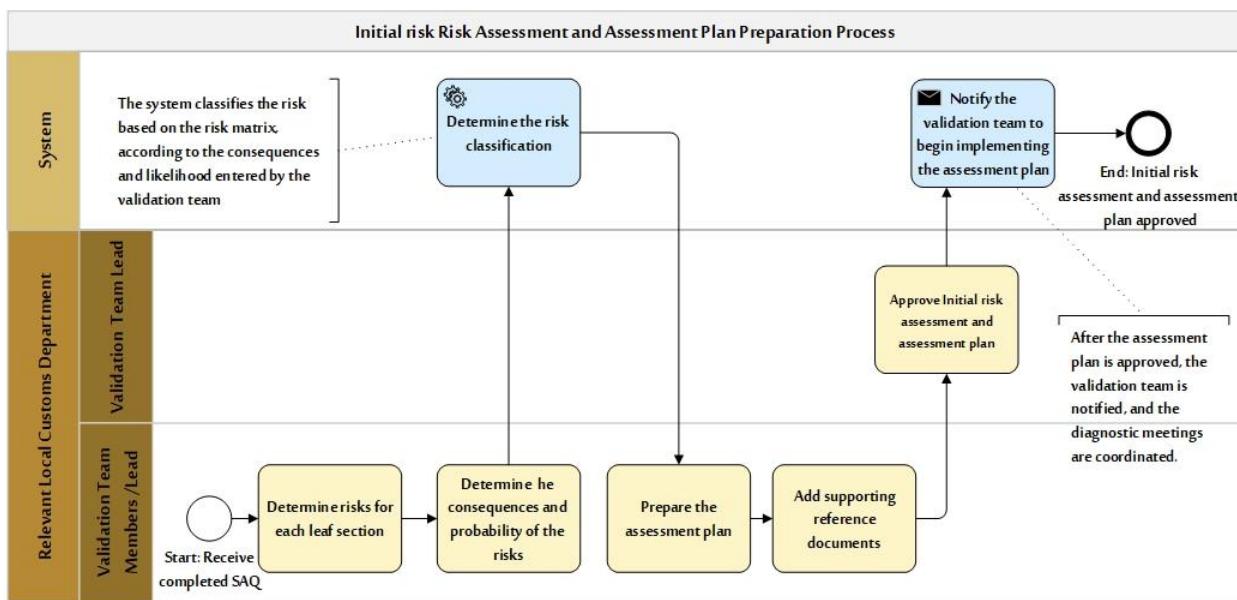


Figure 6 – Initial Risk Assessment and Assessment Plan Preparation Process

4.2.3. Validation Process

4.2.3.1. Purpose of the Process

- The purpose of the validation process is to enable the relevant customs department to verify the accuracy and validity of the information provided in the self-assessment questionnaire.
- The process begins with executing validation procedures, such as holding meetings, identifying validation results and remaining risks, and preparing the assessment report. It concludes with the final decision issued by the Authorized Economic Operator (AEO) Program Manager, either approving or rejecting the AEO status.

4.2.3.2. Process Flow Diagram

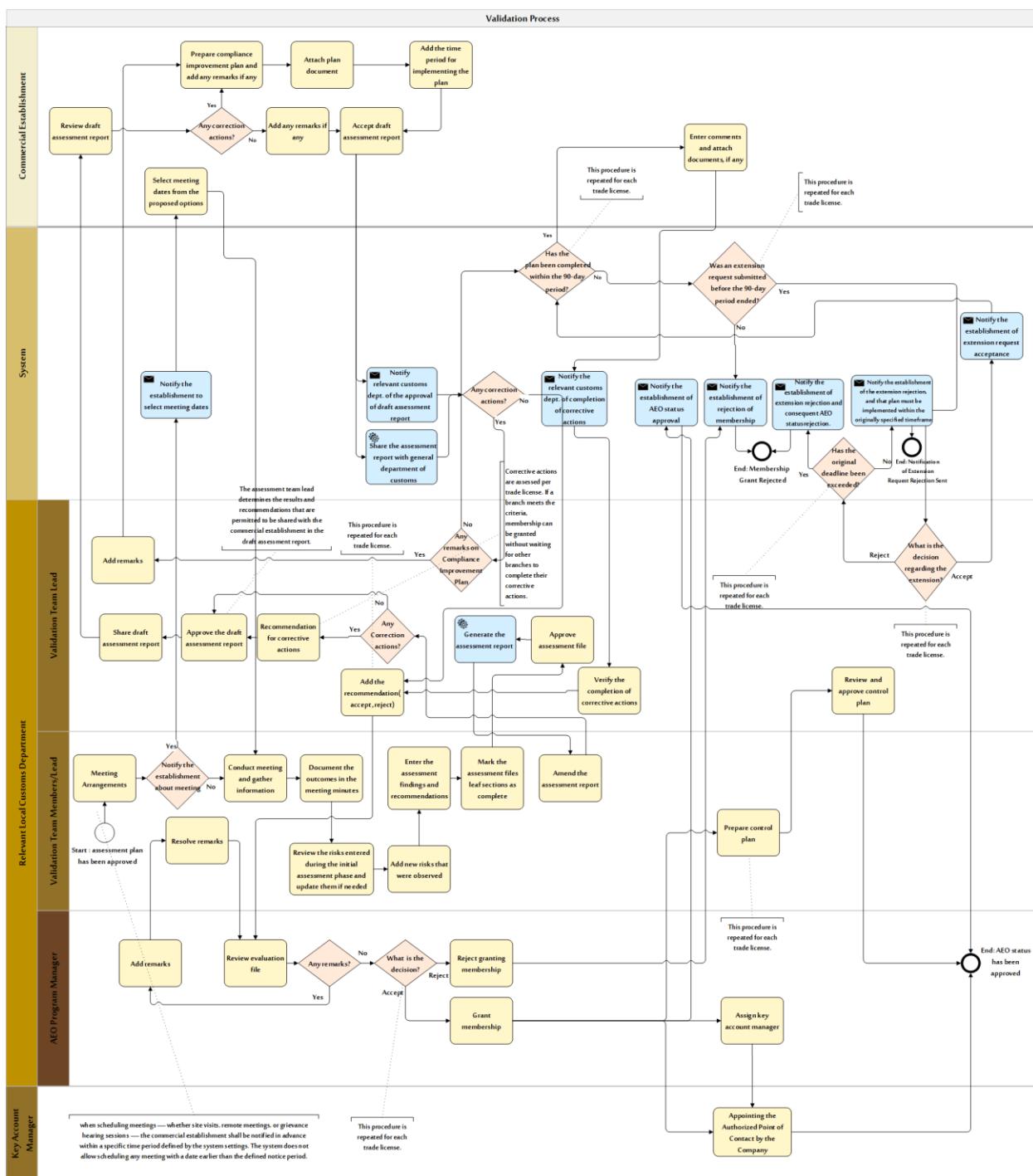


Figure 7- Validation Process

4.3. Phase (3): Issuance of the Authorized Economic Operator (AEO) Certificate

This phase represents the official conclusion of the commercial establishment's validation and accreditation journey under the Authorized Economic Operator (AEO) Program, following confirmation that the commercial establishment has met all required criteria.

This phase includes the process of identifying the benefits to be granted to the certified commercial establishment, and the certificate is formally issued by the general department of customs, and the relevant information is circulated to concerned parties, including the local customs departments, the public, and countries with Mutual Recognition Agreements, to ensure effective recognition of the commercial establishment's AEO status across various customs channels and points.

Below is a detailed overview of the processes included in this phase:

4.3.1. AEO Certificate Issuance Process

4.3.1.1. Purpose of the Process

- This process aims to enable the general department of customs to issue the certificate and grant the commercial establishment AEO status.
- The process begins with the key account manager, who is responsible for carrying out all necessary procedures for issuing the certificate and ends with the official issuance of the certificate to the commercial establishment by the general department of customs.

4.3.1.2. Process Flow Diagram

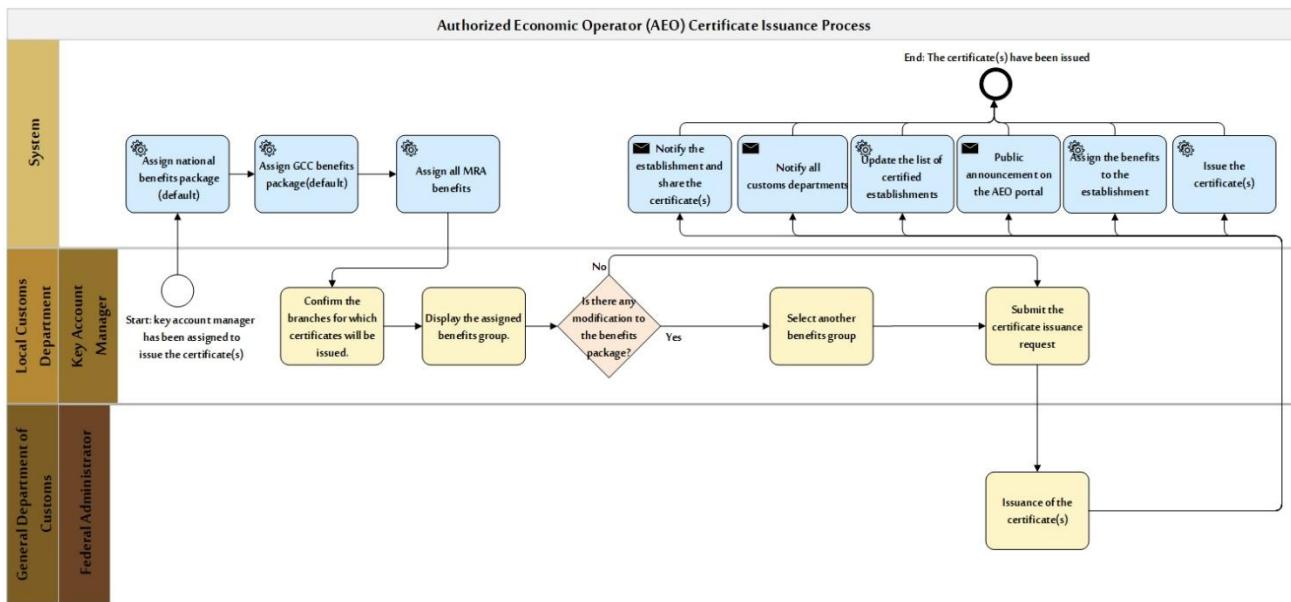


Figure 6 – Authorized Economic Operator (AEO) Certificate Issuance Process

4.4. Phase (4): Continuous Monitoring and Performance Evaluation

The purpose of this phase is to ensure that certified commercial establishments continue to comply with the Authorized Economic Operator (AEO) program standards after obtaining certification. This phase is a key component of the certification lifecycle, enabling the relevant customs department to monitor actual performance and update risk assessments periodically.

This phase includes two main processes:

- First: Preparing the re-assessment plan, which is based on monitoring results and newly identified potential risks.
- Second: Conducting the re-validation, which involves both field and analytical reviews to verify that the commercial establishment continues to meet the program requirements.

4.4.1. Re-Assessment Plan Preparation Process

4.4.1.1. Purpose of the Process

- This process aims to enable the relevant customs department to reassess risks and prepare a reassessment plan.
- The process starts when the key account manager submits a revalidation request to the relevant customs department and ends with risk identification and approval of the reassessment plan by the validation team lead.

4.4.1.2. Process Flow Diagram

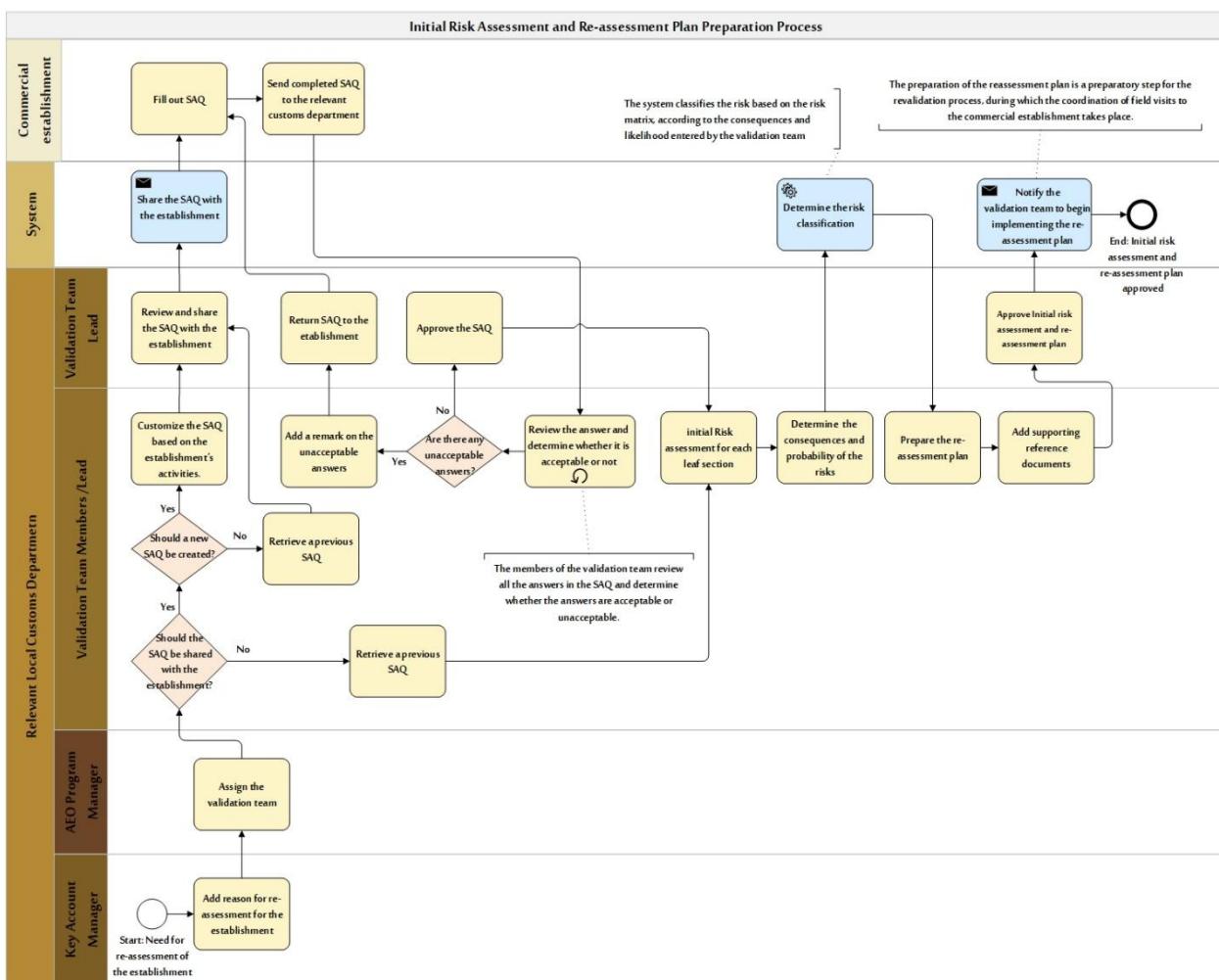


Figure 9 – Initial Risk Assessment and Re-assessment Plan Preparation Process

4.4.2. Re-Validation Process

4.4.2.1. Purpose of the Process

- This process enables the relevant customs department to verify the continued eligibility of the commercial establishment for AEO status.
- It starts with the approval of the re-assessment plan by the validation team lead and ends with a decision on the commercial establishment's status — either continuation, suspension, or revocation of AEO status.

4.4.2.2. Process Flow Diagram

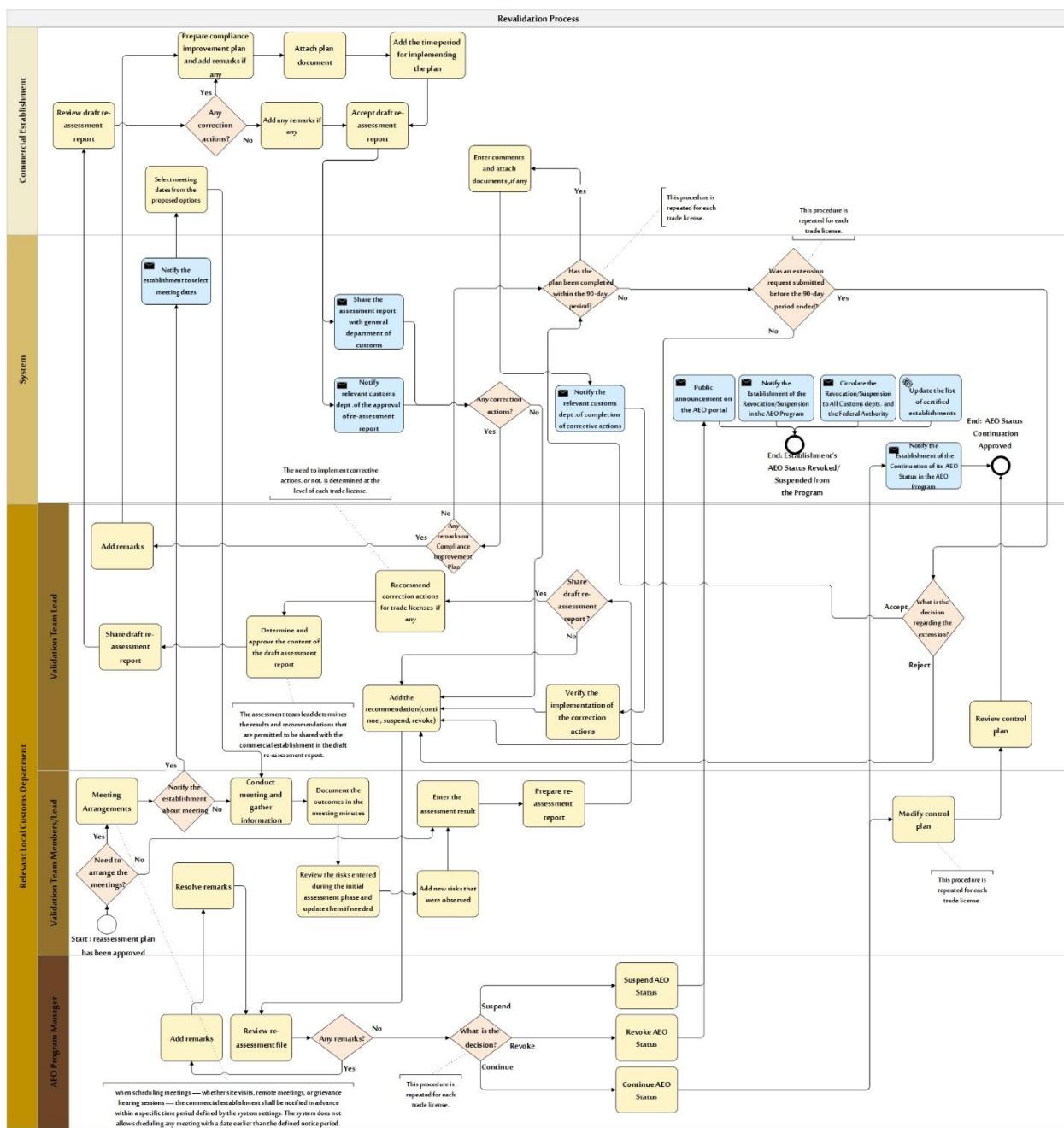


Figure 10 –Revalidation Process

4.4.2.3. Appeals

This process enables commercial establishments to submit appeals against decisions issued by the relevant customs department. It includes two main processes:

- First: Submitting the appeal request, where the commercial establishment submits an appeal through the electronic portal, including justification and supporting documents. The request is then forwarded to the relevant customs department for review.
- Second: Amending the status of the AEO status or application if the appeal is accepted. The appropriate action is taken based on the previous decision, such as:
 - Acceptance of the AEO authorization request.
 - Re-activation of the AEO status.
 - Cancellation of the AEO status suspension decision.

The following is a detailed overview of the processes included in this stage:

4.4.3. Appeal Request Submission Process

4.4.3.1. Purpose of the Process

- This process allows commercial establishments to submit appeals against decisions issued by the relevant customs department.
- It begins with the submission of the appeal request by the commercial establishment and ends with a decision by the customs department to either accept the appeal and take corrective action or reject the request.

4.4.3.2. Process Flow Diagram

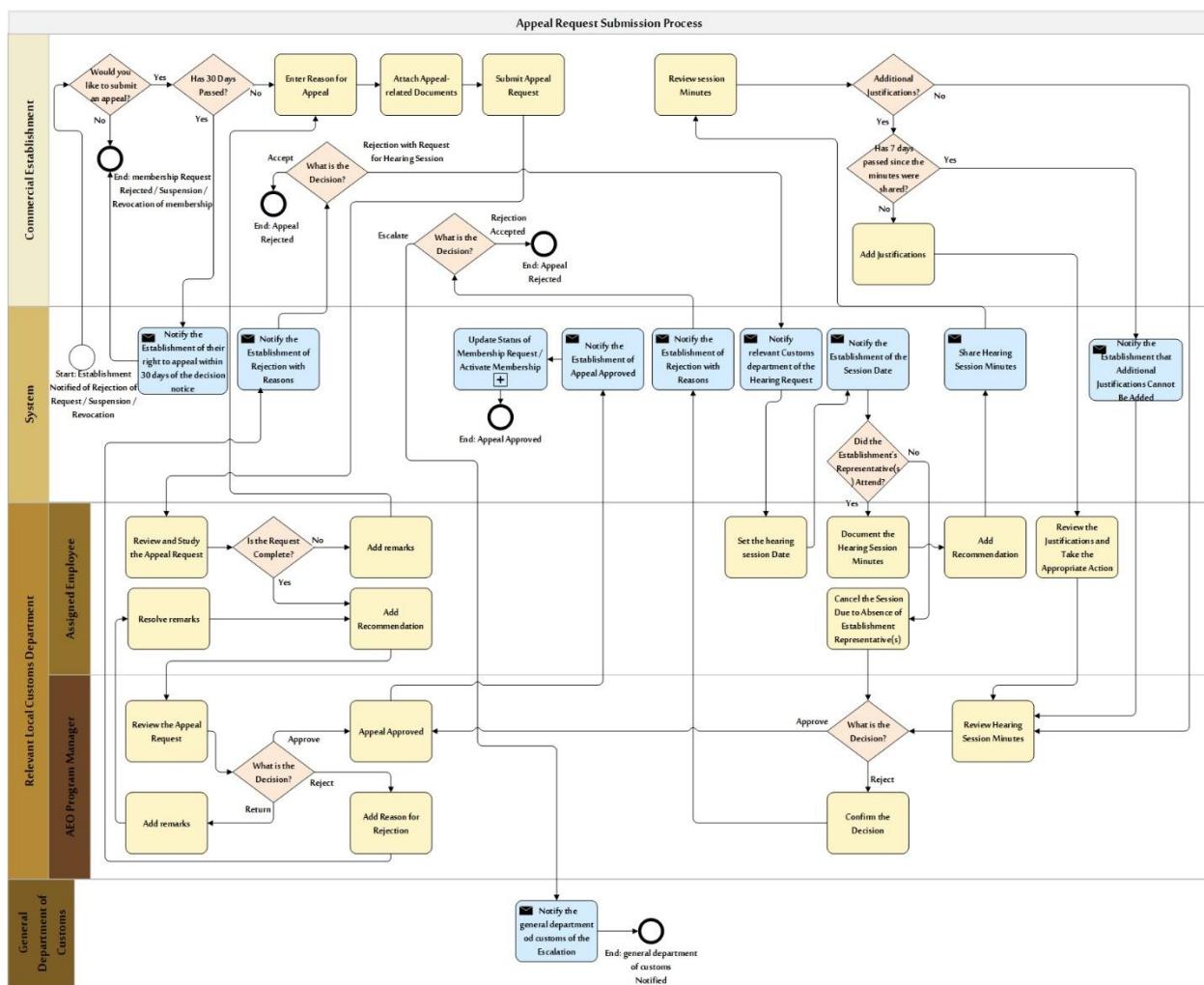


Figure 11 - Appeal Request Submission Process

4.4.4. AEO Status/Application Status Update Process

4.4.4.1. Purpose of the Process

- This is an automated system process aimed at updating the status of the AEO application or membership based on an accepted appeal concerning a previous decision by the relevant customs department.
- The process begins when the AEO Program Manager accepts the appeal. The system then determines whether the appeal relates to a rejected "AEO Authorization Request" or the cancellation/suspension of

AEO membership. It concludes by updating the application status or reactivating the commercial establishment's AEO membership.

4.4.4.2. Process Flow Diagram

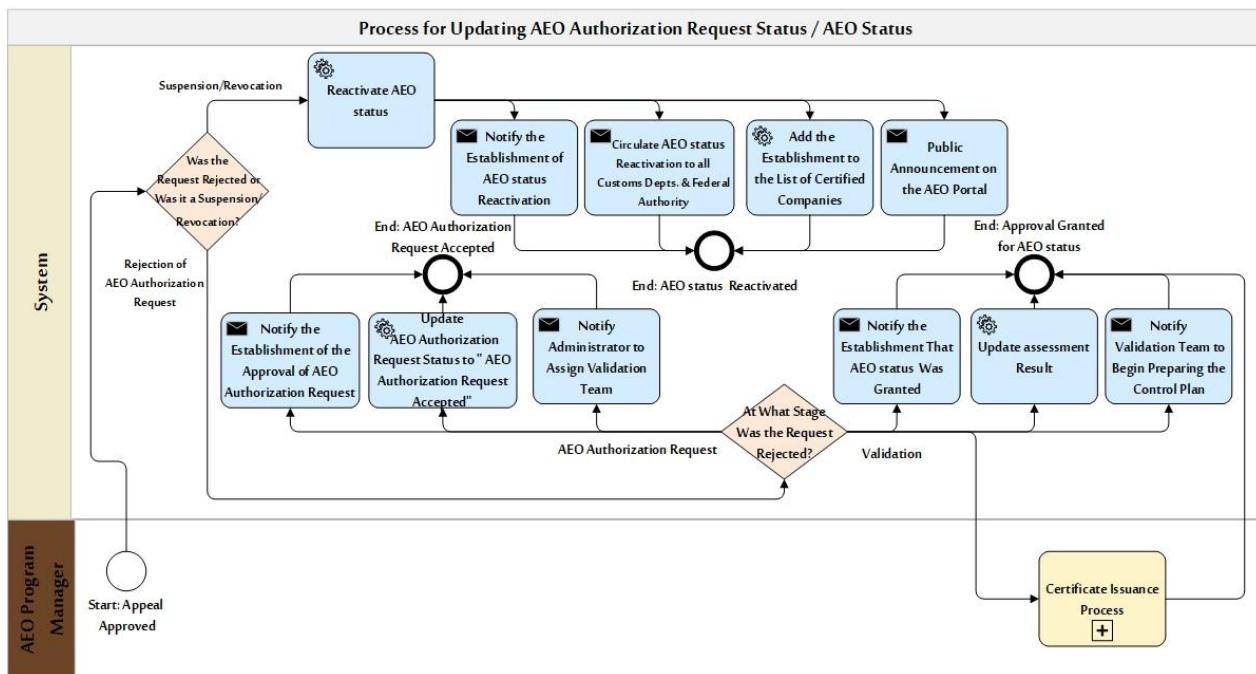


Figure 12 – Process for Updating AEO Authorization Request Status / Membership Status

4.4.5. Question Bank Management Process

4.4.5.1. Purpose of the Process

- The purpose of this process is to enable the general department of customs to create and manage the questions that will be used in the Self-Assessment Questionnaire (SAQ). This is done through the development of a unified question bank that is used by all local customs departments. It includes the ability to add, modify, or delete questions or groups by the general department of customs.
- The process begins with the federal administrator creating or modifying content (whether questions or groups) and ends with a review and decision—either approval of the changes or rejection.

4.4.5.2. Process Flow Diagram

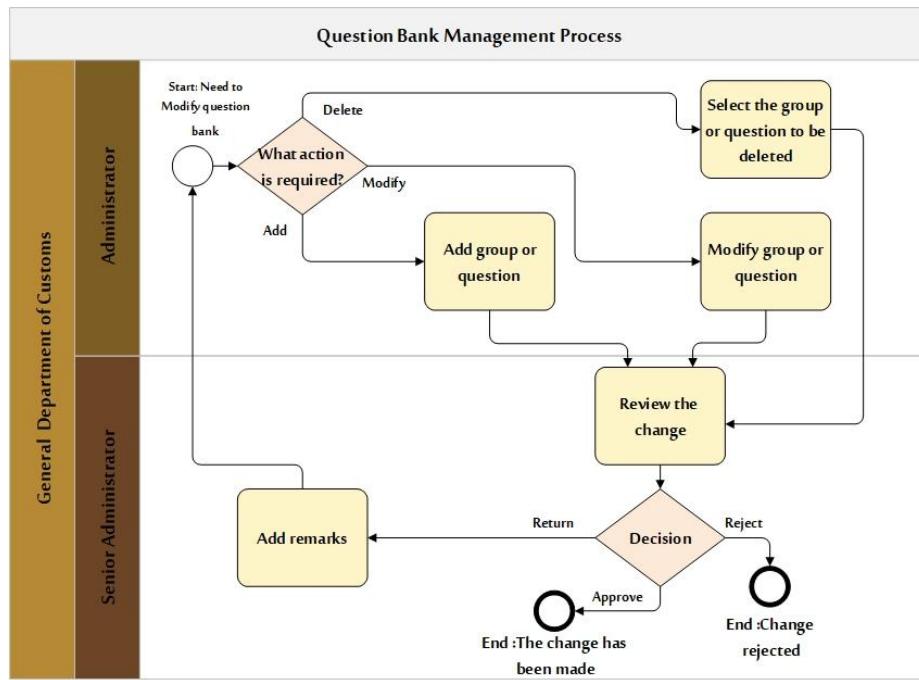


Figure 3 – Question Bank Management Process Diagram

4.4.6. Self-Assessment Questionnaire (SAQ) Template Creation Process

4.4.6.1. Purpose of the Process

- The purpose of this process is to enable the general department of customs to create a standardized Self-Assessment Questionnaire (SAQ) template, which will be used by local customs departments when preparing SAQ to be shared with the commercial establishment.
- The process begins with the federal administrator creating the template and ends with a review by the senior federal administrator, who decides either to approve the template at which point it is distributed to all customs departments or to reject it.

4.4.6.2. Process Flow Diagram

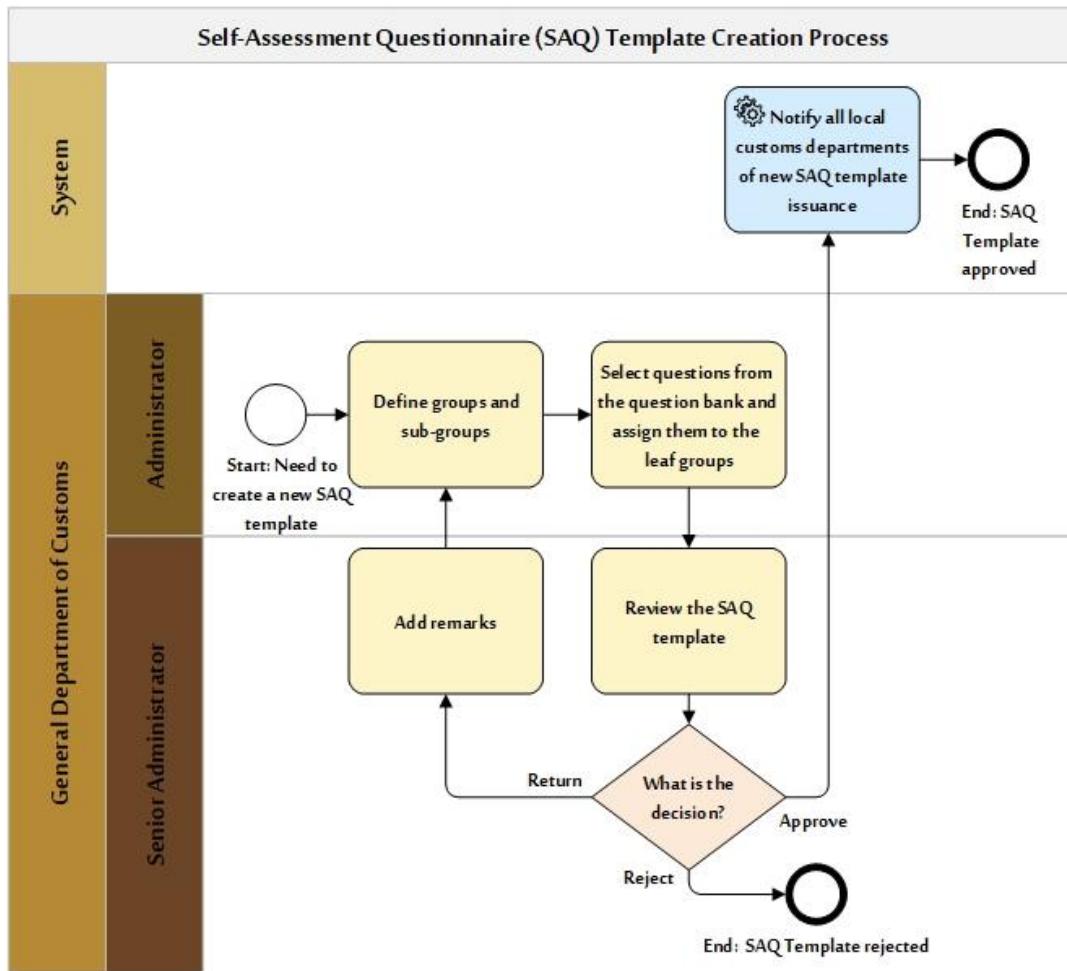


Figure 4 – Self-Assessment Questionnaire (SAQ) Template Creation Process Diagram

5. Data Dictionary

5.1. Commercial Establishment Account Creation Request Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Applicant Information				
1	الاسم (باللغة العربية)	Name (Arabic)	Text	<ul style="list-style-type: none"> The applicant's name in Arabic as written in the ID attached in the documents.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> • Mandatory. • Auto filled if UAE PASS is used. • Accepts Arabic letters only.
2	الاسم (باللغة الإنجليزية)	Name (English)	Text	<ul style="list-style-type: none"> • The applicant's name in English as written in the ID attached in the documents. • Mandatory. • Auto filled if UAE PASS is used. <p>Accepts English letters only.</p>
3	المسئى الوظيفي	Job Title	Text	<ul style="list-style-type: none"> • The job title of the applicant. • Mandatory.
4	الصلة	Role	Single choice list	<ul style="list-style-type: none"> • Specifies the relationship between the applicant and the commercial establishment. • Available values: <ul style="list-style-type: none"> ○ Owner/Founder of the commercial establishment. ○ Authorized Representative of the commercial establishment. • Mandatory.
5	رقم الهاتف	Phone Number	Integer	<ul style="list-style-type: none"> • Applicant's phone number for all application-related notifications.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> Country selection followed by phone number entry. Default country: UAE. Mandatory. Auto filled if UAE PASS is used.
6	البريد الإلكتروني	E-mail Address	Text	<ul style="list-style-type: none"> Applicant's email address for all application-related notifications. Mandatory. Auto filled if UAE PASS is used, editable by the user. Must be unique.
7	لغة التواصل	Communication Language	Single choice list	<ul style="list-style-type: none"> A list of languages will appear, from which the user can select one for communication. Mandatory.
Commercial Establishment Information				
8	اسم المنشأة التجارية باللغة العربية	Commercial Establishment Name (Arabic)	Text	<ul style="list-style-type: none"> Full Commercial establishment name in Arabic as per the trade license. Mandatory. Accepts Arabic letters only.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
9	اسم المنشأة التجارية باللغة الإنجليزية	Commercial Establishment Name (English)	Text	<ul style="list-style-type: none"> Full commercial establishment name in English as per the trade license. Mandatory. Accepts English letters only.
Licenses Information				
10	الإمارة	Emirate	Single choice list	<ul style="list-style-type: none"> The emirate that issued the trade license for the commercial establishment that is submitting the request. Available option: <ul style="list-style-type: none"> Abu Dhabi. Dubai. Sharjah. Ajman. Ras Al Khaimah. Fujairah. Umm Al Quwain. Mandatory.
11	جهة اصدار الرخصة	License Issuer	Single choice list	<ul style="list-style-type: none"> Filtered by the selected emirate. Refer to Appendix (1) for the list of license issuers. Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
12	رقم الرخصة	License Number	Text	<ul style="list-style-type: none"> The commercial license number issued by the competent authority (e.g., Department of Economic Development).and used to verify legal and commercial status. Mandatory.
Attachments				
13	رخصة سارية المفعول	Valid License	Document	<ul style="list-style-type: none"> A copy of the valid commercial license. and used to verify legal and commercial status. Accepted formats: PDF, PNG, JPG/JPEG. Mandatory. Max size: 5MB.
14	نسخة عن هوية مقدم الطلب	Copy of the Applicant's Emirates ID	Document	<ul style="list-style-type: none"> A copy of the applicant's Emirates ID Used to verify the applicant's identity. Accepted formats: PDF, PNG, JPG/JPEG. Mandatory. Max size: 5MB.
15	مستند اثبات التفويض / التمثيل من المنشأة التجارية	Document Proving Authorization /Representation from	Document	<ul style="list-style-type: none"> Official document that proves the applicant is an authorized representative.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
		The Commercial Establishment		<ul style="list-style-type: none"> ● Required if applicant role is 'Representative'. ● Accepted formats: PDF, PNG, JPG/JPEG. ● Mandatory. ● Max size: 5MB.

Data generated by the system upon request submission

16	رقم الطلب	Request Number	Text	<ul style="list-style-type: none"> ● Automatically generated after submission. ● The request number must follow the format: AEO-REG-[Year]-[Sequential Number]. <ul style="list-style-type: none"> ○ Sequential Number: A four-digit running number starting from 0001 and ending up by maximum 9999 per year and incrementing sequentially ○ e.g. AEO – REG -2025 - 0045.
17	تاريخ تقديم الطلب	Application Submission Date	Date	<ul style="list-style-type: none"> ● Automatically generated after submission. ● Format: DD/MM/YYYY.
18	تاريخ قبول / رفض الطلب	Application Approve/Rejection Date	Date	<ul style="list-style-type: none"> ● Automatically generated after approval or rejection. ● Format: DD/MM/YYYY.
19	حالة الطلب	Application status	Text	<ul style="list-style-type: none"> ● Automatically generated after submission.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Data generated by the system upon request approval				
20	اسم المستخدم	Username	Text	<ul style="list-style-type: none"> The username will be the same as the provided email in the registration request.
21	كلمة المرور	Password	Text	<ul style="list-style-type: none"> Automatically generated after application approval. Alphanumeric passwords with special characters. Length = 16 characters.
22	تاريخ قبول الطلب	Application Approve date	Date	<ul style="list-style-type: none"> Automatically generated after approval. Format: DD/MM/YYYY.
Data added upon request rejection				
23	سبب الرفض	Reason for Rejection	Multiple choice selection	<ul style="list-style-type: none"> Rejection reasons list: <ul style="list-style-type: none"> Missing data. Incorrect data. Irrelevant activities. Other.
24	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> Optional. Mandatory if 'Other' is selected as rejection reason.
25	تاريخ رفض الطلب	Application Rejection Date	Date	<ul style="list-style-type: none"> Automatically generated after rejection. Format: DD/MM/YYYY.

Table 3— Commercial Establishment Account Creation Request Data

5.2. Tracking the Commercial Establishment Account Creation Request

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	الرقم المرجعي للطلب	Request Reference No.	Text	<ul style="list-style-type: none"> Mandatory.
2	اسم المنشأة التجارية باللغة العربية	Commercial Establishment Name (Arabic)	Text	<ul style="list-style-type: none"> Accepts Arabic letters only. Auto filled by the system.
3	اسم المنشأة التجارية باللغة الإنجليزية	Commercial Establishment Name (English)	Text	<ul style="list-style-type: none"> Accepts English letters only. Auto filled by the system.
4	رقم الرخصة التجارية	Trade license Number	Text	<ul style="list-style-type: none"> Auto filled by the system.
5	تاريخ تقديم الطلب	Request Submission Date.	Date	<ul style="list-style-type: none"> Auto filled by the system.
6	حالة الطلب الحالية	Current Status of the Request.	List	<ul style="list-style-type: none"> Auto filled by the system.
7	تاريخ رد الجمارك	Customs Response Date	Date	<ul style="list-style-type: none"> Auto filled by the system.
8	سبب الرفض	Rejection Reason	List	<ul style="list-style-type: none"> Auto filled by the system.
9	ملاحظات	Remarks	text	<ul style="list-style-type: none"> Remarks from the local customs

Table 4— Tracking the Commercial Establishment Account Creation Request

5.3. Commercial Establishment User Account Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
User information				
1	الاسم (باللغة العربية)	Name (Arabic)	Text	<ul style="list-style-type: none"> Employee name in Arabic. Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> ● Accepts Arabic letters only.
2	الاسم (باللغة الإنجليزية)	Name (English)	Text	<ul style="list-style-type: none"> ● Employee name in English. ● Mandatory. ● Accepts English letters only.
3	المسى الوظيفي	Job Title	Text	<ul style="list-style-type: none"> ● Job title of the employee. ● Mandatory.
4	رقم الهاتف	Phone Number	Integer	<ul style="list-style-type: none"> ● Employee's phone number. ● Country selection followed by phone number entry. ● Default country: UAE. ● Mandatory.
5	البريد الإلكتروني	E-mail Address	Text	<ul style="list-style-type: none"> ● Employee's email address. ● Mandatory. ● Must be unique (not associated with another user).
	الدور	Role(s)	Multiple choice list	<ul style="list-style-type: none"> ● Mandatory ● This is a lookup that is configurable and defined in this section: 6.1.Roles and Responsibilities.
6	اسم المستخدم	Username	Text	<ul style="list-style-type: none"> ● this is the same as the provided email address
7	كلمة المرور	Password	Text	<ul style="list-style-type: none"> ● Automatically generated upon account creation request. ● It must contain alphanumeric characters with special characters. ● Length = 16 characters.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
8	لغة التواصل المفضلة	Preferred Communication Language	Single choice list	<ul style="list-style-type: none"> A list of languages will appear, from which the user can select one for communication. Mandatory.

Table 5— Commercial Establishment User Account Data

5.4. AEO Authorization Request Form Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Commercial Establishment Details				
1	اسم المنشأة التجارية باللغة العربية	Commercial Establishment Name (Arabic language)	Text	<ul style="list-style-type: none"> The full name of the commercial establishment in Arabic the same as written on the license. Auto-filled as per the commercial establishment account creation request. Read-only.
2	اسم المنشأة التجارية باللغة الإنجليزية	Commercial Establishment Name (English language)	Text	<ul style="list-style-type: none"> The full name of the commercial establishment in English as written on the license. Auto-filled as per the commercial establishment account creation request. Read-only.
3	الإمارة	Emirate	Single Choice List	<ul style="list-style-type: none"> The Emirate that issued the license. Auto-filled as per the commercial establishment account creation request. Read-only.

4	الشكل القانوني	Legal Form	Single Choice List	<ul style="list-style-type: none"> The legal form of the applying commercial establishment. Mandatory. See Annex (2) for the list of legal forms.
5	جهة اصدار الرخصة	License Issuer	Text	<ul style="list-style-type: none"> Auto-filled as per the commercial establishment account creation request. Read-only.
6	رقم الرخصة	License Number	Text	<ul style="list-style-type: none"> Auto-filled as per the commercial establishment account creation request. Read-only.
7	تاريخ اصدار الرخصة	License Issue Date	Date	<ul style="list-style-type: none"> The official date of the license was issued by the competent authority. Mandatory.
8	تاريخ انتهاء الرخصة	License Expiry Date	Date	<ul style="list-style-type: none"> The date the license expires. Indicator of the commercial establishment's legal and operational continuity. Mandatory.
9	الرمز الجمركي	Customs Code	Text	<ul style="list-style-type: none"> Customs registration number used for import/export and clearance. Mandatory.
10	تاريخ تأسيس الاعمال	Establishment Date	Date	<ul style="list-style-type: none"> The official business starting date of the commercial establishment. Mandatory.
11	رقم الهاتف	Phone Number	Integer	<ul style="list-style-type: none"> Commercial establishment phone number. Country must be selected, then number entered.

				<ul style="list-style-type: none"> • Default: UAE. • Mandatory.
12	الموقع الإلكتروني	Website	Text	<ul style="list-style-type: none"> • Commercial establishment's official website. • Optional.
13	الإمارة	Emirate	Single Choice List	<ul style="list-style-type: none"> • The Emirate of the commercial establishment's headquarters. • Defaulted based on the license emirate and editable.
14	المنطقة	Area	Single Choice List	<ul style="list-style-type: none"> • The area within the Emirate of the commercial establishment's headquarters. • Filtered by Emirate. • Mandatory.
15	العنوان التفصيلي	Detailed Address	Text	<ul style="list-style-type: none"> • Detailed address of the commercial establishment's headquarters. • Mandatory.
16	رخصة سارية المفعول	Valid License	Document	<ul style="list-style-type: none"> • A copy of the valid commercial license. and used to verify legal and commercial status. • Accepted formats: PDF, PNG, JPG/JPEG. • Auto retrieved from the system • Max size: 5MB.
Branch Information				
17	هل لكم فروع لديها أنشطة في سلاسل الإمداد؟	Do You Have Branches Active in the Supply Chain?	Yes/No	<ul style="list-style-type: none"> • Are there commercial establishment branches with supply chain activity? • Default: No.

Data Entered in Case Branches Are Added by the Commercial Establishment				
18	اسم المنشأة التجارية باللغة العربية	Branch Name (Arabic)	Text	<ul style="list-style-type: none"> Full Arabic name of the branch as per the license. Mandatory.
19	اسم المنشأة التجارية باللغة الإنجليزية	Branch Name (English)	Text	<ul style="list-style-type: none"> Full English name of the branch as per the license. Mandatory.
20	الإمارة	Emirate	Single Choice List	<ul style="list-style-type: none"> Emirate issuing the license for the branch. Mandatory.
21	الشكل القانوني	Legal Form	Single Choice List	<ul style="list-style-type: none"> Legal form of the branch. Mandatory. See Annex (2) for the list.
22	جهة اصدار الرخصة	License Issuer	Text	<ul style="list-style-type: none"> License issuing authority for the branch. Mandatory.
23	رقم الرخصة	License Number	Text	<ul style="list-style-type: none"> Branch's license number. Mandatory.
24	تاريخ اصدار الرخصة	License Issue Date	Date	<ul style="list-style-type: none"> Official issuance date of the branch license. Mandatory.
25	تاريخ انتهاء الرخصة	License Expiry Date	Date	<ul style="list-style-type: none"> License expiration date of the branch. Mandatory.
26	الرمز الجمركي	Customs Code	Text	<ul style="list-style-type: none"> Customs registration code for the branch. Mandatory.
27	تاريخ تأسيس الاعمال	Establishment Date	Date	<ul style="list-style-type: none"> Business start date of the branch. Mandatory.

