

## Self-Assessment Questionnaire (SAQ)

The SAQ will be available for download on the website of RFB. It is divided into three types of questions:

- **General Information** about the applicant.
- **Eligibility Criteria:** convey the degree of reliability of operators.

History of compliance  
with customs laws

Financial solvency to keep  
and improve safety in  
logistic chain

Computer-based system  
to manage commercial,  
fiscal, financial and  
operational records

Policy of carrying out  
periodic auditing of  
internal controls

- **Security Criteria:** there are eight criteria.

**1. Commercial partners:** Demand that commercial partners adopt procedures to enforce security of logistic chain.

**2. Control of cargo units:** Guarantee of inviolability of cargo units regarding the insertion of non-authorized material and handling by non-authorized personnel.

**3. Control of physical access:** Restriction of physical access to the handling, storage and cargo transportation places.

**4. Human resources policies:** Adoption of human resources policies in order to inhibit the hiring and keeping of personnel who could undermine logistic chain security.

**5. Security procedures:** Permanent analysis process regarding the risks able to undermine cargo integrity.

**6. Security and threat awareness training:** Keeping internal training programs aiming to promote awareness of threats.

**7. Facilities physical security:** Guarantee of physical security of premises, through control of internal and external areas.

**8. Information technology:** Adoption of measures to protect information stored against non-authorized access or modification.



Ministry of Finance  
Secretariat of the Federal Revenue of Brazil  
Undersecretariat of Customs and International Relations  
General-Coordination of Customs Administration

Please visit the RFB web site at:  
[www.receita.fazenda.gov.br](http://www.receita.fazenda.gov.br)

Or send an e-mail to:  
[oea.df@receita.fazenda.gov.br](mailto:oea.df@receita.fazenda.gov.br)

2014, December



*“Our Vision is that by 2019, Brazil is recognized as one of the world leaders in the control and management of the international trade flows through its AEO Program.”*

#### Ernani Checcucci

*Undersecretary of International and Customs Affairs*

### Brazilian AEO Program

Brazilian AEO Program is the certification of supply chain operators that represent low risk in their operations, both in terms of physical security of the cargo as in the performance of fulfilling customs requirements.

The application to the program is voluntary. Until 2019, Brazilian AEO Program aims to achieve the target of 50% of export and import declarations registered by AEO certified companies.

### Reasons for Brazil to implement an AEO Program

- Implement Mutual Recognition Agreement.
- Facilitate dependable and legitimate trade.
- Obtain global recognition.
- Improve the image of Brazil.
- Attract investments to Brazilian economy.
- Protect society more efficiently.
- Improve security in foreign trade operations.
- Improve customs control – risk analysis.

### Benefits to AEO

- Recognition by international customs administrations via Mutual Recognition Agreement (MRA).
- Direct communication channel in Customs to answer questions and solve AEO's problems.
- Lower rate of physical and documental examinations by Customs in export operations.
- Expedited clearance at ports of entry.
- Priority for companies certified as AEO Security to apply for stage 2 - AEO Compliance.
- Possibility of using the Brazilian AEO logo.
- Publishing on the RFB website the names of certified companies and recognition as a safe and reliable operator in the supply chain by Customs Authorities.
- Requirement waiver in the habilitation of special customs regimes or special customs areas
- Active participation in updating laws and customs procedures that aim the development and improvement of the Brazilian AEO Program.
- RFB and AEO certified members joint workshops and trainings.

### Implementation Phases

The implementation of the Brazilian AEO Program is scheduled to develop in three stages:

- **AEO Security (AEO-S)**: the focus on this step will be on export flow. Authorized economic operators will be certified based on compliance of security requirements defined by the Program. Its implementation is expected to December 2014.
- **AEO Compliance (AEO-C)**: the focus will be on import flows. At this stage, a certification will occur based on fulfillment of customs rules and procedures, through the expansion and revision of the Blue Line (Express Customs Clearance). It is expected to begin in December 2015. AEO holders of both AEO-S and AEO-C certifications will be considered **AEO Full (AEO-F)**.
- **AEO Integrated (AEO-I)**: the focus will be on integrating other Government Agencies, as ANVISA (Brazilian Health and Food Agency), for example, aiming at the streamlining of regulatory procedures. The expected entry into force is for December 2016.



### Who can apply for AEO?

Adherence to the program is voluntary. The following international trade stakeholders are eligible for certification:

- Brazilian importers and exporters;
- Warehouse companies;
- Port and airport operators;
- Carriers;
- Customs Brokers;
- Freight Forwarders;
- Other stakeholders in the international supply chain.

### Certification Procedures

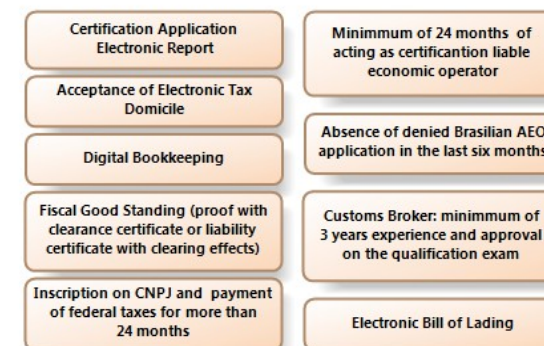
The certification procedures comprise sequentially:

- **Self-Assessment**: This first stage consists of three sets of questions that allow the applicant to assess itself and take any required corrective actions. It is divided into:

- 1) General Information: AEO applicant must answer all the questions despite its role in the supply chain.
- 2) Eligibility Criteria: check if applicant is a reliable operator in the supply chain.
- 3) Security Criteria: applicant must fulfill eight mandatory security criteria for the certification.

- **Certification Request**: submission shall be sent electronically.

- **Admissibility Requirements**: these requirements check whether the applicant is eligible or not to take part in the certification process:



- **Analysis of Conformity**: it will check if applicant is a safe and reliable operator in the supply chain and if it satisfies the eight security criteria necessary for the certification.

- **Certification**: once all requirements and criteria are fulfilled, the AEO will be granted a Certification in recognition of its partnership with RFB.

- **Maintenance and Monitoring**: the Authorized Economic Operators will be subject to follow-up on the maintenance of all requirements and criteria.