

## 附件 9 Conveyance Inspection Procedures and Sealing Process



*Partnering in Supply Chain  
Security and Facilitation for the  
21<sup>st</sup> Century*



## **Conveyance Inspection Procedures and Sealing Process**

Presented by  
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Supervisory CBPO Marcos Salazar  
CBPO Ralph Medellin



**U.S. Customs and  
Border Protection**

# Objectives

- Systematic 17-point conveyance inspection process
- Identifying security breaches
- Sealing Criteria
- Seal inspection procedures



## 17-Point Truck & Trailer Inspection

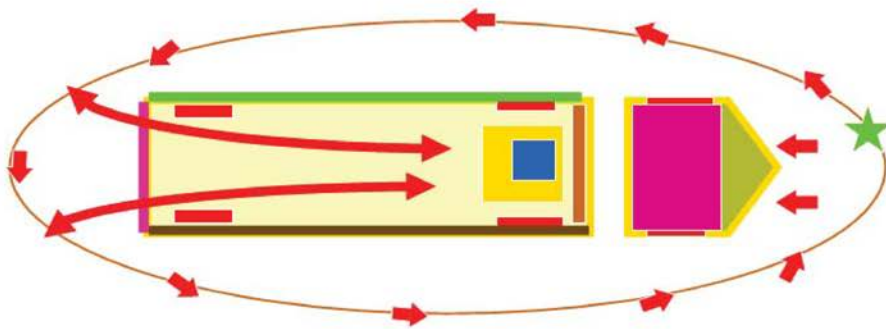


1. Bumper
2. Engine
3. Tires (truck & trailer)
4. Floor (inside truck)
5. Fuel Tanks
6. Cab/ Storage Compartments
7. Air Tanks
8. Drive Shafts
9. Fifth Wheel
10. Outside/ Undercarriage
11. Floor (inside)
12. Outside/ Inside Doors
13. Side Walls
14. Ceiling/ Roof
15. Front Wall
16. Refrigeration Unit
17. Exhaust



# Conduct a Systematic Inspection

Begin and end your inspection at the same point every time.



## Bumpers

Point 1



## Engine Area

Point 2



## Tires

Point 3



Point 3

## Tires

- Recently Mounted
- Tampered Bolts
- Water Streaks



## Floor

Point 4



## Fuel Tanks/Battery Box

Point 5



## Fuel Tank Compartment

Point 5



Point 5

## Fuel Tank



Point 6

## Cab/Sleeper



## Storage Compartment

Point 6



## Air Tanks

Point 7





## Drive Shaft

Point 8



## Fifth Wheel Area

Point 9



## False Floor in Fifth Wheel

Point 9



## Fifth Wheel Area

Point 9



## Outside Undercarriage

Point 10



## False Floor

Point 11



## False Floor in Trailer

Point 11



## Floor Compartment

Point 11



## Door Hardware

Point 12



## Check Hinges

Point 12



## Side Wall Compartments

Point 13



## Side Walls

Point 13



## Side Wall Kick Panel

Point 13



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## Ceiling/Roof

Point 14



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# Roof Compartments

Point 14



# Roof Compartments

Point 14





## Front Wall Compartments

Point 15



## Dry Box – Front Wall

Point 15



## Contraband in False Wall

Point 15



## Refrigeration Unit

Point 16



## Exhaust / Air Deflector

Point 17



## Procedures for a Sealed Container

- Conduct a systematic 7-point inspection
- Verify the trailer/container integrity prior to leaving the yard and any stop while in transit to the border.
- Verify the seal number and seal integrity



# 7-Point Inspection

- Be systematic



## C-TPAT Criteria...

Criteria

### Container Security (Importer):

- Container integrity must be maintained to protect against the introduction of unauthorized material and/or persons.
- At point of stuffing, procedures must be in place to properly seal and maintain the integrity of the shipping containers.
- A high security seal must be affixed to all loaded containers bound for the U.S.
- All seals must meet or exceed the current ISO/PAS 17712 standards for "High Security" seals.



## C-TPAT Criteria...

### Container Security (Highway Carrier):

- When transporting a container or trailer for a C-TPAT importer, a high security seal that meets or exceeds the current ISO PAS 17712 standards for high security seals must be utilized.