28	رقم الهاتف	Phone Number	Integer	<ul style="list-style-type: none"> • Phone number of the branch. • Default: UAE. • Mandatory.
29	الموقع الإلكتروني	Website	Text	<ul style="list-style-type: none"> • Official branch website. • Optional. Default is HQ's website.
30	الإمارة	Emirate	Single Choice List	<ul style="list-style-type: none"> • Emirate of the branch office location. • Auto-filled and editable.
31	المنطقة	Area	Single Choice List	<ul style="list-style-type: none"> • Area of the Emirate where the branch is located. • Filtered by Emirate. • Mandatory.
32	العنوان التفصيلي	Detailed Address	Text	<ul style="list-style-type: none"> • Detailed address of the branch. • Mandatory.
33	رخصة المنشأة التجارية الفرع	Branch License	Document	<ul style="list-style-type: none"> • Copy of the branch license. • Accepted formats: PDF, PNG, JPG/JPEG. • Mandatory. • Max: 5MB.
34	هل تريده إضافة الفرع إلى طلب الانضمام؟	Do you Want to Add the Branch to the Application?	Yes/No	<ul style="list-style-type: none"> • Default: Yes. • Shown only if the Emirate allows adding HQ and branch in one application.
Commercial Establishment Operations				
35	عمليات المنشأة التجارية في سلاسل الإمداد	Supply Chain Commercial Establishment Operations	Multiple Choice List	<ul style="list-style-type: none"> • Operations performed by the commercial establishment within the supply chain. • Refer to Annex (3) for a list of supply chain activities.

				<ul style="list-style-type: none"> If 'Other Services Provider' is selected, a mandatory field appears to describe the services. Mandatory (at least one option must be selected).
36	وصف مختصر للأنشطة	Brief Description of Activities	Text	<ul style="list-style-type: none"> Brief description of the activities within the supply chain. Mandatory.
37	عدد الموظفين	The Number of Employees	Single Choice List	<ul style="list-style-type: none"> Number of employees in the commercial establishment applying. Available options: <ul style="list-style-type: none"> 1–10 employees 11–50 employees 51–200 employees 201–500 employees 501–1,000 employees 1,001–5,000 employees 5,001–10,000 employees 10,001+ employees Mandatory.
38	عدد المواقع في دولة الإمارات العربية المتحدة التي تشارك بسلسلة الإمداد الدولية	The Number of Sites in the Country Participating in the International Supply Chain	Integer	<ul style="list-style-type: none"> Mandatory.
39	هل المنشأة التجارية جزء من مجموعة كيانات قانونية (مقرها في أي إمارة أو دولة؟)	Is the Commercial Establishment Part of a Group of Legal Entities (Based in the Country or Another Country?)	Yes/No	<ul style="list-style-type: none"> Default value: Yes. Mandatory.

40	وصف مختصر للمجموعة	Brief Description of the Group	Text	<ul style="list-style-type: none"> Mandatory if the commercial establishment is part of a group of legal entities.
Membership in GCC Authorized Economic Operator programs or similar programs abroad				
41	هل المنشأة التجارية الرئيسية معتمدة من برامج مماثلة في الخارج؟	Is the Main Commercial Establishment Accredited by Similar Programs Abroad?	Yes/No	<ul style="list-style-type: none"> Default value: No. Mandatory.
42	الدولة او مجموعة الدول؟	Country / Countries?	Multiple Choice List	<ul style="list-style-type: none"> Country or countries that granted the main commercial establishment accreditation under similar programs. Appears if the main commercial establishment is accredited. Mandatory.
43	هل لكم فروع معتمدة من برامج مماثلة في الخارج؟	Do you Have Branches Accredited by Similar Programs Abroad?	Yes/No	<ul style="list-style-type: none"> Default value: No. Mandatory.
44	الدولة او مجموعة الدول؟	Country / Countries?	Multiple Choice List	<ul style="list-style-type: none"> Country or countries that granted branch(es) accreditation under similar programs. Appears if branches are accredited abroad. Mandatory.
Applicant Information				
45	الاسم (باللغة العربية)	Name (Arabic language)	Text	<ul style="list-style-type: none"> Applicant's name in Arabic as shown on the ID attached in the documents.

				<ul style="list-style-type: none"> Auto filled from account creation request. Read-only.
46	الاسم (باللغة الإنجليزي)	Name (English language)	Text	<ul style="list-style-type: none"> Applicant's name in English as shown on the ID attached in the documents. Auto filled from account creation request. Read-only.
47	المسعى الوظيفي	Job Title	Text	<ul style="list-style-type: none"> Job title of the applicant. Auto filled from account creation request. Read-only.
48	رقم الهاتف	Phone Number	Integer	<ul style="list-style-type: none"> Applicant's phone number for notifications. Country must be selected, then phone number entered. Default country: UAE. Auto-filled from account creation request. Read-only.
49	البريد الإلكتروني	E-mail address	Text	<ul style="list-style-type: none"> Applicant's email for notifications. Auto-filled from account creation request. Read-only.
Attachments				
50	المخطط التنظيمي للمنشأة التجارية	Organizational Structure of the Commercial Establishment	Document	<ul style="list-style-type: none"> Organizational chart with descriptions of internal department responsibilities and

				<p>number of employees per department.</p> <ul style="list-style-type: none"> Accepted formats: PDF, PNG, JPG/JPEG, xlsx, docx. Mandatory. Max 5MB.
51	قائمة بالإدارة التنفيذية وأعضاء المجلس	List of the Executive Management and Members of the Board	Document	<ul style="list-style-type: none"> Names, roles, addresses, and ID/passport numbers of executive management and board members. Accepted formats: PDF, PNG, JPG/JPEG, xlsx, docx. Mandatory. Max 5MB.
53	قائمة بالمساهمين/المالكين الرئيسيين	List of Main Shareholders/Owners	Document	<ul style="list-style-type: none"> Names, ownership/share percentages, addresses, and ID/passport numbers of main shareholders/owners. Accepted formats: PDF, PNG, JPG/JPEG, xlsx, docx. Mandatory. Max 5MB.
Approval				
54	الموافقة على تبادل المعلومات	Agreement for Information Exchange	Yes/No	<ul style="list-style-type: none"> Consent to share data from the AEO program AEO authorization request. If 'No' is selected, the application cannot be submitted. Mandatory.
Data added by the customs department if violations are found				

55	رقم الرخصة التجارية	Trade License No	Text	<ul style="list-style-type: none"> License number of the violating commercial entity (main or branch). Auto filled except for branches added by the customs department.
56	المخالفة	Violation	Multiple Choice List	<ul style="list-style-type: none"> Violation code and description (e.g., 223 – Expired License). Mandatory.
57	مستند المخالفة	Violation Document	Document	<ul style="list-style-type: none"> Document proving or clarifying the violation. optional
58	تفاصيل المخالفة	Violation Details	Text	<ul style="list-style-type: none"> Details of the violation, if applicable. Optional.
Data added by the customs department if branches not previously declared by the commercial establishment are found				
59	هل توجد فروع لم تذكر من قبل المنشأة التجارية؟	Are There Any Branches That were not Previously Mentioned by the Commercial Establishment?	Yes/No	<ul style="list-style-type: none"> Did the customs authority find branches not mentioned in the application? Default value: No
In case branches exist, the officer shall add the branches data as outlined above under the branch. Any violations related to the added branches may also be included.				
Application Return Data for the Commercial Establishment				
60	سبب الارجاع	Return Reason	Single Choice List	<ul style="list-style-type: none"> Reason for returning the application by the administrator. Values to be defined later. Mandatory.

61	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> Description of why the application was returned by the administrator. Optional.
Data Added When the AEO Authorization Request is Returned to the administrator				
62	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> If the application is returned by the first administrator to another for further review or verification. Mandatory.
Data Added Upon Request Rejection				
63	سبب الرفض	Reason for Rejection	Multiple Choice List	<ul style="list-style-type: none"> List of rejection reasons. Mandatory.
64	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> Optional. Mandatory if "Other" is selected.
Data Added Upon Request cancelled by relevant customs departments				
65	سبب الالغاء	Reason for Cancelation	Multiple Choice List	<ul style="list-style-type: none"> List of rejection reasons. Mandatory.
66	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> Optional. Mandatory if "Other" is selected.
System-Generated Data				
67	الرقم المرجعي للطلب	Request Reference Number	Text	<ul style="list-style-type: none"> Automatically generated after submission. The request reference number must follow the format: AEO-AUTH-[Year]- [Sequential Number]. Sequential Number: A four-digit running number starting

				from 0001 each year and increasing sequentially <input type="radio"/> e.g. AEO – AUTH -2025 -0045.
68	تاريخ تقديم الطلب	Application Submission Date	Date	<ul style="list-style-type: none"> Automatically generated after submission.
69	تاريخ قبول /رفض الطلب/ ارجاع الطلب للتعديل	Application Approval/Rejection Date	Date	<ul style="list-style-type: none"> Automatically generated after decision.
70	حالة الطلب	Application Status	Text	<ul style="list-style-type: none"> Automatically generated after submission.
Data Added in Case of any remarks				
71	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> Add notes per department. Optional.

Table 6—AEO Authorization Request Form Data

5.5. Create SAQ Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
The SQA has the same data as SAQ template filtered by the commercial establishment supply chain activities, additionally when the validation “Validation Team Member/ Lead” wants to add additional inquiries in the SAQ which are not covered in the SQA template, they need to fill in the following data.				
Additional inquires				
1	عنوان السؤال (اللغة العربية)	Question Title (Arabic)	Text	<ul style="list-style-type: none"> A short title for the question. Mandatory
2	عنوان السؤال (اللغة الانجليزية)	Question Title (English)	Text	<ul style="list-style-type: none"> The question text that will appear to the commercial establishment in the SAQ. Mandatory

3	نص السؤال (اللغة الانجليزية)	Question Text	Text	<ul style="list-style-type: none"> The question text that will appear to the commercial establishment in the SAQ. Mandatory
4	نوع الجواب	Answer Type	Single Choice List	<ul style="list-style-type: none"> The list includes: <ul style="list-style-type: none"> Text Area: The commercial establishment must provide a written response to the question. The answer may consist of multiple lines, and the user specifies the maximum number of characters. Text Box: A short, single-line text response is expected from the commercial establishment. Single Choice List: The commercial establishment selects only one option from a list of multiple options. Multiple Choice List: The commercial establishment may select one or more options from a list. Yes/No: The commercial establishment must choose "Yes" or "No" as the answer. Numeric: The answer must be numeric value. Document: A document must be provided. Mandatory.
5	هل السؤال شرطي؟	Conditional Question?	Yes /no	<ul style="list-style-type: none"> Will the question appear to the commercial establishment based on the answer to another question? Default value: No.

6	الملاحظات التوضيحية للسؤال (باللغة العربية)	Question Explanatory Notes (Arabic)	Text	<ul style="list-style-type: none"> Explanatory notes for the question that will appear in the SAQ as seen by the commercial establishment. Optional.
7	الملاحظات التوضيحية للسؤال (باللغة الإنجليزية)	Question Explanatory Notes (English)	Text	<ul style="list-style-type: none"> Explanatory notes for the question that will appear in the SAQ as seen by the commercial establishment. Optional.
8	مقدمة السؤال (باللغة العربية)	Question Introduction (Arabic)	Text	<ul style="list-style-type: none"> The question introduction that will appear in the SAQ as seen by the commercial establishment. Optional.
9	مقدمة السؤال (باللغة الإنجليزية)	Question Introduction (English)	Text	<ul style="list-style-type: none"> The question introduction that will appear in the SAQ as seen by the commercial establishment. Optional.
10	هل السؤال اجباري ام اختياري؟	Is the Question Mandatory or Optional?	Single Choice List	<ul style="list-style-type: none"> Available options: <ul style="list-style-type: none"> Mandatory Optional Default value: Mandatory Mandatory.

Table 7— Create SAQ Data

Table 8— SAQ Inquiries Lookups Data

5.6. Initial Risk Assessment and Prepare Assessment Plan Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Initial Risk Assessment				

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	المخاطر	Risks	Multiple Choice List	<ul style="list-style-type: none"> The risks related to the leaf section in the SAQ completed by the commercial establishment. The user can select from the predefined risk list in the system or add new risks. Optional.
2	مخاطر اخرى	Other Risks	Text	<ul style="list-style-type: none"> Mandatory if "Others" is selected from the above list.
3	التحليل الأولي للمخاطر	Risks Initial Analysis	Text	<ul style="list-style-type: none"> Description of the initial risk analysis by the relevant customs departments. Optional.
4	العواقب	Consequences	Single Choice List	<ul style="list-style-type: none"> The impact or consequences of the risks. <ul style="list-style-type: none"> The list includes: Critical. Major. Moderate. Minor. Insignificant Mandatory if risks are selected.
5	الاحتمالية	Likelihood	Single Choice List	<ul style="list-style-type: none"> Likelihood of risk occurrence. The list includes: <ul style="list-style-type: none"> Almost Certain. Likely. Possible. Unlikely. Rare. Mandatory if risks are selected.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
6	تقييم المخاطر	Risk Rate	Text	<ul style="list-style-type: none"> ● Risk assessment based on impact and likelihood. ○ Available values: ○ Extreme. ○ High. ○ Medium. ○ Low. ● Automatically generated entry calculated by the system according to the risk matrix shown in Appendix (5).
7	وسيلة التقييم	Assessment Tool	Multiple Choice List	<ul style="list-style-type: none"> ● Description of how the conclusion was reached. ● The list is provided in Appendix (4). ● Mandatory if risks are selected.
8	وسيلة اخرى	Other Tool	Text	<ul style="list-style-type: none"> ● An assessment tool not listed in the predefined options. ● Mandatory if no tool is selected from the assessment tool list.
9	الاستجابة للمخاطر	Risk Response	Single Choice List	<ul style="list-style-type: none"> ● Risk response uses one of the following strategies based on the (TS:4) framework: <ul style="list-style-type: none"> ○ Tolerate = Within acceptable materiality. ○ Treat = Subject to a mitigation plan or included in a control plan. ○ Transfer = Establishing a mechanism through which the identified risks can be mitigated via guarantees; for example,

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<p>those related to classification or assessment.</p> <ul style="list-style-type: none"> ○ Terminate = Rejecting the risk as unacceptable, meaning the applicant is denied Authorized Economic Operator (AEO) status. ● Mandatory if risks are selected.
Assessment Plan				
10	الوصف	Description	Text	<ul style="list-style-type: none"> ● A detailed description of the procedures that will be applied during the validation of the commercial establishment in relation to the relevant leaf section in the SAQ. ● Optional.
11	طريقة التقييم	Validation Method	Multiple Choice List	<ul style="list-style-type: none"> ● Selection of the method that will be used to validate the commercial establishment in relation to the relevant leaf section in the self-assessment form ● Mandatory if risks are selected.
Reference Documents				
12	الاسم	Name	Text	<ul style="list-style-type: none"> ● Name of the document used as a source of information during the initial risk assessment process. ● Mandatory if a document is attached.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
13	النسخة	Version	Text	<ul style="list-style-type: none"> • Document version number. • Optional.
14	تاريخ الاصدار	Release Date	Date	<ul style="list-style-type: none"> • Document issue date. • Optional.
15	الملف	File	Document	<ul style="list-style-type: none"> • Document file. • PDF. • 5MB. • Mandatory if a document is attached.

Table 9—Initial Risk Assessment and Prepare Assessment Plan Data

5.7. Validation Meeting's Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Schedule Meetings				
1	قالب الاجتماع	Meeting Template	Multiple Choice List	<ul style="list-style-type: none"> • The appropriate template is selected based on the purpose of the meeting, so the system auto-fills the following data by default based on the template, and the user can modify this data: <ul style="list-style-type: none"> ○ Meeting title ○ Meeting purpose ○ Agenda ○ Documents/information to be reviewed • Mandatory.
2	عنوان الاجتماع	Meeting Title	Text	<ul style="list-style-type: none"> • Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
3	الغرض من الاجتماع	Meeting Purpose	Multiple Choice List	<ul style="list-style-type: none"> Mandatory.
4	زيارة ميدانية؟	Site Visit?	Yes / no	<ul style="list-style-type: none"> Default value: Yes. If "No" is selected, it means the meeting will be held remotely. Mandatory.
5	تاريخ الاجتماع	Meeting Date	Date	<ul style="list-style-type: none"> Mandatory.
6	وقت بدء الاجتماع	Start Time	Time	<ul style="list-style-type: none"> Specify the meeting start time, whether on-site or remote. Mandatory.
7	مدة الاجتماع	Meeting Duration	Multiple choice list	<ul style="list-style-type: none"> Specify the meeting duration. Mandatory.
8	الاجندة	Agenda	Text	<ul style="list-style-type: none"> Optional.
9	العنوان	Address	Single Choice List	<ul style="list-style-type: none"> Address of the site to be visited. Displayed only in the case of a field visit. The list includes the main commercial establishment address, and the branch addresses entered in the AEO authorization request, as well as any additional facility addresses associated with the establishment as recorded in its profile. The address consists of (address type, emirate, area, detailed address).

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> ● Mandatory.
10	نوع العنوان	Address Type	Text	<ul style="list-style-type: none"> ● The type of the selected address ● Auto generated based on the selected address.
11	الإمارة	Emirate	Text	<ul style="list-style-type: none"> ● The emirate is associated with the selected address. ● Auto generated based on the selected address.
12	المنطقة	Area	Text	<ul style="list-style-type: none"> ● The area associated with the selected address ● Auto generated based on the selected address.
13	العنوان التفصيلي	Detailed Address	Text	<ul style="list-style-type: none"> ● The detailed address is associated with the selected address ● Auto generated based on the selected address.
14	تفاصيل الاجتماع	Meeting Details	Text	<ul style="list-style-type: none"> ● Information needed to join the meeting including the meetings Link. ● Displayed only in the case of a remote meeting. ● Mandatory.
15	الوثائق/ المعلومات المطلوب الاطلاع عليها.	Documents to be Prepared	Text	<ul style="list-style-type: none"> ● Optional.
16	قائمة أعضاء فريق التقييم	List of Validators	Multiple Choice List	<ul style="list-style-type: none"> ● Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
17	هل سيتم إشعار المنشأة التجارية بالاجتماع؟	Should Commercial Establishment Be Notified of This Meeting?	Single Choice List	<ul style="list-style-type: none"> ● The available options are: <ul style="list-style-type: none"> ○ Yes ○ No ● Default value: Yes. ● Mandatory.
Data is to be entered into by the relevant customs department in case the meeting is canceled.				
18	سبب الغاء الاجتماع	Reason for Meeting Cancellation	Text	<ul style="list-style-type: none"> ● Reason for meeting cancellation. ● Mandatory.
Data to be added after the meeting is held.				
19	محضر الاجتماع	Minutes of Meeting	Text	<ul style="list-style-type: none"> ● Meeting details. ● Mandatory.

Table 10—Validation Meeting Data

5.8. Assessment's File Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Assessment Result				
1	المخاطر المتبقية	Remaining Risks	Multiple Choice List	<ul style="list-style-type: none"> ● The system imports the predefined risks for each leaf section in the SAQ completed by the commercial establishment. ● The user can choose to modify the risk list. ● Optional.
2	تحليل المخاطر المتبقية	Remaining Risks Analysis	Text	<ul style="list-style-type: none"> ● Description of the remaining risks analysis based on the results of the evaluation process. ● Optional.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
3	العواقب	Consequences	Single Choice List	<ul style="list-style-type: none"> The impact or consequences of the remaining risks, if any. The list includes: <ul style="list-style-type: none"> Critical Major Moderate Minor Insignificant Mandatory if remaining risks are selected
4	الاحتمالية	Likelihood	Single Choice List	<ul style="list-style-type: none"> Likelihood of the remaining risk occurrence. The list includes: <ul style="list-style-type: none"> Almost Certain Likely Possible Unlikely Rare Mandatory if the remaining risks are selected.
5	تقييم المخاطر المتبقية	Remaining Risk Rate	Text	<ul style="list-style-type: none"> Remaining risks assessment based on impact and likelihood. Available values: <ul style="list-style-type: none"> Extreme High Medium Low Automatically generated entry calculated by the system according to the risk matrix shown in appendix (5).

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
6	الاستجابة للمخاطر المتبقية	Respond to Remaining Risks	Single Choice List	<ul style="list-style-type: none"> ● Remaining risks response uses one of the following strategies based on the (TS:4) framework: <ul style="list-style-type: none"> ○ Tolerate = Within acceptable materiality. ○ Treat = Subject to a mitigation plan or included in a control plan. ○ Transfer = Establishing a mechanism through which the identified risks can be mitigated via guarantees; for example, those related to classification or assessment. ○ Terminate = Rejecting the risk as unacceptable, meaning the applicant is denied Authorized Economic Operator (AEO) status. ● Mandatory if risks are selected.

Findings (more than one finding can be added)

7	العنوان	Title	Text	<ul style="list-style-type: none"> ● A short title summarizing the observation. ● Mandatory.
8	التفاصيل	Content	Text	<ul style="list-style-type: none"> ● A detailed description of the risk assessment findings based on the validation process, clarifying the extent to which the information provided in the SAQ aligns with the actual situation. ● Mandatory.
9	اثبات الملاحظة	Finding Evidence	document	<ul style="list-style-type: none"> ● This document is uploaded by the validation team if there is any supporting document for the findings.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> ● Optional.
Recommendations (more than one recommendation can be added)				
10	العنوان	Title	Text	<ul style="list-style-type: none"> ● A short title summarizing the recommendation based on the validation process. ● Mandatory.
11	التفاصيل	Content	Text	<ul style="list-style-type: none"> ● A detailed description of any changes, actions, or requirements needed for the applicant to meet the Authorized Economic Operator (AEO) criteria in the United Arab Emirates. ● Mandatory.

Table 11—Assessment File Data

5.9. Assessment Report Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Commercial establishment Details				
1	اسم المنشأة التجارية باللغة العربية	Commercial Establishment Name (Arabic language)	Text	<ul style="list-style-type: none"> ● The full name of the commercial establishment in Arabic the same as written on the license. ● Read-only.
2	اسم المنشأة التجارية باللغة الإنجليزية	Commercial Establishment Name (English language)	Text	<ul style="list-style-type: none"> ● The full name of the commercial establishment in English as written on the license. ● Read-only.
3	الإمارة	Emirate	Text	<ul style="list-style-type: none"> ● The Emirate that issued the license. ● Read-only.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
4	الشكل القانوني	Legal Form	Text	<ul style="list-style-type: none"> The legal form of the applying commercial establishment. Read-only. See Annex (2) for the list of legal forms.
5	جهة اصدار الرخصة	License Issuer	Text	<ul style="list-style-type: none"> The entity that issued the license. Read-only.
6	رقم الرخصة	License Number	Text	<ul style="list-style-type: none"> Read-only.
7	تاريخ اصدار الرخصة	License Issue Date	Date	<ul style="list-style-type: none"> The official date of the license was issued by the competent authority. Read-only.
8	تاريخ انتهاء الرخصة	License Expiry Date	Date	<ul style="list-style-type: none"> The date the license expires. Indicator of the commercial establishment's legal and operational continuity. Read-only.
9	الرمز الجمركي	Customs Code	Text	<ul style="list-style-type: none"> Customs registration number used for import/export and clearance. Read-only.
10	تاريخ تأسيس الاعمال	Establishment Date	Date	<ul style="list-style-type: none"> The official business start date of the commercial establishment. Read-only.
11	رقم الهاتف	Phone Number	Integer	<ul style="list-style-type: none"> Commercial establishment phone number. Country must be selected, then number entered. Default: UAE. Read-only.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
12	الموقع الإلكتروني	Website	Text	<ul style="list-style-type: none"> Commercial establishment's official website. Read-only if it existed (optional)
13	الإمارة	Emirate	Text	<ul style="list-style-type: none"> The Emirate of the commercial establishment's headquarters. Read-only.
14	المنطقة	Area	Text	<ul style="list-style-type: none"> The area within the Emirate of the commercial establishment's headquarters. Read-only.
15	العنوان التفصيلي	Detailed Address	Text	<ul style="list-style-type: none"> Detailed address of the commercial establishment's headquarters. Read-only.
16	عمليات المنشأة التجارية في سلاسل الإمداد	Supply Chain Commercial Establishment Operations	Text	<ul style="list-style-type: none"> Operations performed by the commercial establishment within the supply chain. Refer to Annex (3) for a list of supply chain activities. Read-only.
Branch information				
<ul style="list-style-type: none"> Only the branches included in the AEO Authorization Request will appear in the assessment file. The information displayed for each branch in the assessment file will mirror the data provided in the AEO Authorization Request. 				
Remaining Assessment File Data				
17	تاريخ إنشاء التقرير	Creation Data	Date	<ul style="list-style-type: none"> Auto generated. System generates the assessment report once the assessment file is approved.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> ● Read only.
18	النطاق	Scope	Text	<ul style="list-style-type: none"> ● A brief description outlining the scope and purpose of the assessment report. ● Mandatory.
19	النتائج	Findings	Text	<ul style="list-style-type: none"> ● Auto filled from the assessment file. ● Linked to the leaf sections in the SAQ.
20	الوصيات	Recommendations	Text	<ul style="list-style-type: none"> ● Auto filled from the assessment file. ● Linked to the leaf sections in the SAQ.
21	المخاطر	Risks	Text	<ul style="list-style-type: none"> ● Auto filled from the assessment file. ● Linked to the leaf sections in the SAQ.
22	ملخص ما تم ملاحظته	Summary of Observations	Text	<ul style="list-style-type: none"> ● Mandatory.
23	هل توجد حاجة الى خطة تحسين الالتزام؟	Is compliance Improvement Plan Needed?		<ul style="list-style-type: none"> ● User should indicate if a “compliance improvement plan” is need for each trade license included in the validation file. ● Default: no.
24	تفاصيل خطة تحسين الالتزام	Compliance Improvement Plan Details		<ul style="list-style-type: none"> ● This field becomes available if the user indicates that there is a need for compliance improvement plan, to allow him to share more details with the commercial establishment. ● Optional.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
25	التصويمية	Recommendation	Single Choice List	<ul style="list-style-type: none"> The recommendation regarding granting Authorized Economic Operator (AEO) membership, which includes the following: <ul style="list-style-type: none"> Reject membership. Approve membership. Mandatory.
26	القرار	Decision	Single Choice List	<ul style="list-style-type: none"> The decision regarding granting Authorized Economic Operator (AEO) membership includes the following: <ul style="list-style-type: none"> Reject membership. Approve membership. Mandatory.
Data to be added during the review of the draft assessment report by the commercial establishment				
27	هل يوجد ملاحظات؟	Do You Have Remarks?	Yes /no	<ul style="list-style-type: none"> Does the commercial establishment have any remarks on the draft assessment report? Default value: No.
28	الملاحظات	Remarks	Text	<ul style="list-style-type: none"> Displayed only if the commercial establishment has remarks on the assessment report. Mandatory.
29	خطة تحسين الالتزام	Compliance Improvement Plan	Document	<ul style="list-style-type: none"> The plan is prepared by the commercial establishment to address the recommendations resulting from the validation process, with the aim of meeting the requirements and standards of the

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<p>Authorized Economic Operator (AEO) program.</p> <ul style="list-style-type: none"> Displayed only if the commercial establishment needs to implement compliance improvement plan. The commercial establishment needs to upload a separate compliance improvement plan for each trade license that requires corrective actions. Mandatory. PDF. 5MB.
30	مهلة التنفيذ	Implementation Deadline	عدد صحيح	<ul style="list-style-type: none"> Number of days required to implement corrective actions. System will automatically calculate and display the expected date for completion. Displayed only if the recommendation is “Pending until implementation of corrective actions.” Mandatory.
Data to be added when submitting a request to extend the deadline for implementing the compliance improvement plan.				
31	مبررات طلب التمديد	Justification for Extension Request	Text	<ul style="list-style-type: none"> Description of the justifications for requesting an extension of the compliance plan implementation deadline.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> ● Mandatory.
32	اسم المستند	Document Name	Text	<ul style="list-style-type: none"> ● Identification name of any supporting documents for the extension request. ● Optional.
33	المستند	Document	Document	<ul style="list-style-type: none"> ● Any supporting documents for the extension request. ● Optional. ● PDF. ● 5MB.
Confirming implementation of the compliance improvement plan				
34	الوصف التفصيلي	Detailed Description	Text	<ul style="list-style-type: none"> ● Entering a detailed description of the actions that were implemented based on the correct actions stated in the assessment report. ● Mandatory.
35	اسم المستند الداعم	Supporting Document Name	Text	<ul style="list-style-type: none"> ● the necessary document name that proves the implementation of the corrective actions. ● mandatory.
36	المستند الداعم	Supporting Document.	Document	<ul style="list-style-type: none"> ● Attaching the necessary documents that prove the implementation of the corrective actions. ● Possible format: <ul style="list-style-type: none"> ○ docx ○ xlsx ○ pdf ○ png / jpeg / jpg ● mandatory.

Table 12 – Assessment Report Data

5.10. Control Plan Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Control plan action data (the action is assigned to a leaf section in the SAQ).				
1	معرف شهادة المشغل الاقتصادي	AEO Certificate No	Multi choice list	<ul style="list-style-type: none"> The identifier of the AEO(s) related to this control plan. The control plan can have more than one AEO. One at least is mandatory.
2	الإجراء	Action	Multiple choices list	<ul style="list-style-type: none"> Description of the control action to be taken to ensure the commercial establishment's compliance with the requirements of the Authorized Economic Operator (AEO) program, linked to the final section of the SAQ Mandatory.
3	العنوان المرتبط بالإجراء	The Address Related to the Action	Single Choice List	<ul style="list-style-type: none"> Users can select an address from the list of addresses defined in the commercial establishment profile. Optional.
4	نوع العنوان	Address Type	Text	<ul style="list-style-type: none"> The type of the selected address The values could be found in the (annex (5) Commercial Establishment Address Type). Mandatory
5	الإمارة	Emirate	Text	<ul style="list-style-type: none"> The emirate is associated with the selected address. Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
6	المنطقة	Area	Text	<ul style="list-style-type: none"> The area associated with the selected address The list is filtered based on the selected emirate. Mandatory.
7	العنوان التفصيلي	Detailed Address	Text	<ul style="list-style-type: none"> The detailed address is associated with the selected address Mandatory.
8	حالة الاجراء	Action Status	Single Choice List	<ul style="list-style-type: none"> The available options are: <ul style="list-style-type: none"> New In Progress Closed Mandatory. The status can be changed only by the user who is responsible for conducting the action.
9	مسند الى	Assigned to	Single Choice List	<ul style="list-style-type: none"> The local customs employee who is responsible for conducting the control action. The default value will be the key account manager.. The user may assign it to a member or lead of the validation team, or to a member of the Key Account Managers team. Mandatory.
10	تكرار	Frequency	Single Choice List	<ul style="list-style-type: none"> The available options are: <ul style="list-style-type: none"> One-time Daily Weekly

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> <input type="radio"/> Monthly <input type="radio"/> Quarterly <input type="radio"/> Semi-annually <input type="radio"/> Annually <input type="radio"/> Other <ul style="list-style-type: none"> ■ The user can define a custom frequency by specifying a numeric value and a time unit (e.g., days, weeks, months, or years), such as 'every 10 days' or 'every 3 years'. ● Mandatory.
11	تاريخ البدء	Start Date	Date	<ul style="list-style-type: none"> ● Start date of the monitoring action. ● Mandatory.
12	تاريخ الانتهاء	End Date	Date	<ul style="list-style-type: none"> ● End date of the monitoring action. ● Mandatory, if the action is repeated.
13	سبب الاغلاق	Reason for Closure	Text	<ul style="list-style-type: none"> ● Reason for the elimination of the risk that required the action. ● Mandatory if the status is changed to "Closed."
Confirming the completion of the monitoring action				
14	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> ● Remarks observed by the user who is responsible for conducting the control action. ● Mandatory.

Table 13— Control Plan Data

5.11. Designated Contact Person Representing the Commercial Establishment

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	اسم الشخص المخول بالتواصل (بالعربي)	Name of the Authorized Contact Person (Arabic)	Text	<ul style="list-style-type: none"> • Mandatory. • Arabic letters only.
2	اسم الشخص المخول بالتواصل (بالإنجليزي)	Name of the Authorized Contact Person (English)	Text	<ul style="list-style-type: none"> • Mandatory. • English letters only.
3	البريد الإلكتروني	Email	Text	<ul style="list-style-type: none"> • Mandatory.
4	رقم الهاتف المتحرك	Phone Number	Number	<ul style="list-style-type: none"> • Mandatory.
5	رقم هاتف متحرك بديل	Alternative Mobile Number	Number	<ul style="list-style-type: none"> • Optional
6	رقم هاتف ثابت	Fixed Landline Number	Number	<ul style="list-style-type: none"> • Optional
7	المسئي الوظيفي	Job Title	Text	<ul style="list-style-type: none"> • Mandatory.

Table 14—Designated Contact Person Representing the Commercial Establishment

5.12. Appeal Process Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Appeal Request Submission				
1	سبب التظلم	Reason for Appeal	Single Choice List	<ul style="list-style-type: none"> • The available options are: <ul style="list-style-type: none"> ○ Rejection of membership request ○ Rejection of Membership Granting ○ Suspension of membership ○ Revocation of membership

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> ● Mandatory.
2	تفاصيل التظلم	Appeal Details	Text	<ul style="list-style-type: none"> ● Mandatory
3	مستند داعم	Supporting Document	document	<ul style="list-style-type: none"> ● Document to support the appeal request. ● Optional.
4	تاريخ تقديم الطلب	Submission Date	Date	<ul style="list-style-type: none"> ● Date of appeal request submission. ● Automatically filled.
5	الرقم المرجعي لطلب التظلم	Appeal Request Ref. Number	text	<ul style="list-style-type: none"> ● Auto generated by the system. ● The appeal request Ref. number must follow the format: AEO-APL-[Year]- [Sequential Number]. <ul style="list-style-type: none"> ○ Sequential Number: A four-digit running number starting from 0001 each year and increasing sequentially ○ e.g. AEO – APL -2025 -0045.

Data to be entered when reviewing the appeal request by the assigned employee.

1	التوصية	Recommendation	Single Choice List	<ul style="list-style-type: none"> ● Recommendation of the assigned employee regarding the appeal request: <ul style="list-style-type: none"> ○ Accept ○ Reject
2	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> ● Mandatory

Data to be entered when reviewing the appeal request by the Authorized Economic Operator (AEO) Program Manager.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
6	القرار	Decision	Single Choice List	<ul style="list-style-type: none"> Decision of the Authorized Economic Operator (AEO) Program Manager regarding the appeal request: Accept Reject
2	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> Mandatory in case of rejection.
Data to be entered when requesting a hearing session.				
7	عنوان الجلسة	Hearing Title	Text	<ul style="list-style-type: none"> Mandatory.
8	الغرض من الجلسة	Purpose of Hearing	Text	<ul style="list-style-type: none"> Optional.
9	تاريخ الجلسة	Hearing Date	Date	<ul style="list-style-type: none"> Mandatory.
10	وقت بدء الجلسة	Start Time	Time	<ul style="list-style-type: none"> Specify the start time of the hearing session. Mandatory.
11	مدة الجلسة	Duration	Single Choice List	<ul style="list-style-type: none"> Specify the expected duration of the hearing session. Mandatory.
Data to be entered upon holding the hearing session.				
12	محضر الجلسة	Hearing Minutes	Text	<ul style="list-style-type: none"> Mandatory.
Data to be entered when objecting to the hearing session decision.				
13	الحجج	Arguments	Text	<ul style="list-style-type: none"> All justifications must be added. Mandatory.
14	مستندات اضافية	Additional Documents	document	<ul style="list-style-type: none"> Optional.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Data to be added when returning the appeal request to the commercial establishment.				
15	الملاحظات	Remarks	Text	<ul style="list-style-type: none"> Reason for returning the request to the commercial establishment for modification. Mandatory.
Data to be added when returning the appeal request to the assigned employee.				
16	الملاحظات	Remarks	Text	<ul style="list-style-type: none"> Reason for returning the request to the assigned employee to take appropriate action. Mandatory.
Data to be added in case the appeal request is escalated to the General Department of Customs.				
18	تفاصيل التظلم	Appeal Details	Text	<ul style="list-style-type: none"> Additional details are to be shared with the Authority. Optional.
19	مستند داعم	Supporting Document	Document	<ul style="list-style-type: none"> Additional Document to support the appeal request. Optional.

Table 15—Appeal Process Data

5.13. Communication data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	الموضوع	Subject	Text	<ul style="list-style-type: none"> The subject for which communication was made. Mandatory.
2	التصنيف	Category	Single selection choice list	<ul style="list-style-type: none"> The classification or type assigned to communication. Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
3	التصنيف الفرعي	Sub Category	Single selection choice list	<ul style="list-style-type: none"> The sub classification assigned to communication. Mandatory.
4	الرسالة	Message	Text	<ul style="list-style-type: none"> Mandatory
5	ارفاق مستند	Attached Document	Document	<ul style="list-style-type: none"> Optional
6	توقيت الارسال	Sending Time	Date and time	System-generated entry.
7	الحالة	Status	Text	<ul style="list-style-type: none"> The status assigned to the communication to indicate which party is expected to take the next action. When a commercial establishment initiates a conversation, the status is set to "Waiting for Customs Response." Conversely, when Customs initiates a conversation, the status is marked as "Company Action Required." Customs manage the conversation status and have the authority to close it once they determine the matter has been resolved. In that case the status is changed to "Closed"
Response to communication data.				
8	الرسالة	Message	Text	<ul style="list-style-type: none"> Mandatory
9	ارفاق مستند	Attached Document	document	<ul style="list-style-type: none"> Optional

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
10	توقيت الارسال	Sending Time	Date and time	<ul style="list-style-type: none"> System-generated entry.

Table 16 – Communication data

5.14. National Commercial Establishment Profile Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Basic information of the headquarter (the initial values are captured from the “AEO status request”), Will be visible by relevant customs, local customs and general customs department				
1	اسم المنشأة التجارية باللغة العربية	Commercial Establishment Name (Arabic)	Text	<ul style="list-style-type: none"> Full Commercial establishment name in Arabic as per the trade license. Accepts Arabic letters only. Can be updated.
2	اسم المنشأة التجارية باللغة الانجليزية	Commercial Establishment Name (English)	Text	<ul style="list-style-type: none"> Full commercial establishment name in English as per the trade license. Accepts English letters only. Can be update.
3	حالة المنشأة التجارية	Statuses		<ul style="list-style-type: none"> The current status of the headquarter in the AEO program based on the phase of the “AEO authorization request”. Read only.
4	رقم الهاتف	Phone Number	Integer	<ul style="list-style-type: none"> Commercial establishment phone number. Country must be selected, then number entered. Default: UAE.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> Can be edited.
5	الموقع الإلكتروني	Website	Text	<ul style="list-style-type: none"> Commercial establishment's official website. Can be edited.
6	الإمارة	Emirate	Single Choice List	<ul style="list-style-type: none"> The Emirate of the headquarters. Can be edited.
7	المنطقة	Area	Single Choice List	<ul style="list-style-type: none"> The area within the Emirate of the establishment's headquarter. Filtered by Emirate. Can be edited.
8	العنوان التفصيلي	Detailed Address	Text	<ul style="list-style-type: none"> Detailed address of headquarters. Can be edited.
Trade license information of the headquarter (the initial values are captured from the "AEO status request"), Will be visible by relevant customs, local customs and general customs department				
9	الإمارة	Emirate	Single choice list	<ul style="list-style-type: none"> The emirate that issued the trade license for commercial establishment, Read only.
10	جهة اصدار الرخصة	License Issuer	Single choice list	<ul style="list-style-type: none"> Filtered by the selected emirate. Refer to Appendix (1) for the list of license issues. Read only.
11	رقم الرخصة	License Number	Text	<ul style="list-style-type: none"> The commercial license number issued by the competent authority (e.g., Department of Economic Development).and used to verify legal and commercial status. Read only.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
12	رخصة سارية المفعول	Valid License	Document	<ul style="list-style-type: none"> A copy of the valid commercial license, and used to verify legal and commercial status. Accepted formats: PDF, PNG, JPG/JPEG. Max size: 5MB. Can be updated.
13	الشكل القانوني	Legal Form	Single Choice List	<ul style="list-style-type: none"> The legal form of the applying commercial establishment. See Annex (2) for the list of legal forms. Can be updated.
14	تاريخ اصدار الرخصة	License Issue Date	Date	<ul style="list-style-type: none"> The official date of the license was issued by the competent authority. can be updated.
15	تاريخ انتهاء الرخصة	License Expiry Date	Date	<ul style="list-style-type: none"> The date the license expires. Indicator of the commercial establishment's legal and operational continuity. Can be edited. If the user edits the date, they shall be required to upload the updated trade license document of the headquarter.
16	الرمز الجمركي	Customs Code	Text	<ul style="list-style-type: none"> Customs registration number used for import/export and clearance. Read only.
17	تاريخ تأسيس الاعمال	Establishment Date	Date	<ul style="list-style-type: none"> The official business starting date of the commercial establishment.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> ● Read only.
Additional information (the initial values are captured from the "AEO status request"),				
18	عمليات المنشأة التجارية في سلاسل الإمداد	Supply Chain Commercial Establishment Operations	Multiple Choice List	<ul style="list-style-type: none"> ● Operations performed by the commercial establishment within the supply chain. ● Refer to Annex (3) for a list of supply chain activities. ● If 'Other Services Provider' is selected, a mandatory field appears to describe the services. ● Will be visible by relevant customs, local customs and general customs department ● Can be edited.
19	عدد الموظفين	The Number of Employees	Single Choice List	<ul style="list-style-type: none"> ● Number of employees in the commercial establishment applying. ● Available options: <ul style="list-style-type: none"> ○ 1–10 employees ○ 11–50 employees ○ 51–200 employees ○ 201–500 employees ○ 501–1,000 employees ○ 1,001–5,000 employees ○ 5,001–10,000 employees ○ 10,001+ employees ● Will be visible by relevant customs, and general customs department ● Can be edited.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
20	الميكل التنظيمي للمنشأة التجارية	Organizational Structure of the Commercial Establishment	Document	<ul style="list-style-type: none"> Organizational chart with descriptions of internal department responsibilities and number of employees per department. Accepted formats: PDF, PNG, JPG/JPEG. Can be edited. Max 5MB. Will be visible by relevant customs, and general customs department •
21	قائمة بالإدارة التنفيذية وأعضاء المجلس	List of the Executive Management and Members of the Board	Document	<ul style="list-style-type: none"> Names, roles, addresses, and ID/passport numbers of executive management and board members. Accepted formats: PDF, PNG, JPG/JPEG. Can be edited. Max 5MB. Will be visible by relevant customs, and general customs department •
22	قائمة بالمساهمين/المالكين الرئيسيين	List of Main Shareholders/Owners	Document	<ul style="list-style-type: none"> Names, ownership/share percentages, addresses, and ID/passport numbers of main shareholders/owners. Accepted formats: PDF, PNG, JPG/JPEG, Can be edited. Max 5MB.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> Will be visible by relevant customs, and general customs department •
				•
<ul style="list-style-type: none"> Data Entered in Case Branches Are Added by the Commercial Establishment (the initial values are captured from the "AEO status request"), Will be visible by relevant customs, local customs and general customs department 				
24	اسم المنشأة التجارية باللغة العربية	Branch Name (Arabic)	Text	<ul style="list-style-type: none"> Full Arabic name of the branch as per the license. can be updated.
25	اسم المنشأة التجارية باللغة الإنجليزية	Branch Name (English)	Text	<ul style="list-style-type: none"> Full English name of the branch as per the license. can be updated.
26	حالة المنشأة التجارية	Statuses		<ul style="list-style-type: none"> The status of the branch in the AEO program based on the phase of the "AEO authorization request". If the branch is not a part of the request the status will be "Not applied for AEO status". Read only.
27	الإمارة	Emirate	Single Choice List	<ul style="list-style-type: none"> Emirate issuing the license for the branch. Read only.
28	الشكل القانوني	Legal Form	Single Choice List	<ul style="list-style-type: none"> Legal form of the branch. See Annex (2) for the list. Can be updated.
29	جهة اصدار الرخصة	License Issuer	Text	<ul style="list-style-type: none"> License issuing authority for the branch.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> • Read only.
30	رقم الرخصة	License Number	Text	<ul style="list-style-type: none"> • Branch's license number. • Read only.
31	تاريخ اصدار الرخصة	License Issue Date	Date	<ul style="list-style-type: none"> • Official issuance date of the branch license. • Can be updated.
32	تاريخ انتهاء الرخصة	License Expiry Date	Date	<ul style="list-style-type: none"> • License expiration date of the branch. • Can be edited. • If the user edits the date, they shall be required to upload the updated trade license document of the branch.
33	الرمز الجمركي	Customs Code	Text	<ul style="list-style-type: none"> • Customs registration code for the branch. Read only.
34	تاريخ تأسيس الاعمال	Establishment Date	Date	<ul style="list-style-type: none"> • Business starts date of the branch. Read only.
35	رقم الهاتف	Phone Number	Integer	<ul style="list-style-type: none"> • Phone number of the branch. • Default: UAE, can be edited.
36	الموقع الإلكتروني	Website	Text	<ul style="list-style-type: none"> • Official branch website. Can be edited.
37	الإمارة	Emirate	Single Choice List	<ul style="list-style-type: none"> • Emirate of the branch office location. Can be edited.
38	المنطقة	Area	Single Choice List	<ul style="list-style-type: none"> • Area of the Emirate where the branch is located. • Filtered by Emirate. Can be edited.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
39	العنوان التفصيلي	Detailed Address	Text	<ul style="list-style-type: none"> Detailed address of the branch. Can be edited.
40	رخصة المنشأة التجارية الفرع	Branch License	Document	<ul style="list-style-type: none"> Copy of the branch license. Accepted formats: PDF, PNG, JPG/JPEG. Max: 5MB. Can be updated.
The information of the commercial establishment contact person (Will be visible by relevant customs, local customs and general customs department)				
41	الاسم (باللغة العربية)	Name (Arabic language)	Text	<ul style="list-style-type: none"> Contact person's name in Arabic as shown on the ID attached in the documents.
42	الاسم (باللغة الإنجليزي)	Name (English language)	Text	<ul style="list-style-type: none"> Contact person's name in English as shown on the ID attached in the documents.
43	المسمى الوظيفي	Job Title	Text	<ul style="list-style-type: none"> Job title of the Contact person's
44	رقم الهاتف المتحرك	Mobile Number	Integer	<ul style="list-style-type: none"> Contact person's phone number. Country must be selected, then phone number entered. Default country: UAE.
45	رقم هاتف متحرك بديل	Alternative Mobile Number	Integer	<ul style="list-style-type: none"> Contact person's alternative mobile number. Optional
46	رقم الهاتف الثابت	Fixed Landline Number	Integer	<ul style="list-style-type: none"> Contact person's fixed landline number. Optional
47	البريد الإلكتروني	E-mail Address	Text	<ul style="list-style-type: none"> Contact person's email.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
48	الحالة	Status		<ul style="list-style-type: none"> The status of the contact person. Values: Active, inactive.
Commercial establishment users' information (will be visible relevant customs)				
47	الاسم (باللغة العربية)	Name (Arabic)	Text	<ul style="list-style-type: none"> Employee name in Arabic. Read only. Accepts Arabic letters only.
48	الاسم (باللغة الإنجليزية)	Name (English)	Text	<ul style="list-style-type: none"> Employee name in English. Read only. Accepts English letters only.
49	المسمى الوظيفي	Job Title	Text	<ul style="list-style-type: none"> Job title of the employee. Read only.
50	رقم الهاتف	Phone Number	Integer	<ul style="list-style-type: none"> Employee's phone number. Country selection followed by phone number entry. Default country: UAE. Read only.
51	البريد الإلكتروني	E-mail Address	Text	<ul style="list-style-type: none"> Employee's email address. Read only. Must be unique (not associated with another user).
52	الدور	Role	Multiple choice list	<ul style="list-style-type: none"> Available options: <ul style="list-style-type: none"> Commercial establishment account manager. AEO Authorization Request editor. SAQ editor. Assessment report editor. Appeal request editor.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> • Read only.
53	الحالة	Status		<ul style="list-style-type: none"> • The user status. • Active, inactive.
Other Addresses: Any additional addresses not classified as headquarters or branches will be included, with their corresponding address type. The list of possible address types can be found in Annex (5): Commercial Establishment Address Types.				
Will be visible by relevant customs, local customs and general customs department				
Key account manager (more than one key account manager can be assigned to the commercial establishment), Will be visible by relevant customs, local customs and general customs department				
54	الاسم (باللغة العربية)	Name (Arabic)	Text	<ul style="list-style-type: none"> • Employee name in Arabic. • Read only. • Accepts Arabic letters only.
55	الاسم (باللغة الإنجليزية)	Name (English)	Text	<ul style="list-style-type: none"> • Employee name in English. • Read only. • Accepts English letters only.
56	البريد الإلكتروني	Email	Text	<ul style="list-style-type: none"> • Read only.
57	رقم الهاتف	Phone Number	Number	<ul style="list-style-type: none"> • Read only.

Table 17 – National Commercial Establishment Profile Data

5.15. Commercial Establishment Document Management Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	تاريخ الرفع	Date of Upload	Date	<ul style="list-style-type: none"> • The date that the document has been uploaded. • Read only.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
2	تم الرفع بواسطة	Uploaded By	Text	<ul style="list-style-type: none"> The entity who uploads the document. The options are: <ul style="list-style-type: none"> Commercial establishment The relevant/local customs department The general department of customs Read only
3	اسم رافع المستند	Name of the Uploader	Text	<ul style="list-style-type: none"> The name of the person how uploaded the document. Read only
4	المستند	Document	Document	<ul style="list-style-type: none"> the document that has been uploaded. Accepted format: <ul style="list-style-type: none"> .pdf .docx .xlsx .png .jpg , .jpeg 5 MB MAX.
5	طريقة الرفع	Uploading Method	Text	<ul style="list-style-type: none"> Two option: <ul style="list-style-type: none"> Automatically captured by the system. Uploaded manually. Read only.

Table 18— Commercial Establishment Document Management Data

5.16. KPIs Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	السنة	Year	Text	<ul style="list-style-type: none"> The year for which the user intends to set the KPIs. Manually selected by the user from a list. Default is the current year. Mandatory.
2	الشهر	Month	Text	<ul style="list-style-type: none"> The month for which the user intends to set the KPIs. Manually selected by the user from a list . Default is the previous month. Mandatory.
3	الدولة	Country		<ul style="list-style-type: none"> Single selection list. Contains list of countries with MRAs Mandatory.
AEO Release Time				
4	زمن الإفراج عن البضائع المستوردة (من الجهة النظيرة المشغلين - الاقتصاديين الغير معتمدين	Release Time of Goods Imported (From COUNTERPART) for non-AEO	Number	<ul style="list-style-type: none"> The monthly average release time for non-AEO. Accept numbers only Mandatory. Referred to as: RT_NonAEO Reference calculation document: <u>نموذج الاحصائيات</u>

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
5	زمن الإفراج عن البضائع المستوردة (من الجهة النظرية) المشغلين الاقتصاديين - المعتمدين	AEO Release Time of Goods Imported (From COUNTERPART) for AEO	Number	<ul style="list-style-type: none"> the monthly average release time for AEO. Accept numbers only Mandatory. Referred to as: RT_AEO Reference calculation document: نموذج الاحصائيات
Inspection Rate of Importing Cargo				
6	عدد الاستيرادات الى الامارات- المشغلين الاقتصاديين – الغير معتمدين.	No. of Importation to UAE (from COUNTERPART) - Non-AEO	Number	<ul style="list-style-type: none"> the monthly number of importations to UAE from Non-AEO. Accept numbers only Mandatory. Referred to as: NOIM_NonAEO Reference calculation document: نموذج الاحصائيات
7	- عدد حالات التفتيش- المشغلين الاقتصاديين – الغير معتمدين	No. of Inspection Cases - Non-AEO	Number	<ul style="list-style-type: none"> the monthly number of inspection cases carried out on the Non-AEOs exporting to UAE. Accept numbers only Mandatory. Referred to as NOI_NonAEO Reference calculation document: نموذج الاحصائيات
8	معدل التفتيش- المشغلين الاقتصاديين – الغير معتمدين	Inspection Rate for Non-AEO	Number	<ul style="list-style-type: none"> The monthly inspection rate of importations to UAE from Non AEOs. Referred to as: IR_NonAEO Auto calculated: IR_NonAEO = NOI_NonAEO / NOIM_NonAEO

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> Reference calculation document: <u>نموذج الاحصائيات</u> •
9	عدد الاستيرادات الى الامارات - المشغلين الاقتصاديين - المعتمدين	Number of Importations to UAE from AEOs	Number	<ul style="list-style-type: none"> the monthly number of importations to UAE from AEOs. Accept numbers only Mandatory. Referred to as NOIM_AEO Reference calculation document: <u>نموذج الاحصائيات</u>
10	عدد حالات التفتيش - المشغلين الاقتصاديين - المعتمدين	Number of Inspection Cases for AEOs	Number	<ul style="list-style-type: none"> the monthly number of inspection cases on importations to UAE from AEOs. Accept numbers only Mandatory. Referred to as NOI_AEO Reference calculation document: <u>نموذج الاحصائيات</u>
11	معدل التفتيش - المشغلين الاقتصاديين - المعتمدين	Inspection Rate for AEOs	Number	<ul style="list-style-type: none"> The monthly inspection rate of importations to UAE. Referred to as: IR_AEO Auto calculated: $IR_AEO = NOI_AEO / NOIM_AEO$ Reference calculation document: <u>نموذج الاحصائيات</u>
AEO MRA Utilization				

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
12	عدد المشغلين الاقتصاديين المصدرين إلى الإمارات - المعتمدين	Number of AEOs Exporting to UAE	Number	<ul style="list-style-type: none"> the monthly number of AEOs that are exporting to the UAE. Accept numbers only. Mandatory. Referred to as NOE_AEO Reference calculation document: نموذج الاحصائيات
13	عدد مرات استخدام إتفاقية الاعتراف المتبادل - لعدد المشغلين الاقتصاديين المعتمدين	Number of Mutual Recognition Agreements Usage, for Count of AEO Exporting to UAE	Number	<ul style="list-style-type: none"> the monthly number of mutual recognition agreements usage for AEOs exporting to the UAE. Accept numbers only. Mandatory. Referred to as: N_MRAU_C_AEO Reference calculation document: نموذج الاحصائيات
14	معدل استخدام إتفاقية الاعتراف المتبادل - لعدد المشغلين الاقتصاديين المعتمدين	MRA Utilization Ratio	Number	<ul style="list-style-type: none"> Monthly utilization rate of utilizing the MRA Referred to as: R_MRA_C_AEO Auto calculated: $R_MRA_C_AEO = N_MRAU / NOE_AEO$. Reference calculation document: نموذج الاحصائيات
15	عدد حالات التصدير إلى الإمارات للمشغلين الاقتصاديين المعتمدين	Number of Exportation Cases of AEOs to the UAE	Number	<ul style="list-style-type: none"> The monthly number of exportation cases of AEOs to UAE. Accept number only. Referred to as NOEC_AEO Mandatory Reference calculation document: نموذج الاحصائيات

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
16	عدد مرات إستخدام إتفاقية الاعتراف المتبادل - لعدد حالات التصدير للمشغلي الاقتصاديين المعتمدين	Number of Mutual Recognition Agreements Usage, for Count of Exports to UAE from AEOs	Number	<ul style="list-style-type: none"> The monthly number of mutual recognition agreements usage, for count of exportation cases by AEO from the selected country Accept number only. Referred to as N_MRAU_EC_AEO Mandatory Reference calculation document: نموذج الاحصائيات
17	معدل إستخدام إتفاقية الاعتراف المتبادل - لعدد حالات التصدير للمشغلي الاقتصاديين المعتمدين	MRA Utilization Rate for Exportation Cases from AEOs to UAE from the Selected Country	Number	<ul style="list-style-type: none"> Ratio of mutual recognition agreements usage, for count of exportation cases by AEO. Referred to as R_MRA_EC_AEO Auto calculated: $R_MRA_EC_AEO = NOEC_AEO / N_MRAU_EC_AEO$ Reference calculation document: نموذج الاحصائيات
Filters				
22	الشهر	Month	Multiple choice list	<ul style="list-style-type: none"> Filter by month.
23	السنة	Year	Multiple choice list	<ul style="list-style-type: none"> Filter by year.
24	إدارة الجمركية المحلية	Local Customs Department	Multiple choice list	<ul style="list-style-type: none"> Available only from the general department of customs
	الدولة	Country	Single choice list	<ul style="list-style-type: none"> Single selection list. Contains list of countries with MRAs Mandatory.

Table 19—KPIs Data

5.17. Creating Validation Team Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	اسم فريق التقييم باللغة العربية	Validation Team Name (Arabic)	Text	<ul style="list-style-type: none"> Mandatory. Accept Arabic letters only.
2	اسم فريق التقييم باللغة الانجليزية	Validation Team Name (English)	Text	<ul style="list-style-type: none"> Mandatory. Accept English letters only.
3	أعضاء فريق التقييم	Validation Team Members	Multiple choice list	<ul style="list-style-type: none"> Displays names of employees with the role “validation team member” within the user’s local customs department The validation team should consist of (2) validators at least including the validation team lead. Mandatory.
4	رئيس فريق التقييم	Validation Team Lead	Single choice list	<ul style="list-style-type: none"> The lead must be one of the selected validation team members. Mandatory

Table 20—Creating Validation Team Data

5.18. Creating Key Account Managers Team

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	اسم فريق مدراء الحساب الرئيسي باللغة العربية	Key Account Managers Team Name (Arabic)	Text	<ul style="list-style-type: none"> Mandatory. Accept Arabic letters only.
2	اسم فريق مدراء الحساب الرئيسي باللغة الانجليزية	Key Account Managers Team Name (English)	Text	<ul style="list-style-type: none"> Mandatory. Accept English letters only.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
3	أعضاء فريق مدراء الحساب الرئيسي	Key Account Managers Team Name Members	Multiple choice list	<ul style="list-style-type: none"> Displays names of employees with the role "Key Account Manager" within the same local customs of the user. KAM team can consist of one member only.

Table 21— Creating Key Account Managers Team

5.19. Local and Federal Customs Users Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Local Customs User Data				
1	إدارة الجمارك المحلية	Local Customs Department	Single choice list	<ul style="list-style-type: none"> The local customs department that the employee belongs to it. Mandatory.
2	اسم الموظف	Name of Employee	Text	<ul style="list-style-type: none"> The user is required to select the local customs employee who will be assigned the role. Mandatory.
3	البريد الإلكتروني	Email	Text	<ul style="list-style-type: none"> The local customs employee's email address. Mandatory.
4	رقم الهاتف	Phone Number	Numbers	<ul style="list-style-type: none"> Phone number of the local customs employee Mandatory.
5	رقم الموظف	Employee No	Text	<ul style="list-style-type: none"> Unique numbers for the local customs employee. Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
6	القسم	Department	Single choice list	<ul style="list-style-type: none"> Mandatory.
7	المسى الوظيفي	Job Title	Text	<ul style="list-style-type: none"> Mandatory.
8	الجنس	Gender	Text	<ul style="list-style-type: none"> gender of local customs employee. Auto-retrieved from the intranet.
9	الجنسية	Nationality	Text	<ul style="list-style-type: none"> Nationality of the local customs employee. . Optional
10	رقم الهوية الاماراتية	Emirates ID	Numbers	<ul style="list-style-type: none"> Emirates ID of the local customs employee. . Optional
11	الدور	Role (s)	Multiple choice selection	<ul style="list-style-type: none"> The role(s) that will be assigned to the selected local customs employee. Mandatory.
12	لغة التواصل المفضلة	Preferred Communication Language	Single choice list	<ul style="list-style-type: none"> Users can define the preferred language of the communications including reminders and notification. Available options are: Arabic: default. English.
Federal Customs User Data				

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
13	اسم الموظف	Name of Employee	Text	<ul style="list-style-type: none"> Auto-retrieved from the Active Directory. Mandatory.
14	البريد الإلكتروني	Email	Text	<ul style="list-style-type: none"> The federal employee's email address. Auto-retrieved from the Active Directory. Mandatory.
15	رقم الهاتف	Phone Number	Numbers	<ul style="list-style-type: none"> Phone number of the federal employee Auto-retrieved from the Active Directory. Mandatory.
16	رقم الموظف	Employee No	Text	<ul style="list-style-type: none"> Unique numbers for the federal employee. Auto-retrieved from the Active Directory. Mandatory.
17	القسم	Department	Single choice list	<ul style="list-style-type: none"> Mandatory.
18	المسئي الوظيفي	Job Title	Text	<ul style="list-style-type: none"> Mandatory.
19	الجنس	Gender	Text	<ul style="list-style-type: none"> gender of federal employee.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> Auto-retrieved from the Active Directory. Mandatory.
20	الجنسية	Nationality	Text	<ul style="list-style-type: none"> Nationality of the federal employee. Auto-retrieved from the Active Directory. Mandatory.
21	رقم الهوية الإماراتية	Emirates ID	Numbers	<ul style="list-style-type: none"> Emirates ID of the federal employee. Auto-retrieved from the Active Directory. Mandatory.
22	الأدوار	Role(s)	Multiple choice selection	<ul style="list-style-type: none"> The role(s) that will be assigned to the selected federal employee. Mandatory.
23	لغة التواصل المفضلة	Preferred Communication Language		<ul style="list-style-type: none"> Users can define the preferred language of the communications including reminders and notification. Available options are: Arabic: default. English.

Table 22—Local and Federal Customs Users Data

5.20. Authorized Economic Operator (AEO) Certificate Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
AEO Certification Data				
1	رقم الرخصة التجارية	Trade License No	Text	<ul style="list-style-type: none"> The trade license number of the commercial establishment (whether the main office or one of the

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<p>branches) for which the Authorized Economic Operator (AEO) certificate will be issued.</p> <ul style="list-style-type: none"> • Auto-filled.
2	اسم المنشأة التجارية (باللغة العربية)	Commercial Establishment Name (Arabic)	Text	<ul style="list-style-type: none"> • The name of the commercial establishment (whether the main office or one of the branches) for which the Authorized Economic Operator (AEO) certificate will be issued. • This will appear on the official AEO certificate. • Auto-filled.
3	اسم المنشأة التجارية (باللغة الانجليزية)	Commercial Establishment Name (English)	Text	<ul style="list-style-type: none"> • The name of the commercial establishment (whether the main office or one of the branches) for which the Authorized Economic Operator (AEO) certificate will be issued. • This will appear on the official AEO certificate. • Automatically filled.
4	الإمارة	Emirates	Single Choice List	<ul style="list-style-type: none"> • The emirate in which the commercial establishment is located (whether the main office or one of the branches). • Automatically filled.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
5	المنطقة	Area	Single Choice List	<ul style="list-style-type: none"> The area in which the commercial establishment is located (whether the main office or one of the branches). <p>Automatically filled.</p>
6	العنوان التفصيلي	Detailed Address	Text	<ul style="list-style-type: none"> The detailed address of the commercial establishment (whether the main office or one of the branches). Automatically filled.
7	رقم الشهادة	Certificate No.	Text	<ul style="list-style-type: none"> Authorized Economic Operator (AEO) certificate number. This will appear on the official AEO certificate. The certificate number follows the format: AE-AEO- [issuing local customs abbreviation]- [6-digit serial number] <ul style="list-style-type: none"> e.g. AE-AEO-DU-000052, for Dubai. AE-AEO-AD-000001, for Abu Dhabi. Each certificate number is unique and assigned to only one commercial establishment. <ul style="list-style-type: none"> If an AEO status is revoked, the corresponding certificate number will not be reused or reassigned to any other establishment. Automatically filled.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> • Unique.
8	دولة الاصدار	Issuing Country	Text	<ul style="list-style-type: none"> • The country that issued the Authorized Economic Operator (AEO) certificate. • This will appear on the official AEO certificate. • Automatically filled.
9	جهة الاصدار	Issuing Authority	Text	<ul style="list-style-type: none"> • The local customs department issued the Authorized Economic Operator (AEO) certificate. • This will appear on the official AEO certificate. • Automatically filled.
10	تاريخ الاصدار	Date of Issue	Date	<ul style="list-style-type: none"> • Date of issuance of the Authorized Economic Operator (AEO) certificate. • This will appear on the official AEO certificate. • Automatically filled.
11	رمز الاستجابة السريعة	QR Code	Picture	<ul style="list-style-type: none"> • Contains the detailed address of the commercial establishment. • Mandatory. • Automatically filled.
12	الحالة	Status	Text	<ul style="list-style-type: none"> • Certificate status: <ul style="list-style-type: none"> ○ Active ○ Suspended ○ Revoked • Automatically filled.

Table 23— Authorized Economic Operator (AEO) Certificate Data

5.21. MRAs Benefits Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Add MRA benefit				
1	رمز الامتياز	Benefit Code	Text	<ul style="list-style-type: none"> Mandatory.
2	الميزة باللغة العربية	The Benefit (Arabic)	Text	<ul style="list-style-type: none"> Mandatory.
3	الميزة باللغة الإنجليزية	The Benefit (English)	Text	<ul style="list-style-type: none"> Mandatory.
4	وصف الميزة باللغة العربية	Benefit Description (Arabic)	Text	<ul style="list-style-type: none"> Optional.
5	وصف الميزة باللغة الانجليزية	Benefit Description (English)	Text	<ul style="list-style-type: none"> Optional.

Table 24—MRAs Benefits Data

5.22. Adding MRAs Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Add Mutual Recognition Agreement information				
1	الدولة التي تم الاتفاق معها	Partner Country	Single Choice List	<ul style="list-style-type: none"> Mandatory. This data will also be visible in the AEO portal as part of the MRA data.
2	تاريخ توقيع الاتفاقية	Agreement Signing Date	Date	<ul style="list-style-type: none"> Date of signing the mutual recognition agreement. This data will not be visible in the AEO portal as part of the MRA data. Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
3	تاريخ دخول الاتفاقية حيز النفاذ	Effective Date of Agreement	Date	<ul style="list-style-type: none"> Mandatory. This data will also be visible in the AEO portal as part of the MRA data.
4	المدة التجريبية	Pilot Period	Number	<ul style="list-style-type: none"> Pilot period of the mutual recognition agreement. This data will not be visible in the AEO portal as part of the MRA data. Mandatory.
5	تاريخ تبادل قوائم المشغلين الاقتصاديين المعتمدين	Date of AEO List Exchange	Date	<ul style="list-style-type: none"> Specify the day of the month on which updated lists of Authorized Economic Operators (AEOs) are exchanged. This data will not be visible in the AEO portal as part of the MRA agreement. Mandatory.
6	البريد الإلكتروني للشخص المعنى بالتواصل	Contact Person Email	Text	<ul style="list-style-type: none"> This data will not be visible in the AEO portal as part of the MRA Optional.
7	رقم هاتف الشخص المعنى بالتواصل	Contact Person Phone Number	Numbers	<ul style="list-style-type: none"> Phone number of the designated contact person. Select the country, then enter the phone number. This data will not be visible in the AEO portal as part of the MRA Optional.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
8	الاتفاقية	Agreement Document	Document	<ul style="list-style-type: none"> • Mutual Recognition Agreement (MRA) document. • This data will not be visible in the AEO portal as part of the MRA • Mandatory.
9	خطة العمل	Action Plan	Document	<ul style="list-style-type: none"> • MRA action plan document. • This data will not be visible in the AEO portal as part of the MRA • Mandatory.
10	الملاحظات التوضيحية للاتفاقية	Explanatory Notes of the Agreement	Document	<ul style="list-style-type: none"> • MRA explanatory notes document. • This data will not be visible in the AEO portal as part of the MRA • Mandatory.
11	الحالة	Status	Single Choice List	<ul style="list-style-type: none"> • Status of the mutual recognition agreement. Available options: <ul style="list-style-type: none"> ○ Pilot ○ Active ○ Suspended ○ Revoked • Default value: Pilot • Only active MRAs will be visible in the AEO portal as part of the MRA data. • Mandatory.
12	مجموعة المزايا المتفق عليها للمشغلي الاقتصاديين المعتمدين لدى الطرفين	Group of MRA Benefits for AEOs in Both Parties	Single Choice List	<ul style="list-style-type: none"> • The benefits defined under the agreement, which are automatically granted to every Authorized Economic Operator (AEO) registered in the relevant

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<p>country, as well as to every AEO in the United Arab Emirates.</p> <ul style="list-style-type: none"> • This data will also be visible in the AEO portal as part of the MRA data. • User will select one of the MRA benefit groups That is defined in the system. • Mandatory.

Table 25— Adding MRAs Data

5.23. GCC and International AEOs Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
GCC and International Commercial Establishment Data				
1	الاسم باللغة العربية	Name (Arabic)	Text	<ul style="list-style-type: none"> • Name of the commercial establishment in Arabic. • Mandatory for the GCC countries. • Retrieved from the excel.
2	الاسم باللغة الانجليزية	Name (English)	Text	<ul style="list-style-type: none"> • Name of the commercial establishment in English. • Mandatory. • Retrieved from the excel.
3	رقم الشهادة	AEO Certificate Code	Text	<ul style="list-style-type: none"> • AEO certificate code to identify the commercial establishment. • Mandatory. • Retrieved from the excel.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
4	العنوان	Address	Text	<ul style="list-style-type: none"> • Address of the establishment. • Mandatory. • Retrieved from the excel.
5	تاريخ منح العضوية	AEO Granting Date	Date	<ul style="list-style-type: none"> • Optional • Retrieved from the excel.
6	الصلاحية	Validity	Date	<ul style="list-style-type: none"> • The date up to which the AEO status is valid • Optional • Retrieved from the excel.
7	الحالة	Status	Text	<ul style="list-style-type: none"> • The current status of the commercial establishment, indicating whether it is active or not. <ul style="list-style-type: none"> ○ Active ○ Inactive ○ Mandatory.
8	الأنشطة في سلاسل التوريد	Activities in the Supply Chain	Text	<ul style="list-style-type: none"> • All supply chain activities in which the commercial establishment is involved. • Some of MRAs merge all activities for the commercial establishment in just one column. • Once the data is retrieved, the system will parse this text to extract the activities in the supply chain that match the lookups in the system. • Optional.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> Retrieved from the excel.
9	ملاحظات	Remarks	Text	<ul style="list-style-type: none"> Remarks on the commercial establishment. Optional. Retrieved from the excel.
10	مستوى المشغل الاقتصادي المعتمد	Tier of AEO	Text	<ul style="list-style-type: none"> Represent tiers (applicable for India). Optional Retrieved from the excel.
Activities in the supply chain				
11	مصدر	Importer	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
12	مستورد	Exporter	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
13	مصنع	Manufacturer	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
14	مخلص جمارك	Customs Broker	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
15	وكيل شحن	Shipping Agent	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
16	وكيل بريد	Carrier	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
17	مناول البضائع	Cargo Handler	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
18	وكيل خطوط جوية	Airline Agent	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
19	شركة توصيل سريع	Courier Company	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
20	مشغل خدمات لوجستية	Logistics Operator	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
21	شركة في المنطقة الحرة	Freezone Company	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
22	مشغل مستودعات	Warehouse Operator	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
23	مشغل ميناء / مطار	Port/Airport Operator	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
24	مزود خدمة آخر	Other Service Provider	Text	<ul style="list-style-type: none"> Optional Retrieved from the excel.

Table 26— GCC and International AEOs Data

5.24. Share National AEO's with MRA Countries Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	البريد الالكتروني للمستقبل	Recipient Email	Text	<ul style="list-style-type: none"> The email address that will receive the Excel file (for the partner country). Same as Email defined in the MRA and user can update it. mandatory
2	تفاصيل البريد الالكتروني	Email Body	Text	<ul style="list-style-type: none"> the content of the email that will be sent. mandatory
3	ملف الاكسل	AEOs Excel Sheet	Document	<ul style="list-style-type: none"> The files that contain the list of national AEOs that will be shared. mandatory
4	تاريخ تبادل قوائم المشغلين الاقتصاديين المعتمدين	Date of AEO List Exchange	Date	<ul style="list-style-type: none"> Specify the date of sharing the list. Auto filled by the system
National AEOs Data to Be Shared				
5	الاسم باللغة العربية	Name (Arabic)	Text	<ul style="list-style-type: none"> Name of the national AEO in Arabic. Accept Arabic letters.
6	الاسم باللغة الانجليزية	Name (English)	Text	<ul style="list-style-type: none"> Name of the national AEO in English.
7	الرمز التعريفي	Identification Code	Text	<ul style="list-style-type: none"> The AEO certificate number to identify the commercial establishment.
8	العنوان	Address	Text	<ul style="list-style-type: none"> Address of the national AEO
9	تاريخ الاعتماد	Authorization Date	Date	<ul style="list-style-type: none"> The date on which the national AEO was certified.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
10	تاریخ إعادة التقييم	Re-authorization Date	Date	<ul style="list-style-type: none"> The date on which the national AEO is scheduled to undergo the revalidation process. The default value is the last validation / revalidation date +(5) years, and it will be updated if the key account manager raises a request for revalidation and accepted by the AEO program manager.
11	الصلاحيّة	Validity	Date	<ul style="list-style-type: none"> The date up to which the AEO status is valid Validity for national AEOs will be Authorization date plus 5 years.
				<input type="radio"/>
13	حالة العضوية	Membership Status	Text	<ul style="list-style-type: none"> The status of the certification. The excel file will have a tab to explain each status. The statuses will be <ul style="list-style-type: none"> <input type="radio"/> certified <input type="radio"/> certified- under revalidation process. <input type="radio"/> suspended <input type="radio"/> revoked: Revoked establishments will be included

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<p>in the first AEO data sharing cycle following the revocation.</p> <ul style="list-style-type: none"> <input type="radio"/> Cancelled: cancelled establishments will be included in the first AEO data sharing cycle following the cancellation..
Activities in the supply chain				
14	مصدر	Importer	Yes/No	<ul style="list-style-type: none"> ● Optional ● Retrieved from the excel.
15	مستورد	Exporter	Yes/No	<ul style="list-style-type: none"> ● Optional <p>Retrieved from the excel.</p>
16	مصنع	Manufacturer	Yes/No	<ul style="list-style-type: none"> ● Optional <p>Retrieved from the excel.</p>
17	مخلص جمارك	Customs Broker	Yes/No	<ul style="list-style-type: none"> ● Optional <p>Retrieved from the excel.</p>
18	وكيل شحن	Shipping Agent	Yes/No	<ul style="list-style-type: none"> ● Optional <p>Retrieved from the excel.</p>
19	وكيل بريد	Carrier	Yes/No	<ul style="list-style-type: none"> ● Optional ● Retrieved from the excel.
20	مناول البضائع	Cargo Handler	Yes/No	<ul style="list-style-type: none"> ● Optional ● Retrieved from the excel.
21	وكيل خطوط جوية	Airline Agent	Yes/No	<ul style="list-style-type: none"> ● Optional ● Retrieved from the excel.
22	شركة توصيل سريع	Courier Company	Yes/No	<ul style="list-style-type: none"> ● Optional ● Retrieved from the excel.
23	مشغل خدمات لوجستية	Logistics Operator	Yes/No	<ul style="list-style-type: none"> ● Optional ● Retrieved from the excel.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
24	شركة في المنطقة الحرة	Freezone Company	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
25	مشغل مستودعات	Warehouse Operator	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
26	مشغل ميناء / مطار	Port/Airport Operator	Yes/No	<ul style="list-style-type: none"> Optional Retrieved from the excel.
27	مزود خدمة آخر	Other Service Provider	Text	<ul style="list-style-type: none"> Optional Retrieved from the excel.

Table 27—Share National AEO's with MRA Countries Data

5.25. National and GCC Benefits Group Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Benefits group				
1	اسم المجموعة	Group Name	Text	<ul style="list-style-type: none"> A short name describing the benefit group. Mandatory.
2	وصف المجموعة	Group Description	Text	<ul style="list-style-type: none"> A detailed description of the benefit group Mandatory.
3	هل المجموعة افتراضية؟	Is the Group Set as Default?	Yes/no	<ul style="list-style-type: none"> Default value: No. Mandatory. Only one default group is allowed. Benefits in the default group are automatically assigned to all Authorized Economic Operators (AEOs) in the United Arab Emirates,

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				and the key account manager may select another group.

Table 28—National and GCC Benefits Group Data

5.26. National and GCC Benefits Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Benefits Data				
1	رمز الامتياز	Benefit Code	Text	<ul style="list-style-type: none"> Optional.
2	اسم الامتياز (اللغة العربية)	Benefit Name	Text	<ul style="list-style-type: none"> Mandatory.
3	اسم الامتياز (اللغة الانجليزية)	Benefit Name	Text	<ul style="list-style-type: none"> Mandatory.
4	وصف الامتياز (اللغة العربية)	Benefit Description	Text	<ul style="list-style-type: none"> Mandatory.
5	وصف الامتياز (اللغة الانجليزية)	Benefit Description	Text	<ul style="list-style-type: none"> Mandatory.
6	نوع الامتياز	Benefit Type	Single Choice List	<ul style="list-style-type: none"> The available options are: <ul style="list-style-type: none"> National Benefits Gulf Benefits
7	الفئة	Category	Single Choice List	<ul style="list-style-type: none"> The category under which the benefit falls: <ul style="list-style-type: none"> Procedural Security/Control Administrative Financial

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> <input type="radio"/> Other <input checked="" type="radio"/> Mandatory.
8	الإمارة	Emirate	Multiple Choice List	<ul style="list-style-type: none"> • The emirate that can grant this benefit to the Authorized Economic Operator (AEO) in the United Arab Emirates. • Displayed only in the case of national benefits. • Mandatory.

Table 29— National and GCC Benefits Data

5.27. Question Bank Group Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	اسم المجموعة (باللغة العربية)	Group Name (Arabic)	Text	<ul style="list-style-type: none"> • The name that will be displayed for the group in the question tree is shown to the general department of customs. • Mandatory.
2	اسم المجموعة (باللغة الإنجليزية)	Group Name (English)	Text	<ul style="list-style-type: none"> • The name that will be displayed for the group in the question tree is shown to the general department of customs. • Mandatory.
3	هل المجموعة نهائية؟	Is it Leaf Group?	Yes/No	<ul style="list-style-type: none"> • Default value: No. • Questions can only be added to leaf (final) groups. • Required.

Table 30— Question Bank Group Data:

5.28. Question Data in the Question Bank

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	عنوان السؤال (اللغة العربية)	Question Title (Arabic)	Text	<ul style="list-style-type: none"> • A short title for the question. • Mandatory.
2	عنوان السؤال (اللغة الانجليزية)	Question Title (English)	Text	<ul style="list-style-type: none"> • A short title for the question. • Mandatory.
3	نص السؤال (اللغة العربية)	Question Text	Text	<ul style="list-style-type: none"> • The question text that will appear to the commercial establishment in the SAQ. • Mandatory
4	نص السؤال (اللغة الانجليزية)	Question Text	Text	<ul style="list-style-type: none"> • The question text that will appear to the commercial establishment in the SAQ. • Mandatory
5	نوع الجواب	Answer Type	Single Choice List	<ul style="list-style-type: none"> • The list includes: <ul style="list-style-type: none"> ○ Text Area: The commercial establishment must provide a written response to the question. The answer may consist of multiple lines, and the user specifies the maximum number of characters. ○ Text Box: A short, single-line text response is expected from the commercial establishment. ○ Single Choice List: The commercial establishment selects only one option from a list of multiple options.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> ○ Multiple Choice List: The commercial establishment may select one or more options from a list. ○ Yes/No: The commercial establishment must choose "Yes" or "No" as the answer. ○ Numeric: The answer must be numeric value. ○ Document: A document must be provided. ● Mandatory.
6	يطلب ارفاق وثائق	Require uploading an attachment.	Yes/No	<ul style="list-style-type: none"> ● This field defines if the establishment has to provide an attachment to this question or not.
6	هل السؤال شرطي؟	Conditional Question?	Yes /no	<ul style="list-style-type: none"> ● Will the question appear to the commercial establishment based on the answer to another question? ● Default value: No.
7	الأنشطة في سلاسل التوريد	Activities in the Supply Chain	Multiple Choice List	<ul style="list-style-type: none"> ● The set of supply chain activities with which the question will appear. ● It is used to determine which questions will be shown to the commercial establishment in the SAQ based on its activities in the supply chain. ● At least one activity is mandatory.
8	الملاحظات التوضيحية للسؤال (باللغة العربية)	Question Explanatory Notes (Arabic)	Text	<ul style="list-style-type: none"> ● Explanatory notes for the question that will appear in the SAQ as seen by the commercial establishment.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> ● Optional.
9	الملاحظات التوضيحية للسؤال (باللغة الإنجليزية)	Question Explanatory Notes (English)	Text	<ul style="list-style-type: none"> ● Explanatory notes for the question that will appear in the SAQ as seen by the commercial establishment. ● Optional.
10	مقدمة السؤال (باللغة العربية)	Question Introduction (Arabic)	Text	<ul style="list-style-type: none"> ● The question introduction that will appear in the SAQ as seen by the commercial establishment. ● Optional.
11	مقدمة السؤال (باللغة الإنجليزية)	Question Introduction (English)	Text	<ul style="list-style-type: none"> ● The question introduction that will appear in the SAQ as seen by the commercial establishment. ● Optional.
12	هل السؤال اجباري ام اختياري؟	Is the Question Mandatory or Optional?	Single Choice List	<ul style="list-style-type: none"> ● Available options: <ul style="list-style-type: none"> ○ Mandatory, if the question is mandatory then the commercial establishment can't mark it as "Not applicable" ○ Optional ● Default value: Mandatory ● Mandatory.

Table 31— Question Data in the Question Bank

5.29. Meeting Purpose Lookup Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	الغرض من الاجتماع باللغة العربية	Meeting Purpose (Arabic)	Text	<ul style="list-style-type: none"> Lookups option to be used to determine the purpose of the meeting. Accept Arabic letters. Mandatory.
2	الغرض من الاجتماع باللغة الإنجليزية	Meeting Purpose (English)	Text	<ul style="list-style-type: none"> Lookups option to be used to determine the purpose of the meeting. Accept English letters. Mandatory.
3	وصف الغرض من الاجتماع باللغة العربية	Meeting Purpose Description (Arabic)	Text	<ul style="list-style-type: none"> Accept Arabic letters. Mandatory.
4	وصف الغرض من الاجتماع باللغة الإنجليزية	Meeting Purpose Description (English)	Text	<ul style="list-style-type: none"> Accept English letters. Mandatory.

Table32— Meeting Purpose Lookup Data

5.30. Self-Assessment Questionnaire Template Creation Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Initial Data for the Self-Assessment Questionnaire Template				
2	اسم القالب	Template Name	Text	<ul style="list-style-type: none"> Mandatory.
3	وصف القالب	Template Description	Text	<ul style="list-style-type: none"> Optional.
Data Added When Creating a Section in the Template				

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
3	اسم القسم (باللغة العربية)	Section Name (Arabic)	Text	<ul style="list-style-type: none"> The name that will be displayed for the section in the question tree shown in the commercial establishment's SAQ. Mandatory.
4	اسم القسم (باللغة الإنجليزية)	Section Name (English)	Text	<ul style="list-style-type: none"> The name that will be displayed for the section in the question tree shown in the commercial establishment's SAQ. Mandatory.
5	مقدمة القسم (باللغة العربية)	Section Introduction (Arabic)	Text	<ul style="list-style-type: none"> The section introduction that will appear in the SAQ as seen by the commercial establishment. Optional.
6	مقدمة القسم (باللغة الإنجليزية)	Section Introduction (English)	Text	<ul style="list-style-type: none"> The section introduction that will appear in the SAQ as seen by the commercial establishment. Optional.
7	الملاحظات التوضيحية للقسم (باللغة العربية)	Section Explanatory Notes (Arabic)	Text	<ul style="list-style-type: none"> The explanatory notes that will appear in the SAQ as seen by the commercial establishment. Optional.
8	الملاحظات التوضيحية للقسم (باللغة الإنجليزية)	Section Explanatory Notes (English)	Text	<ul style="list-style-type: none"> The explanatory notes that will appear in the SAQ as seen by the commercial establishment. Optional.
9	هل القسم نهائٍ؟	Is it Leaf Section?	Yes/no	<ul style="list-style-type: none"> Up to three levels of sections can be created in the SAQ template. Questions can only be added if the section is a leaf section.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> • Default value: No. • mandatory.

Table 33— Self-Assessment Questionnaire Template Creation Data

5.31. Control plan Actions Lookup Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	خيار القائمة باللغة العربية	Lookup Option (Arabic)	Text	<ul style="list-style-type: none"> • Lookups option that can be for control plan action. • Accept Arabic letters. • Mandatory.
2	خيار القائمة باللغة الانجليزية	Lookup Option (English)	Text	<ul style="list-style-type: none"> • Lookups option that can be for control plan action. • Accept English letters. • Mandatory.
3	وصف الخيار باللغة العربية	Description Option (Arabic)	Text	<ul style="list-style-type: none"> • Description of the control plan action option. • Accept Arabic letters. • Mandatory.
4	وصف الخيار باللغة الانجليزية	Description Option (English)	Text	<ul style="list-style-type: none"> • Description of the control plan action option. • Accept English letters. • Mandatory.

Table 34— Control plan Actions Lookup Data

5.32. MRAs Benefits Group Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Add Mutual Recognition Agreement Benefits Group				
1	اسم مجموعة مزايا اتفاق الاعتراف المتبادل (باللغة العربية)	Name of MRA Group (Arabic)	Text	<ul style="list-style-type: none"> Mandatory.
2	اسم مجموعة مزايا اتفاق الاعتراف المتبادل (باللغة الانجليزية)	Name of MRA Group (English)	Text	<ul style="list-style-type: none"> Mandatory.
3	وصف مجموعة المزايا باللغة العربية	MRA Group Description (Arabic)	Text	<ul style="list-style-type: none"> Mandatory.
4	وصف مجموعة المزايا باللغة الانجليزية	MRA Group Description (English)	Text	<ul style="list-style-type: none"> Mandatory.

– MRAs Benefits Group Data³⁵ Table

5.33. Risks Group Data:

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	اسم المجموعة (باللغة العربية)	Group Name (Arabic)	Text	<ul style="list-style-type: none"> The name that will be displayed for the group in the risks tree shown to the general department of customs. Mandatory.
2	اسم المجموعة (باللغة الانجليزية)	Group Name (English)	Text	<ul style="list-style-type: none"> The name that will be displayed for the group in the risks tree shown to the general department of customs. Mandatory.
3	هل المجموعة هابئية؟	Is it Leaf Group?	Yes/No	<ul style="list-style-type: none"> Default value: No.

				<ul style="list-style-type: none"> ● Risks can only be added to leaf (final) groups. ● Mandatory.
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Table 36—Risks Group Data:

5.34. Risks Lookup Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	الخطر باللغة العربية	Risk (Arabic)	Text	<ul style="list-style-type: none"> ● Lookups option that can be for risks. ● Accept Arabic letters. ● Mandatory.
2	الخطر باللغة الإنجليزية	Risk (English)	Text	<ul style="list-style-type: none"> ● Lookups option that can be for risks. ● Accept English letters. ● Mandatory.
3	وصف الخطر باللغة العربية	Risk Description (Arabic)	Text	<ul style="list-style-type: none"> ● Description of the risk option. ● Accept Arabic letters. ● Optional.
4	وصف الخطر باللغة الانجليزية	Risk Description (English)	Text	<ul style="list-style-type: none"> ● Description of the risk option. ● Accept English letters. ● Optional.

Table 37—Risks Lookup Data

5.35. Assessment Tools Lookup Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	خيار القائمة باللغة العربية	Lookup Option (Arabic)	Text	<ul style="list-style-type: none"> Lookups option that can be for assessment tools. Accept Arabic letters. Mandatory.
2	خيار القائمة باللغة الإنجليزية	Lookup Option (English)	Text	<ul style="list-style-type: none"> Lookups option that can be for assessment tools. Accept English letters. Mandatory.
3	وصف الخيار باللغة العربية	Description Option (Arabic)	Text	<ul style="list-style-type: none"> Description of the assessment tool option. Accept Arabic letters. Mandatory.
4	وصف الخيار باللغة الإنجليزية	Description Option (English)	Text	<ul style="list-style-type: none"> Description of the assessment tool option. Accept English letters. Mandatory.

Table 38—Assessment Tools Lookup Data

5.36. Assessment Methods Lookup Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
1	خيار القائمة باللغة العربية	Lookup Option (Arabic)	Text	<ul style="list-style-type: none"> Lookups option that can be for assessment methods. Accept Arabic letters. Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
2	خيار القائمة باللغة الإنجليزية	Lookup Option (English)	Text	<ul style="list-style-type: none"> • Lookups option that can be for assessment methods. • Accept English letters. • Mandatory.
3	وصف الخيار باللغة العربية	Description Option (Arabic)	Text	<ul style="list-style-type: none"> • Description of the assessment method option. • Accept Arabic letters. • Mandatory.
4	وصف الخيار باللغة الانجليزية	Description Option (English)	Text	<ul style="list-style-type: none"> • Description of the assessment method option. • Accept English letters. • Mandatory.

Table 39—Assessment Methods Lookup Data

5.37. Audit Trails Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Audit trail for the commercial establishment				
1	التوقيت	Timestamp	Date /time	<ul style="list-style-type: none"> • The system captures the date and time at which the action was performed. • Automatically generated.
2	اسم المستخدم	Username	Text	<ul style="list-style-type: none"> • The system captures the username of the user who performed the action. • If the action is performed by the customs department, the username field shall be "Customs user"

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> Auto filled by the system.
3	الاسم	Name	Text	<ul style="list-style-type: none"> The system shall capture the full name of the user who performed the action. If the action is performed by the customs department, the name field shall be populated with the name of the relevant customs department. Auto filled by the system.
4	الإجراء المنفذ	Action Performed	Text	<ul style="list-style-type: none"> The system shall capture the action performed by a user within the commercial establishment account or resulting from an activity initiated by the customs department. Auto filled by the system.
5	معرف السجل	Record Identifier	Text	<ul style="list-style-type: none"> the specific record affected by the action, if applicable based on the type of the action. Auto filled by the system.
6	القيمة السابقة	Previous Value	Text	<ul style="list-style-type: none"> Captures the original value of the data before the action was performed, if applicable based on the type of the action. Auto filled by the system.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
7	القيمة الجديدة	New value	Text	<ul style="list-style-type: none"> Captures the updated or newly entered value resulting from the action performed, if applicable based on the type of the action. Auto filled by the system.

Table 40—Audit Trails Data

5.38. Define Role Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Role Definition				
1	معرف الدور	Role ID	Text	<ul style="list-style-type: none"> Unique code to define the role. Auto generated. mandatory
2	اسم الدور باللغة العربية	Role Name (Arabic)	Text	<ul style="list-style-type: none"> The name of the role. Accept only Arabic letters. Mandatory.
3	اسم الدور باللغة الانجليزية	Role Name (English)	Text	<ul style="list-style-type: none"> The name of the role. Accept only English letters. Mandatory.
4	وصف الدور باللغة العربية	Role Description (Arabic)	Text	<ul style="list-style-type: none"> A description of the responsibilities associated with the role. Accept only Arabic letters. Optional.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
5	وصف الدور باللغة العربية	Role Description (English)	Text	<ul style="list-style-type: none"> A description of the responsibilities associated with the role. Accept only English letters. Optional.
6	نوع الدور	Role Type	Single choice list	<ul style="list-style-type: none"> The available options: <ul style="list-style-type: none"> Federal role. Local customs role. Mandatory.
7	الصلاحيات	Permissions	Multiple choice list	<ul style="list-style-type: none"> Permissions that the role will have. The permissions list will be filtered based on the role type. mandatory
8	هل هذا الدور معرف في النظام؟	Is This Role Predefined in The System?	Yes / no	<ul style="list-style-type: none"> Will be "Yes" if the role was defined during the system development. Auto filled by the system.

Table 41— Define Role Data

5.39. AEO Portal Local Communication Channels

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Local Communication Form				
1	الغرض	Purpose	Single choice selection	<ul style="list-style-type: none"> Available options: <ul style="list-style-type: none"> Inquiry. Complaint. Issue. Suggestion.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
				<ul style="list-style-type: none"> <input type="radio"/> Others (if “Others” is selected, the system will show text field to fill in the purpose) ● Mandatory.
2	اسم الشخص المعنى بالتوصال	Contact Person Name	Text	<ul style="list-style-type: none"> ● Full name of the designated contact person ● Mandatory.
3	المنصب الرسمي	Official Position	Text	<ul style="list-style-type: none"> ● Official position/title of the contact person ● Mandatory.
4	البريد الإلكتروني	Email	Text	<ul style="list-style-type: none"> ● The email address of the contact person. ● Mandatory.
5	رقم الهاتف	Phone Number	Number	<ul style="list-style-type: none"> ● The number of contact people. ● Country selection followed by phone number entry. ● Default country: UAE. ● Mandatory
6	تفاصيل الطلب	Request Details	Text	<ul style="list-style-type: none"> ● Details of the request. ● Mandatory.
7	مستند رسمي	Official Document	Document	<ul style="list-style-type: none"> ● Multiple. ● Optional.
8	طريقة التواصل المفضلة	Preferred Contact Method	Single choice selection	<ul style="list-style-type: none"> ● Available values: <ul style="list-style-type: none"> <input type="radio"/> Email. <input type="radio"/> Phone. ● Default value is “Email”. ● Mandatory.
Other Local Communication Channels with UAE ICP				

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
9	البريد الإلكتروني	Email	Text	<ul style="list-style-type: none"> The email address to be used for local communication as entered by the system admin. Read only.
10	رقم الهاتف	Phone Number	Number	<ul style="list-style-type: none"> The number to be used for local communication as entered by the system admin. Consists of country code+ phone number. Read only.