### Trailer Seals (Highway Carrier):

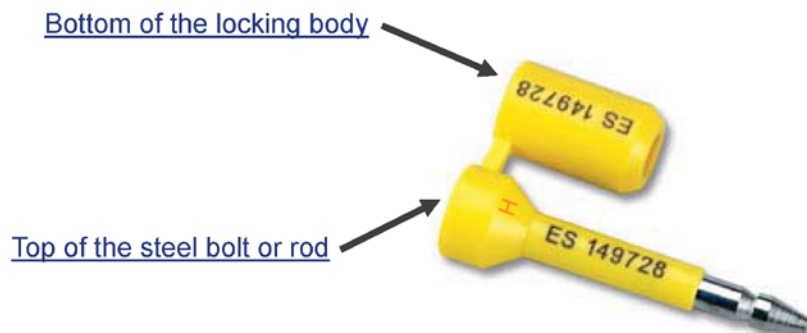
- The sealing of trailers, to include continuous seal integrity, are crucial elements of a secure supply chain, and remains a critical part of a carrier's commitment to C-TPAT.
- A high security seal must be affixed to all loaded trailers bound for the U.S. All seals must meet or exceed the current ISO PAS 17712 standards for high security seals.



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## How Do You Know?

- Look for the "H" stamped on the seal:



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## C-TPAT Criteria...

- Seal Affixing Process:
  - Only designated, authorized employees must distribute and affix container seals for integrity purposes. The fewer people who have access to seals, the better!
  - Unauthorized employees must never handle seals!



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## Container/ Trailer Seals...

- Seal Affixing Process:
  - Seals should be affixed to the right door of the container/ trailer on the hasp that has the welded rivet. This practice will raise the level of security for the shipment.
  - After the seal is affixed to the container, an authorized employee should make sure that the seal is secure by pulling down on it.



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## Container/ Trailer Seals...

Affix Seal

Outside Doors:



Detachable or loose bolts can allow access inside container



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## Container/ Trailer Seals...

Affix Seal



Video



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## Container/ Trailer Seals...

Affix  
Seal



Detachable or loose bolts can allow access inside container



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## Container/ Trailer Seals...

Affix  
Seal

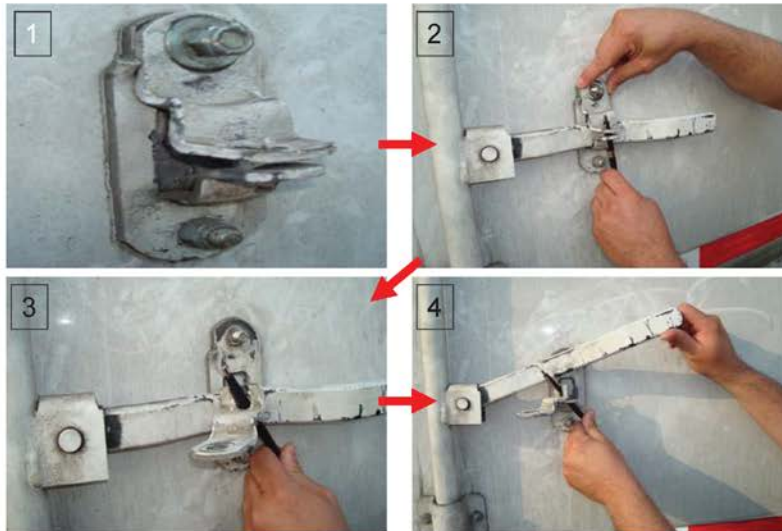


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## Container/ Trailer Seals...

Affix Seal



## Seal Inspection

Seal Verification and Inspection Process:

**V V T T**

- V** - View seal & container locking hardware
- V** - Verify seal number
- T** - Tug on seal to make sure it's on right
- T** - Twist & turn seal to make sure it doesn't unscrew



## Seal Inspection

View Seal

- View seal & container locking mechanisms.



Video

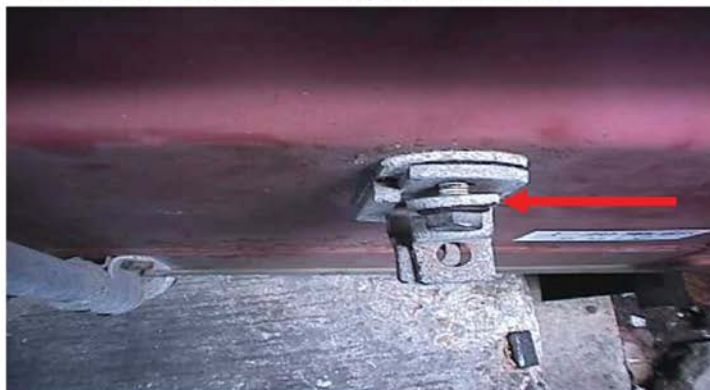


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## Seal Inspection

View Seal

- Seal Verification and Inspection Process:
  - View seal & container locking mechanisms.



Look for loose bolt and hasp



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## Seal Inspection

Verify  
Seal

- Seal Verification and Inspection Process:
  - Verify seal number for accuracy.



Seal number must match paperwork.



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## Seal Inspection

Tug  
Seal

- Seal Verification and Inspection Process:
  - Tug on seal to make sure it is affixed properly. Seals that come apart must be reported to a Supervisor before opening the container. The container might have contraband inside!

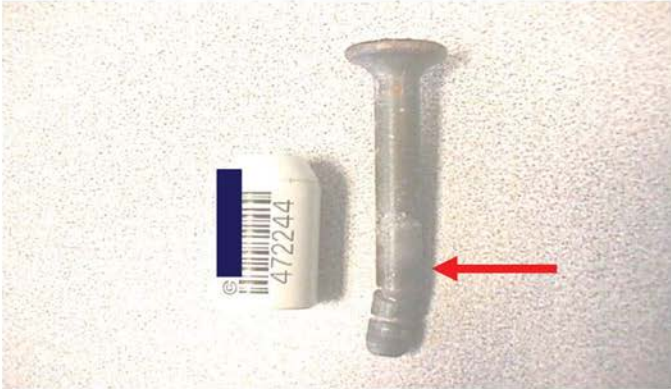


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Tug Seal

# Seal Inspection

- Seal Verification and Inspection Process:
  - Tug on seal to make sure it is affixed properly.



Seal stem is bent. Seal does not lock properly.



Tug Seal

# Seal Inspection

- Seal Verification and Inspection Process:
  - Tug on seal to make sure it is affixed properly.



Glue inside locking mechanism. Seal does not lock properly.



# Seal Inspection

Twist  
Seal

- Seal Verification and Inspection Process:
  - Twist & Turn seal to make sure it does not come off.
  - If a Seal is threaded, it can be unscrewed to gain access.



# Seal Inspection

Twist  
Seal

- Seal Verification and Inspection Process:
  - Twist & Turn seal to make sure it does not unscrew.



Twist counter-clockwise to unscrew.



## Evidence is Always Present

- Visual indications that an area has been disturbed or altered
- Recognition of normal factory construction, normal oxidation, and dirt accumulation from road use.



## Inspection Points

- Scratches
- Burn/Weld Marks
- Tampered Bolts/Rivets
- Fresh Grease
- Fresh Paint
- Silicone
- Fiberglass Patchwork
- Odor Masking Substances
- After Market Modifications



## Summary

- Establish an inspection process that fits your fleet.
- Train your drivers on how to conduct an inspection and verify the seals.
- Management should follow up to ensure drivers are following the established inspection procedures.
- Report all suspicious activity to the appropriate law enforcement agency.



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## Questions?

- Contact your assigned SCSS
- Reference the portal
- or email: [industry.partnership@dhs.gov](mailto:industry.partnership@dhs.gov)



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## 附件 10 C-TPAT Exporter Entity

# C-TPAT EXPORTER ENTITY

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August 18, 2014



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## Topics

- What is the C-TPAT Exporter Entity?
- Why introduce the Exporter Entity now?
- Development of the Exporter Entity
- Exporter Entity Criteria and Eligibility Requirements
- Exporter Entity Benefits
- Mutual Recognition Arrangements (MRA)
- Current Status of the Exporter Entity



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## What is the C-TPAT Exporter Entity?

- Allows Exporters to join the C-TPAT program
- A way to facilitate cargo out of the U.S.
  - CBP has limited export resources
  - Focus resources on high threat areas
- It is not a new program
  - Adding an **entity** to the existing C-TPAT program
    - No pilot—however, we will be starting slowly with companies that are only EXPORTERS
    - No federal registry notice (FRN)
  - C-TPAT portal is being **updated** to accept exporters
    - Adding new Exporter eligibility requirements
    - Adding new Exporter security criteria