Table 42— AEO Portal Local communication channels

5.40. AEO Portal International Communication Channels Data:

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
International Communication Form				
1	الغرض	Purpose	Single choice selection	<ul style="list-style-type: none"> Available options: <ul style="list-style-type: none"> Inquiry. Complaint. Suggestion. Others (if "Others" is selected, the system will show text field to fill in the purpose) Mandatory.
2	الدولة	Country	Single choice list	<ul style="list-style-type: none"> Country would like to initiate conversation with the UAE ICP. Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
3	الجهة	Entity	Text	<ul style="list-style-type: none"> The entity would like to initiate conversation with the UAE ICP. Mandatory.
4	اسم الشخص المعنى بالتواصل	Contact Person Name	Text	<ul style="list-style-type: none"> Full name of the designated contact person Mandatory.
5	المنصب الرسمي	Official Position	Text	<ul style="list-style-type: none"> Official position/title of the contact person Mandatory.
6	البريد الإلكتروني	Email	Text	<ul style="list-style-type: none"> The email address of the contact person. Mandatory.
7	رقم الهاتف	Phone Number	Number	<ul style="list-style-type: none"> The number of contact people. Country selection followed by phone number entry. [country code] [phone number] Country code is a list. Phone number field accepts digits only. Default country: UAE. Mandatory
8	تفاصيل الطلب	Request Details	Text	<ul style="list-style-type: none"> Details of the request. Mandatory.
9	مستند رسمي	Official Document	Document	<ul style="list-style-type: none"> Multiple. Optional.
Other Communication Channels with UAE ICP				
9	البريد الإلكتروني	Email	Text	<ul style="list-style-type: none"> The email address is to be used for international communication. Read only.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
10	رقم الهاتف	Phone Number	Number	<ul style="list-style-type: none"> The number to be used for international communication, as entered by the system admin. Consists of country code+ phone number. Read only.

Table 43— AEO Portal International Communication Channels Data:

5.41. Notification Settings Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Notifications Settings				
1	فئة الاشعار	Notification Group	Single choice selection	<ul style="list-style-type: none"> Predefined groups of notifications which include: <ul style="list-style-type: none"> AEO portal notifications Local customs AEO management portal Notifications Federal AEO management portal Notifications System wide notifications. Mandatory.
2	محرك الاشعار	Notification Trigger	Single choice selection	<ul style="list-style-type: none"> Predefined specific system event or action that automatically initiates a notification. Mandatory.
3	تفاصيل الاشعار	Notification Description	Text	<ul style="list-style-type: none"> Predefined description of the notification to help the end user to understand it. Read only

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
4	العنوان باللغة العربية	Notification Arabic Subject	Text	<ul style="list-style-type: none"> Mandatory.
5	العنوان باللغة الانجليزية	Notification English Subject.	Text	<ul style="list-style-type: none"> Mandatory.
6	نص الاشعار باللغة العربية	Notification Arabic Body	Text	<ul style="list-style-type: none"> Mandatory
7	نص الاشعار باللغة الانجليزية	Notification English Body	Text	<ul style="list-style-type: none"> Mandatory
8	هل الاشعار فعال؟	Is Enabled?	Single choice list	<ul style="list-style-type: none"> If the notification is disabled, the system will not send it. The default value is “Enabled”

Table 44— Notification Settings Data

5.42. Reminders Settings Data

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
Reminders Settings				
1	فئة اشعار التذكير	Reminder Group	Single choice list	<ul style="list-style-type: none"> Predefined groups of reminders which include: <ul style="list-style-type: none"> AEO portal notifications Local customs AEO management portal notifications Federal AEO management portal notifications Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
2	نوع اشعار التذكير	Reminder Type	Single choice selection	<ul style="list-style-type: none"> Predefined list of reminders in the system. Mandatory.
3	تفاصيل اشعار التذكير	Reminder Description	Text	<ul style="list-style-type: none"> Predefined description of the Reminder to help the end user to understand it. Read only
				•
First Reminder Settings				
5	موعد اشعار التذكير الأول	First Reminder Timing	Text	<ul style="list-style-type: none"> Time interval for sending the first reminder prior to the end of the allowed duration for the procedure The user needs to enter: <ul style="list-style-type: none"> Value (in numbers). Unit (day, week, month, year). Mandatory
6	العنوان باللغة العربية	Reminder Arabic Subject	Text	<ul style="list-style-type: none"> Mandatory.
7	العنوان باللغة الانجليزية	Reminder English Subject.	Text	<ul style="list-style-type: none"> Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
8	نص اشعار التذكير باللغة العربية	Reminder Arabic Body	Text	<ul style="list-style-type: none"> Mandatory
9	نص اشعار التذكير باللغة الانجليزية	Reminder English Body	Text	<ul style="list-style-type: none"> Mandatory
10	هل اشعار التذكير فعال؟	Is Enabled?	Single choice list	<ul style="list-style-type: none"> If the Reminder is disabled, the system will not send it. The default value is "Enabled"
11	مستلم الاشعار	Reminder Recipient		<ul style="list-style-type: none"> Specifies the individual/ system role designated to receive the reminder notification for a specific action or procedure. Auto captured by the system.
Second Reminder Settings				
12	موعد اشعار التذكير الثاني	Second Reminder timing	Text	<ul style="list-style-type: none"> Time interval for sending the second reminder prior to the end of the allowed duration for the procedure The user needs to enter: <ul style="list-style-type: none"> Value (in numbers). Unit (day, week, month, year). Mandatory
13	العنوان باللغة العربية	Reminder Arabic Subject	Text	<ul style="list-style-type: none"> Mandatory.

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
14	العنوان باللغة الانجليزية	Reminder English Subject.	Text	<ul style="list-style-type: none"> Mandatory.
15	نص اشعار التذكير باللغة العربية	Reminder Arabic Body	Text	<ul style="list-style-type: none"> Mandatory
16	نص اشعار التذكير باللغة الانجليزية	Reminder English Body	Text	<ul style="list-style-type: none"> Mandatory
17	هل اشعار التذكير فعال؟	Is Enabled?	Single choice list	<ul style="list-style-type: none"> If the Reminder is disabled, the system will not send it. The default value is "Enabled"
18	مستلم الاشعار	Reminder Recipient		<ul style="list-style-type: none"> Specifies the individual/ system role designated to receive the reminder notification for a specific action or procedure. Auto captured by the system.
Escalation settings				
19	موعد اشعار التصعيد	Escalation Timing	Text	<ul style="list-style-type: none"> Time interval for sending the Escalation reminder after the end of the allowed duration for the procedure The user needs to enter: <ul style="list-style-type: none"> Value (in numbers). Unit (day, month, year). Mandatory

#	Field Name (Arabic)	Field Name (English)	Type	Business Rules
20	العنوان باللغة العربية	Escalation Arabic Subject	Text	<ul style="list-style-type: none"> Mandatory.
21	العنوان باللغة الانجليزية	Escalation English Subject.	Text	<ul style="list-style-type: none"> Mandatory.
22	نص اشعار التصعيد باللغة العربية	Escalation Arabic Body	Text	<ul style="list-style-type: none"> Mandatory
23	نص اشعار التصعيد باللغة الانجليزية	Escalation English Body	Text	<ul style="list-style-type: none"> Mandatory
24	هل اشعار التصعيد فعال؟	Is Enabled?	Single choice list	<ul style="list-style-type: none"> If the Reminder is disabled, the system will not send it. The default value is “Enabled”
25	مستلم اشعار التصعيد	Escalation Recipient	Single choice list	<ul style="list-style-type: none"> Specifies the individual/ system role designated to receive the escalation reminder for a specific action or procedure. Mandatory.

Table 45— Reminders Settings Data

6. Functional Requirements

6.1. Roles and Responsibilities

6.1.1. Commercial Establishment Roles

Role	Channel	Responsibilities
Commercial Establishment Account Manager	• AEO Portal	<ul style="list-style-type: none"> ● The “Commercial Establishment Account Manager” is the owner/founder of the commercial establishment or an authorized representative with full privileges, which include: <ul style="list-style-type: none"> ○ Submitting the request to create the commercial establishment account (Restricted to account manager). ○ Managing commercial establishment users and assigning their permissions (Restricted to Account Manager). ○ Filling out the AEO authorization request. ○ Submitting the AEO authorization request (Restricted to Account Manager). ○ Canceling the AEO authorization request. ○ Saving the “AEO Authorization Request” as a draft. ○ Reviewing the request if it is returned by the local customs department with remarks. ○ Editing the request based on the remarks provided by the local customs department. ○ Filling out the SAQ (first time or revalidation). ○ Saving the SAQ as draft (first time or revalidation). ○ Submitting the SAQ (first time or revalidation). ○ Reviewing the SAQ when it is returned by the relevant customs department (first time or revalidation). ○ Editing the answers to returned SAQ questions (first time or revalidation).

Role	Channel	Responsibilities
		<ul style="list-style-type: none"> <input type="radio"/> Adding responses to the remarks provided by the relevant customs department on the SAQ answers (first time or revalidation). <input type="radio"/> Confirming meetings appointments (first time or revalidation). <input type="radio"/> Reviewing the draft assessment/ reassessment report. <input type="radio"/> Approving the draft assessment/ reassessment report. <input type="radio"/> Adding remarks on the assessment/ reassessment report. <input type="radio"/> Returning the assessment/ reassessment report to the relevant customs department with remarks. <input type="radio"/> Submitting the compliance improvement plan (first time or revalidation). <input type="radio"/> Reviewing the remarks on the compliance improvement plan provided by the relevant customs department (first time or revalidation). <input type="radio"/> Confirming implementation of the compliance improvement plan (first time or revalidation). <input type="radio"/> Submitting a request to extend the deadline for implementing the compliance improvement plan (first time or revalidation). <input type="radio"/> Filling out the appeal request. <input type="radio"/> Submitting the appeal request. <input type="radio"/> Reviewing the remarks provided by the relevant customs department on a returned appeal request. <input type="radio"/> Requesting a hearing session. <input type="radio"/> Escalating the appeal request to the general department of customs. <input type="radio"/> Communicating with the customs department. <input type="radio"/> Viewing commercial establishment timeline.

Role	Channel	Responsibilities
AEO Authorization Request Editor	AEO Portal	<ul style="list-style-type: none"> ● This role is granted by the commercial establishment account manager to perform specific operational tasks, including: <ul style="list-style-type: none"> ○ Filling out the AEO Authorization Request form. ○ Canceling the AEO authorization request. ○ Saving the request as a draft. ○ Reviewing the request if it is returned by the local customs department with remarks. ○ Editing the request based on the remarks provided by the local customs department. ○ Communicating with the customs department. ○ Viewing commercial establishment timeline.
SAQ Editor	AEO Portal	<ul style="list-style-type: none"> ● This role is granted by the “Commercial Establishment Account Manager” to perform specific operational tasks, including: <ul style="list-style-type: none"> ○ Filling out the SAQ (first time or revalidation). ○ Saving the SAQ as a draft (first time or revalidation). ○ Submitting the SAQ (first time or revalidation). ○ Reviewing the SAQ when it is returned by the relevant customs department (first time or revalidation). ○ Editing the answers to returned SAQ questions (first time or revalidation). ○ Adding responses to the remarks provided by the relevant customs department on the SAQ (first time or revalidation). ○ Communicating with the customs department. ○ Viewing commercial establishment timeline.
Assessment Report Editor	AEO Portal	<ul style="list-style-type: none"> ● This role is granted by the “Commercial establishment account manager” to perform specific operational tasks, including:

Role	Channel	Responsibilities
		<ul style="list-style-type: none"> <input type="radio"/> Confirming meetings appointments (first time or revalidation). <input type="radio"/> Reviewing the draft assessment/ reassessment report. <input type="radio"/> Approving the draft assessment/ reassessment report. <input type="radio"/> Adding remarks on the assessment/ reassessment report. <input type="radio"/> Returning the assessment/ reassessment report to the relevant customs department with remarks. <input type="radio"/> Submitting the compliance improvement plan (first time or revalidation). <input type="radio"/> Reviewing the remarks on the compliance improvement plan provided by the relevant customs department (first time or revalidation). <input type="radio"/> Submitting a request to extend the deadline for implementing the compliance improvement plan (first time or revalidation). <input type="radio"/> Communicating with the customs department. <input type="radio"/> Viewing commercial establishment timeline.
Appeals Request Editor	AEO Portal	<ul style="list-style-type: none"> ● This role is granted by the "Commercial Establishment Account Manager" to perform specific operational tasks, including: <ul style="list-style-type: none"> <input type="radio"/> Submitting the appeal request. <input type="radio"/> Filling out the appeal request. <input type="radio"/> Reviewing the remarks provided by the relevant customs department on a returned appeal request. <input type="radio"/> Requesting a hearing session. <input type="radio"/> Escalating the appeal request to the general department of customs. <input type="radio"/> Communicating with the customs department. <input type="radio"/> Viewing commercial establishment timeline.

6.1.2. Local Customs Roles

Role	Channel	Responsibilities
Administrator	Local Customs AEO Management Portal	<ul style="list-style-type: none"> ● The administrator from the relevant customs department who performs the following tasks: <ul style="list-style-type: none"> ○ Approving the account creation request data and documents. ○ Rejecting the account creation request data and documents ○ Reviewing the “AEO Authorization Request” data and documents, ensuring all required information is complete to proceed to the processing stage. ○ Returning the “AEO Authorization Request” to the commercial establishment for data completion. ○ Reviewing the “AEO Authorization Request” for conducting a preliminary risk assessment. ○ Viewing the “AEO Authorization Request” received from another customs department to assess preliminary risk assessment and add violations and branches, if any. ○ Reviewing the results received from other customs departments regarding violations or branches related to the applying commercial establishment. ○ Rejecting the AEO authorization request. ○ Granting initial approval for the AEO authorization request. ○ Receiving updates report on the AEOs of MRA countries from the general department of customs.
Senior Administrator	Local Customs AEO Management Portal	<ul style="list-style-type: none"> ● The senior administrator at the relevant customs department who performs the following tasks: <ul style="list-style-type: none"> ○ Approving the account creation request after initial approval by the administrator.

Role	Channel	Responsibilities
		<ul style="list-style-type: none"> ○ Rejecting the account creation request after initial approval by the administrator. ○ Approving the “AEO Authorization Request” after initial approval by the administrator. ○ Rejecting the “AEO Authorization Request” after initial approval by the administrator. ○ Returning the “AEO Authorization Request” after initial approval by the administrator. ○ Assigning the validation team to begin preparing the SAQ for sharing with the commercial establishment ○ Manage KAMs team. ○ Manage validation team. ● Reopen a rejected/ cancelled AEO authorization request. Whether the request is declined by the administrator before the preliminary risk assessment or by administrator/ senior administrator after the preliminary risk assessment or cancelled by the commercial establishment or by the local customs as detailed in the section “Cancelling the AEO Authorization Request” under the “AEO Portal”. ● Mark the “AEO Authorization Request” as expired.
Validation Team Member	local customs AEO management portal	<ul style="list-style-type: none"> ● A member of the validation team within the relevant customs department, whose tasks include: <ul style="list-style-type: none"> ○ Customizing the SAQ. ○ Reviewing the completed SAQ. ○ Conducting the initial risk assessment. ○ Preparing the assessment /reassessment plan. ○ Scheduling / rescheduling / cancelling meetings. ○ Record and upload meeting minutes. ○ Preparing the assessment /reassessment report. ○ Preparing/ editing the control plan.

Role	Channel	Responsibilities
Validation Team Lead	Local Customs AEO Management Portal	<ul style="list-style-type: none"> ● The lead of one of the validation teams within the relevant customs department and may perform all the tasks of a validation team member, in addition to the following: <ul style="list-style-type: none"> ○ Sharing the SAQ with the commercial establishment. ○ Returning the SAQ to the commercial establishment if it is incomplete. ○ Accepting the SAQ. ○ Approving the assessment file. ○ Sharing the draft assessment/re-assessment report with the commercial establishment. ○ approving the initial risk assessment and the assessment/ reassessment plan. ○ Accepting the compliance improvement plan. ○ Returning the compliance improvement plan. ○ approving the control plan. ○ Mark the SAQ as expired.
AEO Program Manager	Local Customs AEO Management Portal	<ul style="list-style-type: none"> ● The Authorized Economic Operator (AEO) program manager in the relevant customs department, who performs the following tasks: <ul style="list-style-type: none"> ○ approving the granting AEO status to the commercial establishment ○ rejecting the granting AEO status to the commercial establishment ○ Assigning the key account manager. ○ Assigning the validation team to begin the re-assessment plan preparation process. ○ Suspending the Authorized Economic Operator (AEO) certificate. ○ Revoking the Authorized Economic Operator (AEO) certificate.

Role	Channel	Responsibilities
		<ul style="list-style-type: none"> <input type="radio"/> Disabling or reactivating the benefits granted to the AEO. <input type="radio"/> Accepting appeal request. <input type="radio"/> Rejection appeal request <input type="radio"/> Returning the appeal request <input type="radio"/> Making the decision regarding appeal requests either accepting or rejecting the request.
Key Account Manager	Local Customs AEO Management Portal	<ul style="list-style-type: none"> ● Maintaining continuous communication with the Authorized Economic Operator (AEO) and taking appropriate actions such as: <ul style="list-style-type: none"> <input type="radio"/> Modifying the control plan. <input type="radio"/> Notifying the relevant customs department of the need for revalidation. ● Maintaining continuous communication with the AEO and taking appropriate actions, such as: <ul style="list-style-type: none"> <input type="radio"/> Modifying the control plan. <input type="radio"/> Notifying the relevant customs administration of the need for reassessment.
Appeals Officer	Local Customs AEO Management Portal	<ul style="list-style-type: none"> ● Reviewing appeal requests to ensure data completeness and taking appropriate action by either returning the request to the commercial establishment for completion or adding a recommendation to accept or reject the request. ● Scheduling hearing sessions, recording the session minutes, and sharing them with the commercial establishment.

6.1.3. Federal Customs Roles

Role	Channel	Responsibilities
Federal System Administrator	Federal AEO Management Portal	<ul style="list-style-type: none"> ● The federal system administrator from the general department of customs who performs the following tasks: ● Defining user roles in the system. ● Managing access to the general department of customs employees and assigning their roles. ● Managing access to local employees and assigning their roles. ● Managing content management. ● Managing notifications and reminders settings. ● . ● Activating or deactivating the general department of customs employee user accounts. ● Activating or deactivating the local customs employee user accounts. ● Changing federal employee role. ● Changing local customs employee role. ● Manage meeting settings.
Federal Administrator	Federal AEO Management Portal	<ul style="list-style-type: none"> ● The administrator at the General Department of Customs whose tasks include: <ul style="list-style-type: none"> ○ Managing the question bank. ○ Managing the SAQ templates. ○ Managing benefit groups. ○ Managing benefit lists. ○ Managing Mutual Recognition Agreements. ○ Managing the risks lookup. ○ Managing assessment tools and assessment methods lookups.

Role	Channel	Responsibilities
		<ul style="list-style-type: none"> ○ Managing violations lookup. ○ Managing control plan actions lookup. ○ Upload the excel sheet containing the AEOs from signed countries. ○ share the National AEOs with the MRA countries ○ Issue the AEO certificate. ○ Sending notifications to the local customs departments in case they do not respond to the preliminary risk assessment request. ○ Reopen a rejected AEO authorization request. Whether the request is declined by the administrator before the preliminary risk assessment or by administrator/ senior administrator after the preliminary risk assessment. ○ Manage appeal settings ○ Review appeal escalation and makes a recommendation to approve or reject it.
Senior Federal Administrator	Federal AEO Management Portal	<ul style="list-style-type: none"> ● The lead administrator at the general department of customs whose tasks include: <ul style="list-style-type: none"> ○ Reviewing proposed modifications in the question bank and taking the appropriate action to approve, reject, or return the modification request with remarks to the federal administrator. ○ Reviewing the SAQ template and taking the appropriate action to approve, reject, or return it with remarks to the federal administrator. ○ Review appeal escalation and makes the decision to approve or reject it.

Table 46 – Roles and Responsibilities

6.2. Authorized Economic Operator (AEO) Portal

6.2.1. About the AEO Program

- The AEO Portal will include a dedicated section displaying general information about the AEO Program, accessible to all economic operators. This section aims to introduce commercial establishments to the program and its benefits, and includes the following:
 - Definition of the AEO Program.
 - Overview of the national, GCC and MRA benefits of granting AEO status.
 - Clarification of the eligibility requirements and conditions for granting AEO status.
 - Presentation of the application steps and procedures.
 - Frequently Asked Questions (FAQ) section.
 - Mutual Recognition Agreements (MRAs), with details on the benefits of each agreement:
 - Once an (MRA) is added to the system, it will automatically be reflected in the list of countries and the benefits for each MRA, the data of the MRA are detailed in "[Adding MRAs Data](#)" section of the data dictionary.
 - Once an MRA is revoked, the system will automatically hide it from the AEO portal.
 - The system will display the list of commercial establishments under each country for the logged in users only, and the data will appear as follows for each:
 - ❖ Name of the establishment in English and Arabic (if available).
 - ❖ Address.
 - ❖ Authorization date.
 - ❖ Activities in supply chain.

- The logged in users can filter the commercial establishment by activities in the supply chain.
- Publication of the list of certified commercial establishments under the national AEO Program. The data for each national AEO will appear as follows:
 - Name of the commercial establishment in Arabic and English.
 - Supply chain activities.
 - Address: which consists of:
 - ❖ Emirate.
 - ❖ Area.
 - ❖ Detailed address.
 - Date of granting the membership.
 - Membership status.
 - Contacts details:
 - ❖ email
 - ❖ phone number.
 - When the commercial establishment's membership is revoked or suspended, the name of the establishment will be hidden from the public list and retained in the internal records.
 - Users are able to filter the list of national AEO:
 - ❖ Name (AR/EN).
 - ❖ Supply chain activities
 - ❖ Emirates

❖ Any combination of the above filters

- Official policy documents.
- Educational and informational publications and videos (AEO E-Learning).
- Local communication channels as detailed in “Local Communication Channels” section of the data dictionary.
- International communication channels as detailed in “International Communication Channels” section of the data dictionary.

6.2.2. Creating a Commercial Establishment Account

6.2.2.1. Submitting a Request to Create a Commercial Establishment Account

Actors

- Commercial establishment account manager.

Description

- The process begins when the applicant accesses the AEO portal and selects the “Create Account” option.
- The system prompts the applicant to choose whether to use UAE PASS for account creation.
 - If the applicant chooses not to use UAE PASS, the system performs the following:
 - Requires the applicant to enter an email address.
 - If no commercial establishment is registered with the entered email, the system sends a One-Time Password (OTP) to the provided email.
 - The applicant enters OTP, and the system validates its correctness.

The applicant completes the required data fields in accordance with the structure defined in the data dictionary titled “[Commercial Establishment Account Creation Request Data](#)”. and submits the account creation request for review by the relevant customs department.

- If the applicant chooses to use UAE PASS, the system automatically retrieves the applicant data from the UAE PASS system, except for the following fields, which must be completed manually by the applicant:
 - Job title.
 - Role.
 - Authorization document (to be attached in case the selected role is Authorized Representative).
- Upon submission:
 - The system generates a reference number for tracking purposes.
 - The system sends a notification to the applicant confirming the submission, including the reference number.
- The applicant may cancel the request at any point before submission. If the request is cancelled:
 - The system deletes all entered data.
- Once the request is approved by the relevant customs department:
 - If the request was submitted via UAE PASS, then the system notifies the applicant of the approval, and the applicant may log in directly using UAE PASS.
 - If the request was submitted manually, then the system sends an email notification to the provided email in the registration request that contains the username as the same provided email during the registration and an autogenerated password to access the account. And the user needs to change the password at the first log in.
 - The user will have the option to reset his own password by using the option “Forget password”, then the user must provide a valid and registered email address, and the system will verify the provided email and if it's registered then the user will be able to set a new password. This option will be available only for the user who has selected the login option as “Login with username and password”

into the system using the provided credentials, and it will not be available for the user who has selected the login option as “Login using UAE PASS”

- The system limits the creation of commercial establishment accounts to entities with trade licenses issued by Emirates authorized to issue AEO certificates, as defined in the system settings—initially limited to Abu Dhabi and Dubai. As a result, only Abu Dhabi and Dubai will appear as selectable options in the trade license emirate field.

Business Rules

#	Description	Source
BR.1	When submitting a commercial establishment account creation request in the Authorized Economic Operator (AEO) Portal, the system verifies that no account or pending account creation request is associated with the same email address. Other than that, there are no prerequisites preventing the establishment from creating the account.	Requirements gathering sessions
BR.2	Format of the reference number for the commercial establishment account creation request in the AEO Portal is as the following (AEO- REG-[year] – [4-digit sequential numbers]). Example: AEO – REG -2025-0015.	Requirements gathering sessions
BR.5	One-time password validity period is 3 minutes.	Requirements gathering sessions
BR24	The system will not allow commercial establishments holding a trade license issued by emirates other than Abu Dhabi or Dubai to submit a commercial establishment account creation request.	Requirements gathering sessions
BR.28	When there is a new registration request, the system has to check before submission if the same establishment has a	Requirements gathering sessions

	previously submitted request which is in progress or approved.	
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6.2.2.2. Tracking the Status of the Account Creation Request

Actors

- Commercial establishment account manager.
- Description After submitting the account creation request through the AEO Portal, the system sends a notification email to the applicant containing the reference number.
- To track the status of the request, the applicant accesses the AEO Portal and clicks the “Track My Request” button.
 - Upon clicking the button, the applicant is directed to a page containing a field to enter the reference number and the mobile number that was used to submit the commercial establishment account creation request
 - If the mobile number doesn't match the registered one the system will show a notification message asking the user to enter the right mobile number.
 - After entering the reference number and clicking the “Check Status” button, the system retrieves and information as defined in the data dictionary “[Tracking the Commercial Establishment Account Creation Request](#)”.

6.2.2.3. Managing Users in the Commercial Establishment Account

Actors

- Commercial establishment account manager.

Description

- Once the account creation request is approved, the Commercial Establishment Account Manager is authorized to manage users who will perform operational tasks related to the AEO Program.
- The Account Manager logs into the commercial establishment account and clicks the “Add User” button.

- The Account Manager enters the user's data in accordance with the structure defined in the data dictionary titled "[Commercial Establishment User Account Data.](#)" And assigns the desired role(s) to him.

- The system provides the following predefined roles:

- AEO Authorization Request Editor
 - SAQ Editor
 - Assessment Report Editor
 - Appeals Request Editor
 - Commercial Establishment Account Manager.

To understand the responsibilities associated with each role, refer to the "Roles and Responsibilities" table.

- User creation:
 - The system automatically generates a username and temporary password.
 - The system sends the login credentials to the new user's registered email address.
 - Each user will have the option to reset his own password.
 - The Account Manager has full administrative control over the users under the commercial establishment account, including:
 - Modifying assigned roles and permissions.
 - Disabling user accounts, which temporarily revokes access while retaining the user's data.
 - In case of changing the "Commercial Establishment Account Manager" the current account manager can assign role "Commercial establishment account manager" to an existing user or to a newly created user.
 - In that case the "Commercial Establishment Account Manager" needs to select whether that user is the owner of the establishment or the authorized representative of the establishment.

- And attaches the authorization document in the case of the authorized representative of the establishment.
- If the current “Commercial Establishment Account Manager” of the commercial establishment is no longer with the organization, the relevant customs authority can perform the above steps on their behalf.

6.2.2.4. Reset Password

Actors

- All users who are granted access to the commercial establishment account.

Description

- The reset password option is only applicable for the manual login option with credentials, and not applicable for the login with UAE PASS.
- System will enforce all users to reset their temporary auto-generated password upon the first-time successful login. This is for security purposes.
- The user must provide a new password different than the temporary password and then retype the new password to ensure that it's the same password and entered correctly, then after the user has confirmed the new password, the system will update the user password to be the new provided password for the subsequent logins.

6.2.2.5. Change Password

Actors

- All users who are granted access to the commercial establishment account.

Description

- The change password option is only applicable for the manual login option with credentials, and not applicable for the login with UAE PASS.
- The user will be able to change his password upon login, from “My Profile” page. Once user login to the system and opens his profile page, he will have the option to change his password at any time. Then the user must provide a new password different than the old password and then retype the new password to ensure that it's the same password and entered correctly, then after the user has confirmed the new

password, the system will update the user password to be the new provided password for the subsequent logins.

6.2.2.6. Forget Password

Actors

- All users who are granted access to the commercial establishment account.

Description

- The forget password option is only applicable for the manual login option with credentials, and not applicable for the login option with UAE PASS.
- System will enable the option “Forget Password” for all users inside their login page.
- The user must provide his registered email address to proceed with it. To ensure that he is a legitimate user.
- Then the system will enable the user to create a new password that must be different than the forgotten password and retype the new password for confirmation. Then after the user has confirmed the new password, the system will update the user password to be the new provided for the subsequent logins.

6.2.2.7. My Profile

Actors

- All users who are granted access to the commercial establishment account.

Description

- System will enable users to view their personal profile information. Profile is initially created by the “Commercial Establishment Account Manager”, and after logging in the user can update the email and phone no.
- For more details about information available in “My Profile” please refer to “[Commercial Establishment User Account Data](#)” section of the data dictionary.

6.2.2.8. Statuses of Account Creation Request.

Request Status	Status Start	Status End	Status Description

Account Creation Request Submitted	When the applicant submits the request for review via the AEO Portal.	When the administrator begins reviewing the request. The status changes to “account creation request under review.”	The request is awaiting the start of review by the relevant customs department. This status will be recorded in the audit trail.
Account Creation Request Under Review	When the administrator starts reviewing the request.	<ul style="list-style-type: none"> ● When the senior administrator approves it, the status changes to “account creation request approved”. ● When the administrator rejects it, the status changes to “account creation request rejected.” 	The request is under review by the customs department and will remain so until a decision is made. This status will be recorded in the audit trail.
Account Creation Request Approved	When the request is approved by the administrator.	<input type="radio"/> Final status.	The account creation request has been accepted. This status will be recorded in the audit trail.
Account Creation Request Rejected	When the request is rejected by the administrator	Final status.	The request has been rejected. The applicant must submit a new request if they wish to apply again. This

			status will be recorded in the audit trail.
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Table 47—Statuses

6.2.2.9. Notifications

Notification Event	Trigger	Recipient	Channels
Account Creation Request Submission Confirmation	Upon submitting the request.	• Applicant	• Email
Account Creation Request Approved	When the request is approved by the administrator.	• Applicant	• Email
Account Creation Request Rejected	When the request is rejected by the administrator.	• Applicant	• Email
User Account Creation	When the user account has been created by the establishment account manager to access the commercial establishment account.	• Added users	• Email

Table 48—Notifications

6.2.3. AEO Application Process

6.2.3.1. Submitting the AEO Authorization Request

Actors

- Commercial establishment account manager.
 - Filling out the AEO authorization request.
 - Submitting the AEO authorization request.
- AEO authorization request editor.

- Filling out the AEO authorization request

Description

- After creating the commercial establishment account, eligible user i.e. "Commercial Establishment Account Manager" or "AEO Authorization Request editor" role will be able to start and new "AEO Authorization Request".
 - The system automatically verifies that there is no violated business rules that prevents submitting the "AEO Authorization Request" using the trade license number of the commercial establishment that submitted the request. The violated business rules that prevent the submission may be one of the following reasons:
 - Before submitting the request, the system will automatically verify the mandatory user inputs and attachments for the matching file types and size.
 - There is a previous "AEO Authorization Request" under review.
 - There is a previous "AEO Authorization Request" that was accepted, and the commercial establishment is undergoing processing of the subsequent stages of the AEO status granting process.
 - The commercial establishment is already a member of the program, and the AEO status is either active or suspended.
 - If a violated business rules that prevents the submission exists, the system notifies the commercial establishment of the restriction preventing the submission of the "AEO authorization request".
- Users fill out the form and upload the required documents in accordance with the structure specified in the data dictionary titled "[AEO Authorization Request Form Data](#)".
 - The system will provide downloadable templates for the following documents:
 - List of the executive management and members of the board.
 - List of main shareholders/owners.

- The commercial establishment user can download these templates, fill them out, and upload them back into the system as part of completing the AEO authorization request.
- The system will allow the user to enter the data of the branches which have activities in the supply chain.
- If the relevant local customs department allows submission of a single request that includes both the headquarter and its branches, the user can select branches out of the declared ones to be added to the “AEO Authorization Request”.
- While completing the form, users may save the request as a draft at any time.
 - When returning later, the “Apply” button will be replaced with a “Continue” button, allowing them to resume where they left off.
- After completing all required fields, the “Commercial Establishment Account Manager” can submit the request.
 - This option will be disabled for users with the “AEO Authorization Request Editor” role so that only the “Commercial Establishment Account Manager” can submits the request.
 - Upon submission:
 - The request is directed to the relevant customs department.
 - A unique reference number is generated.
 - A notification is sent to the user confirming that the application has been submitted for review, including the application’s reference number.

Business Rules

#	Description	Source
BR.6	<p>When submitting a “AEO Authorization Request ”to the program, the system verifies that there is no restriction by checking the trade license number provided in the request. This includes:</p> <ul style="list-style-type: none"> ● An existing “AEO Authorization Request ”under review. 	Requirements gathering sessions

	<ul style="list-style-type: none"> • A previously accepted request where the establishment is undergoing the remaining program phases. • The establishment is already an AEO, and the AEO status is active or suspended. <p>Other than that, there are no prerequisites preventing the submission of the AEO authorization request.</p>	
BR.11	<p>Format of the reference number for the AEO authorization request is (AEO-AUTH-[year]- [4-digit sequential number]).</p> <p>Example: AEO-AUTH-2025-0015..</p>	Requirements gathering sessions
BR.12	The “AEO Authorization Request” is filled out and submitted by the Commercial Establishment Account Manager or by users with the appropriate permissions. But the request must be submitted by the “Commercial Establishment Account Manager”	Requirements gathering sessions
BR.13	The system can be configured to allow the head office to submit one “AEO Authorization Request” covering all branches or to require separate requests per trade license, based on the approved settings for each emirate in the system.	Requirements gathering sessions

6.2.3.2. Tracking the AEO Authorization Request Status

Actors

- Commercial establishment account manager.
- AEO authorization request editor.
- Description All logged in users will be able to see the current status of “AEO Authorization Request”.

6.2.3.3. Saving the AEO Authorization Request as a Draft

Actors

- Commercial establishment account manager .

- AEO authorization request editor.

Description

- User with the appropriate privilege can save the “AEO Authorization Request” at any point while completing the form.
- When the “Save” button is clicked, the system stores all data entered up to that point and preserves the request in draft status.
- Clicking the “Continue” button allows Users to resume and continue filling out the previously saved draft from where they left off.

6.2.3.4. Withdrawing the AEO Authorization Request

Actors

- Commercial establishment account manager.
- AEO authorization request editor.

Description

- There are two ways to make the “AEO authorization request” to be cancelled:
 - The AEO request withdrawn by the commercial establishment.
 - The AEO request was cancelled by the relevant customs department.
- The system shall allow User with the appropriate privilege to cancel/ withdraw the “AEO Authorization Request” only in the following condition:
 - Before the “AEO Authorization Request” is submitted to the relevant local customs department the commercial establishment can cancel the request:
 - Upon confirmation of the cancellation, the system shall permanently delete all data related to the request.
 - When the relevant local customs department returns the request for data completion the commercial establishment can withdraw the request:

- Once confirmed, the system shall update the status of the request to “withdrawn” and prevent further editing or submission of the request.
- Only the local senior administrator has the ability to reopen withdrawn requests.
- When the request is accepted by the relevant local customs department:
 - If SAQ has already been shared by the customs department, the commercial establishment shall no longer be able to complete the SAQ after / withdrawing the request.
 - Only the local senior administrator has the ability to reopen withdrawn requests.
- When the relevant local customs return the SAQ to correct the answers.
 - the commercial establishment shall no longer be able to complete the SAQ after withdrawing the request..
 - Only the local senior administrator has the ability to reopen withdrawn requests.
- The commercial establishment is not permitted to withdraw the request while it is under review by the relevant customs department.
- When the relevant customs department accepts the SAQ the commercial establishment will not be able to withdraw the AEO authorization request.

6.2.3.5. Completing Data After AEO Authorization Request Is Returned

Actors

- Commercial establishment account manager.
- AEO authorization request editor.

Description

- When the relevant customs department returns the “AEO authorization request” to the commercial establishment with comments, the system sends an email notification and displays an alert in the AEO

portal to inform the commercial establishment. The notification also includes any remarks provided by the relevant customs administrator.

- Users with the appropriate privilege accesses the AEO portal. At this stage, the edit icon is enabled.
- The users are allowed to view the remarks provided by the customs department. If the request is returned multiple times, all previous remarks will remain visible to the commercial establishment.
- The users are allowed to modify the request data, excluding any auto-filled fields.
- Any data field that will be modified, will be highlighted to differentiate between what has been updated and what was not modified.

After modifying all required fields, the “Commercial Establishment Account Manager” will resubmit the request.

6.2.3.6. Statuses of AEO Authorization Request

Application Status	Status Start	Status End	Status Description
AEO Authorization Request in Progress	When the commercial establishment starts filling out the “AEO Authorization Request” without submitting it (saved as draft).	When the application is submitted for review, the status changes to “AEO Authorization Request Submitted”.	The “AEO Authorization Request” is saved as a draft and can be completed later. This status will be recorded in the audit trail.
AEO Authorization Request Submitted	When the commercial establishment submits the “AEO Authorization Request” for review.	When the relevant customs department starts reviewing the application, the status changes to “AEO Authorization Request Under Review”.	The “AEO Authorization Request” has been submitted and is awaiting review by the relevant customs

			department. This status will be recorded in the audit trail.
AEO Authorization Request Under Review	When the administrator opens the application and begins the review.	<p>There are two scenarios that trigger a status change:</p> <ul style="list-style-type: none"> ● If the application is returned for completion by the administrator, the status changes to "AEO authorization request returned". ● If the senior administrator decides: <ul style="list-style-type: none"> ○ If approved: "AEO Authorization Request Approved". ○ If rejected: "AEO Authorization Request Rejected". 	The "AEO Authorization Request" is under review by the relevant customs department. This status will be recorded in the audit trail.
AEO Authorization Request Returned	When the administrator returns the application to the commercial establishment for data completion.	When the commercial establishment completes the required data and resubmits the application. The status changes to "AEO Authorization Request Submitted."	The "AEO Authorization Request" is incomplete and needs additional data. This status will be recorded in the audit trail.
AEO Authorization Request Approved	When the senior administrator approves the	Final status.	The "AEO Authorization Request" has been approved, and all

	application after all requirements are met.		required steps have been completed. This status will be recorded in the audit trail.
AEO Authorization Request Rejected	When the senior administrator rejects the application after review.	Final status.	The "AEO Authorization Request" was rejected after review by the relevant customs department. This status will be recorded in the audit trail.
AEO Authorization Request Cancelled	When the relevant local customs department cancels the "AEO Authorization Request"	Final status.	The "AEO Authorization Request" has been cancelled by the relevant local customs department. However, local customs can reopen the request. This status will be recorded in the audit trail.
AEO Authorization Request Withdrawn	When the commercial establishment withdraws the	Final status.	The "AEO Authorization Request" has been

	"AEO Authorization Request"		withdrawn by the commercial establishment However, local customs can reopen the request. This status will be recorded in the audit trail.
AEO authorization request expired	When the relevant local customs department marks the "AEO authorization request" as expired if they don't receive feedback from the commercial establishment within the defined period of time.	Final status.	The "AEO authorization request" has been marked as "Expired" by the relevant local customs department. However, local customs can reopen the request. This status will be recorded in the audit trail.

Table 49—Statuses

6.2.3.7. Notifications

Notification Event	Trigger	Recipients	Channels
AEO Authorization Request Submission	When the AEO authorization request is submitted.	<ul style="list-style-type: none"> • Commercial establishment account manager. • AEO authorization request editors. 	<ul style="list-style-type: none"> • Email • AEO Portal

AEO Authorization Request Approval	When the AEO authorization request is approved by the senior administrator.	<ul style="list-style-type: none"> Commercial establishment account manager. AEO Authorization Request editors. 	<ul style="list-style-type: none"> Email AEO Portal
AEO Authorization Request Rejection	When the AEO authorization Request is rejected by the senior administrator.	<ul style="list-style-type: none"> Commercial establishment account manager. AEO authorization request editors. 	<ul style="list-style-type: none"> Email AEO Portal
AEO Authorization Request Returned	When the AEO authorization Request is returned by the administrator of the relevant customs department.	<ul style="list-style-type: none"> Commercial establishment account manager. AEO Authorization Request editors. 	<ul style="list-style-type: none"> Email AEO Portal
AEO Authorization Request Cancelled	When the relevant customs department cancels the AEO authorization Request	<ul style="list-style-type: none"> Commercial establishment account manager. AEO authorization request editors. 	<ul style="list-style-type: none"> Email AEO Portal
AEO Authorization Request Withdrawn	When the establishment withdraws the authorization request .	<ul style="list-style-type: none"> Commercial establishment account manager. AEO authorization request editors. 	<ul style="list-style-type: none"> Email AEO Portal
AEO Authorization Request Expired	When the SLA duration for processing the authorization request has been expired.	<ul style="list-style-type: none"> Commercial establishment account manager. AEO authorization request editors. 	<ul style="list-style-type: none"> Email AEO Portal

Table 50— Notifications

6.2.4. AEO Validation Process

6.2.4.1. Completing the Self-Assessment Questionnaire

Actors

- Commercial establishment account manager.

- SAQ editor.

Description

- When the SAQ is shared with the commercial establishment, the system notifies the users (Commercial Establishment Account Manager and all SAQ editors).
- The “Commercial Establishment Account Manager” will determine the allocation of SAQ sections by assigning each section to a specific SQA editor.
- All the SAQ sections will be visible to all users assigned to the SAQ, however only the owner of the section can amend it.
 - The other user who are assigned to the SAQ can add internal comments on the sections which are not assigned to them and the owner of the section can replies to the comments.
- To begin filling out the SAQ, users access the AEO portal and all commercial establishment users can view the current status in this section, which displays “SAQ Shared”.
- Users have two options when responding to each question in the SAQ:
 - If the question is applicable, the SAQ user enters a response in the answer field.
 - If the question is not applicable, the SAQ user clicks the “Not Applicable” button next to the question.
- Once the SAQ is fully completed, the “Commercial Establishment Account Manager” submits it for review by the relevant customs department by clicking the “Submit” button.

Business Rules

#	Description	Source
BR.14	Multiple users can fill out the self-assessment questionnaire simultaneously (in parallel).	Requirements gathering sessions
BR.15	The self-assessment questionnaire does not require sequential completion by section or subsection; users can freely navigate between questions.	Requirements gathering sessions

BR.16	The commercial establishment must complete the self-assessment questionnaire within 15 business days from the date it was sent by the relevant customs administration.	GCC AEO Self-Assessment Questionnaire
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6.2.4.2. Saving the Self-Assessment Questionnaire as a Draft

Actors

- Commercial establishment account manager.
- SAQ editor.

Description

- users can save the SAQ as a draft at any time while completing it.

6.2.4.3. Tracking the Status of the Self-Assessment Questionnaire

Actors

- Commercial establishment account manager.
- SAQ editor.

Description

- All commercial establishment users can view the status of the SAQ by navigating to the account homepage, where the current status is displayed in the SAQ section.

6.2.4.4. Filtering Questions within the Self-Assessment Questionnaire

Actors

- Commercial establishment account manager.
- SAQ editor.
- The system provides users with a filtering feature to locate and manage questions within the SAQ based on the following criteria:
 - Answer Status:

- filter questions based on whether they have been answered or remain unanswered.
- Filter applicable/ not applicable questions.
- “Accepted” or “Not Accepted” by the customs.
- Leaf Section: display questions associated with a specific leaf section.
- Compound filtering: Apply multiple filters.

6.2.4.5. Modifying Self-Assessment Questionnaire Answers After Return

Actors

- Commercial establishment account manager.
- SAQ editor.

Description

- A notification is sent via the AEO Portal and by email to users when the SAQ is returned by the relevant customs department for answer modification and The SAQ status will be updated to “Returned.”
- Users can view the remarks from the relevant customs department and make the necessary corrections or add comments, If the question status is “Not Accepted”.
 - The system will show the remark status whether it is resolved or still open, so that the commercial establishment can take the proper action accordingly.
- Each question and its corresponding answer will be displayed along with a classification status: “Accepted” or “Not Accepted.”
- For each question that contains remarks from the local customs” a “Show Remark” button will be displayed.
 - Clicking this button will open a popup containing the customs department’s remark. If the question status is “Not Accepted” users will have two options:
 - Edit the original answer by clicking the edit icon next to the “Not Accepted” answer. Users can modify their response or choose “Not Applicable.”

- Add a comment in response to the customs remark by clicking the “Add Remark” button, which appears within the same popup.
- The accepted answers will appear in read-only mode and cannot be modified.
- After all necessary modifications are completed, the “Commercial Establishment Account Manager” can resubmit the SAQ by clicking the “Submit” button.
 - The SAQ status will be updated to “SAQ Submitted.”
- If the SAQ is not returned back to the customs within the allowed time period, the relevant local customs can mark it as “Expired”, this status is covered in “Reviewing the SAQ” section of the local customs portal.
- The system automatically logs all previous answers and modifications for audit and review purposes.

6.2.4.6. Statuses of Self-Assessment Questionnaire.

Status	Start of Status	End of Status	Status Description
SAQ Received	When the questionnaire is sent to the commercial establishment.	When the establishment begins filling it out; status changes to “SAQ In Progress.”	The SAQ is waiting to be filled out by the commercial establishment. This status will be recorded in the audit trail.
SAQ In Progress	When the commercial establishment starts filling it out but has not completed it (saved as draft).	When the completed SAQ is submitted for review by the relevant customs department; status changes to “SAQ Submitted.”	The SAQ is currently being filled out and still not submitted yet for review. This status will be recorded in the audit trail.
SAQ Submitted	When the establishment completed the SAQ and it's submitted for review	When a member of the validation team starts reviewing it; status changes to “SAQ Under Review.”	The commercial establishment has submitted the SAQ to the relevant customs department. This status

	by the relevant customs department.		will be recorded in the audit trail.
SAQ Under Review	When the validation team members start reviewing the SAQ.	<p>Two possible transitions:</p> <ul style="list-style-type: none"> • If returned, status changes to "SAQ Returned." • If accepted, status changes to "SAQ Approved." 	The SAQ is under review by a member of the validation team. This status will be recorded in the audit trail.
SAQ Returned	When the SAQ is returned by the relevant customs department.	When the updated SAQ is submitted again; status changes to "SAQ Submitted."	The relevant customs department provided remarks on the SAQ answers and returned them to the commercial establishment. This status will be recorded in the audit trail.
SAQ Approved	When the SAQ is accepted by the relevant customs department.	Final status.	The SAQ is accepted and ready for the next procedures. This status will be recorded in the audit trail.
SAQ Cancelled	When the AEO authorization request has been cancelled by the establishment during the SAQ review and before the acceptance of the SAQ by the validation team lead.	Final status. (Auto set by the system)	The SAQ has been cancelled due to the cancellation of the authorization request by the establishment during the review process of the SAQ. This status will be recorded in the audit trail.