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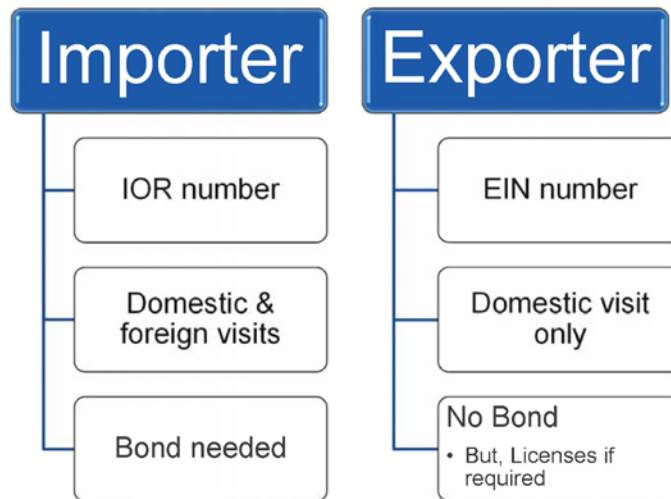
## What is the C-TPAT Exporter Entity? (cont'd)

- Adding Exporter questions to a new security profile
  - This means importers who export will complete the additional export questions but have one application
  - Questions will overlap by 45 questions making the security profile longer
  - It saves an importer who is also an exporter from having to complete a completely new application
  - Exporters can apply by logging into our C-TPAT web portal which will be announced on [cbp.gov](http://cbp.gov)



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## C-TPAT Importer vs. Exporter



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## Why C-TPAT Exporter Entity now?

### Objectives:



- Demand – COAC (customs advisory committee) requested the program in **2011**.
- To allow exporters in the program
- Align C-TPAT to be more compatible with the WCO's **SAFE** Framework and global Authorized Economic Operator (**AEO**) programs.
- Ensure the benefits from current and future Mutual Recognition Arrangement's (MRA) are reciprocal.
- To support the President's National Export Initiative (**NEI**) and the National Strategy of 2010 for Global Supply Chain Security.



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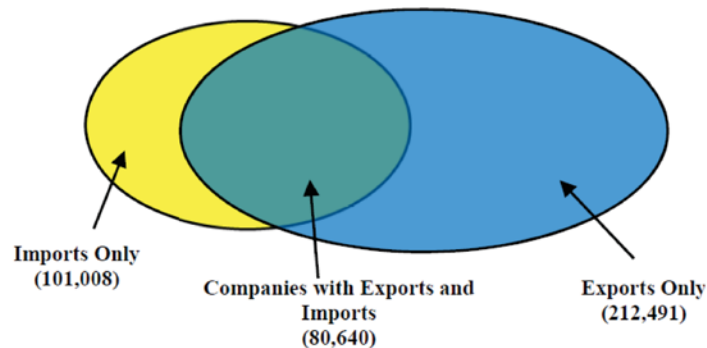
## Why C-TPAT Exporter Entity now?

- C-TPAT and AEOs are setting global standards
- Current issue with AEOs – foreign companies receive benefits upon importing into the U.S. but:
  - U.S. Exporters **NOT** receiving benefits from the U.S. or abroad
    - 2014 Goal
      1. Create an avenue for U.S. exporters to join C-TPAT for the first time
      2. Offer U.S. trade facilitation benefits to U.S. Exporters
      3. Obtain foreign AEO or foreign benefits for U.S. Exporters
- To accomplish this, we need Mutual Recognition Arrangements (MRA) with nations we are exporting to which allow our exporters receive benefits



## Why C-TPAT Exporter Entity now?

2010 Number of Identified Companies that Only Export, Only Import, or do Both

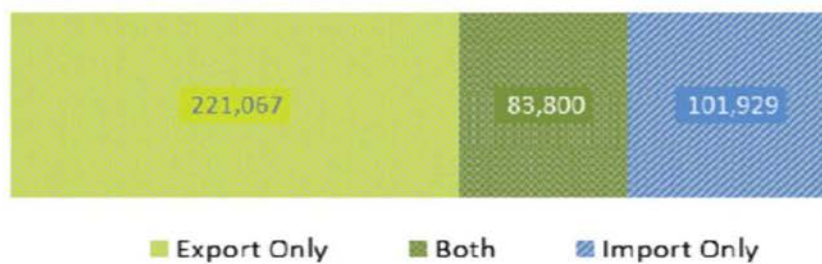


Obtained from [census.gov/foreign-trade/press-release/edb/2010/edbrel.pdf](http://census.gov/foreign-trade/press-release/edb/2010/edbrel.pdf)



## Increased Expectations

**Figure 3: 2012 Number of Identified Companies that Export, Import or Both**



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<http://www.census.gov/foreign-trade/Press-Release/edt/2012ledbret.pdf>