SAQ Expired	When the establishment has exceeded the configured SLA for the SAQ submission time. Manually set by the validation team lead.	Final Status.	The establishment did not submit the SAQ within the configured SLA duration, therefore the validation team lead will be notified and will be able to set the SAQ status manually to "SAQ Expired"
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Table 51—Statuses

6.2.4.7. Notifications

Notification Event	Trigger	Recipients	Channels
Sharing the SAQ	When the questionnaire is shared with the commercial establishment for completion	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Confirmation of SAQ Submission	Upon submission of the SAQ or re-submission after modifications for the returned SAQ to the relevant customs department	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
SAQ Returned	When the SAQ is returned by the relevant customs department to the commercial establishment	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
SAQ Under Review	When the SAQ has been submitted by the establishment and the validation team lead started	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal

	reviewing the SAQ to confirm the completion.		
SAQ Approved	When the SAQ is approved by the designated customs department for the next stages	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Cancellation of the SAQ	When the SAQ has been automatically cancelled due to the cancellation of the authorization request.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Expiration of the SAQ	When the SAQ has exceeded the configured SLA and the validation team lead has set the SAQ status as "SAQ Expired"	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors 	<ul style="list-style-type: none"> ● Email ● AEO Portal

Table 52 – Notifications

6.2.5. Detailed Validation and Risk Assessment

6.2.5.1. Confirming meeting dates

Actors

- Commercial establishment account manager.
- Assessment report editor.

Description

- If meetings with the commercial establishment is needed during the validation process, the relevant customs department shall schedule them and define whether to share a meeting invitation with it or not.
- If meeting invitations are sent to the commercial establishment, the system will allow them to select one preferred date from up to three proposed time slots for each required meeting, or to reject all options. In case of rejection, the local customs authority can provide a new set of proposed timings.

- If the commercial establishment didn't respond within the allowed response period the meetings will be rejected automatically, and a notification will be sent to both validation team and commercial establishment.
- Once the user confirms the selected dates, the meetings shall be reflected in the evaluators calendar along with all relevant meeting details.

6.2.5.2. Reviewing of Draft Assessment Report

Actors

- Commercial establishment account manager.
- Assessment report editor.

Description

- Once the relevant customs department prepares the assessment report, it is shared with the commercial establishment in draft format for review.
 - A notification is sent via email and displayed in the AEO portal to users (Commercial Establishment Account Manager and all assessment report editors).
 - The draft assessment report contains the findings and recommendations related to the observations made during the validation process. The details are outlined in the data dictionary "[Assessment Report Data](#)".
- After reviewing the report, the users have two possible courses of action
 - If user agrees on the draft report
 - If Compliance Improvement Plan is required
 - ❖ Eligible user will upload the "Compliance Improvement Plan" along with implementation period.
 - ❖ Eligible users will approve the report.
 - ❖ The "Compliance Improvement Plan" is then sent to the relevant customs department for review.

- If Compliance Improvement Plan is not required
 - ❖ Eligible users will approve the report.
- If User has comments on the draft report
 - If Compliance Improvement Plan is required
 - ❖ Eligible user can upload the “Compliance Improvement Plan” along with implementation period, optional.
 - ❖ Eligible users can add their comments on each section (leaf) of the draft report or provide general feedback on the overall report, then return it to the local customs authority.
 - If Compliance Improvement Plan is not required
 - ❖ Eligible users can add their comments on each section (leaf) of the draft report or provide general feedback on the overall report, then return it to the local customs authority.
- If the “AEO Authorization Request” submitted with branches the eligible user will attach multiple Compliance Improvement Plans, each covering a specific branch and specify an individual implementation period for each branch.
 - Each compliance improvement plan will have a unique reference number.
 - If a compliance improvement plan is not approved, the commercial establishment will do the needful and upload a new plan. The system will keep history of all uploaded plans along with the upload data and comments received on the plan.
- If the commercial establishment doesn’t respond within the given time period, the validation team lead will be notified to mark it as expired and a notification will be submitted to the commercial establishment.

6.2.5.3. Completion of Compliance Improvement Plan

Actors

- Commercial establishment account manager.
- Assessment report editor.

Description

- Once all corrective actions are completed, the eligible user will do the following:
 - Provides a detailed description of the corrective measures taken based on the assessment report recommendations.
 - Attaches evidence supporting the completion of corrective actions.
 - The user will not be allowed to confirm completion if the permitted deadline has passed and no extension request for the corrective actions' implementation has been submitted. In such cases:
 - The system will automatically reject the AEO status granting request.
 - The establishment will be notified of the rejection.
- If the commercial establishment is required to implement corrective actions for multiple branches, the system shall allow the user to confirm the implementation of corrective actions for each branch individually.
- Further information related to the confirming the implementation of the compliance plan "[Assessment Report Data](#)".

Business Rules

#	Description	Source
BR.18	The default deadline for implementing corrective actions is 90 days and can be modified by the customs department.	AEO Unified Guidelines
BR.20	The corrective action deadline may be extended by an additional 90 days if an extension request is submitted and accepted by the relevant customs administration. The administration can modify the duration.	AEO Unified Guidelines

6.2.5.4. Requesting Extension of the Compliance Improvement Plan Deadline

Actors

- Commercial establishment account manager.
- Assessment report editor.

Description

- If the commercial establishment is unable to complete the corrective actions within the original timeframe, the eligible user may request an extension.
- If the deadline passes without an extension request, The relevant local customs department will be notified to take the appropriate action.
- If an extension request is submitted before the deadline, it will be reviewed by the Customs Department. Based on the justification the decision will be made:
 - If approved: The deadline is extended according to AEO program policy, and the establishment is notified.
 - If rejected, there are two options
 - Before the original deadline: The establishment is informed of the rejection and must complete the actions within the remaining time.
 - After the original deadline: The extension is rejected, and membership is automatically denied.
- If the commercial establishment is required to implement corrective actions for multiple branches, the system shall allow the eligible user to submit an extension request for each branch that requires an extension.
- Business Rules

#	Description	Source
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BR.19	The corrective action deadline may be extended by an additional 90 days if an extension request is submitted and accepted by the relevant customs department. The department can modify the duration.	AEO Unified Guidelines
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6.2.5.5. Statuses of Validation Process

Status	Status Start	Status End	Description
Validation Meeting Proposed	When the validation team shares the validation meeting with the establishment, in case of announced validation meeting only.	When the establishment confirmed a validation meeting from the proposed dates that was shared by the validation team.	The commercial establishment has received a proposed validation meeting invitation. This status will be recorded in the audit trail.
Validation Meeting Confirmed	When the establishment has confirmed the selected validation meeting, in case of the announced meeting only.	The establishment has received a draft assessment report to review. Status will be: Draft assessment report available for review.	The establishment has confirmed the announced validation meeting on the selected due date. This status will be recorded in the audit trail.
Validation Meeting Cancelled	When the validation team in the relevant local customs department cancels the validation meeting	A new meeting has been proposed, status: validation meeting proposed.	The validation team in the relevant local customs department has cancelled the validation meeting. This status will be recorded in the audit trail.

Validation Meeting Rescheduled	When the validation team in the relevant local customs department rescheduled the confirmed validation meeting	Validation meeting confirmed	The validation meeting has been rescheduled after being confirmed by the establishment. This status will be recorded in the audit trail.
Draft Assessment Report Available for Review	When the draft report is shared with the commercial establishment.	<p>Three possible outcomes:</p> <ul style="list-style-type: none"> ● If the draft is returned with comments, status changes to "Draft Assessment Report Returned". ● If the draft is approved: <ul style="list-style-type: none"> ○ If corrective actions are required and a compliance improvement plan is submitted, the status changes to "Compliance Improvement Plan Under Review". ○ If no corrective actions are required after the validation team lead add the recommendation, the file is assigned to the AEO program manager, and the status becomes "AEO Status Under Review". ○ If the commercial establishment didn't response within the given 	The draft assessment report has been shared for review by the commercial establishment. This status will be recorded in the audit trail.

		<p>time period, the validation team lead will be notified to mark it as expired, and the workflow status becomes “AEO Status Under Review”.</p>	
Draft Assessment Report Returned	When the commercial establishment returns the draft with remarks.	When the Relevant Customs Department reviews and responds to the remarks; status changes to “Draft Assessment Report Available for Review”.	The draft has been returned with remarks for reconsideration. This status will be recorded in the audit trail.
Compliance Improvement Plan Under Review	When the commercial establishment approves the assessment report and submits the Compliance Improvement Plan.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ When the relevant Customs Department returns the plan. status becomes “Compliance Improvement Plan Returned” ○ When the relevant Customs Department approves the plan. Status becomes “Compliance Improvement Plan in Progress”. 	The establishment approved the report and submitted the improvement plan. This status will be recorded in the audit trail.
Compliance Improvement Plan Returned	When the relevant customs department returns the compliance improvement plan to the commercial establishment.	When the commercial establishment resubmit the compliance improvement plan, and the status changes to “Compliance Improvement Plan Under Review”.	The Compliance Improvement Plan has been returned to the commercial establishment for modifications. This status will be recorded in the audit trail.

Compliance Improvement Plan in Progress	When the relevant customs department approves the compliance improvement plan.	When the establishment confirms completion of the corrective actions; status changes to “Verifying Compliance Plan Implementation”.	The commercial establishment is now implementing an improvement plan. This status will be recorded in the audit trail.
Verifying Compliance Plan Implementation	When the commercial establishment confirms implementation of the improvement plan.	When the Relevant Customs Department confirms the implementation; status changes to “AEO Status Under Review”.	The establishment confirmed completion and is waiting for Customs to verify it. This status will be recorded in the audit trail.
AEO Status Under Review	<p>Two possible triggers:</p> <ul style="list-style-type: none"> ● The commercial establishment approved the draft report, and no corrective actions were required. ● The relevant local customs department confirmed implementation of the improvement plan. 	<p>Two possible outcomes:</p> <ul style="list-style-type: none"> ● If the AEO program manager approves the membership, the status changes to “AEO status granted”. ● If rejected, the status becomes “AEO Status Rejected”. 	Awaiting a final decision on granting AEO status. This status will be recorded in the audit trail.
AEO Status Granted	When the AEO program manager approves granting AEO status to the commercial establishment.	Final status.	AEO status has been granted. This status will be recorded in the audit trail.

AEO Status Rejected	When the AEO program manager rejects granting AEO status.	Final status.	AEO status has been denied. This status will be recorded in the audit trail.
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Table 53—Statuses

6.2.5.6. Notifications

Notification Event	Trigger	Recipient	Channels
Meeting Schedule Shared	When the relevant local customs department prepares the meeting schedule and indicates that it will be shared with the commercial establishment to inform them of the related details.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Meeting Dates Confirmed	When the commercial establishment selects the preferred dates from the proposed options.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Meeting Cancelled	When the relevant customs department cancels the meeting.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Meeting Rescheduled	When the relevant local customs department reschedules the meeting.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Draft Assessment Report Shared	When the relevant local customs department shares the draft with the commercial establishment.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal

Draft Assessment Report Returned	When the commercial establishment returns the draft with remarks.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Draft Assessment Report Approved	When the commercial establishment approves the draft assessment report.	<ul style="list-style-type: none"> ● Commercial establishment Account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Compliance Improvement Plan Returned	When the compliance improvement plan returned to the commercial establishment.	<ul style="list-style-type: none"> ● Commercial establishment Account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Compliance improvement Plan Approved	When the Compliance improvement plan is accepted by the relevant customs department.	<ul style="list-style-type: none"> ● Commercial establishment Account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
AEO Status Rejected	When the AEO program manager rejects granting AEO status to the commercial establishment.	<ul style="list-style-type: none"> ● Commercial establishment account manager. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
AEO Status Approved	When the AEO program manager approves granting AEO status to the commercial establishment.	<ul style="list-style-type: none"> ● Commercial establishment account manager. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
AEO Status Under Review	When the AEO program manager started to review the AEO status for the commercial establishment.	<ul style="list-style-type: none"> ● Commercial establishment account manager. 	<ul style="list-style-type: none"> ● Email ● AEO Portal

Table 54— Notifications

6.2.6. AEO Certification Process

6.2.6.1. Issuance of Certificate(s)

Actors

- Commercial establishment account manager.

Description

- After the commercial establishment is approved for granting AEO status, it is notified that the membership certificate is under issuance. Once the certificate(s) are issued, the establishment is notified accordingly, and the certificate(s) become available for viewing and download through the system.

If the “AEO Authorization Request” includes multiple branches, the system will allow issuing AEO certificate for each approved branch separately i.e. the system will allow issuing AEO certificate for each approved trade license separately.

6.2.6.2. Statuses of AEO Certificate

Status	Status Start	Status End	Description
AEO Certificate Under Issuance	When the senior federal administrator receives the AEO request to issue the certificate.	● AEO Certified	The AEO status has been approved to be granted to the establishment, but the certificate is still not issued yet. This status will be recorded in the audit trail.

AEO Certified	When the senior federal administrator issues the AEO certificate.	<ul style="list-style-type: none"> ● AEO Status Suspended ● AEO Status Revoked ● AEO Status Cancelled. 	The final certificate(s) have been issued. This status will be recorded in the audit trail.
AEO Status Suspended	When AEO program manager decides to suspend the AEO certificate	<ul style="list-style-type: none"> ● Three options: <ul style="list-style-type: none"> ○ If the AEO program manager decides to remove the suspension and continue the AEO status, then the status would be: AEO Certified ○ If the AEO program manager decides to cancel the AEO status and revoke the AEO status, then the status would be: AEO Status Revoked ○ If the commercial establishment decides to cancel the status to will be "AEO Status Cancelled." 	The AEO certificate has been suspended for a temporary period. This status will be recorded in the audit trail.
AEO Status Revoked	When AEO program manager decides to revoke the AEO	<ul style="list-style-type: none"> ● Final status 	The AEO certificate has been revoked

	certificate permanently.		permanently. This status will be recorded in the audit trail.
AEO Status Cancelled	When the commercial establishment asks to cancel the certificate.	● Final status	The AEO certificate has been cancelled permanently. This status will be recorded in the audit trail.

Table 55—Statuses

6.2.6.3. Notifications

Notification Event	Trigger	Recipient	Channels
Certificate Under Issuance	When the senior federal administrator receives the AEO request for approval and still has not taken the action yet to issue the certificate.	● Commercial establishment account manager.	● Email ● AEO Portal
Certificate(s) Issued	When the senior administrator in the general department of customs issues the certificate(s).	● Commercial establishment account manager.	● Email ● AEO Portal
Certificate Suspended	When the AEO program manager suspended the AEO certificate(s) for a period.	● Commercial establishment account manager.	● Email ● AEO Portal

Certificate Revoked	When the AEO program manager revokes the AEO certificate(s).	<ul style="list-style-type: none"> • Commercial establishment account manager. • 	<ul style="list-style-type: none"> • Email • AEO Portal
Certificate Continued	When the AEO program manager continued the AEO certificate(s) after suspension.	<ul style="list-style-type: none"> • Commercial establishment account manager. 	<ul style="list-style-type: none"> • Email • AEO Portal

Table 56— Notifications

6.2.7. Revalidation Process

Actors

- Commercial establishment account manager.
- Assessment report editor.

Description

- This procedure is similar to the SAQ and validation phase, with the primary difference depending on the approach adopted by the validation team. The key differences are as follows:
 - The commercial establishment may receive a new SAQ that must be completed from scratch.
 - The commercial establishment may receive a previously completed version of the SAQ, whether the initial version or a more recent one containing its earlier responses, with the option to review and update them as needed.
 - The revalidation process may proceed without sharing a SAQ with the establishment.
 - The commercial establishment may or may not receive an assessment report.

6.2.7.1. Commercial Establishment's AEO Status After the Revalidation Process

When revalidation is conducted for an Authorized Economic Operator (AEO), its	Status Start	Status End	Description

status as an AEO remains unchanged until an official decision is issued to either suspend or revoke its status. Status			
AEO Status Suspended	When the AEO Program Manager decides to suspend AEO status	<ul style="list-style-type: none"> ● Three options: <ul style="list-style-type: none"> ○ AEO Status revoked ○ AEO Certified ○ AEO Status Cancelled. 	AEO status was temporarily suspended.
AEO Status Revoked	When the AEO Program Manager decides to cancel the membership.	When commercial establishment submits new AEO authorization request and status change to "AEO Authorization Request Submitted".	AEO status was permanently terminated.
AEO Certified	When the AEO Program Manager approves continued membership.	<ul style="list-style-type: none"> ● AEO Status Suspended ● AEO Status Revoked ● AEO Status Cancelled. 	AEO status continuity confirmed.

Table 57—Commercial Establishment Status During the Revalidation Process

6.2.7.2. Statuses Demonstrating the Stages of the Revalidation Process

Status	Status Start	Status End	Description
Commercial Establishment Under Revalidation	When the relevant local customs department is notified by the key account manager about the need for revalidation.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ When the SAQ is shared with the commercial establishment. Status changes to "SAQ Shared". ○ When the SAQ not shared the status can be change to 	The commercial establishment is being re-validated to determine the continuity of its AEO status. This status will

		"Revalidation Process in-Progress".	be recorded in the audit trail.
SAQ Shared	When the SAQ is sent to the commercial establishment.	When the establishment begins filling the SAQ. Status changes to "SAQ In Progress".	The SAQ is awaiting the establishment's input. This status will be recorded in the audit trail.
SAQ In Progress	When the establishment starts filling the SAQ but has not completed it (saved as draft).	When the completed SAQ is submitted by the establishment for review. Status changes to "SAQ Submitted".	The SAQ is being filled. This status will be recorded in the audit trail.
SAQ Submitted	When the commercial establishment submits the completed SAQ for review by the relevant Customs Department.	When a reviewer starts reviewing the SAQ. Status changes to "SAQ Under Review".	The SAQ has been submitted for relevant customs department review. This status will be recorded in the audit trail.
SAQ Under Review	When the Customs reviewer starts reviewing the SAQ.	<p>Two options:</p> <ul style="list-style-type: none"> ● Returned: status becomes "SAQ Returned". ● Approved: status becomes "SAQ Approved". 	The SAQ is under review by the assigned validation team members. This status will be recorded in the audit trail.
SAQ Returned	When the SAQ is returned by the relevant local customs department.	When the updated SAQ is resubmitted. Status changes to "SAQ Submitted".	Remarks were made by the relevant local customs department and the SAQ was

			returned to the establishment. This status will be recorded in the audit trail.
SAQ accepted	When the SAQ is accepted by the relevant local customs department.	When the initial risk reassessment and re-assessment plan are approved. Status becomes "Revalidation Process In-Progress".	The SAQ has been accepted for the next steps. This status will be recorded in the audit trail.
Revalidation Process In-Progress	Upon approval of the initial risk reassessment and re-assessment plan.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ When the draft reassessment report is shared. Status becomes "Draft Reassessment Report Available for Review". ○ When the draft reassessment report is not shared the status change to "AEO Status Under Review". 	Revalidation process for the commercial establishment started. This status will be recorded in the audit trail.
Draft Reassessment Report Available for Review	When the draft reassessment report is shared with the commercial establishment.	<p>Two cases:</p> <ul style="list-style-type: none"> ● Returned with remarks and status becomes "Draft Reassessment Report Returned". ● Approve draft reassessment report: 	The reassessment report was sent for review. This status will be recorded in the audit trail.

		<ul style="list-style-type: none"> <input type="radio"/> if corrective actions are needed: status becomes "Compliance Improvement Plan Under Review", <input type="radio"/> if no corrective action is needed: status becomes "AEO Status Under Review". 	
Draft Reassessment Report Returned	When the draft is returned by the establishment with remarks.	After the relevant local customs department reviews the remarks and responds. Status changes to "Draft Reassessment Report Available for Review".	The establishment returned the draft with remarks for reconsideration. This status will be recorded in the audit trail.
Compliance Improvement Plan Under Review	When the establishment approves the reassessment report and submits a compliance improvement plan.	<p>Two options:</p> <ul style="list-style-type: none"> ● When the relevant local customs department returns the plan. status becomes "Compliance Improvement Plan Returned" ● When the relevant Customs Department approves the plan. Status becomes "Compliance Improvement Plan in Progress". 	The compliance plan is under review. This status will be recorded in the audit trail.

Compliance Improvement Plan Returned	When the relevant local customs department returns the compliance improvement plan to the commercial establishment with comments or required modifications.	When the establishment resubmits the revised plan. Status changes to "Compliance Improvement Plan Under Review".	The submitted compliance improvement plan has been returned by the local customs department for updates or clarifications. The establishment is expected to revise and resubmit it. This status will be recorded in the audit trail.
Compliance Improvement Plan in Progress	When the relevant local customs department approves the compliance plan.	When the commercial establishment confirms implementation. Status becomes "Verifying Compliance Plan Implementation".	The plan is being executed. This status will be recorded in the audit trail.
Verifying Compliance Plan Implementation	When the establishment confirms completion of the plan.	When relevant Customs Department confirms implementation. Status becomes "AEO status pending approval".	Awaiting validation of completed corrective actions. This status will be recorded in the audit trail.
AEO Status Under Review	when the validation team lead adds the recommendation on the assessment file.	<p>Three outcomes:</p> <ul style="list-style-type: none"> • AEO program manager decide to suspend the AEO status, and the status becomes "AEO Status Suspended". 	Awaiting final decision regarding AEO status. This status will be recorded in the audit trail.

		<ul style="list-style-type: none"> ● AEO program manager decide to revoke the AEO status, and the status becomes “AEO Status Revoked”. ● The AEO program manager has decided to approve the continuation of the AEO status, and the status remaining as “AEO Certified”. 	
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Table 58—Statuses Demonstrating the Stages of the Revalidation Process

6.2.7.3. Notifications

Notification Event	Trigger	Recipient	Channels
Revalidation of the Commercial Establishment	Two cases: <ul style="list-style-type: none"> ● Upon request by the key account manager ● Or when the periodic re-validation review is due. 	<ul style="list-style-type: none"> ● Commercial establishment account manager 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Sharing the Self-Assessment Questionnaire (SAQ)	When the SAQ is shared with the commercial establishment for completion.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Confirmation of SAQ Submission	When the SAQ is submitted to the relevant Customs Department.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
SAQ Returned	When the SAQ is returned by the relevant Customs Department to the commercial establishment.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal

SAQ Accepted	When the SAQ is approved by the relevant Customs Department for the upcoming phases.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● SAQ editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Sharing the Meeting Schedule	When the relevant local customs department prepares and shares the meeting schedule with the commercial establishment to inform them of the relevant details.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Confirmation of Meeting Dates	When the commercial establishment selects dates from the proposed schedule.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Sharing the Draft Reassessment Report	When the relevant local customs department shares the draft reassessment report with the commercial establishment.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Draft Reassessment Report Returned	When the commercial establishment returns the draft reassessment report with comments.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Approval of Draft Reassessment Report	When the commercial establishment approves the draft reassessment report.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Assessment report editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal

AEO Status Suspension	When the AEO program manager decides to suspend membership of the commercial establishment.	Commercial establishment account manager.	<ul style="list-style-type: none"> ● Email ● AEO Portal
AEO Status Revocation	When the AEO program manager decides to cancel membership of the commercial establishment.	Commercial establishment account manager.	<ul style="list-style-type: none"> ● Email ● AEO Portal
AEO Status Continuation	When the AEO program manager decides to continue membership of the commercial establishment.	Commercial establishment account manager.	<ul style="list-style-type: none"> ● Email ● AEO Portal

Table 59— Notifications

6.2.8. Appeals Process

Actors

- Commercial establishment account manager.
- Appeal request editor.

Description

- The appeals process begins when the commercial establishment submits a formal objection against a decision issued by the relevant Customs Department. The decisions that may be made include:
 - A decision to reject the “AEO Authorization Request”.
 - A decision to reject granting the AEO status to the commercial establishment following the validation process.
 - A decision to suspend the commercial establishment’s AEO status.
 - A decision to revoke the commercial establishment’s AEO status.
- The commercial establishment has the right to submit an appeal request within a period that doesn’t exceed the defined period in the system setting which is initially 30 days from the date of being notified of the rejection of the “AEO Authorization Request” or the suspension/cancellation of its AEO status.

- So, after 30 days system will not allow the commercial establishment to submit the appeal request.
- If the commercial establishment wishes to file an appeal, it shall access the AEO Portal and select "Submit Appeal Request" and proceed with the following:
 - Select the reason for the appeal by choosing one of the decisions mentioned above.
 - Enter a description of the appeal that includes the justifications for objecting to the decision made by the relevant Customs Department.
 - Attach supporting documents for the appeal request, if necessary.
 - The details of the appeal process data are clarified in the data dictionary entry "[Appeals Process Data](#)".
- The relevant Customs Department reviews the appeal request and makes a decision either to accept or reject it.
- In case the appeal request is rejected, the commercial establishment may take one of the following two actions:
 - Accept the rejection decision.
 - Reject the decision and request a hearing session with the relevant Customs Department:
 - A notification is sent to the relevant Customs Department upon submission of the session request.
 - The employee responsible for appeal requests coordinates the session schedule and sends an official invitation to the commercial establishment.
 - Upon holding the session, the meeting minutes are documented and shared with the commercial establishment.
 - The commercial establishment reviews the meeting minutes, and if there are additional arguments, they are attached to the minutes and sent to the relevant Customs Department for review. If there are no additional arguments, the commercial establishment confirms its approval of the minutes of meeting.

- The commercial establishment has the right to submit additional arguments within a period that doesn't exceed the defined period in the system setting which is initially 7 days from the date the minutes were shared.
- The meeting minutes are shared with the "Authorized Economic Operator Program Manager", who makes the decision either to approve or reject the appeal request.
- In the event the appeal request is rejected (i.e., the decision is upheld), the commercial establishment may escalate the matter to the General Department of Customs, where the commercial establishment shall add the appeal data as clarified in the data dictionary entry "[Appeals Process Data](#)" or accept the rejection decision.

Business Rules

#	Description	Source
BR.20	The commercial establishment has the right to submit an appeal against the decision of the relevant customs administration within a maximum of 30 days from the date of notification.	GCC AEO Appeal Procedures and Guidelines
BR.21	If the commercial establishment requests a hearing session, the relevant customs administration must coordinate a session date within 15 days from the request date.	GCC AEO Appeal Procedures and Guidelines
BR.22	After the hearing session minutes are shared, the commercial establishment has only 7 days to submit any additional arguments, if applicable.	GCC AEO Appeal Procedures and Guidelines

6.2.8.1. Statuses of the Appeal Request

Status	Status Start	Status End	Status Description

Appeal Request Submitted	When the commercial establishment submits the appeal request.	When the assigned employee at the relevant Customs Department begins reviewing the appeal request, and the status transitions to "Appeal Request Under Review".	The appeal request has been submitted by the commercial establishment. This status will be recorded in the audit trail.
Appeal Request Under Review	When the assigned employee at the relevant Customs Department begins reviewing the appeal request.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ When the assigned employee Returns the appeal request, status changes to "Appeal Request Returned". ○ When the AEO program manager makes one of the following decisions: <ul style="list-style-type: none"> ■ Accepts the appeal request, status changes to "Appeal Request Approved". ■ Rejects the appeal request, status changes to "Appeal Request Rejected". 	The relevant local customs department is reviewing the appeal request. This status will be recorded in the audit trail.
Appeal Request Returned	When the appeal request is returned by the relevant Customs Department to the commercial establishment due to remarks.	When the commercial establishment resubmits the appeal request after completing the required actions based on the feedback, the status transitions to "Appeal Request Submitted".	The appeal request was returned to the commercial establishment due to comments. This status will be recorded in the audit trail.

Appeal closed automatically	When the commercial establishment exceeds the agreed SLA to respond to the returned appeal.	Final status.	The appeal closed automatically by the system.
Appeal Request Approved	<ul style="list-style-type: none"> ● When the AEO program manager decides to accept the appeal request. ● When the general customs department decides to approve the appeal request. 	<p>There are three cases:</p> <ul style="list-style-type: none"> ● If the reason for appeal was the rejection of AEO authorization request, status is updated to "AEO Authorization Request Accepted". ● If the reason for appeal was the rejection of granting of AEO status, status is updated to "AEO Status Granted". ● If the reason for appeal was the Suspension/Cancellation of AEO status, status is updated to "AEO Certified". 	The appeal request has been accepted. This status will be recorded in the audit trail.
Appeal Request Rejected	<ul style="list-style-type: none"> ● When the appeal is rejected by the AEO Program Manager in 	<p>Depends on the stage:</p> <ul style="list-style-type: none"> ● If the appeal is rejected After reviewing the newly submitted appeal request <ul style="list-style-type: none"> ○ If the commercial establishment takes no 	The appeal request has been rejected. This status will be recorded in the audit trail.

	<p>the following cases</p> <ul style="list-style-type: none"> ○ After reviewing the newly submitted appeal request. ○ After the hearing session. ● When the appeal is rejected by the federal customs After the escalation. 	<p>action, the status remains "Appeal Rejected".</p> <ul style="list-style-type: none"> ○ If they request a hearing, status changes to "Hearing Session Requested". ● If the appeal is rejected after the hearing session. ○ If the commercial establishment takes no action, the status remains "Appeal Rejected". ○ if the commercial establishment escalates to the general department of customs. The status changes to "Escalated to General Department of Customs". 	
Appeal Hearing Session Requested.	When the establishment requests for a hearing session for the appeal.	<ul style="list-style-type: none"> ● Appeal Hearing Session Scheduled 	The establishments requests for a hearing session to explain more details about the appeal. This status will be recorded in the audit trail.
Appeal Hearing Session Scheduled	When the employee at the relevant local customs department	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ Hearing Session MOM Shared, if the commercial establishment 	The relevant local customs department has scheduled a hearing session and shared the invitation with the establishment.

	sends an invitation to the establishment account manager to attend a hearing session.	<p>representative shows in the hearing session</p> <ul style="list-style-type: none"> <input type="radio"/> Appeal Rejected Automatically, if the commercial establishment representative didn't show in the hearing session. 	This status will be recorded in the audit trail.
Hearing Session MOM Shared	When the hearing session has been completed by both parties and the MOM of the session has been shared.	<ul style="list-style-type: none"> ● Multiple options based on the AEO program manager's decision: <ul style="list-style-type: none"> <input type="radio"/> Appeal rejected <input type="radio"/> Appeal approved. 	The hearing session has been attended by the establishment and the relevant local customs department employee. This status will be recorded in the audit trail.
Appeal Rejected Automatically	When the hearing session is conducted and the commercial establishment representative didn't show.	<ul style="list-style-type: none"> ● Final status. 	the hearing session is conducted and the commercial establishment representative didn't show.
Escalated to General Department of Customs	When the appeal has been escalated to the general department customs by the establishment	<ul style="list-style-type: none"> ● Two scenarios: <ul style="list-style-type: none"> <input type="radio"/> "Appeal Approved". <input type="radio"/> "Appeal Rejected" 	The establishment is not satisfied with the result of the appeal request and needs to escalate. This status will be recorded in the audit trail.

	account manager. The general department decisions will be final.		
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Table 60—Statuses

6.2.8.2. Notifications

Notification Event	Trigger	Recipient	Channels
Appeal Grace Period is Over	When the allowed time to submit appeal request to over.	<ul style="list-style-type: none"> ● Commerical establishment account manager. 	<ul style="list-style-type: none"> ● Email ● AEO portal
Appeal Request Submission	When the appeal request is submitted by the commercial establishment.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Appeal request editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Appeal Request Returned	When the appeal request is returned by the Customs Department to the commercial establishment.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Appeal request editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Appeal Approved	<ul style="list-style-type: none"> ● When the AEO Program Manager decides to accept the appeal request. ● When the general customs department 	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Appeal request editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal

	decides to approve the appeal request.		
Appeal Rejected	<ul style="list-style-type: none"> ● When the appeal is rejected by the AEO Program Manager in the following cases <ul style="list-style-type: none"> ○ After reviewing the newly submitted appeal request. ○ After the hearing session. ● When the appeal is rejected by the federal customs After the escalation. 	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Appeal request editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Appeal Hearing Scheduled	When a hearing scheduled by the employee in the relevant local customs department with the establishment account manager for the raised appeal.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Appeal request editors. 	<ul style="list-style-type: none"> ● Email ● AEO Portal
Hearing Session MOM Shared	When the hearing session has been completed by both parties and the MOM of the session has been shared.	<ul style="list-style-type: none"> ● Commercial establishment account manager. ● Appeal request editors 	<ul style="list-style-type: none"> ● Email ● AEO Portal

Appeal Rejected Automatically	When the hearing session is conducted and the commercial establishment representative didn't show.	<ul style="list-style-type: none"> • Commercial establishment account manager. • Appeal request editors 	<ul style="list-style-type: none"> • Email • AEO Portal
Escalated to General Department of Customs	When the establishment account manager escalates the appeal to the general customs of department.	<ul style="list-style-type: none"> • Commercial establishment account manager. • Appeal request editors 	<ul style="list-style-type: none"> • Email • AEO Portal

Table 61—Notifications

6.2.9. Communication with the Relevant Customs Department

Actors

- Commercial establishment account manager.
- All users who are granted access to the commercial establishment account.

Description

- After the commercial establishment's account creation request is approved, the system allows conversations between the commercial establishment and the local customs, the communication can be initiated by the establishment or by the local customs.

By selecting "New Conversation", a window will open allowing the commercial establishment to send a message related to the AEO Program.

- The window allows adding conversation subject, selecting conversation category and subcategory, composing the message and attaching supporting documents if needed.
- Each conversation might contain more than one message.
- By selecting a conversation, the commercial establishment can view all messages sent and received and send a reply to Customs.

- The system clearly shows the status of each conversation so that the commercial establishment and Customs can see who is expected to act next.
- The communication feature with the relevant Customs Department can be used by the “Commercial Establishment Account Manager” or any of its eligible users.
- The “Commercial Establishment Account Manager” and all eligible users can view the full conversation history with the Customs Department, regardless of who initiated the messages.
- The “Commercial Establishment Account Manager” and its eligible users will be notified via email and through the AEO Portal upon receiving any new message from the relevant Customs Department.

For further information refer to the data dictionary “[Communication Data](#)”.

6.2.9.1. Notifications

Notification Event	Trigger	Recipient	Channels
Receive a new message	When the user at local customs replies to a message from the commercial establishment.	<ul style="list-style-type: none"> The commercial establishment user who generated the original message. 	<ul style="list-style-type: none"> Email AEO Portal

6.2.10. Commercial Establishment Profile

Actors

- All users who are granted access to the commercial establishment account.

Description

- The “Commercial Establishment Account Manager” and all users who have a defined role within the commercial establishment account shall be able to view the commercial establishment profile by logging into the AEO portal.

- Once the commercial establishment profile is accessed, the system shall display all relevant data fields in accordance with the structure defined in the data dictionary titled "[National Commercial Establishment Profile Data](#)."

6.2.11. The system will restrict changing the commercial establishment name, emirate and trade license to the relevant local customs.Commercial Establishment Timeline

Actors

- All users who are granted access to the commercial establishment account.

Description

- The system will maintain a timeline for all significant actions performed within the commercial establishment account, including interactions between the commercial establishment and the relevant customs department. This ensures full transparency, accountability, and traceability of user activities across all key modules of the AEO system. User can filter the timeline based on the phases of the AEO program.

6.3. Local Customs AEO Management Portal

6.3.1. View My Profile

Actors

All users who were granted access to the Local customs AEO management portal.Description

- System will enable users to view their personal profile information and set their preferred language communication. Profile data is view-only and maintained centrally by the Federal system administrator.
- User can only update the preferred communication language.
- For more details about information available in "My Profile" please refer to "[Local and Federal Customs Users Data](#)" section of the data dictionary.
- The federal system administrator is responsible for updating users' data.

6.3.2. Creating the Commercial Establishment's Account

6.3.2.1. Reviewing the Request to Create a Commercial Establishment Account

Actors

- Administrator in the relevant customs department.

Description

- After the commercial establishment submits an "account creation request ", the request is directed to the relevant customs department, based on the emirate that issued the trade license entered in the request.
- The data and documents in the request are reviewed by the "Administrator " at the relevant customs department.
- The "Administrator" has two options:
 - Reject the request:
 - In case of rejection, the reason must be added along with rejection remarks, and the commercial establishment will be notified.
 - Approve the request.
 - The system automatically generates a username which is identical to the email provided and a unique password once the request is approved and sends them to the commercial establishment via the provided email.

Business Rules

#	Description	Source
BR.3	The review of the account creation request is automatically assigned to the administrator in the customs administration relevant to the emirate that issued the trade license of the requesting establishment.	Requirements gathering sessions

BR.4	The commercial establishment username format will be identical to the provided email in the commercial establishment account creation request.	Requirements gathering sessions
BR.28	When there is a new registration request, the system has to check before submission if the same establishment has a previously submitted request which is in progress or approved.	<u>Submitting a Request to Create a Commercial Establishment Account</u>

6.3.2.2. Statuses of Account Creation Request

Request Status	Start of Status	End of Status	Status Description
Account Creation Request Submitted	When the applicant submits the request for review through the AEO portal.	When the administrator starts reviewing the request; status changes to "Account Creation Request Under Review".	The request is under review by the relevant customs department. This status will be recorded in the audit trail.
Account Creation Request Under Review	When the administrator opens the request through the system and begins reviewing the data and documents.	<ul style="list-style-type: none"> ● When the administrator decides: <ul style="list-style-type: none"> ○ acceptance and status become "Account Creation Request Approved". ○ Rejection and status become "Account Creation Request Rejected". 	The request is under review by the administrator. This status will be recorded in the audit trail.
Account Creation Request Rejected	When the administrator decides to reject the request.	Final status.	The request was rejected during the review stage. This status

			will be recorded in the audit trail.
Account Creation Request Approved	When the administrator approves the request.	When the commercial establishment submits the AEO authorization request, status becomes "AEO Authorization Request Submitted".	The request has been finally approved, and the account has been created. This status will be recorded in the audit trail.

Table 62—Statuses

6.3.2.3. Notifications

Notification Event	Trigger	Recipient	Channels
Account Creation Request Received	When the request is submitted.	• Administrator.	• Local customs AEO management portal • Email

Table 63—Notifications

6.3.3. AEO Application Process

6.3.3.1. Reviewing the AEO Authorization Request

Actors

- Administrator in the relevant customs department.
- Senior administrator in the relevant customs department.
- Administrators in the other local customs departments.
- AEO Program manager.

Description

- Once the local customs department receives an "AEO Authorization Request", the following actions occur:

- The review process starts at the relevant customs department upon receiving the “AEO Authorization Request”. The purpose of this stage is to verify the completeness of the data and documents only and it doesn’t include any risk assessment.
 - The administrator reviews the “AEO Authorization Request” and has the following options:
 - Return the “AEO Authorization Request” to the commercial establishment in case of missing data, with reasons provided.
 - ❖ If the “AEO Authorization Request” is not returned within the allowed time period, the “Senior Administrator” can mark it as “Expired”.
 - Reject the “AEO Authorization Request”. The “Administrator” must provide the reason for rejection, and a notification will be sent to the commercial establishment.
 - Approve the “AEO Authorization Request” If the data is complete.
 - Refer the “AEO Authorization Request” as an exceptional case, in that case the user shall select the reason and once confirmed, the request is directed to the “AEO Program Manager” for review and take one of the following actions
 - ❖ Accept the request, which results in triggering the preliminary risk assessment
 - ❖ Reject the request, with a mandatory reason for rejection.
- Once completeness is confirmed and the “AEO Authorization Request” is ready for preliminary risk assessment, the system automatically performs the following in parallel:
 - Assigns the request to the “Administrator” at the relevant customs department to conduct the preliminary risk assessment and determine the commercial establishment’s eligibility for the program. The “Administrator” will do the following:
 - Add all violations recorded against the commercial establishment, whether related to the head office or its branches.

- Add branches that were not included in the “AEO Authorization Request”.
- Record any related violations associated with the newly added branches, if any.
- The system shares the data of the parent commercial establishment and all its branches with other customs departments. The data shared with other customs departments includes the following for the establishment’s headquarter and each branch:
 - Name of the commercial establishment.
 - License details: Emirate, issuing authority, license number.
 - Address.
- The other customs departments do the following:
 - Add any violations recorded against the head office or any branch.
 - Add any branches of the commercial establishment not mentioned in the “AEO Authorization Request”.
 - Add any violations associated with the newly added branches, if any exist.
- After the “Administrator” completes the preliminary risk assessment they have the following options:
 - Reject the request: reasons must be provided, and the commercial establishment is notified.
 - Initial approval: the request is forwarded to the “Senior administrator” for approval.
 - The “Administrator” in the relevant customs department can decide without waiting for feedback from other customs departments.
- If needed, “Administrators” in the relevant or other customs departments may refer to the AEO Authorization Request to internal sections or departments. The “Administrators” will collect the input from these departments and enter all recommendations into the system. (See the data dictionary “[AEO Authorization Request Data](#)”).
- If other customs departments exceed the defined time limit for reviewing the request, the system escalates the delay and sends a notification to the General Department of Customs for further action.

- When the "Senior administrator" receives the request, they have three options:
 - Reject the request: the reason is added, and the system notifies the commercial establishment.
 - Return the request to the "Administrator": with remarks on required adjustments.
 - Accept the request:
 - The commercial establishment is notified of the "AEO Authorization Request" approval.
 - The "Senior administrator" needs to assign the "Validation Team".
 - Once the "Validation Team" assigned, they are notified to initiate the creation of the SAQ (Self-Assessment Questionnaire) for the commercial establishment.
- For further information refer to the data dictionary "[AEO Authorization Request Form Data](#)".
- If the emirate that issued the license of the headquarters allows to submit a single "AEO Authorization Request" covering both its headquarters and branches If the commercial establishment includes branches located in an emirate that doesn't allow to handle multiple branches within the same "AEO Authorization Request":
 - The approved request will be automatically split into multiple requests as follows:
 - The original request will be retained as the parent request.
 - A separate child request will be generated for each individual branch in that emirate.
 - Each child request will carry the reference number of the parent request, appended with an auto-incremented serial number to uniquely identify each one.
- For the emirate that issued the headquarters trade license

- A child request will be created that includes the headquarters and any branches located in that emirate.

Business rules:

#	Description	Source
BR.8	When submitting the AEO authorization request, the system assigns the request to the administrator in the customs department relevant to the emirate that issued the establishment's trade license.	Requirements gathering sessions
BR.9	The relevant customs department is obligated to verify that all requirements for the applying establishment are met within a period not exceeding thirty (30) days from the date of submission of the "AEO authorization request".	AEO Unified Guidelines
BR.10	If the "AEO Authorization Request" is returned for completion, the commercial establishment must complete the data within thirty (30) days from the return date. If not completed within the specified time, the request is automatically rejected.	AEO Unified Guidelines
BR.27	The relevant customs department has the right to cancel the AEO authorization request at any stage without restrictions.	Requirements gathering sessions

6.3.3.2. Cancelling the AEO Authorization Request

Actors

- Administrator in the relevant local customs.
- Establishment account manager.

Description

- There are two ways to make the "AEO Authorization Request" to be cancelled:
 - The "AEO Authorization Request" cancelled by the commercial establishment.
 - The "AEO Authorization Request" cancelled by the relevant customs department.

- The local customs department can cancel the request at any stage before the establishment is granted AEO status.
 - After cancellation:
 - The commercial establishment is notified of the “AEO Authorization Request” cancelled by the relevant customs departments with the reasons of cancelation.
 - The system will disable all modification and progression actions related to the cancelled request.
 - The commercial establishment will only be able to submit a new “AEO Authorization Request” if it wishes to proceed in the future.
- In case of commercial establishment that submits one “AEO Authorization Request” for the head and branches:
 - If a commercial establishment submits an “AEO Authorization Request” that includes multiple branches in different emirates.
 - Each customs department can cancel only the part of the “AEO Authorization Request” related to the branch in its emirate.
 - This does not cancel or affect the request in other emirates or for other branches.

6.3.3.3. Statuses of AEO Authorization Request.

Request Status	Start of Status	End of Status	Status Description
AEO Authorization Request Submitted	When the commercial establishment submits the AEO authorization request.	When the administrator begins reviewing the request, status becomes “AEO Authorization Request Under Initial Review”.	AEO Authorization Request is awaiting review by the relevant customs department. This status will be recorded in the audit trail.

AEO Authorization Request Withdrawn by Commercial Establishment	When the commercial establishment withdraws the request	Final status.	The AEO authorization request was withdrawn by the establishment, however the local customs can reopen it again.
AEO Authorization Request Under Initial Review	When the administrator opens the request and begins reviewing data and documents.	<ul style="list-style-type: none"> ● Four outcomes are possible: <ul style="list-style-type: none"> ○ Confirm completion: status becomes "Preliminary Risk Assessment has started". ○ Rejection: status becomes "AEO Authorization Request Rejected". ○ Return: status becomes "AEO Authorization Request Returned". ○ Mark as exceptional case: the status becomes "AEO Authorization Request Marked as Exceptional Case". 	AEO Authorization Request under initial review by administrator. This status will be recorded in the audit trail.
AEO Authorization Request Returned	When the administrator returns the AEO authorization request to the commercial establishment	When the applicant completes the application and resubmits it; status becomes "AEO Authorization Request Submitted".	Additional data is required from the commercial establishment. This status will be recorded in the audit trail.

	establishment for corrections or completion.		
AEO Authorization Request Canceled by Local Customs	When the relevant customs cancel the request	Final status.	The AEO authorization request was canceled by the relevant customs department. However, local customs can reopen it. This status will be recorded in the audit trail.
Preliminary Risk Assessment has started.	After confirming the completion by the administrator, the preliminary risk assessment started.	<ul style="list-style-type: none"> ● The administrator has two options: <ul style="list-style-type: none"> ○ Approval: status becomes "Preliminary Risk Assessment Under Final Review". ○ Rejection: status becomes "AEO Authorization Request Rejected". 	AEO authorization request under preliminary risk assessment. This status will be recorded in the audit trail.
Preliminary Risk Assessment Under Final Review.	When the preliminary risk assessment is completed and the request is initially approved by the administrator.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ The senior administrator approves the AEO authorization Request and the status changes to "AEO Authorization Request Approved". ○ The senior administrator rejects the AEO 	The preliminary risk assessment is completed, and the request is initially approved by the administrator. This status will be recorded in the audit trail.

		authorization Request and the status changes to" AEO Authorization Request Rejected".	
AEO Authorization Request Rejected	When the administrator or senior administrator rejects the application.	Final status.	AEO authorization request was rejected. This status will be recorded in the audit trail.
AEO Authorization Request Approved	When the senior administrator approves the application.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ When the validation team is assigned the status changes to "Validation Team Assigned" 	AEO authorization request approved, and all required steps completed. This status will be recorded in the audit trail.
AEO Authorization Request Expired	When the relevant local customs department marks the "AEO authorization request" as expired if they don't receive feedback from the commercial establishment within the defined period of time.	<ul style="list-style-type: none"> ● Final status. 	The "AEO authorization request "has been marked as "Expired" by the relevant local customs department. However, local customs can reopen the request. This status will be recorded in the audit trail.
AEO Authorization Request Marked as Exceptional Case	When the authorization request has been marked as exceptional case by the relevant local customs department admin.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ AEO authorization request approved. ○ AEO authorization request was rejected. ○ AEO authorization request returned. 	The authorization request has been marked as exceptional case by the relevant local customs department admin. This status will be recorded in the audit trail.