## How the Exporter Entity Developed

- Input from COAC (trade stakeholders)
  - Eligibility requirements
  - Security criteria— which is the basis of the validation report
  - Approved by COAC in May, 2014
- Input from other agencies
  - Department of Commerce - BIS
    - March 25, 2014, a Briefing given to the PECSEA group concerning the exporter entity
  - CBP's Export Controls gave their input
    - Export Subject Matter Experts (SMEs)
    - National Targeting Center (NTC)- benefits discussions
- Input from Field Directors & Export Operations in HQ and OFO
  - Electronic Surveys were sent out to develop the security criteria



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# Exporter Entity Flyer



**FACT SHEET**


**U.S. Customs and Border Protection** Customs-Trade Partnership Against Terrorism

**C-TPAT Exporter Entity**  
CBP will begin engaging and evaluating high-risk exporters to further strengthen the international supply chain and to increase transparency and cooperation with global partners through the Automated Border Clearance System (ABCS). This effort is consistent with President Obama's National Security Strategy (NSS), and further Customs and Border Protection's (CBP) commitment to work with the private sector to work. This effort is consistent with President Obama's National Security Strategy (NSS), and further Customs and Border Protection's (CBP) commitment to work with the private sector to work.

**Eligibility to attend C-TPAT training and evaluate risk in the context of their operations which permits appropriate access to services with other C-TPAT members.**

**Access to the C-TPAT threat system:** C-TPAT participants receive a number of communications with the highest NPI and receive more timely security alerts.

**Customs treatment:** Application of a number of all-risk regulations. Customs treatment may be enhanced for the separation of officers and personnel.



**FACT SHEET**

**U.S. Customs and Border Protection** Customs-Trade Partnership Against Terrorism

**Risk Assessment**

Severe  
 High  
 Significant  
 Low

**Exporter Entity Eligibility Requirements**  
Entities that wish to participate in the C-TPAT program must meet with the program objectives of all exporters as well as meet with the following eligibility requirements:

- Be an active U.S. Exporter of the United States.
- Show a business office located in the U.S.
- Be an active U.S. Exporter with a minimum:
  - A business Identification Number (BIN), or
  - U.S. Data & Business (DIB) number.
- Show a documented export activity program and a designated officer or manager who will act as the C-TPAT program main point of contact. Additionally, the participant should have an active point of contact, should the designated point of contact be unavailable.

**C-TPAT Program**  
1000 Pennsylvania Avenue, NW  
Washington, DC 20535  
(800) 368-5888  
industry.partners@cbp.dhs.gov



# Definition of a C-TPAT Exporter

- For C-TPAT purposes, an exporter is defined as:
  - A person or company who, as the principal party in interest (**USPPI**) in the export transaction, has the power and responsibility for determining and controlling the sending of the items out of the United States.



## Exporter Eligibility Requirements

1. Be an active U.S. Exporter out of the U.S.
2. Have a business office staffed in the U.S.
3. Be an active U.S. Exporter with a documentable
  - a. Employer Identification Number (EIN),
  - or
  - b. Dun & Bradstreet (DUNS) number,



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## Exporter Eligibility Requirements

4. Have a documented exporter security program and a designated officer or manager who will act as the C-TPAT program main point of contact. Additionally the participant should have an alternate point of contact should the designated point of contact be unavailable.
5. Commit to maintaining the C-TPAT supply chain security criteria as outlined in the C-TPAT Exporter agreement.



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## Exporter Eligibility Requirements

6. Create and provide CBP with a C-TPAT supply chain security profile.
7. The Exporter must have an acceptable level of compliance for export reporting for the latest 12-month period and be in **good standing** with U.S. Regulatory Bodies such as: Department of Commerce, Department of State, Department of Treasury, Nuclear Regulatory Commission, DEA, and DoD.