Table 64—Statuses

6.3.3.4. Notifications

Notification Event	Trigger	Recipient	Channels
AEO Authorization Request Received	When the AEO authorization request is submitted by the commercial establishment.	<ul style="list-style-type: none"> ● Administrator at the relevant customs department. ● Federal administrator. 	<ul style="list-style-type: none"> ● Local customs AEO management portal ● Email ● Federal customs AEO management portal.
AEO Authorization Request Received by other Local Customs	When other local customs department receive AEO authorization request to participate in the preliminary risk assessment	<ul style="list-style-type: none"> ● Administrator at the other customs department. ● Federal administrator. 	<ul style="list-style-type: none"> ● Email. ● Local customs AEO management portal ● Federal customs AEO management portal.
AEO Authorization Request Received After Data Completion	When the commercial establishment resubmits the AEO Authorization Request after corrections.	Administrator at the relevant customs department.	<ul style="list-style-type: none"> ● Local customs AEO management portal ● Email
Preliminary Risk Assessment Started	When the AEO authorization request is initially approved after verifying completeness.	<ul style="list-style-type: none"> ● Administrator at the relevant customs department ● Administrators at other customs departments. 	<ul style="list-style-type: none"> ● Local customs AEO management portal ● Email
AEO Authorization Request approved	When the AEO Authorization Request is initially approved after verifying completeness.	<ul style="list-style-type: none"> ● General Department of Customs. 	<ul style="list-style-type: none"> ● Federal AEO Management Portal ● Email

Preliminary Risk Assessment Received from Another Customs Department	When one of the other customs departments submits their risk assessment.	Administrator at the relevant customs department.	<ul style="list-style-type: none"> ● Local customs AEO management portal ● Email
Preliminary Risk Assessment Ready for review	When the AEO authorization request is initially approved by the administrator after the completion of the preliminary risk assessment	Senior administrator at the relevant customs department.	<ul style="list-style-type: none"> ● Local customs AEO management portal ● Email
AEO Authorization Request Canceled	When the commercial establishment cancels the application.	<ul style="list-style-type: none"> ● Administrator. ● Senior administrator. ● General Department of Customs. 	<ul style="list-style-type: none"> ● Local customs AEO management portal ● Federal AEO Management Portal ● Email
AEO Authorization Request Rejected.	When the local customs reject an AEO authorization request	<ul style="list-style-type: none"> ● Federal administrator at the general department of customs 	<ul style="list-style-type: none"> ● Federal AEO management portal. ● Email. ● Email.
AEO Authorization Request Marked as Exceptional Case	When the administrator in the relevant local customs department marked the AEO authorization request as exceptional case.	<ul style="list-style-type: none"> ● Senior administrator. ● AEO program manager. 	<ul style="list-style-type: none"> ● Email. ● Local customs AEO management portal

Table 65— Notifications

6.3.4. AEO Validation Process

6.3.4.1. Self-Assessment Questionnaire (SAQ)

6.3.4.1.1. Assigning the Validation Team

Actors

- Senior administrator in the relevant customs department.

Description

- After the “Senior Administrator” in the relevant customs department approves an “AEO Authorization Request”, they must assign a validation team to initiate the creation of the Self-Assessment Questionnaire (SAQ) for the commercial establishment.
- To assign the team, the “Senior Administrator” “navigates to the page where all requests accepted by the relevant customs department are displayed.
- By clicking on “Assign Validation Team” button, the system displays a list of all available validation teams.
 - The “Senior Administrator” can select one “Validation Team” per request.
 - Once a “Validation Team” assigned:
 - The system will automatically send a notification to the selected “Validation Team” confirming the assignment.

6.3.4.1.2. Preparing and Sharing the SAQ with the Commercial Establishment

Actors

- The validation team member.
- The validation team lead.

Description

- Once the “Validation Team” is assigned by the “Senior Administrator”, “Validation Team Member/ Lead” shall navigate to a list of all commercial establishments assigned to the logged-in user.

- When a “Validation Team Member/ Lead” clicks the “Create SAQ” button, the system performs the following:
 - Prompt the user to select an appropriate SAQ template from list of published SAQ templates.
 - Automatically filter and display only the questions and sections within the selected template that corresponds to the supply chain activities of the commercial establishment as illustrated in the “AEO Authorization Request”.
 - Enable the user to add inquiries for the commercial establishment to respond to, further details refer to data dictionary “[Create SAQ Data](#)”.
 - Provide the “Validation Team Member” with the following three actions:
 - Share SAQ: to officially assign the SAQ to the commercial establishment. This action can only be performed by the validation team leader.
 - Cancel: to discard the SAQ creation process.
 - Save as draft: to temporarily save the SAQ in its current state without sharing it with the commercial establishment, to allow the “Validation Team Member/Lead” to resume reviewing the SAQ at a later time.
 - If a commercial establishment submits a single "AEO Authorization Request" covering both its headquarters and branchesFor the Emirate that allows submitting a single request covering the headquarters and multiple branches , there will be one SAQ for the headquarters and any branches located in that emirate.
 - For the Emirate that doesn't allow submitting a single request covering the headquarters and multiple branches , a separate SAQ will be generated for each individual branch .

6.3.4.1.3. Reviewing the SAQ

Actors

- The validation team member.
- The validation team lead.

Description

- Once the commercial establishment completes and submits the SAQ, it is transmitted through the system to the relevant customs department.
- The assigned “Validation Team” receives a system notification indicating that a new SAQ has been received and is ready for review.
- The Validation Team Lead will determine the allocation of SAQ sections by assigning each section to a specific validation team member, including the option to assign sections to himself.
- All the SAQ sections will be visible to all validators who are assigned to the SAQ, however only the owner of the section can amend it.
- The system displays a list of commercial establishments that have submitted the SAQ and are assigned to the currently logged-in validation team members.
- .
- The “Validation Team Member/lead” reviews the SAQ responses individually, evaluates each answer, and determines whether it is acceptable or not:
 - If the answer is “acceptable”, it is approved without any further action. The user may optionally add remarks for the commercial establishment to view.
 - If the answer is “not acceptable”, the user must enter a mandatory comment explaining the reason for rejection; this comment becomes visible to the commercial establishment once the SAQ is returned.
 - When a new comment is added, it will be assigned the status “Open”. The system will then allow the user to mark the comment as “Resolved” once the commercial establishment has taken the necessary action. During the review process, user can also do the following:

- Add comments to any section including the sections which are not assigned to them.
- View internal comments added by other validation team members.
 - ❖ The system shall allow the user to identify the phase in which comments were added, such as the SAQ review phase, the initial risk assessment and assessment plan phase, or the on-site validation phase.
 - ❖ The user can reply to the comments.
- After all questions have been reviewed, the "Validation Team Lead" has two options:
 - If there are "not acceptable" answers, the "Validation Team Lead" returns the SAQ to the commercial establishment through the system, along with all associated comments, to enable the establishment to make the required modifications or provide responses.
 - Once the commercial establishment makes the necessary changes or provides the required responses, it resubmits the updated SAQ to the customs department through the AEO portal.
 - Upon receipt, the system reassigns the SAQ to the same "Validation Team". The system displays a visual indicator highlighting the questions that have been modified or responded to, allowing the "Validation Team" to focus the review on the updated items. Previously accepted questions were shown in read-only mode and cannot be edited.
 - If the SAQ is not returned within the allowed time period, the "Validation Team Lead" can mark it as "Expired".
 - If there are no comments, the "Validation Team Lead" approves the SAQ. The system then notifies the "Validation Team" to proceed with the initial risk assessment and preparation of the assessment plan.

6.3.4.1.4. Statuses of Self-Assessment Questionnaire.

Request Status	Start of Status	End of Status	Status Description
Validation Team Assigned.	When the senior administrator in the relevant local customs has assigned the validation team to an approved AEO authorization requests.	• SAQ generated	Validation team has been assigned and the SAQ is ready to be generated. This status will be recorded in the audit trail.
SAQ Generated	When a validation team member generates the SAQ after selecting the SAQ template and the approved AEO authorization request.	When the SAQ is ready to be shared with the commercial establishment, the status changes to "SAQ ready for sharing".	The SAQ is under preparation and review by the validation team member. This status will be recorded in the audit trail.
SAQ Ready for Sharing.	When the validation team has finished working on the SAQ by adding any additional questions and the SAQ is ready to be shared by the validation team lead.	When the SAQ has been shared by the validation team lead with the establishment.	SAQ has been finalized, and it is ready for sharing with the establishment. This status will be recorded in the audit trail.
SAQ Shared	When the SAQ is shared with the commercial establishment.	When the commercial establishment submits the SAQ for review by the relevant customs department, and the status changes to "SAQ Received".	The local customs department shares the SAQ for the commercial establishment. This status will be

			recorded in the audit trail.
SAQ Received	When the commercial establishment submits the SAQ for review.	When the customs department starts reviewing the SAQ, and the status changes to "SAQ Under Review".	The customs department has received the filled SAQ from the commercial establishment. This status will be recorded in the audit trail.
SAQ Under Review	When a validation team member starts reviewing the SAQ.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ SAQ Accepted. ○ SAQ returned. 	The SAQ is under review by a validation team. This status will be recorded in the audit trail.
SAQ Returned	When the SAQ is returned by the customs department to the commercial establishment.	When the commercial establishment sends the updated SAQ, and the status changes to "SAQ Received".	The SAQ was returned due to remarks on the answers. This status will be recorded in the audit trail.
SAQ Approved	When the SAQ is accepted by the validation team lead in the relevant customs department.	When the validation team lead has accepted the SAQ and the validation process is ready to start the initial risk assessment and assessment plan	The SAQ is accepted and ready for the next phases. This status will be recorded in the audit trail.

SAQ Cancelled	When the establishment has cancelled the AEO authorization request during the review process of the SAQ. And before accepting it by the relevant local customs department.	Final status. (Auto set by the system)	The establishment has cancelled the AEO authorization request during the review process of the SAQ. This status will be recorded in the audit trail.
SAQ Expired	When the SAQ configured SLA expired and the validation team lead manually marked the SAQ as expired.	Final status.	The SAQ has exceeded the SLA of reply on the SAQ and the validation team in the relevant local customs department has marked the SAQ as expired. This status will be recorded in the audit trail.

Table 66—SAQ Statuses

6.3.4.1.5. Notifications

Notification Event	Trigger Event	Recipient	Channels
Validation Team Assigned.	When validation team assigned to an approved authorization request to generate the SAQ.	• Validation team	• Email • Local Customs AEO management portal
Start of SAQ Review	When the commercial establishment submits the SAQ after filling or modifying it.	• Validation team	• Email • Local Customs AEO management portal

Review of Resubmitted SAQ	When the SAQ is returned and the commercial establishment makes the required modifications and resubmits it to the relevant customs department.	• Validation team	• Email • Local customs AEO management portal
Expiration of the SAQ	When the SAQ has been marked as expired by the validation team due to the violation of the configured SLA.	• Validation team	• Email • Local customs AEO management portal

Table 67 – Notifications

6.3.4.2. Initial Risk Assessment and Assessment Plan Preparation

Actors

- The validation team member.
- The validation team lead.

Description

- Once the SAQ is approved by the “Validation Team Lead”, the system automatically sends a notification to the assigned “Validation Team”, instructing them to initiate the initial risk assessment process and prepare the assessment plan.
- The system shows the corresponding SAQ, showing its sections, subsections, leaf sections and related questions and answers.
- All the SAQ sections will be visible to all validators who are assigned to the SAQ, however only the owner of the section can amend it.
- For each leaf section of the SAQ, the user who is assigned to the section can do the following:
 - Add initial risks assessment.
 - Add assessment plan.
 - Upload reference documents.
 - Confirm the completion of the “initial risks and assessment plan” for this leaf section.

- Add comments to any section including the sections which are not assigned to them.
- View internal comments added by the “Validation Team”.
 - The system shall allow the user to identify the phase in which comments were added, such as the SAQ review phase, the initial risk assessment and assessment plan phase, or the on-site validation phase.
 - The user can reply to the comments.

6.3.4.2.1. Initial Risk Assessment

Actors

- The validation team member.
- The validation team lead.

Description

- The initial risks assessment part contains the following fields:
 - Risks:
 - The user selects one or more risks from a predefined drop-down list.
 - If a relevant risk is not listed, the user can add a new risk manually.
 - Initial risks analysis.
 - The user enters a brief analysis of the identified risks.
 - Risks classification: the user will select the following
 - The consequences of the risks from predefined list.
 - The likelihood of the risks from predefined list.

After the user selects the consequences and the likelihood the system automatically calculates the risks rate based on the risk matrix displayed below:

		Consequence				
		Insignificant	Minor	Moderate	Major	Critical
Likelihood	Almost Certain	Medium	High	High	Extreme	Extreme
	Likely	Medium	Medium	High	High	Extreme
	Possible	Low	Medium	Medium	High	Extreme
	Unlikely	Low	Low	Medium	Medium	High
	Rare	Low	Low	Low	Medium	High

- Assessment tool
 - The user selects the assessment tool from a drop-down list.
 - If the required assessment tool is not listed, the user enters it manually in the "Another Tool" text field.
- Response to the risks:
 - The user selects one response option from the following predefined list:
 - ❖ Take = within the acceptable materiality.
 - ❖ Treat = remedial plan or included in the control plan.
 - ❖ Transfer = set up a mechanism whereby an identified risk, for example related to classification or valuation, can be mitigated through a guarantee.
 - ❖ Terminate = rejecting the risk as unacceptable, which means rejecting the applicant for AEO status, in that case the decision is up to the local customs to reject the application

- The data details are specified in the data dictionary titled "[Initial Risk Assessment and Assessment Plan Data](#)".

6.3.4.2.2. Preparing the Assessment Plan

Actors

- The validation team member.
- The validation team lead.

Description

- The user adds the assessment plan for each leaf section of the SAQ.
- In the Assessment Plan section, the "Validation Team Member" can provide the following details:
 - Assessment Method:
 - The user can select one or more assessment methods from a predefined drop-down list.
 - For each added assessment method, the user shall optionally be able to enter:
 - ❖ The expected **start date**.
 - ❖ The expected **duration** (in days or hours).
 - ❖ The system shall automatically calculate and display the corresponding **end date** based on the provided start date and duration.
 - Description:
 - A text box is provided to enter all relevant details about the actions that need to be performed during the validation phase.
- The data details are specified in the data dictionary titled "[Initial Risk Assessment and Assessment Plan Data](#)".

6.3.4.2.3. Adding Reference Documents

Actors

- The validation team member.
- The validation team lead.

Description

- The user may attach one or more reference documents to support the risk assessment and assessment plan for each leaf section of the SAQ.
- Within this section, the system allows the user to enter the following details for each reference document:
 - Document type.
 - Document Name
 - Document Version
 - Release Date
 - File Upload (the actual document file)
- The user can add multiple reference documents. For each document, the above metadata must be provided
- For further information refer to the data dictionary "[Initial Risk Assessment and Assessment Plan Data](#)".

6.3.4.2.4. Confirm the Completion of the “Initial Risks and Assessment Plan”

Actors

- The validation team lead.

Description

The “Validation Team Member/lead” can confirm the completion of their work on each leaf section.

This action indicates that the risks, the assessment plan, and the reference document have been successfully identified for that specific leaf section.

6.3.4.2.5. Approving the Initial Risk Assessment and Assessment Plan

Actors

- The validation team lead.

Description

- Once the initial risk assessment and assessment plan is complete for all leaf sections in the SAQ, a notification will be sent to, the “Validation Team Lead” to approve it.
- The validation team lead can do the needed amendments before approving the plan.

6.3.4.2.6. Statuses of Assessment Plan.

Status	Start Condition	End Condition	Description
Initial Risk Assessment and Assessment Plan is Draft.	after accepted the SAQ , and started to conduct the initial risk assessment and prepare the assessment plan by reviewing the leaf sections. Saved as draft as the initial status.	When all leaf sections of the SAQ are complete Status then changes to “Initial Risk Assessment and Assessment Plan Ready for Approval”.	The validation team begins reviewing the SAQ to prepare the initial risk assessment and assessment plan. They can save it as draft to continue working later on. This status will be recorded in the audit trail.
Initial Risk Assessment and Assessment Plan Ready for Approval	After all the leaf sections of the accepted SAQ have been completed for risk assessment and risk analysis have been conducted, therefore this step has been completed and now it's ready for approval.	Approval of Initial risk assessment and assessment plan. Status then changes to “Initial Risk Assessment and Assessment Plan Approved”	The validation team has completed their work on all the leaf sections, and the initial risk assessment and assessment plan is completed. This status will be recorded in the audit trail.
Initial Risk Assessment and	The validation team lead approved the initial risk	When the validation team starts the site validation, and the status changes to “Commercial	The validation team lead has approved of this step. This

Assessment Plan Approved	assessment and the assessment plan.	establishment on-site validation."	status will be recorded in the audit trail.
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Table 68—Statuses

6.3.4.2.7. Notifications

Notification Event	Trigger	Recipient	Channels
SAQ Approved	When the validation team lead accepts the SAQ	• Validation Team	• Email • Local customs AEO management Portal
SAQ Section is complete	When a validation team member marks a SAQ leaf section as complete	• Validation team lead.	• Email • Local customs AEO management Portal
The Initial Risk Assessment and the Assessment Plan Ready for Approval	When the validation team marks all leaf section in the SAQ as complete.	Validation team lead	• Email • Local customs AEO management Portal
Approval of Initial Risk Assessment and Assessment Plan	Once the validation team approves the initial risk assessment and the assessment plan, the validation team must begin the validation process.	Validation team	• Email • Local customs AEO management Portal

Table 69—Notifications

6.3.4.3. Detailed Validation and Risk Assessment

6.3.4.3.1. Scheduling Meetings

Actors

- The validation team member.
- The validation team lead.

Description

- After the approval of the initial risk assessment and assessment plan, the “Validation Team Member/Lead” begins executing the plan by scheduling the required meetings with the commercial establishment for assessment and validation purposes.
- The “Validation Team Member/ Lead ”can select a meeting template to auto populate the initial data of each meeting.
- The “Validation Team Member/ Lead ”can edit the details of each meeting into the system as mentioned in the data dictionary “[Validation Meeting Data](#) ”.
- The commercial establishment will be notified of the meeting schedule if the relevant customs department chooses to do so, unless the visit is intended to be unannounced.
- When coordinating meetings, the commercial establishment must be notified of a specific period before the meeting date according to the system settings, and the system will not allow scheduling any meeting with a date earlier than the defined notice period.
- The “Validation Team Member/lead” selects up to three proposed dates for each meeting, allowing the commercial establishment to choose the most suitable date among them.
 - When the “Validation Team Member/lead” proposes multiple dates, those dates cannot be reused for other commercial establishments until the commercial establishment selects one. Once a date is selected, the remaining unselected dates become available for reuse.
- Once the commercial establishment selects one of the proposed dates, the appointment is automatically confirmed and recorded in the visit scheduling calendar of the validators team.
 - Validators within the same team will have access to the shared calendar showing all appointments scheduled by their team members.
 - Validators in the same validation team are also authorized to reschedule or cancel appointments assigned to any member of their team.
- After the commercial establishment confirms the meeting dates, the system issues an official letter addressed to the commercial establishment that includes the meeting details, such as the date, purpose of each meeting, and the required documents.

- The system allows the relevant customs department to cancel or reschedule the meeting, provided that the reason for cancellation is specified if the meeting is cancelled.
- If the commercial establishment rejects the suggested meetings two times, an escalation notification will be sent to the program manager.
- After the meeting is held, the validation “Validation Team Member/lead” records their observations and the meeting outcomes in the meeting minutes.

Business rules:

#	Description	Source
BR.26	When scheduling meetings whether field visits, remote meetings, or a hearing session for an appeal request the commercial establishment shall be notified of a specific period in advance, as defined in the system settings. The system will not allow scheduling any meeting with a date earlier than the defined notification period.	Requirements gathering sessions

6.3.4.3.2. The Development of the Assessment File

Actors

- The validation team member.
- The validation team lead.

Description

- During the validation process, the “Validation Team Member/Lead” prepares the assessment file by reviewing the initial risks identified in the SAQ and verifying their relevance based on on-site observations. If any of these risks are found to be inaccurate or not reflective of the actual situation, the team may revise them accordingly. Additionally, the team can document their findings and recommendations within each relevant section. For more details, refer to the "[Assessment File Data](#)" section in the data dictionary.
- All the SAQ sections will be visible to all validators who are assigned to the SAQ, however only the owner of the section can amend it.

- To prepare the assessment file, the validation team will do the following to the sections assigned to him:
 - Define the list of remaining risks by reviewing and updating the risks identified during the initial risk assessment. This includes:
 - Removing risks that are no longer applicable.
 - Adding newly observed risks.
 - Modifying existing risks, including updates to the risk analysis, likelihood, consequences, or mitigation measures, every time the risk likelihood or consequences are changed the system will automatically re-calculate the risk rate
 - The system will preserve the original list of risks from the initial assessment unchanged and generate a separate list for the remaining risks.
 - Record findings: The system allows the user to enter multiple findings under each leaf section.
 - Enter recommendations: The system supports entering multiple recommendations per leaf section.
 - Add comments to any section including the sections which are not assigned to them.
 - View internal comments added by the “Validation Team”.
 - The system shall allow the user to identify the phase in which comments were added, such as the SAQ review phase, the initial risk assessment and assessment plan phase, or the on-site validation phase.
 - The user can reply to the comments.
 - The “Validation Team Member/lead” can confirm the completion of their work on each leaf section.
 - This action indicates that the remaining risks, the findings and the recommendations have been successfully identified for that specific leaf section.

6.3.4.3.3. Approve the Assessment File

Actors

- The validation team lead.

Description

- Once all leaf sections are marked as complete, a notification will be sent to the “Validation team lead” to approve the assessment file.
- The “Validation team lead” can edit the file and do the needful changes before approving it.
- Once the assessment file is approved by the “Validation team lead”, the system generates the “Assessment Report” in “Draft” status and it becomes accessible by the validation team.

6.3.4.3.4. The Development of the Assessment Report

Actors

- The validation team member.
- The validation team lead.

Description

- Once the assessment file is approved by the “Validation team lead”, the system generates the “Assessment Report” in “Draft” status and it becomes accessible by the validation team.
- The assessment report includes the following sections:
 - The details of the headquarter and all branches included in the validation process. (auto populated).
 - Report scope: to be added by the validation team.
 - Findings: auto populated from the assessment file using the same structure of the SAQ.
 - Recommendations: auto populated from the assessment file using the same structure of the SAQ.
 - If there are remarks that do not affect the decision-making process (i.e., improvement actions), they are included under the recommendations.
 - Risks: auto populated from the assessment file using the same structure of the SAQ.
 - Summary of observations: to be added by the validation team.

- The detailed data of the assessment report is described in the data dictionary "[Assessment Report Data](#)".
- The validation team can save the assessment report as draft to continue working on it later.
- Once all the mandatory fields are filled in, validation team can submit the assessment report to the "Validation Team Lead" to share it with the commercial establishment.

6.3.4.3.5. Sharing the Assessment Report with the Commercial Establishment

Actors

- The validation team lead.
- DescriptionOnce the assessment report is submitted to the "Validation Team Lead" to share it with the commercial establishment, the system will allow the "Validation Team Lead" to do the following before sharing it:
 - The "Validation Team Lead" may determine certain contents of the draft assessment report that are not to be shared with the establishment. These include:
 - Findings: possibility to remove some or all.
 - Recommendations: possibility of removing some or all.
 - Risks: possibility of removing some or all.
 - For each trade license included in the report, the "Validation Team Lead" shall assess whether the commercial establishment is required to undertake corrective actions.
 - The "Validation Team Lead" may provide specific remarks for any trade license identified as requiring the submission of a Compliance Improvement Plan.
- The Validation Team Lead submits the assessment report through the system to the commercial establishment for review, allowing them to either approve it or return it with comments or feedback.
- If the commercial establishment doesn't respond within the given time period, the validation team lead will be notified to mark it as expired, and a notification will be submitted to the commercial establishment.

- The process will continue as if the commercial establishment has approved the report.

6.3.4.3.6. Approving the Assessment Report

Actors

- The validation team lead.

Description

- If the commercial establishment returns the assessment report with comments, the system allows the "Validation Team Lead" to do the needed corrections and share the report again with the commercial establishment.
 - This cycle might be repeated multiple times until the report is approved by the commercial establishment.
- If the commercial establishment approves the report, there are two cases
 - If no corrective actions are required, the Validation Team Lead shall provide a recommendation on whether to grant AEO status and proceed with approving the assessment report.
 - If corrective actions are required, the "Validation Team Lead" will do the following:
 - Review each submitted compliance improvement plan along with the proposed completion date.
 - If the response from the commercial establishment is deemed satisfactory, the Validation Team Lead will approve the report, prompting the system to update its status from draft to approved.
 - If the response is not satisfactory or requires clarification, the report will be returned to the commercial establishment with the Validation Team Lead's comments for further revision."
 - After multiple back and forth the validation team lead can add his recommendation and submit the file to the AEO program manager to take the final decision.

- Once the assessment report is approved, it will be shared with the General Department of Customs.

6.3.4.4. Assessment of Compliance Improvement Plan Extension Request

Actors

- The validation team lead.

Description

- If the commercial establishment cannot complete the implementation of the compliance improvement plan within the period, it must submit a justified extension request to the relevant customs department before the deadline.
- The department studies the request and decides to approve or reject it.
 - If the extension is approved, the user sets the extension period within the maximum allowed period that is defined in the system settings.
 - If the extension is rejected the validation team lead will add his recommendation about granting the AEO status and the full case will be forwarded to the AEO program manager to take the final decision.

6.3.4.4.1. Confirm the Completion of the Compliance Improvement Plan

Actors

- The validation team lead.

Description

- If the commercial establishment successfully implements the compliance improvement plan within the deadline, it enters the data and supporting documents that prove the implementation.
 - The system will validate and files size and format.
- Upon receiving notification of the compliance improvement plan's completion, the Validation Team Lead reviews the implementation and proceeds with one of the following actions:
 - Confirms the successful completion of the compliance improvement plan for the specific trade license associated with the plan. If the assessment report includes multiple trade licenses, the system

will prompt the Validation Team Lead to provide a recommendation on whether to grant AEO status for that license.

- Returns the report to the commercial establishment requesting further clarification or additional information.
 - The user can add multiple comments, for each comment user will add the following:
 - ❖ The section of the plan related to the comment.
 - ❖ The details of the comment.
- Rejects the completion of the compliance improvement plan, indicating a recommendation not to grant AEO status for the specific trade license in question. This decision applies to the concerned license and does not affect any other trade licenses included in the same assessment report.
 - The final decision will be made by the AEO program manager.

6.3.4.4.2. AEO Decision

Actors

- The AEO program manager.

Description

- Once the Validation Team Lead submits a recommendation regarding the granting of AEO status for a specific trade license—particularly in cases where the assessment report includes multiple trade licenses—the assessment file is then forwarded to the AEO Program Manager, along with the following information:
 - Assessment File.
 - Assessment report.
 - Compliance improvement plan, if applicable.
- The “AEO Program Manager” reviews the assessment file and decides whether to approve, reject, or return it:

- If further clarifications are needed the “AEO Program Manager” can returns the file to the validation team.
- If granting AEO status is rejected, the commercial establishment and the validation team will be notified.
- If granting AEO status is approved, the following occurs simultaneously:
 - The commercial establishment is notified of the approval.
 - The “Validation Team” is notified to start preparing the Control Plan.
 - The “AEO Program Manager” must assign a “Key Account Managers Team”.
 - ❖ The “Key Account Manager Team” will be the only contact point with the commercial establishment after granting the AEO status.
 - ❖ The “Key Account Manager Team” is responsible for confirming the branches for which the certificate will be issued, specifying the benefits group and identifying the authorized contact person to communicate on behalf of the commercial establishment.
 - ❖ For more information about authorized contact person refer to the data dictionary “[Designated Contact Person Representing the Commercial Establishment](#)”.

6.3.4.4.3. The Development of the Control Plan

Actors

- The validation team member.
- The validation team lead.

Description

- The “Validation Team” begins preparing the control plan once the “AEO Program Manager” approves granting AEO status to the commercial establishment.

- the “Validation Team Member/Lead” enters the plan data in accordance with what is outlined in the data dictionary “[Control Plan Data](#)”
 - The system enables the user to either create a single control plan that covers all approved trade licenses under the same AEO Authorization Request, or to develop individual control plans for each trade license separately.
 - The system does not allow a single branch to be associated with multiple Control Plans; if a branch exists in a plan, it can't be selected for a new plan.
 - The control plan will have the same structure of the SAQ so that “Validation Team” will add monitoring actions and all related details for each action under every leaf section of the SAQ.
- After the plan is prepared, the “Validation Team Lead” reviews the control plan and approve it.
- Following the issuance of the certificate, responsibility for ongoing monitoring of the AEO's performance is transferred to the Key Account Managers Team Member. During this phase, the control plan remains editable—allowing modifications as necessary. The Validation Team also retains read only access for supervision purposes.
- In the event of a re-validation of the commercial establishment, responsibility of modifying the control plan is transferred again to the “Validation Team” and the Key Account Managers Team Member will have read only access till the decision about the AEO status is made
 - If the decision is to continue the AEO status then the responsibility of modifying the control plan goes back to the Key Account Managers Team Member and the Validation Team also retains read only access for supervision purposes.
 - If the decision is to suspend/ revoke the AEO status then the responsibility of modifying the control plan will remain with the validation team.
- The system does not support a single control plan for the head office and branches located in different emirates given that the local customs grant the status to the commercial establishment licensed by the emirate of that local customs.
 - branches in different emirates will always be treated as separate entities.

6.3.4.4. Statuses of Validation Process.

Status	Start Condition	End Condition	Description
Commercial Establishment On-Site Validation	When the initial risk assessment and assessment plan are approved by the validation team lead.	When the validation team confirms adding all findings, recommendations, and remaining risks to the assessment file, and the status changes to "Assessment File Ready for Approval"	Meetings with the commercial establishment are scheduled to verify compliance with AEO standards. This status will be recorded in the audit trail.
Assessment File Ready for Approval	When the validation team confirms adding all findings, recommendations, and remaining risks to the assessment file.	When the validation team lead approves the assessment file and the status changes to "Assessment File Approved".	All findings, recommendations and remaining risks are added for all leaf sections. This status will be recorded in the audit trail.
Assessment File Approved	When the validation team lead approves the assessment file	When the validation team lead shared the draft assessment report with the commercial establishment and the status changes to "Draft assessment Report Shared".	Assessment file approved by validation team lead. This status will be recorded in the audit trail.
Draft assessment Report Shared	When the draft assessment report is shared with the commercial establishment.	<p>Three options:</p> <ul style="list-style-type: none"> • If comments are received from the commercial establishment, the draft report is returned, and the status changes to "Draft" 	The draft has been shared with the commercial establishment for review. This status will

		<p>Assessment Report Returned by the Commercial Establishment".</p> <ul style="list-style-type: none"> ● If approved by the commercial establishment there are two options: <ul style="list-style-type: none"> ○ If corrective actions exist, status changes to "Compliance Improvement Plan Under Review". ○ If no corrective actions exist, status changes to "Pending Recommendation Submission". ● If the commercial establishment didn't respond within the given period, the validation team lead can mark the assessment report as expired and the workflow status changes to "Pending Recommendation Submission". 	be recorded in the audit trail.
Draft Assessment Report Returned by the Commercial Establishment	When comments are received from the commercial establishment and the report is returned to the relevant customs	When the assessment report is shared again with the commercial establishment, the status changes to "Draft Assessment Report Shared".	Commercial establishment returned the draft assessment report to the local customs department with remarks. This

	department. could happen recursively multiple times.		status will be recorded in the audit trail.
Compliance Improvement Plan Under Review	When the commercial establishment approves the assessment report and shares the compliance improvement plan with the customs department. could happen recursively multiple times.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ When the customs department returns the compliance plan, the status changes to "Compliance Improvement Plan Returned". ○ When the customs department approves the compliance plan, the status changes to "Compliance Improvement Plan Under Execution". 	The commercial establishment has submitted the compliance improvement plan. This status will be recorded in the audit trail.
Compliance Improvement Plan Returned	When the customs department returns the submitted compliance improvement plan due to required modifications. could happen recursively multiple times.	When the commercial establishment resubmits the revised compliance improvement plan. And the status changes to "Compliance Improvement Plan Under Review".	The customs department reviewed the submitted compliance plan and returned it for adjustments. This status will be recorded in the audit trail.
Compliance Improvement Plan Under Execution	When the customs department approves the compliance improvement plan.	When the commercial establishment confirms execution of the compliance improvement plan, the status changes to "Compliance Plan Execution Confirmed."	The commercial establishment must execute the compliance improvement plan therefore this status identifies that the

			establishment is in progress to execute the approved compliancy plan from the local customs department. This status will be recorded in the audit trail.
Compliance Improvement Plan Implementation Confirmed	When the commercial establishment confirms it has implemented the compliance improvement plan.	<p>Two options:</p> <ul style="list-style-type: none"> • If the validation team lead confirms the implementation of the compliance improvement plan, the status changes to "Pending Recommendation Submission". • If the validation team lead determines that further implementation is required before final confirmation, the status changes to "Compliance Improvement Plan Under Execution". 	The commercial establishment confirmed the completeness of the compliancy improvement plan's execution, pending customs administration verification. This status will be recorded in the audit trail.
Pending Recommendation Submission	<p>Two options:</p> <ul style="list-style-type: none"> • When the commercial establishment approves the draft assessment report and no corrective actions are required. 	When validation team lead adds the recommendation to the assessment report and the status changes to "AEO Status Decision Under Review"	Validation team lead adds the recommendation to either grant or deny AEO status to the commercial establishment. This

	<ul style="list-style-type: none"> ● When validation team lead confirms the implementation of the compliance improvement plan. 		status will be recorded in the audit trail.
AEO Status Decision Under Review	When the validation team lead adds the recommendation to the assessment report and confirms it	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ The AEO program manager decide to grant the AEO status and the status change to "AEO Status Granted". ○ The AEO program manager decide to reject granting the AEO status and the status change to "AEO Status Rejected". 	the commercial establishment under review by AEO Program Manager for final decision. This status will be recorded in the audit trail.
AEO Status Granted	When the AEO program manager approves granting AEO status to the commercial establishment.	When the general department of customs issues the certificate(s). and the status changes to "AEO Certified".	Decision to grant AEO status to the commercial establishment is confirmed. This status will be recorded in the audit trail.
AEO Status Rejected	When the AEO program manager decides to reject granting membership to the commercial establishment.	Final Status.	Decision to reject AEO status for the commercial establishment is confirmed. This status will be recorded in the audit trail.

Table 70—Statuses

6.3.4.4.5. Notifications

Notification Event	Trigger Event	Recipient(s)	Channels
Commercial establishment rejected the suggested meetings	If the commercial establishment rejects the suggested meetings two times, an escalation notification will be sent to the program manager.	• Validation team • Program manager	• Email • Local customs AEO management portal
Assessment file ready to approve	When all findings, recommendations, and remaining risks have been completed for all leaf sections.	Validation team lead	• Email • Local customs AEO management portal
Draft Assessment Report Returned	When the draft report is returned by the commercial establishment due to feedback.	Validation Team	• Email • Local customs AEO management portal
Assessment Report Approved	When the commercial establishment approves the draft assessment report.	• Validation Team	• Email • Local customs AEO management portal •
Corrective Actions Implementation Confirmed	When the commercial establishment confirms implementation of the corrective actions.	Validation team lead	• Email • Local customs AEO Management Portal
AEO Status Decision Needs to Be Made	When the assessment file is assigned to the AEO Program Manager for a AEO status approval/rejection decision.	• AEO program manager.	• Email • Local customs AEO management portal

AEO Status Decision Made	When the AEO Program Manager makes a decision to approval/rejection the AEO status.	<ul style="list-style-type: none"> ● AEO program manager. ● Validation team ● Administrator ● Senior administrator ● Federal administrator ● Senior Federal administrator 	<ul style="list-style-type: none"> ● Email ● Local customs AEO management portal ● Federal customs AEO management portal
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Table 71 – Notifications

6.3.5. AEO Certification Process

Actors

- The key account managers team.

Description

- The certificate issuance process begins after the AEO Program Manager approves granting the commercial establishment(s) the AEO status.
- The “AEO Program Manager” assigns the “Key Account Managers Team”, which triggers the following actions:
 - The system automatically assigns the default benefits group to the commercial establishments(s).
 - The “Key Account Manager”, can change the benefits package that will be assigned to the commercial establishments(s).
 - If the “AEO Authorization Request” contains the headquarter and other branches, different groups of benefits can be given to the approved trade licenses.
- A request to issue the certificate(s) is sent to the general department of customs at the federal authority for identity, citizenship, customs & port security, which is responsible for officially issuing the certificate(s).

- The federal administrator is responsible for issuing the certificate(s) to the commercial establishment.

6.3.5.1. Statuses of AEO

Status	Start of Status	End of Status	Description
AEO Certified	When the federal administrator issues the certificate(s).	<ul style="list-style-type: none"> ● AEO Status Suspended ● AEO Status Revoked ● AEO Status Cancelled. 	The final version has been shared with the commercial establishment. This status will be recorded in the audit trail.
AEO Status Suspended	When the AEO program manager suspended the AEO status for a period of time.	<ul style="list-style-type: none"> ● AEO status revoked ● AEO Certified ● AEO Status Cancelled. 	The AEO status has been suspended by the AEO program manager. This status will be recorded in the audit trail.
AEO status revoked	When the AEO program manager revokes the AEO certificate permanently.	<ul style="list-style-type: none"> ● Final status. 	The AEO status has been revoked by the AEO program manager. This status will be recorded in the audit trail.
AEO Certified	When the AEO program manager updates the AEO status as continued.	<ul style="list-style-type: none"> ● AEO Status Suspended ● AEO status revoked ● AEO Status Cancelled. 	<ul style="list-style-type: none"> ● The AEO status has been continued by the AEO program manager after suspension. This status will be recorded in the audit trail. ● The AEO status has been continued by the AEO program manager after revalidation.

Table 72—Statuses

6.3.5.2. Notifications

Notification Event	Trigger	Concerned Party	Channels
Issuance of Certificate(s)	When the federal administrator issues the certificate(s).	• Local customs departments.	• Email • Local customs AEO management portal
Suspension of the AEO Certificate.	When the AEO program manager suspended the AEO status.	• Local customs departments.	• Email • Local customs AEO management portal
Revoke of the AEO Certificate.	When the AEO program manager revoked the AEO status.	• Local customs departments.	• Email • Local customs AEO management portal
Continuation of the AEO Certificate.	<ul style="list-style-type: none"> • When the AEO program manager updated the AEO status to continued AEO status, after suspension. • When the AEO status has been continued by the AEO program manager after revalidation. 	• Local customs departments.	• Email • Local customs AEO management portal

Table 73—Notifications

6.3.6. Management and Monitoring Process

6.3.6.1. Key Account Management

Actors

- The key account managers team.

Description

- The “Key Account Managers Team” is responsible for monitoring the performance of the AEOs assigned to them.

- When the date of a monitoring action is approaching, the system will send a reminder to the “Key Account Managers Team.” These reminders are configured through the system settings.
- Each “Key Account Manager” will be able to view the following details for each AEO:
 - Summary of AEOs:
 - Last monitoring actions were conducted.
 - Upcoming monitoring actions, including the responsible team member assigned to each action.
 - Date of the last validation /revalidation conducted for the AEO.
 - Date of upcoming revalidation will be conducted by “Validation Team”
 - Commercial establishment profile and all information related to the establishment including “AEO Authorization Request”, SAQ, assessment file, assessment report, AEO certificate and benefits.
- The Key Account Manager (KAM) will have the ability to do the following:
 - Amend the control plan once needed.
 - After the “Key Account Manager” conducts a monitoring action, they will confirm its completion and add the remarks.
 - Re-assign the control action along with justification.
 - Add/ edit/ remove control actions.
 - For further details refer to the data dictionary “[Control Plan Data](#)”.
 - Log a reported violation against the commercial establishment.
 - Manage the Authorized contact persons information to keep the data updated.
 - Communicate with the commercial establishment through the system.
 - Schedule meetings to perform monitoring actions. These meetings will follow the same process as the validation meetings.

- Once the commercial establishment confirms the meeting date, it will be reflected in the calendar of the “Key Account Managers Team”.
- Raise a re-validation request to the “AEO Program Manager” along with the justification.
- Amend the commercial establishment profile to reflect critical events such as trade license renewal/ cancellation/ suspension and changes in the activities in the supply chain.
- If more than one KAM is assigned to a commercial establishment, all of them will have the same privileges on this establishment.

6.3.6.2. The Re-Validation Process

Actors

- The key account managers team.
- The AEO program manager.
- The validation team.

Description

- The re-validation process begins for one of the following reasons:
 - The “Key Account Manager” submits a request to the “AEO program manager” for re-validation of the commercial establishment, including reasons for the request.
 - A periodic re-validation is triggered based on the system settings calculated from the date of the last validation process, to ensure continued compliance with the AEO Program. In such cases, the system notifies the Key Account Manager to initiate the re-validation.
- The re-validation process is similar to the validation process with the following differences:
 - The validation team can decide not to share SAQ with the commercial establishment.
 - The validation team can define the scope of the re-validation by removing sections/questions from the SAQ.

- The validation team can decide not to share the assessment report with the commercial establishment.
 - The validation team may not require any meetings with the commercial establishment.
- Upon receiving the request from the "Key Account Manager", the "AEO Program Manager" can take one of the following actions:
 - Approve: in that case he will assigns a re-validation Team.
 - Return the request from further clarifications.
 - Reject the request along with the justification.

6.3.6.2.1. The Development of the SAQ

Actors

- The validation team member.
- The validation team lead.

Description

- Once the re-validation team are assigned, they will receive a notification to prepare the Self-Assessment Questionnaire (SAQ) using one of the following options:
 - Create a new SAQ:
 - the "Validation Team" selects a SAQ template to generate a SAQ following the same steps detailed in the "Validation Process". The only difference is that the system will allow them to define the scope of the re-validation by removing sections/questions if needed.
 - Use a previously-filled SAQ:
 - the "Validation Team" selects a past SAQ already completed by the establishment. If new questions were added since, those appear automatically, merging previously answered and new questions, which are then shared for

completion. the system will allow them to define the scope of the re-validation by removing sections/questions if needed.

- The newly added questions will be highlighted, and the old questions will be populated with the old answers so that the commercial establishment can modify them if needed.
- No SAQ required:
 - the “Validation Team” can decide not to share SAQ with the establishment, in that case they select a previous SAQ and may delete sections/questions to adjust scope; and they use it to proceed with all other phases from initial risk assessment, assessment plan till the decision regarding the AEO status is made.
- If the establishment’s supply-chain activities have changed, the Key Account Manager updates the commercial establishment file before generating the SAQ so the system can reflect the adjusted activities.
- After receiving the filled SAQ, the Team begins initial risk assessment for each final section and prepares the reassessment plan, attaching supporting documents—same process used for initial risk assessment and plan.
 - If the SAQ isn’t shared, the “Validation Team” begins initial risk assessment from the chosen previous SAQ.

6.3.6.2.2. Re-validation

Actors

- The validation team member.
- The validation team lead.

Description

- After preparing the reassessment file and the reassessment report, the re-validation follows the exact same process as the validation, with the following differences:

- When the Team finishes drafting the re-assessment report, it is assigned to the validation team lead, who can decide not to share it with the establishment, in that case he will do the following:

- Approve the report and enter the final recommendation including one of:
 - ❖ revoke of the AEO status.
 - ❖ Suspend of the AEO status
 - ❖ Continuing of the AEO status.

6.3.6.2.3. Post- Revalidation AEO Decision

Actors

- The AEO program manager.

Description

- Once the final recommendation is entered by the “Validation Team Lead”, the following goes to the “AEO Program Manager” for approval:
 - Reassessment file.
 - Reassessment report.
 - Compliance improvement plan if any.
- The “AEO Program Manager” reviews the above and decides whether to approve, reject, or return it for more clarifications.
- If the file is approved, the “AEO Program Manager” can take one of the following decisions:
 - Suspend AEO status: the establishment, Customs Departments, and General Department of Customs are notified, public notification on portal, and listing updated.
 - Revoke AEO status: the establishment, Customs Departments, and General Department of Customs are notified, public notification on portal, and listing updated.
 - Approve continuation: the establishment is notified of continued AEO status, and the Validation Team is notified of updating the control plan if needed.

6.3.6.2.4. Commercial Establishment Status After the Revalidation Process

- When revalidation is conducted for an Authorized Economic Operator (AEO), its status as an AEO remains unchanged until an official decision is issued to either suspend or revoke its status.

Status	Status Start	Status End	Description
AEO Status Suspended	When the AEO program manager decides to suspend AEO status	<ul style="list-style-type: none"> Three scenarios: <ul style="list-style-type: none"> AEO status revoked AEO Certified AEO Status Cancelled. 	AEO status was temporarily suspended.
AEO Status Revoked	When the AEO program manager decides to cancel the membership.	When commercial establishment submit new AEO authorization request and status change to "AEO Authorization Request Submitted".	AEO status was permanently terminated.
AEO Certified	When the AEO program manager approves continued membership.	<ul style="list-style-type: none"> AEO Status Suspended AEO Status Revoked AEO Status Cancelled. 	AEO status continuity confirmed.