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## Exporter Entity Criteria

1. Risk Assessment
2. Business Partner Requirements – screening of business partners
3. Container Security – 7 or 17 point container inspection
  - a. Container Seals – ISO 17712
  - b. Conveyance Tracking and Monitoring Procedures – know where the cargo is at all times.
4. Physical Access Controls – Identification for workers & visitors
5. Personnel Security – Hiring practices



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## Exporter Entity Criteria

6. Procedural Security - Security of shipping documentation
7. Physical Security - Fencing, parking, building, key controls, lighting, alarms and CCTV.
8. Exporter Training and Threat Awareness - Training to employees in IT, threats, reporting, cargo security, access controls, opening mail, cargo integrity, container searches, application of seals, and administering incentives.
9. Information Technology - Computer passwords, virus protection



## C-TPAT Benefits Comparison

### Imports

- Benefits
  - Front of line
  - Lower threat score
  - FAST lane
  - SCSS direct contact
  - Portal access
  - Marketability
  - Business resumption
  - Common Standard

### Exports

- Benefits
  - Front of line
  - Top of the list
  - FAST lane – Maybe with PIP
  - SCSS direct contact
  - Portal access
  - Marketability
  - Business resumption
  - Common Standard
  - Foreign port benefits for MRA countries



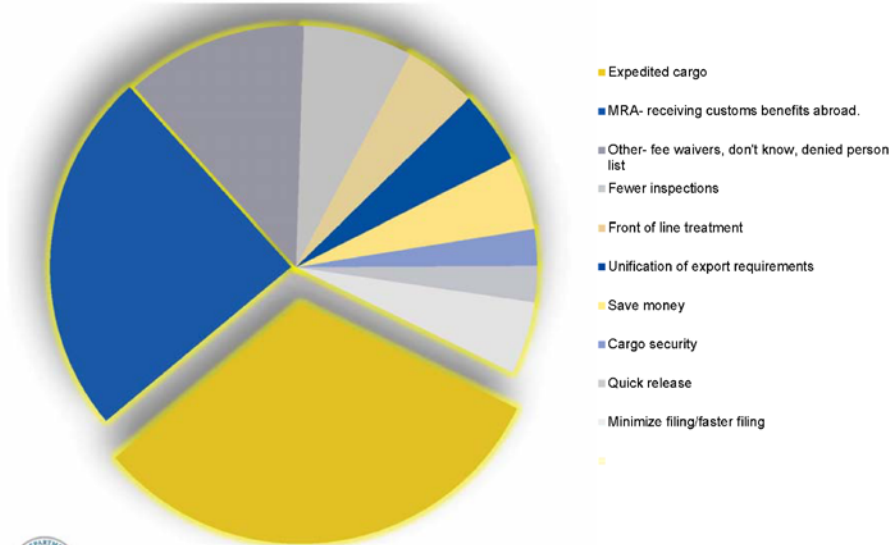


# Exporter Benefits Poll

- “Agreement for Current and Future Export Operations” via our C-TPAT web portal.
  - Importers that are also exporters can self-identify.
  - The company agrees to adhere to the requirements of C-TPAT, CBP and other government agencies (as relevant) when exporting from the United States
  
- Sent to importers who are also exporters on April 2, 2014.
  - Sent to **287** importers who are also exporters
  - Questions pertained to exporter benefits
  - As of July 10, 2014, **311** importers have checked off an interest in exports

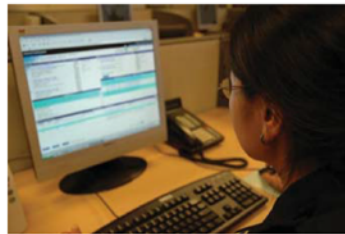


# Exporter Benefits Poll Results



## Customs MRA Overview

- For the United States, a customs Mutual Recognition Arrangement (MRA) is a document that formally states that the customs security requirements or standards of the foreign industry partnership program, as well as its verification procedures, are the **same or compatible** with those of the potential MRA partner.