Table 74— Commercial Establishment Status After the Revalidation Process

6.3.6.2.5. Statuses of the Revalidation Process

Status	Start Condition	End Condition	Description
SAQ Generated	When a validation team member starts creating the SAQ.	When the SAQ is ready to be shared with the commercial establishment, the status changes to "SAQ Ready for Sharing".	The SAQ is under preparation and review by the validation team member. This status will be recorded in the audit trail.
SAQ Ready for Sharing.	When the validation team has finished working on the SAQ	SAQ shared.	SAQ is ready for sharing with the establishment by the validation team lead. This

	and it's ready to be shared.		status will be recorded in the audit trail.
SAQ Shared	When the SAQ is shared with the commercial establishment.	When the commercial establishment submits the SAQ for review by the relevant customs department, and the status changes to "SAQ received".	The validation team lead shares the SAQ for the commercial establishment. This status will be recorded in the audit trail.
SAQ Received	When the establishment submits the SAQ for review.	<ul style="list-style-type: none"> ● When the customs department starts reviewing the SAQ, and the status changes to "SAQ Under Review". 	The customs department has received the filled SAQ from the commercial establishment.
SAQ Under Review	When a validation team member starts reviewing the SAQ. could be repeated multiple times during the lifecycle of the SAQ review process.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ SAQ approved. ○ SAQ returned. 	The SAQ is under review by a validation team. This status will be recorded in the audit trail.
SAQ Returned	When the SAQ is returned by the customs department to the commercial establishment. could be repeated multiple times during the lifecycle of the SAQ review process.	When the commercial establishment sends the updated SAQ, and the status changes to "SAQ received".	The SAQ was returned due to remarks on the answers. This status will be recorded in the audit trail.

SAQ Expired	When the configured SLA for the SAQ has been exceeded by the establishment, then the validation team lead will mark it as expired.	Final status	The SAQ response time from the establishment has exceeded the configured SLA. This status will be recorded in the audit trail.
SAQ Approved	When the SAQ is accepted by the relevant customs department.	When the validation team member starts reviewing the SAQ and the status changes to "Initial Risk Assessment and Reassessment Plan under Preparation".	The SAQ is accepted and ready for the next phases. This status will be recorded in the audit trail.
Initial Risk Assessment and Assessment Plan is Draft.	After accepted the SAQ, and started to conduct the initial risk assessment and prepare the reassessment plan by reviewing the leaf sections.	When all leaf sections of the SAQ are complete Status then changes to "Initial Risk Assessment and Assessment Plan Ready for Approval".	The validation team begins reviewing the SAQ to prepare the initial risk assessment and assessment plan. They can save it as draft to continue working later on. This status will be recorded in the audit trail.
Initial Risk Assessment and Reassessment Plan Ready for Approval	After all the leaf sections of the accepted SAQ have been completed for risk assessment and risk analysis have been conducted, therefore this step has been	Approval of Initial risk assessment and assessment plan. Status then changes to "Initial Risk Assessment and Assessment Plan Approved"	The validation team has completed their work on all the leaf sections, and the initial risk assessment and assessment plan is completed. This status will be recorded in the audit trail.

	completed and now it's ready for approval.		
Initial Risk Assessment and Reassessment Plan Approved	The validation team lead approved the initial risk assessment and the Reassessment plan.	When the validation team starts the site validation, and the status changes to "Commercial establishment on-site validation."	The validation team lead has approved of this step. This status will be recorded in the audit trail.
Commercial Establishment On-Site Revalidation	When the initial risk assessment and reassessment plan are approved by the validation team lead.	When the validation team confirms adding all findings, recommendations, and remaining risks to the assessment file, and the status changes to "Reassessment File Under Review."	Meetings with the commercial establishment are scheduled to verify compliance with AEO standards. This status will be recorded in the audit trail.
Reassessment File Ready for Approval	When the validation team confirms adding all findings, recommendations, and remaining risks to the assessment file	When the validation team lead approves the reassessment file and the status changes to "Reassessment File Approved".	All findings, recommendations and remaining risks are added for all leaf sections. This status will be recorded in the audit trail.
Reassessment File Approved	When the validation team lead approves the assessment file	When the validation team lead shared the draft reassessment report with the commercial establishment and the status changes to "Draft Reassessment Report Shared".	reassessment file approved by validation team lead. This status will be recorded in the audit trail.
Draft Reassessment Report Shared	When the draft reassessment report is shared with the	Three options: <ul style="list-style-type: none">● If comments are received from the commercial	The draft has been shared with the commercial establishment for review.

	commercial establishment.	<p>establishment, the draft report is returned, and the status changes to “Draft Reassessment Report Returned by the Commercial Establishment”.</p> <ul style="list-style-type: none"> ● If approved by the commercial establishment there are two options: <ul style="list-style-type: none"> ○ If corrective actions exist, status changes to “Compliance Improvement Plan Under Review”. ○ If no corrective actions exist, status changes to “Pending Recommendation Submission”. ● If the commercial establishment didn’t respond within the given period, the validation team lead can mark the reassessment report as expired and the workflow status changes to “Pending Recommendation Submission”. 	This status will be recorded in the audit trail.
Draft Reassessment	When comments are received from the	When the reassessment report is shared again with the	Commercial establishment returned the draft

Report Returned by the Commercial Establishment	commercial establishment and the report is returned to the relevant customs department.	commercial establishment, the status changes to "Draft Reassessment Report Shared".	reassessment report to the local customs department with remarks. This status will be recorded in the audit trail.
Compliance Improvement Plan Under Review	When the commercial establishment approves the reassessment report and shares the compliance improvement plan with the customs department.	<ul style="list-style-type: none"> ● Two options: <ul style="list-style-type: none"> ○ When the customs department returns the compliance plan, the status changes to "Compliance Improvement Plan Returned". ○ When the customs department approves the compliance plan, the status changes to "Compliance Improvement Plan Under Execution". 	The commercial establishment has submitted the compliance improvement plan. This status will be recorded in the audit trail.
Compliance Improvement Plan Returned	When the customs department returns the submitted compliance improvement plan due to required modifications.	When the commercial establishment resubmits the revised compliance improvement plan. And the status changes to "Compliance Improvement Plan Under Review".	The customs department reviewed the submitted compliance plan and returned it for adjustments. This status will be recorded in the audit trail.
Compliance Improvement Plan Under Execution	When the customs department approves the compliance improvement plan.	When the commercial establishment confirms execution of the compliance improvement plan, the status	The commercial establishment must execute the compliance improvement

		changes to "Compliance Plan Execution Confirmed."	plan. This status will be recorded in the audit trail.
Compliance Improvement Plan Implementation Confirmed	When the commercial establishment confirms it has implemented the compliance improvement plan.	<p>Two options:</p> <ul style="list-style-type: none"> ● If the validation team lead confirms the implementation of the compliance improvement plan, the status changes to "Pending Recommendation Submission". ● If the validation team lead determines that further implementation is required before final confirmation, the status changes to "Compliance Improvement Plan Under Execution". 	The commercial establishment confirmed the execution, pending customs administration verification. This status will be recorded in the audit trail.
Pending Recommendation Submission	<p>Two options:</p> <ul style="list-style-type: none"> ● When the commercial establishment approves the draft reassessment report and no corrective actions are required. ● When validation team lead confirms the implementation of 	When validation team lead adds the recommendation to the reassessment report and the status changes to "Decision on AEO Status Under Final Review"	Validation team lead adds the recommendation to either grant or deny AEO status to the commercial establishment. This status will be recorded in the audit trail.

	the compliance improvement plan.		
Decision on AEO Status Under Final Review	When the validation team's lead adds the recommendation to the reassessment report and confirms it	<ul style="list-style-type: none"> ● Three options: <ul style="list-style-type: none"> ○ The AEO program manager decide to suspend the AEO status and the status change to "AEO Status Suspended". ○ The AEO program manager decide to revoke granting the AEO status and the status change to "AEO Status revoked". ○ The AEO program manager decide the AEO status continuation and the status change to "AEO Certified". 	the commercial establishment under review by AEO program manager for final decision. This status will be recorded in the audit trail.
AEO Certified	When the AEO program manager approves the continuation of the AEO status.	<ul style="list-style-type: none"> ● Three options: <ul style="list-style-type: none"> ○ AEO status suspended. ○ AEO status revoked. ○ AEO Status Cancelled. 	Decision to continue the AEO status. This status will be recorded in the audit trail.
AEO Status Revoked	When the AEO program manager decides to revoke the AEO status.	Final status	Decision to continue the AEO status. This status will be recorded in the audit trail.

AEO Status Suspended	When the AEO program manager decides to suspend the AEO status.	<ul style="list-style-type: none"> ● Three options: <ul style="list-style-type: none"> ○ AEO Certified ○ AEO status revoked. ○ AEO Status Cancelled. 	Decision to continue the AEO status. This status will be recorded in the audit trail.
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Table 75— 5.3.6.2.5. Statuses of the Revalidation Process

6.3.7. Appeal Process

6.3.7.1. Reviewing an Appeal Request

Actors

- Appeals officer in the AEO program.

Description

- After the commercial establishment submits the appeal request, the request is forwarded to the relevant customs department
- The employee responsible for handling appeal requests reviews and studies the appeal request and ensures that it is complete:
 - If the request is incomplete, remarks are added to the request, and it is returned to the commercial establishment.
 - If the appeal request is complete, a recommendation to approve or reject the appeal is added, and the request is assigned to the “AEO Program Manager”.
- The “AEO Program Manager” reviews the appeal request and makes one of the following decisions:
 - Approve the appeal request, and the commercial establishment is notified of the approval. Accordingly, the status of the “AEO Authorization Request” or the “AEO status” is updated as follows:
 - In case the “AEO Authorization Request” was rejected, the system automatically accepts the “AEO Authorization Request”, and the “Senior administrator” will need to assign “Validation Team”.

- If the representative of the commercial establishment attends the hearing, the responsible employee documents the session minutes and shares them with the commercial establishment for review.
- When the hearing minutes are shared with the commercial establishment, if the establishment has additional arguments, they may submit them within a period that aligns with the AEO policy.
- After the deadline for adding arguments to the hearing minutes expires, the minutes are assigned to the “AEO Program Manager” to make a decision:
 - Either to approve the appeal request, and the commercial establishment is notified of the approval, and the status of the “AEO Authorization Request” or “AEO status” is updated same as mentioned above “in case of the acceptance of the appeal request”.
 - Or to uphold the rejection decision and the commercial establishment is notified of the rejection decision.
- If the commercial establishment rejects the upheld decision, it may escalate the case to the general department of customs, and the system notifies them of the escalation case.
 - The general department of customs will be able to see all details for the appeal request.

Business Rules:

#	Description	Source
BR.26	When scheduling meetings whether field visits, remote meetings, or a hearing session for an appeal request the commercial establishment shall be notified of a specific period in advance, as defined in the system settings. The system will not allow scheduling any meeting with a date earlier than the defined notification period.	Requirements gathering sessions

6.3.7.2. Statuses of the Appeal Request

Status	Status Start	Status End	Status Description

Appeal Request Received	When the commercial establishment submits an appeal request.	<ul style="list-style-type: none"> ● Two scenarios: <ul style="list-style-type: none"> ○ If there are comments on the request and it is returned to the commercial establishment, the status changes to "Appeal Request Returned". ○ If the request is complete and assigned to the AEO Program Manager, the status changes to "Appeal Under Review". 	The commercial establishment has submitted an appeal request. This status will be recorded in the audit trail.
Appeal Request Returned	When the appeal request is returned due to comments.	<ul style="list-style-type: none"> ● Two cases <ul style="list-style-type: none"> ○ When the commercial establishment resubmits the request after addressing the comments, status returns to "Appeal Request Received". ● When the commercial establishment exceeds the agreed SAL the appeal request will be closed automatically and the status changes to "Appeal closed automatically" 	The request was returned due to missing or incorrect information. This status will be recorded in the audit trail.

Appeal closed automatically	When the commercial establishment exceeds the agreed SLA.	<ul style="list-style-type: none"> ● Final status. 	The appeal closed automatically by the system.
Appeal Under Review	When the request is assigned to the AEO program manager.	<ul style="list-style-type: none"> ● Two scenarios: <ul style="list-style-type: none"> ○ If the request is approved, status changes to "Appeal Approved". ○ If the request is rejected, status changes to "Appeal Rejected". 	The request is under review by the AEO program manager. This status will be recorded in the audit trail.
Appeal Approved	<ul style="list-style-type: none"> ● When the appeal is approved by the AEO Program Manager. ● When the general customs department decides to approve the appeal request. 	Final status.	The appeal request has been approved. This status will be recorded in the audit trail.
Appeal Rejected	<ul style="list-style-type: none"> ● When the appeal is rejected by the AEO Program Manager in the following cases <ul style="list-style-type: none"> ○ After reviewing the newly submitted appeal request. ○ After the hearing session. 	Depends on the stage: <ul style="list-style-type: none"> ● If the appeal is rejected After reviewing the newly submitted appeal request <ul style="list-style-type: none"> ○ If the commercial establishment takes no action, the status remains "Appeal Rejected". ○ If they request a hearing, status changes 	The appeal was rejected. This status will be recorded in the audit trail.

	<ul style="list-style-type: none"> ● When the appeal is rejected by the federal customs After the escalation. 	<p>to "Hearing Session Requested".</p> <ul style="list-style-type: none"> ● If the appeal is rejected after the hearing session. <ul style="list-style-type: none"> ○ If the commercial establishment takes no action, the status remains "Appeal Rejected". ○ if the commercial establishment escalates to the general department of customs. The status changes to "Escalated to General Department of Customs". 	
Appeal Rejected Automatically	<ul style="list-style-type: none"> ● When the hearing session is conducted and the commercial establishment representative didn't show. 	Final status.	the hearing session is conducted and the commercial establishment representative didn't show.
Hearing Session Requested	When the commercial establishment requests a hearing session.	When the hearing session is scheduled by the customs department, the status changes to "Hearing session scheduled".	A hearing has been requested. This status will be recorded in the audit trail.
Hearing Scheduled	When a hearing date is scheduled.	After the hearing, when the minutes are reviewed and sent to the AEO program manager,	Hearing session has been scheduled. This status will be recorded in the audit trail.

		status changes to "Appeal under review".	
Hearing Session MOM Shared	When the hearing session has been completed by both parties and the MOM of the session has been shared.	<ul style="list-style-type: none"> ● Multiple options based on the AEO program manager's decision: <ul style="list-style-type: none"> ○ Appeal rejected ○ Appeal approved. 	The hearing session has been attended by the establishment and the relevant local customs department employee. This status will be recorded in the audit trail.
Escalated to General Department of Customs	When the commercial establishment escalates to the general department of customs.	<ul style="list-style-type: none"> ● Two scenarios: <ul style="list-style-type: none"> ○ "Appeal Approved". ○ "Appeal Rejected" 	The appeal has been escalated to the general department of customs. This status will be recorded in the audit trail.

Table 76—Statuses

6.3.7.3. Notifications

Notification Event	Trigger	Recipient	Channels
Appeal Request Received	When the commercial establishment submits an appeal request.	<ul style="list-style-type: none"> ● Appeal officer. ● AEO program manager 	<ul style="list-style-type: none"> ● Email ● Local customs AEO management portal
Hearing Session Requested	When the establishment objects to the rejection and requests a hearing.	<ul style="list-style-type: none"> ● Appeal officer . ● AEO program manager 	<ul style="list-style-type: none"> ● Email ● Local customs AEO management portal
Additional Arguments Submitted	When the commercial establishment adds additional	<ul style="list-style-type: none"> ● Appeal officer . ● AEO Program Manager 	<ul style="list-style-type: none"> ● Email ● Local Customs AEO management portal

	arguments to support the appeal request.		
Appeal Request Decision	When the appeal is assigned to the AEO program manager for decision-making.	<ul style="list-style-type: none"> ● AEO program manager 	<ul style="list-style-type: none"> ● Email ● Local customs AEO management portal
Escalation to General Department of Customs	When the commercial establishment objects to the upheld decision following the hearing.	<ul style="list-style-type: none"> ● Appeal officer. ● AEO program manager ● Federal administrator. 	<ul style="list-style-type: none"> ● Email ● Local customs AEO management portal ● Federal customs AEO management portal.
Appeal closed automatically	When the commercial establishment exceeds the agreed SLA to reply to a returned appeal request.	<ul style="list-style-type: none"> ● Appeal officer. ● AEO program manager 	<ul style="list-style-type: none"> ● Email ● Local customs AEO management portal
Appeal Rejected Automatically	When the hearing session is conducted and the commercial establishment representative didn't show.	<ul style="list-style-type: none"> ● Appeal officer. ● AEO program manager 	<ul style="list-style-type: none"> ● Email ● Local customs AEO management portal

Table 77 – Notifications

6.3.8. Communication with the Commercial Establishment

Actors

- The administrator in the relevant customs department.
- The validation team.
- The key account managers team.

Description

- After the commercial establishment's account creation request is approved, the system allows conversations between the commercial establishment and the local customs, the communication can be initiated by the establishment or by the local customs.
- The direction of the commercial establishment's messages varies depending on the phase it is in, as follows:
 - During and after the "AEO Authorization Request" phase: messages from the commercial establishment are directed to the administrator in the relevant customs, and this continues until the commercial establishment moves to the self-assessment questionnaire phase.
 - During and after the self-assessment questionnaire phase: messages from the commercial establishment are directed to the validation team and continue until reaching the certificate issuance phase.
 - During the certificate issuance phase: messages from the commercial establishment are directed to the Key Account Manager, and after this stage, communication is limited to the Key Account Manager only.
- When a commercial establishment sends a message, the customs employee receives a notification via email and the local customs AEO management portal upon receiving any new reply from the commercial establishment.
- Each conversation is assigned a status that indicates which party is expected to take the next action. When a commercial establishment initiates a conversation, the status is set to "Waiting for Customs Response." Conversely, when Customs initiates a conversation, the status is marked as "Establishment Action Required." Customs manage the conversation status and have the authority to close it once they determine the matter has been resolved.
- All correspondence between the commercial establishment and the customs department is saved in the system, even when the communication transitions from one phase to another. For example, the Key Account Manager can view messages that were previously exchanged between the commercial establishment and the administrator.

- Upon entering the “Conversations” section, all conversations with commercial establishments appear, with the most recent messages displayed at the top of the list.
- The customs employee can open the conversation, write a reply, and attach documents if necessary.
- the customs employee believes the conversation has concluded, they can update the conversation status to “Closed.”
- Further details for the data refer to data dictionary” [Communication Data](#)”.

6.3.8.1. Notifications

Notification Event	Trigger	Recipient	Channels
Receive a New Message	When a user at a commercial establishment submits a new message.	<ul style="list-style-type: none"> Depends on the phase: <ul style="list-style-type: none"> During the “AEO Authorization Request” phase, administrator in the relevant customs. During the self-assessment questionnaire phase, the validation team and continue. During the certificate issuance phase, the Key Account Manager, and after this stage, communication is limited to the Key Account Manager only. 	<ul style="list-style-type: none"> Email Local Customs AEO Management Portal

6.3.9. Commercial Establishments Profile

Actors

- All users from the relevant local customs.
- All users from other local customs.
- All users from the General Department of Customs.

Description

- The system will display a list of all commercial establishments that are either in the process of becoming AEO or are officially recognized as AEO including all AEO statuses (active, revoked, suspended) in accordance with the structure defined in the data dictionary titled "[National Commercial Establishment Profile Data](#)".
- Both general department of customs and local customs authorities will have access to a centralized repository containing records of all commercial establishments. However, the level of access and permitted actions vary depending on the type of customs authority:
 - View Permissions:
 - For details on access levels and visibility of each data element, please refer to the data dictionary titled "[National Commercial Establishment Profile Data](#)".
 - Actions Permissions:
 - General department of customs: Authorized to upload documents to the establishment's profile.
 - Local Customs: Authorized to upload documents and report any violations observed after the AEO status has been granted.
 - Relevant Customs: Authorized to update any editable fields within the establishment's profile, upload documents, report any violations and manage the commercial establishment users.
 - Relevant customs department would be able to manage the contact person by setting the contact person as inactive or active or remove him.

6.3.10. Commercial Establishment Documents Management

Actors

- All users from the relevant local customs.
- All users from other local customs.

- All users from the General Department of Customs.

Description

- All establishment-related documents, whether submitted by the establishment or uploaded by customs are accessible on this screen.
- The system will automatically save any document uploaded by the customs or the established during the AEO lifecycle in this folder, additionally, it will allow customs users to upload new documents.
- The documents will be categorized into the following folders:
 - AEO Authorization Request Folder
 - SAQ Folder
 - Validation Folder
 - Certification(s) Folder
 - Revalidation Folder
 - Monitoring and Control Plan Folder
 - Communication Folder
 - Appeal Folder
- Users in customs will have different permissions on these documents.
 - Local customs can do the following:
 - View documents uploaded by their customs only.
 - Upload/ delete documents under “Violations” folder.
 - Federal and Relevant customs can do the following:
 - View all documents.
 - Upload/delete/ move documents under each folder.

- The user can only delete/move documents which are uploaded by him, i.e. system will forbid deleting/moving documents that are auto captured by the system during the AEO lifecycle or uploaded by other users.
- Further details regarding the data refer to the data dictionary "[Commercial Establishment Document Management](#)".

6.3.10.1. Notifications

Notification Event	Trigger	Recipient	Channels
Commercial Establishment Document Repository Update	When a user adds, deletes or transfers a document from the commercial establishment documents.	<ul style="list-style-type: none"> ● Depends on the phase: <ul style="list-style-type: none"> ○ Administrator/ senior administrator during the "AEO Authorization Request" ○ Validation team during the validation process. ○ Validation team, KAM, federal administrator during the revalidation process. ○ KAM, federal administrator during the monitoring process. 	<ul style="list-style-type: none"> ● Email ● Local Customs AEO Management Portal ● General Customs AEO Management Portal

6.3.11. Key Performance Indicators (KPI)

Actors

- All users from the local customs.

Description

- The system will allow the local customs departments to add the following KPIs:
 - Inspection rate.

- Release time.
 - MRA utilization rate.
- The local customs department employee will access the system, and they will be able to see and edit fields as shown in the data dictionary "[KPI Data](#)"
- The system will allow local customs departments to enter KPIs on a quarterly basis.
 - The General Department of Customs will configure the system settings to specify a particular day in the first month of each quarter to receive the KPIs from the local customs
 - The local customs will be reminded accordingly.
 - On the first day of the upcoming quarter, the system will automatically enable the KPI input fields for all local customs departments.
 - Before that the KPI input fields will be disabled.
 - Once all the quarter data are filled in, the local customs can submit the form to the general department of customs.
 - After submission, the KPI data will become locked, and local customs departments will no longer be able to make any edits.
- The General Department of Customs may review the submitted KPIs and return them to the respective local customs department with remarks for further review or correction.
 - Upon receiving the returned KPIs the local customs department will be allowed to edit and update the KPI data as necessary.
 - Once it is confirmed by the general department of customs the local customs will not be able to edit it.

6.3.12. View Mutual Recognition Agreement

Actors

- All users from the local customs.

Description

- The system will allow local customs to view list of MRAs.
- Please refer to "[Adding MRA Data](#)" in the data dictionary for details.

6.3.12.1. Notifications

Notification Event	Trigger	Recipient	Channels
A New MRA	New MRA agreement has been created by the federal administrator in the federal customs portal.	<ul style="list-style-type: none"> All users in the local customs. Senior federal administrator. 	<ul style="list-style-type: none"> Email Local Customs AEO Management Portal General Customs AEO Management Portal
Updated MR	When the MRA agreement has been updated by the federal administrator in the federal customs department.	<ul style="list-style-type: none"> All users in the local customs. Senior federal administrator 	<ul style="list-style-type: none"> Email Local Customs AEO Management Portal General Customs

6.3.13. View AEOs of MRA Countries

Actors

- All users from the local customs

Description

- The system will allow the Local Customs to view list of MRAs countries AEOs.
- Please refer to "[GCC and International AEOs Data](#)" in the data dictionary for details.

6.3.13.1. Notifications

Notification Event	Trigger	Recipient	Channels
AEO Updated into the MRA	The federal administrator has updated the list of AEOs into the MRA inside the federal customs portal.	<ul style="list-style-type: none"> All users in the local customs. Senior federal administrator 	<ul style="list-style-type: none"> Email Local Customs AEO Management Portal General Customs AEO Management Portal

6.3.14. View MRA Benefits and Benefits Groups

Actors

- All users from the local customs.

Description

- The system will allow the Local Customs to view and filter MRA benefits and benefits groups.
- Please refer to "[MRAs Benefits Data](#)" and "[MRAS Benefits Groups Data](#)" in the data dictionary for details.

6.3.14.1. Notifications

Notification Event	Trigger	Recipient	Channels
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New MRA Benefits Group has been created	When the federal administrator created a new MRA benefits group into the federal customs portal.	<ul style="list-style-type: none"> ● All users in the local customs. ● Senior federal administrator 	<ul style="list-style-type: none"> ● Email ● Local Customs AEO Management Portal ● General Customs AEO Management Portal
MRA Benefits Group has been Updated	When the federal administrator updated an MRA benefits group into the federal customs portal.	<ul style="list-style-type: none"> ● All users in the local customs. ● Senior federal administrator 	<ul style="list-style-type: none"> ● Email ● Local Customs AEO Management Portal ● General Customs AEO Management Portal
New MRA Benefits have been added	When the federal administrator has added a new MRA benefit into the benefits group inside the federal customs portal.	<ul style="list-style-type: none"> ● All users in the local customs. ● Senior federal administrator 	<ul style="list-style-type: none"> ● Email ● Local Customs AEO Management Portal ● General Customs AEO

			Management Portal
MRA Benefits have been updated	When the federal administrator has updated MRA benefit into the benefits group inside the federal customs portal.	<ul style="list-style-type: none"> All users in the local customs. Senior federal administrator 	<ul style="list-style-type: none"> Email Local Customs AEO Management Portal General Customs AEO Management Portal

6.3.15. View National and GCC Benefits and Benefits Groups

Actors

- All users from the local customs.

Description

- The system will allow the Local Customs to view national and GCC benefits and benefits groups.
- Please refer to "[National and GCC Benefits Group Data](#)" and "[National and GCC Benefits Data](#)" in the data dictionary for details.

6.3.15.1. Notifications

Notification Event	Trigger	Recipient	Channels
New National and GCC Benefits have been added	When the federal administrator has added a new National and GCC benefit into	<ul style="list-style-type: none"> All users in the local customs. Senior federal administrator 	<ul style="list-style-type: none"> Email Local Customs AEO

	the benefits group inside the federal customs portal.		Management Portal <ul style="list-style-type: none"> ● General Customs AEO Management Portal
New National and GCC Benefits have been added	When the federal administrator has added a new National and GCC benefit into the benefits group inside the federal customs portal.	<ul style="list-style-type: none"> ● All users in the local customs. ● Senior federal administrator 	<ul style="list-style-type: none"> ● Email ● Local Customs AEO Management Portal ● General Customs AEO Management Portal

6.3.16. System Management

6.3.16.1. Managing Validation Teams

Actors

- The senior administrator in the relevant customs department.

Description

- The “Senior Administrator” in the relevant customs department is responsible for creating “Validation Team”.
- In the screen where the system displays a list of all previously created validation teams.

- The “Senior Administrator” can deactivate any existing “Validation Team”. A deactivated team will no longer appear in the team selection list when assigning a “Validation Team” to an accepted “AEO Authorization Request”.
 - The “Validation Team” can’t be deactivated if they have open tasks.
- The “Senior Administrator” can also edit the members of an existing validation team.
- The “Senior Administrator” can also delete a team. Once deleted, the team will no longer appear in the “Validation Team” list, and the “Senior Administrator” will not be able to assign it to any accepted “AEO Authorization Request”.
 - The “Validation Team” can’t be deactivated if they have open tasks.
- The “Senior Administrator” can also create new team.
- To create a new “Validation Team”, the “Senior Administrator” clicks the “Create Team” button. The system displays a form where the “Senior Administrator” must enter the following information:
 - Validation Team Name
 - The system displays a list of eligible employees with the role of “Validation Team Members”.
 - Validation Team Lead
 - The system displays all members selected for the team, and the “Senior Administrator” can select only one member to be assigned as the team lead.
 - The validation team should have (2) members at least including the validation team lead.
 - More details found in the data dictionary “[Creating Validation Team Data](#)”.

Business Rules

#	Description	Source

BR.25	The validation team consists of at least two members: a team lead and a team member.	Requirements gathering sessions
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6.3.16.2. Managing Key Account Managers Teams

Actors

- The senior administrator in the relevant customs department.

Description

- The “Senior Administrator” can create “Key Account Managers Team”. To do so, they must enter the required information as specified in the data dictionary “[Creating Key Account Managers Team](#)”.
- All the other details mentioned in “Managing Validation Teams” are applicable here.

6.4. Federal AEO Management Portal

6.4.1. Manage My Profile

Actors

- All users from the general department of customs.

Description

- System will enable users to view their personal profile information and set their preferred communication language. Profile data is view-only and maintained centrally by the federal system administrator.
- User can only update the preferred communication language.
- For more details about information available in “My Profile” please refer to “[Local and Federal Customs Users Data](#)” section of the data dictionary.

6.4.2. Dashboard

Actors

- All users from the general department of customs.

Description

- The federal AEO management portal will include a centralized dashboard accessible to the federal department of customs. This dashboard provides a real-time overview of AEO-related activities across all local customs departments.
- The dashboard will display the following key data
 - Account creation requests along with the request data and the current status of each request.
 - AEO authorization requests along with the request data and current status of each request including:
 - local customs departments that have not yet shared violations and branch data with the relevant customs department.
 - Ability for the Federal Department to send reminders to those local customs departments.
 - SAQ phase
 - SAQs that are shared with commercial establishments to be filled in.
 - SAQs that are shared by the commercial establishments to be reviewed.
 - Validation
 - Access to assessment reports for each establishment whether it is drafted or approved.
 - Final decision status:
 - ❖ AEO Status Granted
 - ❖ AEO Status Rejected
 - Access to AEO certificates.
 - Revalidation: view establishments in the revalidation process along with revalidation assessment reports whether it is draft or approved, if applicable.

- Appeal requests: view the details of appeal requests along with the request data and the current status of each request.

6.4.3. Issuing AEO Certificate

Actors

- The federal administrator.

Description

- Once “AEO Program Manager” of the local customs approves granting AEO status, the system automatically sends a request to the General Department of Customs to issue the AEO certificate.
- Upon receiving the request, the federal administrator will have access to the following information:
 - Certificate details as shown in the data dictionary “[Authorized Economic Operator \(AEO\) Certificate Data](#)”.
 - The original AEO authorization request.
 - The final assessment report accepted by the commercial establishment.
 - Additional details about the commercial establishment, accessible through the Commercial Establishment Profile.
- Once the federal administrator confirms issuance, the system performs the following actions:
 - Generates the AEO certificate based on the data defined in the data dictionary “[AEO Certification Data](#).” And books the “AEO certificate serial no”.
 - If the “AEO Authorization Request” contains more than one trade license, a different “AEO certificate serial no” is generated for each trade license.
 - Generates a PDF version of the certificate.
 - Notifies the commercial establishment that the certificate(s) have been issued.
 - Sends a notification to all local customs departments indicating that a new establishment has been granted AEO status.

- Publishes an announcement in the AEO portal about the newly certified AEO and updates the list of certified AEOs accordingly.

6.4.4. Appeal Process

6.4.4.1. Reviewing an Appeal Request

Actors

- Federal Administrator.
- Senior Federal Administrator.

Description

- If the appeal request is rejected after the hearing session, the commercial establishment can escalate it to the general department of customs.
- The federal administrator reviews and studies the appeal request and makes a recommendation to approve or reject the appeal
- Then the appeal is assigned to the senior federal administrator who reviews the appeal request and makes one of the following decisions:

- Approve the appeal request, and the commercial establishment is notified of the approval.

Accordingly, the status of the “AEO Authorization Request” or the “AEO status” is updated as follows:

- In case the “AEO Authorization Request” was rejected, the system automatically accepts the “AEO Authorization Request”, and the “Senior administrator” will need to assign “Validation Team”.
- In case the granting AEO status was previously rejected, the system automatically approves the AEO status for the commercial establishment, and the “AEO Program Manager” assigns the “Key Account Managers Team”.
- In case the appeal request was submitted due to suspension or cancellation, the system automatically updates the commercial establishment's status to continue its status as an AEO.

- Return the appeal request to the employee responsible, and the AEO program manager adds remarks.
- Reject the appeal request, the “AEO Program Manager” adds the reason for rejection and the commercial establishment is notified of the rejection. The general customs department decision is final.

6.4.4.2. Statuses of the Appeal Request

Status	Status Start	Status End	Status Description
Escalated to General Department of Customs	When the commercial establishment escalates to the general department of customs.	<ul style="list-style-type: none"> ● When the federal administrator adds a recommendation to approve or reject the request, then the status changes to “Appeal Under Review” 	The appeal has been escalated to the general department of customs. This status will be recorded in the audit trail.
Appeal Under Review	When the request is assigned to the senior federal administrator.	<ul style="list-style-type: none"> ● Two scenarios: <ul style="list-style-type: none"> ○ “Appeal Returned to Federal Administrator” ○ “Appeal Approved”. ○ “Appeal Rejected” 	The request is under review by the senior federal administrator. This status will be recorded in the audit trail.
Appeal Returned to Federal Administrator	When senior federal administrator returns the appeal request to the federal administrator for remarks.	<ul style="list-style-type: none"> ● When the federal administrator adds the remarks , then the status changes to “Appeal Under Review” 	The request was returned due to missing or incorrect information. This status will be recorded in the audit trail.
Appeal Approved	<ul style="list-style-type: none"> ● When the appeal is approved by the AEO Program Manager. 	Final status.	The appeal request has been approved. This status will be recorded in the audit trail.

	<ul style="list-style-type: none"> When the general customs department decides to approve the appeal request. 		
<ul style="list-style-type: none"> Appeal Rejected 	<ul style="list-style-type: none"> When the appeal is rejected by the senior federal customs After the escalation. 	<ul style="list-style-type: none"> Final 	<ul style="list-style-type: none"> The appeal was rejected. This status will be recorded in the audit trail.

6.4.4.3. Notifications

Notification Event	Trigger	Recipient	Channels
Escalation to General Department of Customs	When the commercial establishment objects to the upheld decision following the hearing.	<ul style="list-style-type: none"> Federal administrator. 	<ul style="list-style-type: none"> Email Federal customs AEO management portal.
Appeal Returned to Federal Administrator	When senior federal administrator returns the appeal request to the federal administrator for remarks.	<ul style="list-style-type: none"> Federal administrator 	<ul style="list-style-type: none"> Email Federal customs AEO management portal.
Appeal Under Review	When the request is assigned to the senior federal administrator.	<ul style="list-style-type: none"> Senior federal administrator 	<ul style="list-style-type: none"> Email Federal customs AEO management portal.

6.4.5. Mutual Recognition Agreement (MRA)

6.4.5.1. Configuration of MRA Benefits and Benefits Groups

Actors

- The federal administrator.

Description

- The federal administrator will be able add/modify MRA benefits by filling in the details provided in the data dictionary "[MRAs Benefits Data](#)".
- The federal administrator will be able to add/modify MRA benefit groups by filling in the details provided in the data dictionary "[MRA Benefits Groups Data](#)".
- Once the benefits groups are configured, the federal administrator will be able to assign MRA benefits to the MRA benefits group.
 - The MRA benefit can be added to more than one group.
- The federal administrator will be able to select the appropriate benefits group from these predefined groups and assign it to MRA agreement.
 - Only one MRA benefits group can be assigned to the MRA agreement.
- The federal administrator will be able to delete a benefit group if it is not assigned to any MRA.
- The federal administrator will be able to delete MRA benefit, in that case it will be deleted from all assigned MRA benefits groups and accordingly from any MRA assigned to these groups.

6.4.5.2. Adding a Mutual Recognition Agreement

Actors

- The federal administrator.

Description

- The General Department of Customs is responsible for adding Mutual Recognition Agreements.

- To add MRA the federal administrator needs to enter the agreement data, as outlined in the data dictionary ["Adding MRA Data"](#).
 - While entering the MRA data, the federal administrator encounters the “Add Benefits” option. Upon clicking this option, the system shall redirect the administrator to a screen displaying all available MRA groups. The federal administrator can select one group only.
 - The benefits provided to both parties must be completely identical, with no difference in privileges granted to either party under the agreement.
 - The system automatically assigns these benefits to Authorized Economic Operators (AEOs) whether in the agreement member country or in the United Arab Emirates.
- The General Department of Customs reserves the right to modify or delete MRA data, and such changes will be automatically applied to all AEOs in both the signed country and the UAE.
 - To perform this action, the federal administrator shall view the list of all MRA agreements. By clicking the “Edit” icon next to a specific agreement, they can modify any data related to that agreement.
 - All local customs will be notified of any changes on the MRAs.

6.4.5.3. Adding AEOs from MRA Countries

Actors

- The federal administrator.

Description

- The General Department of Customs is responsible for feeding the system with AEOs from MRAs countries.
- The federal administrator will see the list of all defined MRAs along with AEOs related to each one of them.
- The system will show:
 - List with the latest update of all defined AEOs from the MRA country if any excel sheet uploaded before.
 - Field to upload the header of the AEOs excel sheet.
 - Field to upload the updated excel sheet containing the list of AEOs.

- List of all excel sheets uploaded if any.
- Before upload the Excel file containing Authorized Economic Operators (AEOs), the federal administrator must follow the steps below:
 - Upload an Excel file that contains only the headers (i.e., column names) of the AEO datasheet.
 - The system will:
 - Parse the headers.
 - Display them on-screen for review by the federal administrator.
 - On the same screen, the system will present a list of all predefined fields that exist in the database schema for the GCC and International MRA countries.
 - The federal administrator will map each excel column header to its corresponding predefined field in the system.
 - More information about the predefined data found in the data dictionary "[GCC and International AEOs Data](#)"
 - If the mapping is not done, user can't upload the list of AEOs.
 - The following columns must be present in any uploaded Excel sheet:
 - Identification code.
 - Name of the commercial establishment (English).
 - Address.
 - Authorization date.
 - The system will display an error if any required column is missing or if unrecognized fields are detected.
- The system will process the uploaded excel as the following:
 - Assign the agreed-upon benefits defined in the MRA agreement to the newly imported AEOs.

- If the Excel sheet does not contain any indicator specifying whether the AEOs are active or not, the system will assume that all records represent active AEOs.
 - e.g. the excel shared by China, they share the only most updated active AEO.
 - ❖ For such a case If the commercial establishment appear in the new excel sheet it will has "Active" as status.
- The system will compare the newly uploaded Excel sheet with the previous one. Any records that are not present in the new sheet will have their status updated to "Inactive" and will be listed in the removed records section of the report.
- For the activities in the supply chain
 - If the Excel sheet contains separate columns for each supply chain activity, each applicable activity must be marked with the value "1", which the system will interpret as "Yes", while empty or unmarked fields will be interpreted as "No".
 - If all supply chain activities are merged into a single field, each activity must exactly match the spelling used in the database. This allows the system to compare and automatically insert "Yes" or "No" in the respective activity columns. Any activity not recognized by the system will be copied as-is into the "Other Activities" field.
 - If the Excel sheet contains an expiration field (e.g., as provided by India), the system will automatically update the status to 'Inactive' once the expiration date is reached.
- After processing of the AEOs file the system will do the following:
 - Generate an "Import Validation Report" showing:
 - The records were uploaded successfully.
 - The records that failed to upload.

- Generate a “Summary Report” to identify and update changes:
 - Newly added records
 - Removed records
 - Records with changes in any attributes
 - The user can share this report with the local customs through the system.

6.4.5.4. Sharing National AEOs with the MRA Partner Country

Actors

- The federal administrator.

Description

- The system will allow the federal administrator to download an excel containing list of national AEOs
- The system will allow the federal administrator to share list of national AEOs with MRAs counties.
 - A download link to view and verify the contents of the Excel file before sending.
 - The Excel file downloaded from the system will contain the same fields as defined in the data dictionary “[Share National AEO's with MRA Countries Data](#)”.
 - The federal administrator will have the option to select which data fields to be included in the extracted excel file based on each country.
 - The federal administrator can modify the email body, update the recipient's email address, if necessary, upload the revised file (if applicable), and click the “Send” button to initiate the sharing process with the MRA partner country.

6.4.6. Managing National and GCC Benefit Groups

Actors

- The federal administrator.

Description

- The General Department of Customs is responsible for managing (add, update, delete) benefit groups, which include national and Gulf benefits.
- To define a new benefit group, the Federal administrator inputs the group data as outlined in "[National and GCC Benefits Group Data](#)".
- The user shall define the default group so that it will be automatically assigned to the AEO upon certificate issuance, and KAM can assign another group to the newly certified AEO.

6.4.7. Managing National and GCC Benefits

Actors

- The federal administrator.

Description

- The General Department of Customs is responsible for managing benefits.
- When adding a new benefit, the federal administrator enters its data as outlined in the data dictionary "[National and GCC Benefits Data](#)".
 - The benefit can be assigned to more than one "Benefits Group".
- Certain benefits may be disabled/re-enabled, and this action will automatically disable/enable those benefits in all groups that contains it as well as for all AEOs within the UAE.
 - In this case all national AEOs will be notified through email and AEO portal.

6.4.8. Viewing Key Performance Indicators (KPI)

Actors

- All users from the general department of customs.

Description

- The seven local customs departments submit their KPI data to the General Department of Customs, which can then access, and review all submitted data.
- The General Department of Customs will have access to a report containing the following indicators:

- Release time
 - Inspection rate
 - Utilization of MRA
- The general department of customs can view statistical data submitted by each local customs department
 - The general department of customs can approve or return the submitted KPIs to the local customs department, allowing them to modify the data as needed.
 - The same page where the data viewed includes filtering options by
 - Month
 - Year
 - Local customs department
 - Users from the general department of customs can download the entire dataset as an excel file with the following features, this will be detailed during the “Reports and Dashboard” phase of the project.
- For further details, refer to the Data Dictionary” [KPI Data](#)”.

6.4.9. Viewing the Communications Between the Commercial Establishment and Local Customs Department

Actors

- The federal administrator Description

Description

- System will allow the general department of customs to view the communication messages between commercial establishments and local customs for governance and monitoring purposes.

6.4.10. System Management

6.4.10.1. Managing The Questions Bank

Actors

- The federal administrator.

Description

- The Questions Bank is a centralized repository of standardized questions managed by the general department of customs. It is used to create and maintain the content of the Self-Assessment Questionnaire (SAQ).
 - The responsibility for managing and modifying the Question Bank lies with the federal administrator.
 - The process of managing the Question Bank includes creating and updating its standardized content by performing one of the following actions:
 - Adding new questions or groups.
 - Modifying existing questions or groups.
 - Deleting questions or groups from the Question Bank.
 - The structure of the Question Bank is organized into groups and subgroups, which are used to categorize and organize questions logically.
 - Groups can be divided into subgroups, which may be further subdivided into additional hierarchical levels as needed. Each group or subgroup may contain nested subgroups.
 - A group or subgroup is marked as a “leaf group” when it represents the lowest level in the hierarchy. Only leaf groups are eligible to have questions assigned to them.
 - To add groups and questions to the questions bank.
 - The system displays all top-level groups (i.e., highest-level sibling groups), if any exist.
 - The federal administrator can add another group to the same level by clicking on “Add Group”, for additional details, refer to the data dictionary: “[Question Bank Group Data](#)”.
 - When the federal administrator clicks on a group, the system displays all subgroups under the selected group. Additionally, an “Add Group” button is shown, enabling the administrator to add a new subgroup at the same hierarchical level as the displayed subgroups.

- Groups and subgroups at the same hierarchical level can be of mixed types; some may be marked as leaf groups, while others may contain additional subgroups under them
- The federal administrator continues adding subgroups until a leaf group is reached.
 - At the leaf group level, the “Add Group” button is replaced with an “Add Question” button.
- By clicking the “Add Question” button, the federal administrator shall be required to fill out the question attributes as detailed in the data dictionary: [Question Data in the Question Bank](#)
- User can define “Conditional Questions”: These are questions that appear only if a specific condition is met based on the answer to a previous question. In this case, the federal administrator defines the primary (trigger) question, and the conditional question is displayed based on a specific answer.
 - Once the federal administrator selects the “Conditional Question” option, the system displays all Yes/No, Single Choice questions and multiple choices questions within the same leaf group of the conditional question.
 - The federal administrator must then select the answer option(s) of the primary question that will serve as the condition to trigger the display of the conditional question.
 - The system shall support multiple conditional questions linked to the same answer option(s) of a primary question.
- To modify a group, sub-group, or leaf group.
 - If the federal administrator changes the attribute that defines whether a group is a leaf group or not, this change will result in the deletion of all associated content under that group or leaf group after approval by the senior federal administrator.
 - If a group is changed to a leaf group, then all existing sub-groups and leaf groups under it will be deleted from the Question Bank.

- If a leaf group is changed to a regular group, then all questions under that leaf group will be deleted.
- Delete groups or questions from the Question Bank.
 - Once the deletion is approved by the senior federal administrator, the selected group or question is permanently removed from the Question Bank.
 - When a group is deleted, all associated sub-groups, leaf groups, and questions under those leaf groups will also be deleted.
- Any changes to the question bank will not have impact on the published SAQ template neither the SAQ shared with the commercial establishments.
- Any changes to the question bank will not affect the published/ draft/ under review SAQ templates neither the SAQ shared with the commercial establishments.

6.4.10.2. Reviewing the Questions Bank

Actors

- The senior federal administrator

Description

- After the federal administrator makes the necessary changes whether add, edit or delete group(s) or question(s), notification will be sent to the senior federal administrator
- The senior federal administrator should navigate to the question bank management section, where a list of all pending changes requiring approval will be displayed, accompanied by a visual indicator.
- In case of add/delete/ modify group:
 - The added/deleted/ modified group will be highlighted and next to it there will be the following actions that the senior federal administrator can take:
 - Accept.
 - Reject.

- Return: The senior federal administrator can add remarks on individual questions or on the group itself. After adding all necessary remarks, they can return the change request to the federal administrator for corrections.
- In the case of add/delete/ modify a question, when the senior federal administrator accesses the main groups page, the group under which the question was added will be highlighted, but no actions will appear next to it.
 - The senior federal administrator must navigate into the highlighted group until they reach the added question. All subgroups and leaf groups containing the added question will also be highlighted to guide navigation.
 - Next to the question added there are actions like the mentioned above.
 - In case of return, the senior federal administrator can add remarks to the added questions.
- Upon approval of the changes by the Senior Federal Administrator, the system will update the question bank accordingly. The updated question bank will then be accessible to the general department of customs for use in SAQ template configuration.
 - The changes will not affect any draft/ approval pending/ Published SAQ template.
- If there are any pending changes in the question bank that are awaiting approval from the Senior federal administrator, the system shall restrict all modifications to both the question bank and the SAQ template. These restrictions shall remain in place until the pending changes are either approved or rejected.

6.4.10.3. Statuses of the Question Bank

Status	Status Start	Status End	Status Description
Draft	The question bank is in the draft status as the initial status when the question was created as new.	Under Review.	The federal administrator has created a new question and still has not submitted it for review. This status will be recorded in the audit trail.

Published	When the question bank approved by senior federal administrator	When the federal administrator makes changes on it and the status change to "Under Review"	The question bank is approved and available, and all questions are ready to be retrieved for use in the SAQ template. This status will be recorded in the audit trail.
Under Review	when the question bank was submitted for review from the federal administrator to the senior federal administrator.	<ul style="list-style-type: none"> ● There are three options: <ul style="list-style-type: none"> ○ the senior federal administrator accepts or rejects the changes, and the status changes to "Published". ○ The senior federal administrator returns the changes to the federal administrator and the status changes to "Returned". ○ Senior federal administrator rejected the 	The Question Bank is under review by the senior federal administrator. No changes are allowed until a decision is made. This status will be recorded in the audit trail.
Returned	When the senior federal administrator returns the changes to the federal administrator for revision	When the senior federal administrator approves or rejects the resubmitted changes	The senior federal administrator has returned the changes for modification. The federal administrator must update and resubmit them. This status will be recorded in the audit trail.

Rejected.	When the senior federal administrator rejects the question bank.	Final status.	
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Table 78—Statuses

6.4.10.4. Notifications

Notification Event	Trigger	Recipient	Channels
Question Bank Approval	When the senior federal administrator has approved the question bank.	Federal administrator	<ul style="list-style-type: none"> ● Email ● Federal AEO management portal.
Question Bank Under Review	When the federal administrator submits the changes on the question bank for review.	Senior federal administrator	<ul style="list-style-type: none"> ● Email ● Federal AEO management portal.
Question Bank Returned	When the senior federal administrator returns the changes to the federal administrator to address the remarks.	Federal administrator	<ul style="list-style-type: none"> ● Email ● Federal AEO management portal.
Question Bank Rejected	When the senior federal administrator rejected the question bank.	<ul style="list-style-type: none"> ● Senior federal administrator ● Federal administrator 	<ul style="list-style-type: none"> ● Email ● Federal AEO management portal.

Table 79—Notifications

6.4.10.5. Managing the Risks Bank

Actors

- The federal administrator.

Description

- The Risks Bank is a centralized repository of standardized Risks managed by the general department of customs. It is used to create and maintain the content of the Self-Assessment Questionnaire (SAQ).
- The responsibility for managing and modifying the Risks Bank lies with the federal administrator.
- The process of managing the Risks Bank includes creating and updating its standardized content by performing one of the following actions:
 - Adding new risks or groups.
 - Modifying existing risks or groups.
 - Deleting risks or groups from the Risks Bank.
- The changes of the risks band will not affect in previous assessments.
- The structure of the Risks Bank is organized into groups and subgroups, which are used to categorize and organize risks logically.
 - Groups can be divided into subgroups, which may be further subdivided into additional hierarchical levels as needed. Each group or subgroup may contain nested subgroups.
 - A group or subgroup is marked as a “leaf group” when it represents the lowest level in the hierarchy. Only leaf groups are eligible to have risks assigned to them.
- To add groups and risks to the risks bank.
 - The system displays all top-level groups (i.e., highest-level sibling groups), if any exist.
 - The federal administrator can add another group to the same level by clicking on “Add Group”, for additional details, refer to the data dictionary: “[Risks Bank Groups Data](#)”.
 - When the federal administrator clicks on a group, the system displays all subgroups under the selected group. Additionally, an “Add Group” button is shown, enabling the administrator to add a new subgroup at the same hierarchical level as the displayed subgroups.
 - Groups and subgroups at the same hierarchical level can be of mixed types; some may be marked as leaf groups, while others may contain additional subgroups under them

- The federal administrator continues adding subgroups until a leaf group is reached.
 - At the leaf group level, the “Add Group” button is replaced with an “Add Risk” button.
- By clicking the “Add Risk” button, the federal administrator shall be required to fill out the risk attributes as detailed in the data dictionary: [Risks Lookup Data](#)
- To modify a group, sub-group, or leaf group.
 - If the federal administrator changes the attribute that defines whether a group is a leaf group or not, this change will result in the deletion of all associated content under that group or leaf group after approval by the senior federal administrator.
 - If a group is changed to a leaf group, then all existing sub-groups and leaf groups under it will be deleted from the Risks Bank.
 - If a leaf group is changed to a regular group, then all risks under that leaf group will be deleted.
- Delete groups or risk from the Risks Bank.
 - Once the deletion is approved by the senior federal administrator, the selected group or question is permanently removed from the Risks Bank.
 - When a group is deleted, all associated sub-groups, leaf groups, and questions under those leaf groups will also be deleted.
- Any changes to the risks bank will not have impact on the approved/ draft / under review “Initial Risk Assessment and Assessment Plan” neither the approved “Assessment file”

6.4.10.6. Creating the SAQ Template

Actors

- The federal administrator.

Description

- The federal administrator is responsible for creating the Self-Assessment Questionnaire (SAQ) template.

- The system displays a list containing all SAQ templates at various stages.
- To create a new SAQ template, the federal administrator can choose one of the following:
 - Create a new template from scratch.
 - Duplicate (copy) an existing published template.
- To Create a new template from scratch:
 - The system displays a screen containing the initial data required to create an empty template, as defined in the data dictionary "[Self-Assessment Questionnaire Template Creation Data](#)".
 - After the initial data is entered and saved, the template appears in the SAQ template list.
 - Next to each template, an edit icon is available. Clicking the edit icon directs the federal administrator to a screen where the administrator can:
 - Add sections and sub-sections up to (3) levels.
 - Determine which are leaf sections.
 - Once a leaf section is defined, the federal administrator needs to define the following for each leaf section:
 - Questions
 - ❖ The system retrieves all questions from the Question Bank, allowing the administrator to select relevant questions for the leaf section.
 - Risks
 - ❖ The system shall retrieve all defined risk groups and leaf groups allowing the federal administrator to select the risks that will appear for the validation team during the initial risk assessment and validation visit.
- To Duplicate (copy) an existing published template.

- The federal administrator navigates to the page listing all SAQ templates at various stages:
 - Next to each published template, a copy icon is available.
 - Clicking the copy icon triggers the system to prompt the federal administrator to enter the initial data required to create a new SAQ template, as defined in the data dictionary "[Self-Assessment Questionnaire Template Creation Data](#)."
- The newly copied template is added to the SAQ template list with the status "Draft."
 - After copying the template, the system automatically retrieves the latest versions of all questions from the Question Bank and updates them in the copied template.
 - The federal administrator can freely edit all elements of the copied SAQ template, including sections, sub-sections, and questions.
- The federal administrator can save the template as a draft at any point during the creation process.
- After the federal administrator completes the structure of the template, they click the "Submit" button to submit the template for review by the senior federal administrator.

6.4.10.7. Reviewing the SAQ Template

Actors

- The senior federal administrator.

Description

- The senior federal administrator is responsible for reviewing and approving the submitted SAQ template.
- The system displays a list containing all SAQ templates at various stages. By selecting a template with the status "Under Review", the senior federal administrator can view its full structure, including all sections and questions.
- The senior federal administrator has the option to add remarks by clicking "Add Remarks" next to any of the following:

- Sections
 - Sub-sections
 - Leaf sections
 - Questions
- The senior federal administrator can save the template as a draft and return later to complete the review.
 - Upon completing the review, the senior federal administrator has two options:
 - Return the template to the federal administrator for revisions by clicking the "Return" button.
 - The system returns the template with all remarks visible to the federal administrator.
 - Approve the template by clicking the "Approve" button.
 - The system publishes the approved SAQ template to all local customs departments, making it available for use.
 - Once an SAQ template is approved by the senior federal administrator and published for use by local customs departments, it becomes locked and cannot be edited.
 - Any modifications made to questions in the Question Bank will not be reflected in the already published SAQ templates that include those questions.

6.4.10.8. Statuses of the SAQ Template.

Status	Status Start	Status End	Status Description
Draft	When the federal administrator creates a new SQA template	<ul style="list-style-type: none"> ● When the federal administrator submits the SAQ template for review. 	<ul style="list-style-type: none"> ● the SAQ templates is still being constructed by the federal administrator. This

			status will be recorded in the audit trail.
Under Review	When the federal administrator submits the SAQ template for approval. Now changes are allowed on the SAQ template at this stage from the federal administrator. This status can be repeated multiple times during the review process.	<ul style="list-style-type: none"> ● There are three options: <ul style="list-style-type: none"> ○ the senior federal administrator accepts the changes, and the status changes to “published”. ○ the senior federal administrator rejects the changes, and the status changes to “rejected”. ○ The senior federal administrator returns the changes to the federal administrator and the status changes to “Returned”. 	The SAQ template is under review by the senior federal administrator. No changes are allowed until a decision is made. This status will be recorded in the audit trail.
Returned	When the senior federal administrator returns the changes to the federal administrator for revision. Changes are allowed in this stage by the federal administrator. This status can be repeated multiple times during the review process.	When the senior federal administrator approves or rejects the resubmitted changes.	The senior federal administrator has returned the changes for modification. The federal administrator must update and resubmit them. This status will be recorded in the audit trail.
Rejected	When the senior federal administrator rejects the SAQ template. No changes are allowed at this stage, however there	Final status.	SAQ template has been rejected. This status will be recorded in the audit trail.

	will be a possibility to copy the same rejected template to construct a new template in the draft status.		
Published	When the SAQ template was approved by senior federal administrator. Now the SAQ template has become active, and no changes are allowed.	Final status.	The SAQ template is approved and available, and it is ready to generate SAQ from it. This status will be recorded in the audit trail.

Table 80—Statuses

6.4.10.9. Notifications

Notification Event	Trigger	Recipient	Channels
SAQ Template Under Review	When the federal administrator submits the SAQ template for review.	<ul style="list-style-type: none"> ● Senior federal administrator. ● Federal administrator. 	<ul style="list-style-type: none"> ● Email ● Federal AEO management portal.
SAQ Template Returned	When the senior federal administrator returns the SAQ template to the federal administrator to address the remarks and modify the SAQ template	<ul style="list-style-type: none"> ● Federal administrator. ● Senior federal administrator. 	<ul style="list-style-type: none"> ● Email ● Federal AEO management portal.
SAQ Template Rejected.	When the senior federal administrator rejected the SAQ template and it's now locked for any modifications.	<ul style="list-style-type: none"> ● Federal administrator. ● Senior federal administrator. 	<ul style="list-style-type: none"> ● Email ● Federal AEO management portal.

SAQ Template Published	When the senior federal administrator has approved the SAQ template and it's now ready to be used.	<ul style="list-style-type: none"> • Federal administrator. • Senior federal administrator. 	<ul style="list-style-type: none"> • Email • Federal AEO management portal.
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Table 81 – Notifications

6.4.10.10. Content Management

Actors

- The federal administrator.

Description

The federal system administrator will manage the content of AEO portal. All commercial establishments accessing the AEO portal will be able to view the published content. which contains the following:

- Overview of the benefits of joining the AEO Program: system will allow the user to add the desired text in both Arabic and English along with a flag to indicate whether to publish it on the portal or not. The newly published text will override the existing text.
- Clarification of the eligibility requirements and conditions for joining the AEO Program: system will allow the user to add the desired text in both Arabic and English along with a flag to indicate whether to publish it on the portal or not. The newly published text will override the existing text.
- Presentation of the request steps and procedures. The federal system administrator will add/modify/remove the following:
 - Title in both Arabic and English.
 - Content in both Arabic and English.
 - A flag to indicate whether to publish it on the portal or not.
- Frequently Asked Questions (FAQ) section. The federal system administrator will add/modify/remove the following:
 - Groups and subgroups same as followed in the “Questions Bank”.
 - Question in both Arabic and English under leaf group.

- Answer in both Arabic and English under leaf group.
 - A flag to indicate whether to publish the leaf group/question on the portal or not.
 - Official policy documents. The federal system administrator will add/modify/remove the following:
 - Title in both Arabic and English.
 - Upload Policy document.
 - A flag to indicate whether to publish it on the portal or not.
 - Educational and informational publications and videos (AEO E-Learning). The federal system administrator will add/modify/remove the following:
 - Title in both Arabic and English.
 - Description in both Arabic and English.
 - Upload: the user can upload pictures, video, and documents.
 - A flag to indicate whether to publish the leaf group/question on the portal or not.
 - Local communication channels form for inquiries.
 - The federal system administrator will be able to enter the dedicated email address and the phone number.
 - International communication channels
- The federal system administrator will be able to enter the dedicated email address and the phone number.
- AEO portal notifications. The federal system administrator can publish notifications, which will be displayed in the AEO portal. Which may cover various topics related to the AEO Program — such as announcements about upcoming AEO events organized by Customs or updates on MRAs signed with other countries. Each notification will have:
 - Title in both Arabic and English.

- Content in both Arabic and English.
- A flag to indicate whether to publish it on the portal or not.
- Validity period to indicate how long the notification will remain visible on the portal.

6.4.10.11. Managing Lookup for Initial Risk Assessment

Actors

- The federal administrator.

Description

- The federal administrator is responsible for defining and managing a set of predefined lookup options that are used by validation teams in local customs departments during the initial risk assessment phase. These lookup options serve as standardized reference data and assist in the following:
 - Selecting appropriate assessment tools.
 - Determining assessment methods to be used in the assessment plan.
- The system displays a screen with the required fields, as defined in the data dictionary" [Assessment tools Lookups](#), "[Assessment methods lookup](#)".
- After entering the information and clicking "Add", the option is saved becomes available during the initial risk assessment and creating assessment plan phase.

6.4.10.12. Managing Lookups for Control Plan Actions

Actors

- The federal administrator.

Description

- The federal administrator is responsible for defining and managing a set of predefined lookup options, which are used by the validation team and the key account managers team as selectable actions within the control plan.

- The system displays a screen with the required fields, as defined in the data dictionary "[Control Plan Action Lookup Data](#)".
- After entering the required fields and clicking "Add," the system will save the option, and it will become available for the Validation Team and the Key Account Managers Team when preparing or updating the control plan.

6.4.10.13. Managing Lookups Additionally Inquiries in the SAQ

Actors

- The federal administrator.

Description

- The federal administrator is responsible for defining and managing a set of predefined lookup options for the "Additional Inquiries" that might be required by the "Validation team member/lead" while preparing the SAQ to be shared with the commercial
- The system displays a screen with the required fields, as defined in the data dictionary "[SAQ Inquiries Lookups Data](#)"
- After entering the required fields and clicking "Add," the system will save the option, and it will become available for the Validation Team when preparing the SAQ.

6.4.10.14. Managing Lookups for Meeting purposes

Actors

- The federal system administrator.

Description

- The federal administrator can define the meeting purpose lookup values, which will be used when the validation team or the key account manager wants to arrange a meeting with the commercial establishment.
- The federal administrator will be able to define these lookup values by adding the data specified in the data dictionary "[Meeting Purpose Lookup Data](#)".

6.4.10.15. Managing Violations Look ups

Actors

- The federal administrator.

Description

- The system enables the federal administrator to define a list of violations that can be applied to commercial establishments during the “AEO authorization request” phase, as well as after the AEO status has been granted in the event of any violations being committed.
- This section will be detailed once the required data for violations becomes available.

6.4.10.16. Role-Based Access Control (RBAC)

Actors

- The federal system administrator.

Description

- The system should implement Role-Based Access Control (RBAC) to manage access to features and data. Permissions are granted to roles, and roles are assigned to users. This approach ensures that users can only perform actions and access information necessary for their responsibilities.
- The system shall allow the Federal system administrator to assign and manage permissions associated with each role defined in the system. This includes the ability to create, modify, or revoke role-specific permissions as required.
- The federal system administrator sees the list of defined roles and their associated permissions. The federal system administrator can perform the following actions:
 - Add or remove permissions from the selected role.
 - Edit the role title.
 - Delete roles that are not assigned to any users.
- The federal system administrator can add a new role from the screen displaying the list of roles and their permissions, for further information, refer to the data dictionary” [Define Role](#)”.

- Access to the system will be granted to local customs and general department of customs employees by the federal system administrator.
- General department of customs users will be imported from the “Active Directory”, The federal system admin can do the following:
 - Amend user data which are defined in the “[Local and Federal Customs Users Data](#)” section of the data dictionary.
 - Assign role(s) out of the “Federal Roles” to the user.
 - Activate/ deactivate the user account.
- Local customs users will be initially imported from an excel, then federal system admin can do the following:
 - Amend user data which are defined in the “Local and Federal Customs Users Data” section of the data dictionary.
 - Assign role(s) out of the “Local Roles” to the user.
 - Activate/ deactivate the user account.
 - Once the required data is submitted:
 - The system will automatically generate a username and a temporary password.
 - These credentials shall be sent to the local customs employee’s registered email address. The user can then access the system via the local customs AEO management portal using the provided credentials.
 - The federal system admin can add a new local customs user individually, check the “[Local and Federal Customs Users Data](#)” section of the data dictionary for more details.

6.4.10.16.1. Notification

Notification Event	Trigger	Recipient	Channels

Granting Access to the AEO System	When the federal system administrator grants access to the federal employee.	<ul style="list-style-type: none"> • Federal employee who has been granted access. • Senior federal administrator. 	<ul style="list-style-type: none"> • Email • General department of customs management portal. •
Granting Access to the AEO System	When the federal system administrator updates the assigned role of a local or federal customs employee.	<ul style="list-style-type: none"> • Federal customs employee who has an update on his roles. • • Senior federal administrator. 	<ul style="list-style-type: none"> • Email • General department of customs management portal.

Table 82—Notification

6.4.10.17. System Settings

6.4.10.18. Local Customs Settings for AEO Program.

Actors

- The federal administrator.

Description

- The system enables the general department of customs to configure settings for each local customs department to determine their role in AEO program operations.
- The federal administrator can view list of Local Customs Departments, along with the following settings for each one:
 - The role assigned to the local customs department to determine their role in the AEO Program operations, user can choose one of two values:
 - AEO-Certifying Customs Authority: can perform all AEO program operations.
 - AEO- Participating Customs Authority: can do the following

- ❖ Participating in the preliminary risk assessment upon receiving a membership request, including:
 - ❖ Adding any registered violations related to the parent commercial establishment or any of its branches.
 - ❖ Adding any branches engaged in supply chain activities that were not included in the application.
 - ❖ Receiving notifications in specific cases.
 - ❖ Viewing List of certified commercial establishments.
 - ❖ Viewing list of Mutual recognition agreements.
 - ❖ Viewing List of national and GCC-level benefits.
 - ❖ Adding the KPIs
- The “AEO Authorization Submission Mode”, these settings are available only for “AEO-Certifying Customs Authority”, There are two available submission types:
 - ❖ single trade license per request.
 - Under this option, commercial establishments with branches are not allowed to include the head establishment and branches in a single AEO authorization request.
 - A separate request must be submitted for each trade license individually.
 - ❖ Multi trade license per request.
 - Under this option, commercial establishments are allowed to submit a single “AEO Authorization Request” that includes both the head establishment and its branches.

- In case the general department of customs adds a new customs department with the role “AEO-Certifying Customs Authority” the emirate associated with that department will appear in the lookup list when a commercial establishment submits a request to create “Commercial Establishment Account” in the AEO portal.

Business Rules

#	Description	Source
BR.13	The system can be configured to allow the head office to submit one “AEO Authorization Request” covering all branches or to require separate requests per trade license, based on the approved settings for each emirate in the system.	Requirements gathering sessions

6.4.10.19. Authorization Request Settings

Actors

- The federal administrator.

Description

The system enables the general department of customs to configure settings for the “Authorization Request” as follows:

- Commercial establishment response to returned “Authorization Request”.
 - To define the time period given to the commercial establishment to provide a response to a returned “Authorization Request” addressing the comments or corrections requested by customs before resubmitting.
 - User will set a number to define the allowed response period in working days.
- Relevant Customs response to submitted “Authorization Request”.
 - To define the time period given to the customs to provide a response to an “Authorization Request” whether to accept or reject it after the preliminary risk assessment is done.

- User will set a number to define the allowed response period in working days.
- Local Customs response to submitted “Authorization Request”.
 - To define the time period given to the local customs to provide a response to an “Authorization Request” as part of the preliminary risk assessment.
 - User will set a number to define the allowed response period in working days.

6.4.10.20. Validation and Risk Assessment Settings

Actors

- The federal administrator.

Description

The system enables the general department of customs to configure settings for the validation phase as follows:

- Commercial establishment response to SAQ.
 - To define the time period given to the commercial establishment to fill in the SAQ.
 - User will set a number to define the allowed response period in working days.
- Commercial establishment response to returned SAQ.
 - To define the time period given to the commercial establishment to provide a response to a returned SAQ addressing the comments or corrections requested by customs before resubmitting.
 - User will set a number to define the allowed response period in working days.
- Relevant Customs response to submitted SAQ.
 - To define the time period given to the customs to provide a response to a submitted SAQ whether it is complete or it should be returned for adjustments.
 - User will set a number to define the allowed response period in working days.
- Commercial establishment response to the draft assessment/re-assessment report.

- To define the time period given to the commercial establishment to approve or provide comments on the draft assessment/re-assessment report.
 - User will set a number to define the allowed response period in working days.
- Maximum Extension Period for Compliance Improvement Plan.
 - To define the maximum time extended period given to the commercial establishment to complete the compliance improvement plan.
 - User will set a number to define the allowed response period in working days.

6.4.10.21. KPIs Sharing Settings

Actors

- The federal administrator.

Description

- The system enables the general department of customs to configure settings for the KPIs to define when they should be shared by the local customs.
- The user should enter "Submission Day of the Period", Specifies the exact day of the selected period (e.g., the 10th day of the first month in each quarter) by which KPIs should be submitted.
 - Type: Numeric (1–31)

6.4.10.22. Notifications & Reminders Settings

Actors

- The federal system administrator.

Description

This module empowers the federal administrator to configure and manage all notification, reminder and escalation settings related to the AEO program.

- There will be a centralized configuration where the allowed time frames for all procedures can be defined and reused across multiple system modules, including reminders and KPIs.
 - This will be detailed at later stage along with the dashboard and KPIs.

The system allows the federal administrator to:

- Set up reminders and escalations for each procedure, including the timing and content.
- Set up notification triggered by multiple actions in the system.
- Enable/ disable any reminders/ escalations/ notifications.
- Create customizable content using dynamic tokens to personalize notifications and reminders based on contextual data (e.g., company name, request ID, due date).
- The table below presents the list of available procedures that users can select to configure reminder settings, along with the proposed recipients for escalation

Procedure group	Procedure type	Recipient of the reminder	Recipient of the escalation
Commercial Establishment	• Resubmitting the returned "AEO authorization request".	• The commercial establishment account manager.	-
	• Filling out the SAQ.	• Assigned user responsible for the procedure	• The commercial establishment account manager
	• Resubmitting returned SAQ.	• Assigned user responsible for the procedure	• The commercial establishment account manager
	• Confirming validation/ revalidation meetings appointments.	• Assigned user responsible for the procedure	• The commercial establishment account manager
	• Reviewing the draft assessment/ reassessment report to accept or return with comments.	• Assigned user responsible for the procedure	• The commercial establishment account manager

	<ul style="list-style-type: none"> Confirming completion of the compliance improvement plan. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> The commercial establishment account manager
	<ul style="list-style-type: none"> Filling out the SAQ for the reassessment process. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> The commercial establishment account manager
	<ul style="list-style-type: none"> Resubmitting returned SAQ responses for reassessment. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> The commercial establishment account manager
	<ul style="list-style-type: none"> Submit appeal request. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> The commercial establishment account manager
	<ul style="list-style-type: none"> Requesting a hearing session. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> The commercial establishment account manager
	<ul style="list-style-type: none"> Providing response on the hearing session MOM. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> The commercial establishment account manager
Local Customs Department	<ul style="list-style-type: none"> Decision on the account creation request. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> AEO program manager.
	<ul style="list-style-type: none"> Reviewing the AEO authorization request. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> AEO program manager.
	<ul style="list-style-type: none"> Completing the preliminary risk assessment by the relevant customs department. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> AEO program manager.

	<ul style="list-style-type: none"> Completing the preliminary risk assessment by the other local customs departments. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> Federal administrator.
	<ul style="list-style-type: none"> Assigning the validation team once the "AEO Authorization Request" is approved. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> AEO program manager.
	<ul style="list-style-type: none"> Sharing SAQ with the commercial establishment after the "AEO authorization request" is accepted. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> AEO program manager.
	<ul style="list-style-type: none"> Reviewing the SAQ and make decision to accept it or return it will comment. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> AEO program manager.
	<ul style="list-style-type: none"> Sharing the assessment report with the commercial establishment. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> AEO program manager.
	<ul style="list-style-type: none"> Approve the initial risk assessment and assessment plan. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> AEO program manager.
	<ul style="list-style-type: none"> Approve the assessment report. 	<ul style="list-style-type: none"> Assigned user responsible for the procedure 	<ul style="list-style-type: none"> AEO program manager.
	<ul style="list-style-type: none"> Decision on granting AEO membership after accepting the assessment report by the 	<ul style="list-style-type: none"> AEO program manager. 	<ul style="list-style-type: none"> Federal administrator.

	<p>commercial establishment if no performance improvement plan is required or after confirming the completion of the performance improvement plan by the customs.</p>		
	<ul style="list-style-type: none"> ● Assigning benefits groups after the approval of granting the AEO membership. 	<ul style="list-style-type: none"> ● Assigned user responsible for the procedure 	<ul style="list-style-type: none"> ● AEO program manager.
	<ul style="list-style-type: none"> ● Submitting a re-validation request to initiate the re-validation process 	<ul style="list-style-type: none"> ● Assigned user responsible for the procedure 	<ul style="list-style-type: none"> ● AEO program manager.
	<ul style="list-style-type: none"> ● Conducting a monitoring action in the control plan. 	<ul style="list-style-type: none"> ● Assigned user responsible for the procedure 	<ul style="list-style-type: none"> ● AEO program manager.
	<ul style="list-style-type: none"> ● Sharing the KPIs with the general department of customs 	<ul style="list-style-type: none"> ● Assigned user responsible for the procedure 	<ul style="list-style-type: none"> ● Federal administrator.
	<ul style="list-style-type: none"> ● Reply to a new message 	<ul style="list-style-type: none"> ● Assigned user responsible for the procedure 	<ul style="list-style-type: none"> ● Depends on the phase: <ul style="list-style-type: none"> ○ During the "AEO Authorization Request" phase, senior ○ During the self-assessment questionnaire phase, validation team lead.

			<ul style="list-style-type: none"> <input type="radio"/> During the certificate issuance phase, AEO program manager. <input type="radio"/> After the certificate issuance, AEO program manager.
General Department of Customs	<ul style="list-style-type: none"> ● Sharing the list of national AEOs with MRA countries. 	<ul style="list-style-type: none"> ● Assigned user responsible for the procedure 	<ul style="list-style-type: none"> ● Senior federal administrator.

Table 83—Reminders Settings

- The system will allow the user to specify whether escalation is applicable. If applicable, the user can define the recipient role for the escalations.
- The system provides a centralized configuration for all “Notifications” referenced throughout the various functions of the AEO program, as outlined in the notification table sections of this document.
 - Additionally, the system will support a “**System-Wide Notifications**,” to allow the federal system administrator to create and publish notifications applicable to all users across all portals.
 - This ensures that important announcements such as planned maintenance, major system updates, or critical incidents can be communicated consistently and effectively to all stakeholders.
 - The user will choose the notification channel email/in application.
 - The user will define the target audience of the notification AEO portal, Local Customs, Federal Customs.
- To define the Reminders/ escalations/ notifications settings, please refer to the “[Reminders Settings Data](#)”, “[Notifications Setting Data](#)” sections of the data dictionary.
- Communication body.
 - The user can create customized reminders/escalations/notifications messages using predefined dynamic tokens to automatically insert relevant information.

- These tokens will be automatically replaced with actual values when the reminder/escalation/notification is sent.
- Supported tokens include:

Token	Definition
[CompanyName]	Name of the commercial establishment
[UserName]	Then name of the user (first name + last name)
[AccountCreationsRefNumber]	"Commercial Establish Account Creation Request" reference number
[ApplicationRefNumber]	"AEO Authorization Request" reference number
[CertificateNumber]	AEO certificate number
[AppealRefNumber]	Appeal request reference number
[DueDate]	Deadline for completing the procedure
[AEOPortal]	The URL of the AEO portal.
[LocalCustomsPortal]	The URL of the local customs management portal.
[FederalCustomsPortal]	The URL of the local department of general customs management portal.

Table 84—Notification tokens

6.4.10.23. Meetings setting

Actors

- The federal system administrator

Description

This setting allows the federal system administrator to manage meeting settings including the allowed response period to reply to the suggested meetings and how far in advance meetings must be scheduled with commercial establishments.

- Meetings may be arranged by local customs departments through the system under the following circumstances:
 - During the validation, revalidation, or monitoring phases.
 - When a commercial establishment requests a hearing session after an appeal has been rejected.
- Commercial establishment response period for meeting requests
 - User will set a number to define the allowed response period in working days.
- Minimum notification period
 - The user sets the minimum number of days required before a meeting can be scheduled.
 - The system enforces this restriction to prevent scheduling within the defined period.

For example: If the minimum notice period is set to 9 days for a hearing session:

 - Today is July 1st.
 - The earliest available meeting date will be July 10th.
 - Any attempt to schedule a meeting before July 10th (i.e., July 1–9) will be blocked by the system.
 - Two separate configurations can be defined:
 - AEO Meeting Setup: Minimum days required for scheduling meetings related to validation, revalidation, and monitoring phases.
 - Hearing Session Setup: Minimum days required before scheduling hearing sessions after appeal rejections.
 - This setting is optional and can be disabled.
 - When disabled, the system will allow meetings to be scheduled immediately without enforcing a minimum notice period.

6.4.11. Appeal settings

Actors

- The federal administrator

Description

- The federal system administrator can configure the period during which a commercial establishment is allowed to submit additional arguments or justifications after the hearing session minutes have been shared.
 - Once the defined period expires, the commercial establishment will no longer be able to submit any further arguments or justifications.
- The federal system administrator can configure the following settings:
 - Number of days allowed for submitting arguments.
 - Enable/Disable option to activate or deactivate the argument submission feature.

6.4.12. Communication with Commercial Establishment Settings

Actors

- The federal administrator

Description

The federal system administrator can configure the period during which local customs should reply to messages received from commercial establishments.

- Local customs response to a message.
 - User will set a number to define the allowed response period in working days.

6.4.13. Commercial Establishment Documents Management

Actors

- All users from the general department of customs.

Description

- The general department of customs will have access to view all documents related to each commercial establishment as detailed in "[Commercial Establishment Documents Management](#)" section of the "Local Customs AEO Management Portal".

6.5. General Features of the System

6.5.1. Data Caching

- The system will automatically cache any changes made by users once they click on next button.
- The data is saved on server side.

6.5.2. Audit Trails

- The system will maintain a comprehensive audit trail to record all significant actions performed. The details of the "Audit trails" are defined in the "[Audit trail data](#)" in the data dictionary.

7. Business Rules

#	Description	Feature	Source
BR.1	When submitting a commercial establishment account creation request in the Authorized Economic Operator (AEO) Portal, the system verifies that no account or pending account creation request is associated with the same email address. Other than that, there are no prerequisites preventing the establishment from creating the account.	Submitting a Request to Create a Commercial Establishment Account	Requirements gathering sessions
BR.2	Format of the reference number for the commercial establishment account creation request in the AEO Portal is as the following (AEO- REG-[year] – [4-digit sequential numbers]). ● Example: AEO – REG -2025-0015.	Submitting a Request to Create a Commercial Establishment Account	Suggested by reach digital team.

BR.3	The review of the account creation request is automatically assigned to the administrator in the customs administration relevant to the emirate that issued the trade license of the requesting establishment.	<u>Reviewing the Request to Create a Commercial Establishment Account</u>	Requirements gathering sessions
BR.4	The commercial establishment username format will be identical to the provided email in the commercial establishment account creation request.	<u>Reviewing the Request to Create a Commercial Establishment Account</u>	Requirements gathering sessions
BR.5	One-time password validity period is 3 minutes.	<u>Submitting a Request to Create a Commercial Establishment Account</u>	suggested by reach digital team
BR.6	<p>When submitting a “AEO Authorization Request” to the program, the system verifies that there is no restriction by checking the trade license number provided in the request. This includes:</p> <ul style="list-style-type: none"> ● An existing “AEO Authorization Request” under review. ● A previously accepted request where the establishment is undergoing the remaining program phases. ● The establishment is already a AEO, and the AEO status is active or suspended. <p>Other than that, there are no prerequisites preventing the submission of the AEO authorization request.</p>	<u>Submitting the AEO Authorization Request</u>	Requirements gathering sessions
BR.7	There is no defined retention period for drafts in the system. The system may send reminders, and action must be taken either by the commercial establishment or the local customs.		Requirements gathering sessions

BR.8	When submitting the AEO authorization request, the system assigns the request to the administrator in the customs department relevant to the emirate that issued the establishment's trade license.	<u>Reviewing the AEO Authorization Request</u>	Requirements gathering sessions
BR.9	The relevant customs department is obligated to verify that all requirements for the applying establishment are met within a period not exceeding thirty (30) days from the date of submission of the "AEO authorization request".	<u>Reviewing the AEO Authorization Request</u>	AEO Unified Guidelines
BR.10	If the "AEO Authorization Request "is returned for completion, the commercial establishment must complete the data within thirty (30) days from the return date. If the request is not completed within the allowed time, the local customs can reject it and choose "Expired" as rejection reason.	<u>Reviewing the AEO Authorization Request</u>	AEO Unified Guidelines
BR.11	Format of the reference number for the AEO authorization request is (AEO-AUTH-[year]- [4-digit sequential number]). ● Example: AEO-AUTH-2025-0015.	<u>Submitting the AEO Authorization Request</u>	Suggested by reach digital team.
BR.12	The "AEO Authorization Request is filled out by the "Commercial Establishment Account Manager "or by users with the appropriate permissions and must be submitted only by the "Commercial Establishment Account Manager".	<ul style="list-style-type: none"> ● <u>Submitting the AEO Authorization Request</u> 	Requirements gathering sessions
BR.13	The system can be configured to allow the head office to submit one "AEO Authorization Request "covering all branches or to require separate requests per trade	<u>Submitting the AEO Authorization Request</u>	Requirements gathering sessions

	license, based on the approved settings for each emirate in the system.		
BR.14	Multiple users can fill out the self-assessment questionnaire simultaneously (in parallel).	<u>Completing the Self-Assessment Questionnaire</u>	Requirements gathering sessions
BR.15	The self-assessment questionnaire does not require sequential completion by section or subsection; users can freely navigate between questions.	<u>Completing the Self-Assessment Questionnaire</u>	Requirements gathering sessions
BR.16	The commercial establishment must complete the self-assessment questionnaire within 15 business days from the date it was sent by the relevant customs administration.	<u>Completing the Self-Assessment Questionnaire</u>	GCC AEO Self-Assessment Questionnaire
BR.17	The license expiration date is calculated automatically as two years from the issuance date, with the ability to modify the expiration date through the system.		Abu Dhabi Department of Economic Development Regulations
BR.18	The default deadline for implementing corrective actions is 90 days and can be modified by the customs department.	<u>Completion of Compliance Improvement Plan</u>	AEO Unified Guidelines
BR.19	The corrective action deadline may be extended by an additional 90 days if an extension request is submitted and accepted by the relevant customs department. The department can modify the duration.	<u>Requesting Extension of the Compliance Improvement Plan Deadline</u>	AEO Unified Guidelines

BR.20	The commercial establishment has the right to submit an appeal against the decision of the relevant customs administration within a maximum of 30 days from the date of notification.	<u>Appeals Process</u>	GCC AEO Appeal Procedures and Guidelines
BR.21	If the commercial establishment requests a hearing session, the relevant customs administration must coordinate a session date within 15 days from the request date.	<u>Appeals Process</u>	GCC AEO Appeal Procedures and Guidelines
BR.22	After the hearing session minutes are shared, the commercial establishment has only 7 days to submit any additional arguments, if applicable.	<u>Appeals Process</u>	GCC AEO Appeal Procedures and Guidelines
BR.23	The periodic revalidation process must be conducted within a maximum of five (5) years from the last validation to ensure the commercial establishment continues to meet the AEO program standards.		AEO Unified Guidelines
BR.24	The system will not allow commercial establishments holding a trade license issued by emirates other than Abu Dhabi or Dubai to submit a commercial establishment account creation request.	<u>Submitting a Request to Create a Commercial Establishment Account</u>	Requirements gathering sessions
BR.25	The validation team consists of at least two members: a team lead and a team member.	<u>Managing Validation Teams</u>	Requirements gathering sessions
BR.26	When scheduling meetings whether field visits, remote meetings, or a hearing session for an appeal request the commercial establishment shall be notified of a specific period in advance, as defined in the system settings. The system will not allow scheduling any meeting with a date earlier than the defined notification period.	<ul style="list-style-type: none"> ● <u>Scheduling Meetings</u>. ● <u>Reviewing an Appeal Request</u>. 	Requirements gathering sessions

BR.27	The relevant customs department has the right to cancel the AEO authorization request at any stage without restrictions.	Reviewing the AEO Authorization Request	Requirements gathering sessions
BR.28	When there is a new registration request, the system has to check before submission if the same establishment has a previously submitted request which is in progress or approved.	Submitting a Request to Create a Commercial Establishment Account	Requirements gathering sessions

Table 85 – Business Rules

8. Integration points

- The integration points will be detailed in a separate document, which will outline the data exchange mechanisms, communication protocols, and the roles and responsibilities of each system involved in the integration.
- The following table presents the proposed integration points along with their respective values.

#	Integration point	value
1	UAE PASS	<ul style="list-style-type: none"> Retrieve applicant information when requesting a commercial establishment account. Enable login to the system using UAE PASS instead of username and password.
2	UAE gateway	<ul style="list-style-type: none"> Authenticate local customs users to enable them login into AEO customs portal. Send the local custom user details to AEO local customs portal.
3	Local customs systems	<ul style="list-style-type: none"> Access to commercial establishment data to support account creation and AEO authorization requests (e.g., ERC system in Dubai Customs). Integration with violation records maintained by local customs to support the preliminary risk assessment process, eliminating the need to manually

		<p>request violation data from all local customs departments or to re-record violations in the AEO system after AEO status is granted.</p> <ul style="list-style-type: none"> If local customs departments have systems for recording key performance indicators (KPIs), integration will enable automated report generation, reducing the need for manual data entry.
4	Central bank	<ul style="list-style-type: none"> Retrieve the financial score of commercial establishments to support local customs departments in identifying potential financial risks during the preliminary risk assessment phase.
5	Ministry of economy & tourism	<ul style="list-style-type: none"> Retrieve up-to-date commercial establishment data to support the account creation process and the AEO authorization request.

Table 86—Integration Points

9. Data Migration

- The data migration process will include the following:
 - National Authorized Economic Operators (AEOs).
 - Mutual Recognition Arrangements (MRAs).
- Detailed procedures and timelines for this phase will be defined at a later stage.

10. Non-Functional Requirements

10.1. Performance requirements

The system will be designed to ensure reliable and efficient performance under various usage conditions. Key performance expectations include:

Response Time: The application should provide end-to-end response to user actions (such as page navigation, form submissions, and data retrieval) within 2 seconds during normal usage, and no more than 5 seconds during peak load periods. Response time will be measured from the user's perspective (end-to-end), not just from the server side.

Data Processing: For operations that involve processing large data sets (e.g., generating reports or exporting records), the system should complete the task within 10 seconds for standard volumes (to be clearly defined and agreed upon during the requirements phase). Performance will be measured under controlled conditions such as load testing and stress testing to ensure consistency and reliability.

Scalability: The system shall be designed to scale both horizontally (by adding more servers or nodes) and vertically (by upgrading existing hardware resources) to accommodate future demand without compromising performance. While the current deployment is on-premise, the architecture may also allow for auto-scaling or cloud-native scaling options in the future if the hosting model changes.

These performance requirements are defined to ensure a responsive and stable user experience, and they will be considered during the system's design and development phases.

10.2. Security requirements

The system will adhere to strict security standards in alignment with UAE government regulations and best practices to ensure confidentiality, integrity, and availability of all data and services. Key security requirements include:

Compliance with UAE Regulations: The solution shall comply with relevant UAE federal and local cybersecurity frameworks, including the UAE Information Assurance Standards (IAS), NESA requirements, and guidelines issued by the UAE Cybersecurity Council.

- International best practices such as ISO/IEC 27001 will also be adopted as a complementary standard.

Data Protection. All sensitive and personal data will be securely stored, processed, and transmitted using strong encryption protocols (e.g., AES-256 for data at rest, TLS 1.2 or higher for data in transit).

- Data masking and anonymization will be applied when data is shared for testing, training, or non-production purposes to prevent exposure of sensitive information.

Access Control: Role-based access control (RBAC) will be implemented to ensure that users only access data and functions relevant to their roles. Administrative access will be limited to authorized personnel only.

Authentication & Authorization: The system will support secure authentication mechanisms, including integration with UAE Pass or Single Sign-On (SSO) where required. Multi-factor authentication (MFA) will be enforced for privileged accounts.

Audit & Logging: Comprehensive logging and audit trails will be enabled for all critical operations to support monitoring, forensic analysis, and compliance reporting.

Hosting and Data Residency: All components of the system, including application and database servers, will be hosted within the UAE to comply with data residency requirements.

Vulnerability Management: Regular vulnerability assessments, security testing, and patch management will be conducted to protect the system from emerging threats.

These security requirements are fundamental to building a trusted solution that safeguards government data and ensures operational resilience.

10.3. Availability

The system is expected to deliver high availability to ensure uninterrupted access to services and data, particularly for mission-critical operations. The following availability requirements will be adhered to:

Uptime Guarantee: The system shall maintain a minimum availability of 99.9%, excluding scheduled maintenance. This ensures minimal downtime and continuous service access.

Redundancy: System components will be deployed with redundancy at all critical layers (e.g., application servers, databases, load balancers) to avoid single points of failure.

Disaster Recovery (DR): A disaster recovery plan will be implemented to restore services within a maximum of 4 hours Recovery Time Objective (RTO) and maximum of 1 hour Recovery Point Objective (RPO), in compliance with UAE government standards.

Monitoring & Alerts: The system will include real-time monitoring and alerting for all key components to ensure rapid response to incidents and to minimize service disruptions.

Scheduled Maintenance: Any planned maintenance activities will be communicated in advance and scheduled during off-peak hours to minimize user impact.

These availability requirements are critical to supporting the operations and ensuring a reliable experience for end users across all supported services.

10.4. Usability

The system will be designed with a strong focus on user experience to ensure ease of use, accessibility, and efficiency for all user groups.

The usability requirements include:

User-Friendly Interface: The application will offer a clean, intuitive, and consistent user interface across all modules.

Multi-Language Support: The system will support both Arabic (RTL) and English (LTR) languages, allowing users to switch seamlessly between them as required.

Responsiveness: The system will be fully responsive and optimized for use across various devices and screen sizes, including desktops, tablets, and smartphones.

Ease of Navigation: Logical menus, clear labels, and guided user flows will be implemented to minimize the learning curve and reduce user errors.

These usability standards aim to promote widespread adoption, minimize support requests, and ensure a seamless experience for all users interacting with the platform.

11. Appendixes

11.1. Annex (7): Supporting Document

11.1.1. AEO Processes

For a detailed review of the AEO processes, please refer to the final version of the AEO Management System Business Requirements Document (BRD).



11.1.2. Software architecture document

- The following demonstrates the architecture for the AEO system



11.2. Annex (2): Legal Forms of Commercial Establishments

- Sole Proprietorship
- Limited Liability Company (LLC)
- Single-Person Limited Liability Company
- General Partnership
- Limited Partnership
- Private Joint Stock Company
- Public Joint Stock Company

11.3. Annex (3): Supply Chain-Related Activities

- Importer

- Exporter
- Manufacturer
- Customs clearance office / customs broker
- Freight forwarder
- Logistic service agent
- Ports and airports operator
- Courier agent
- Warehouse operator
- Freight terminal operator
- Other services provider involved in the international supply chain

11.4. Annex (4): Risk Assessment Tool Checklist

- Internal verification/analysis
- Previous experience
- Queries/inquiries from the appropriate staff
- Policy of business internal control
- Procedures guides
- Transaction testing
- Verification of documents, reports and entries
- Analytical procedures/ Arithmetic accuracy testing
- Observations on field activities and operations
- Goods/inventory quality check

- Confirmation by a third party or other agencies

11.5. Annex (5) Commercial Establishment Address Type:

- Headquarters
- Branch
- Office
- Warehouse
- Factory / Manufacturing Site
- Logistics Center
- Distribution Center
- Customs Clearance Office
- Storage Facility
- Port Facility / Terminal Office
- Free Zone Office / Facility
- Main Operational Site
- Import/Export Handling Site
- Temporary Storage Location
- Border Facility

11.6. Annex (6): Risk Assessment Matrix

Consequence					
	Insignificant	Minor	Moderate	Major	Critical
•					

	Almost Certain	Medium	High	High	Extreme	Extreme
	Likely	Medium	Medium	High	High	Extreme
	Possible	Low	Medium	Medium	High	Extreme
	Unlikely	Low	Low	Medium	Medium	High
	Rare	Low	Low	Low	Medium	High

12. List of Attachments

#	اسم المرفق	المرفق (باللغة العربية)	المرفق (باللغة الانجليزية)
1	The Unified Guide for the Gulf Cooperation Council Authorize Economic Operator Program	 الدليل الموحد لمعتمد الخليجي - عربي	 الدليل الموحد صادي المعتمد الخليجي
2	Self-Assessment Questionnaire	 - التقييم الذاتي _1.2 نمد الخليجي نهائي- عربي	 التقييم الذاتي Eng _1.2 صادي المعتمد الخليجي -
3	Validation Process	 نموذج عملية _1.11 التقييم.docx	 نموذج عملية _1.11 Eng التقييم.docx
4	Risk Assessment Methodology	 8.4 GCC AEO Risk-Assessment-Metl	 8.4 GCC AEO Risk-Assessment-Metl
5	Draft Assessment Report	 مسودة تقرير _1.12 التقييم.docx	 مسودة Eng تقرير التقييم.docx

6	Control Plan	 8.6 GCC AEO Control-Plan-v1.0 tran	 8.6 GCC AEO Control-Plan-v1.0 eng
7	Guide and Procedures for Appeal	 ضوابط واجراءات _1.4 المعتمد الخليجي- عربي	
8	MRA Explanatory Notes	 MRA Explanitory NotesTemplate Arabic	
9	MRA Template	 MRA Text Template - Arabic.docx	
10	AEO Certificate	 مرفق 4 شهادة_ المشغل.docx	
11	Revalidation Process	 8.5 GCC AEO Re-Validation-Process	
12	AEO Portal use case diagram – Level 1	 AEO Establishment Portal Use cases_Leve	
13	AEO Portal use case diagram – Level 2	 AEO Esablishment Portal Use cases_Leve	
14	Local Customs Portal use case diagram – Level 1	 AEO Local Customs Portal Use cases_Leve	
15	Local Customs Portal use case diagram – Level 2	 AEO Local Customs Portal Use cases_Leve	

16	General Customs Portal use case diagram – Level 1	 AEO General Customs Portal Use c	
17	General Customs Portal use case diagram – Level 2	 AEO General Customs Portal Use c	
18	KPI Sheet	 نموذج الاحصائيات_.xlsx	

Table 87 – List of Attachments