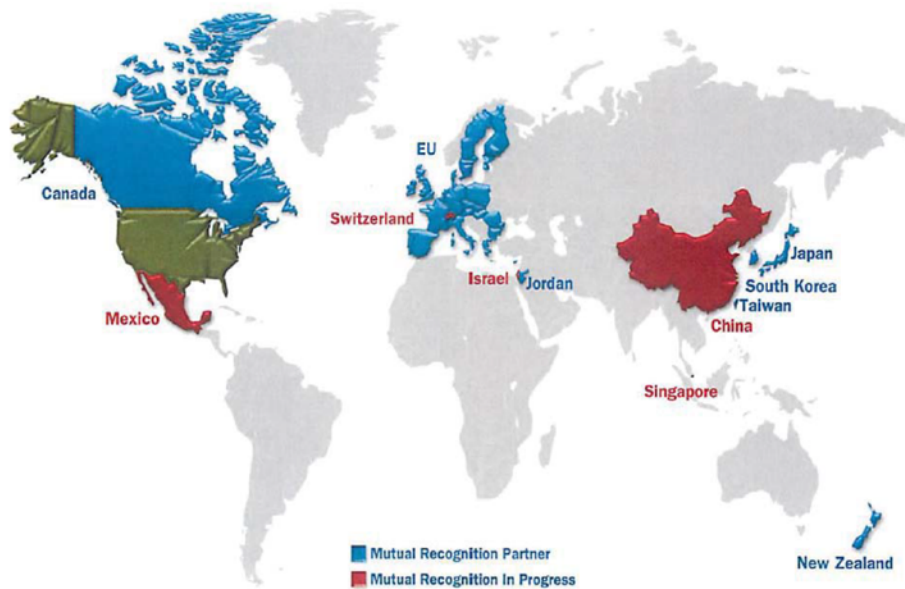


As of July 2014, CBP has signed **eight Mutual Recognition Arrangements (MRA)**, most of them with the U.S. top trading Partners:

- New Zealand – 2007 – *Secure Export Scheme (SES)*
- Canada – 2008 – *Partners in Protection (PIP)*
- Jordan – 2008 – *Golden List*
- **Japan – 2009 – Authorized Economic Operator (AEO)**
- Korea – 2010 – *Authorized Economic Operator (AEO)*
- **European Union – 2012 – Authorized Economic Operator (AEO)**
- Taiwan – 2012 – *Authorized Economic Operator (AEO)*
- Israel – 2014 – *Authorized Economic Operator (AEO)*

MRA doesn't mean they are all currently requesting C-TPAT status and offering benefits; only those in **GREEN** are.





## Implications of MRAs

- MRA allows CBP to offer benefits to exporters due to the agreements in place that:
  - Agree to the same security standards and verification procedures
- This means that other countries rely on CBP to conduct security reviews based on the agreed upon security criteria and **in response** they can offer U.S. exporters benefits
- With over 54% of all imports to the U.S. are by importers in the C-TPAT program our goal is to create the same scenario for outbound cargo



## How the current MRA process works for Exporters (importers who export)

### Benefits:

- Eligible C-TPAT Tier 2 and Tier 3 Importers are able to receive benefits when exporting cargo to **Japan** and the **European Union**.
  
- C-TPAT Tier 2 and Tier 3 Importers must ensure the following:
  - Company Officer signs the Exporter Operations Agreement.
  - Checks the Mutual Recognition (MR) Agreement box.
  - Checks the MR Program boxes.
  
- The export incentives/benefits with The EU is automated.



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## EU: Initiating Benefits

- Automated Data Exchange
  - As of today, C-TPAT has an **automated** data exchange process with the **EU**.
  - C-TPAT's goal is to **automate** every MRA data exchange in the future.
  
- **Manual Data Exchange with Japan**
  - C-TPAT generates a report for Japan's AEO with companies who have completed the necessary exporter sections and checked the Japan box in the portal
  - The report is compiled and sent to Japan's AEO
  - Japan AEO sends C-TPAT HQ the 12 digit exporter codes that are to be used when exporting cargo to Japan.
  - The 12 digit codes for Japan are location specific. Ensure that the proper code is filed upon entry to Japan for the correct U.S. location.



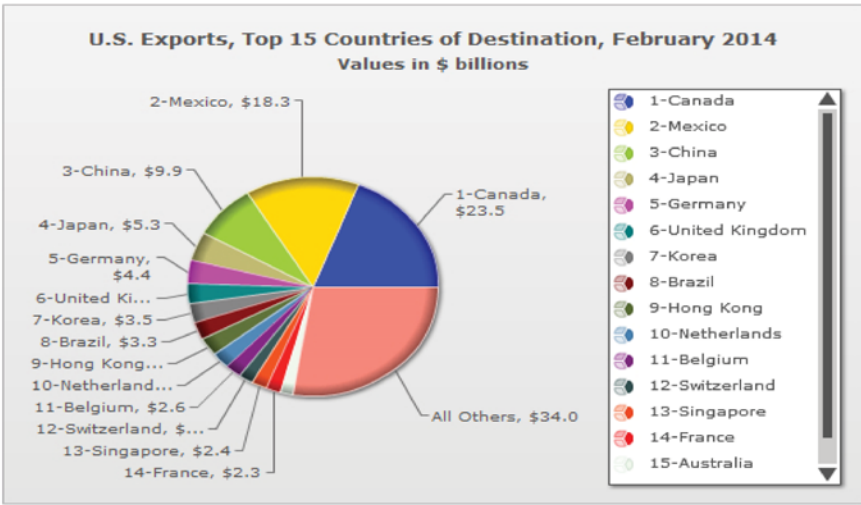
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# MRA Challenges

- Language differences
- Computer systems and resources
- Benefits vary from AEO
- Regulations blocking sharing of information
- Compatible systems that share status



# Top U.S. Export Partners



## Timeline for Exporter Entity

- Rollout is scheduled for after Portal Phase II is in operation - end of 2014
- Currently programming the new entity into C-TPAT Portal 2.0
- Will take place with **exporters** only
- **Multi-mode business models**
  - Importer/Exporter



## Status of the Exporter Entity

- Deployment of C-TPAT Portal 2.0 is delayed due to issues with required **hardware**.
- Exporter eligibility and security criteria have been reviewed and approved in May 2014 by COAC
  - C-TPAT portal is being programmed with Exporter questions and criteria
  - C-TPAT portal will generate questions to build validation reports in Phase III, set for deployment in early 2015
- SCSS training will take place August 2014
- First validations begin early 2015



## Summary



- Roll out of the program will be end of 2014
- Applications will be accepted from exporters only
- Benefits will include both U.S. and foreign facilitation benefits
- Exporter Entity applications will be taken online
- Google **C-TPAT login** - it will be at the top of the list or
- <https://ctpat.cbp.dhs.gov/Login.aspx?ReturnUrl=%2f>



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## C-TPAT EXPORTER ENTITY

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## 附件 11 SAFETY Act

# SAFETY Act

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## Contents

- What is the SAFETY Act?
- C-TPATs involvement with the SAFETY Act
- Benefits
- Requirements needed to participate
- Entities covered in C-TPAT
- Process C-TPAT is going through
- Examples of the SAFTEY Act
- Summary



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## What is the SAFETY Act?

- DHS program
  - Support **A**nti-terrorism by **F**ostering **E**ffective **T**echnologies Act (SAFETY Act) of 2002
  - Congress developed the act to encourage the creation of **effective** anti-terrorism technologies that could prevent attacks and save lives
  - Companies feared being legally liable if they developed anti-terror technologies and this act protects them
  - Facilitate the development of anti-terrorism **technologies** by creating systems of :
    - Risk management
    - Litigations management – provides legal liability protections
  - These technologies can potentially prevent future terror attacks.
    - Enhancing public protection against terror attacks
  - Protections apply **only** to acts of terrorism



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## Examples of SAFETY Act Technologies

- TSA's screening processes
- K-9s trained to detect explosives
- Border surveillance systems
- Products
- Explosive detection systems
- Security plans/services
- Blast mitigation materials
- Software



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## Why SAFTEY Act?

- Demand from our partners
- It makes sense
  - The C-TPAT program and CBP's primary objective is anti-terrorism
  - C-TPAT's security criteria lessens the chance of tampering cargo and qualifies as a "technology."
- Provides an additional benefit to C-TPAT partners
  - Saves time and effort for those applying to the SAFETY Act
- Incentive to improve levels of security beyond that of the minimum security criteria.
  - C-TPAT evolves to get better as the threats change
  - Reminder that this program can prevent loss of life



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## SAFETY Act Benefits

Allows the following benefits:

- Caps liability limits on civil lawsuits
- Limits lawsuits to the federal courts
- Only direct litigation is recognized
- Payout of lawsuits can only be for actual damages



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## SAFETY Act Benefits (cont'd)

- SAFETY Act protections extend to users of the technology.
- Legal action may be brought only against the qualified anti-terror technology, not against the buyers, contractors, downstream users or any other person or entity.
- Designations last for five years
  - In the case of C-TPAT members, will last up to five years provided revalidations and Tier III status continue.
  - Designation may be renewed based on continued status as Tier III partner in good standing.



## SAFETY Act / C-TPAT Requirements

- Terror insurance coverage – basic coverage
- Be in good standing with the C-TPAT program
  - Once you lose C-TPAT status, SAFETY Act coverage will end
    - Security profiles up to date
    - Risk assessments completed
    - Revalidations are done timely
  - SAFETY Act Designation may be reinstated when C-TPAT Tier II status is restored
- DHS does not charge fees for being in the program



## Time saved applying through C-TPAT

- Normal SAFETY Act processing time is 120 days
- Under the C-TPAT Block Designation, processing time should be 90 days, or less.
- Technical documentation supporting the application is minimized.
- Through C-TPAT, the application process is simplified to the point that a pre-application isn't needed.



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## Entity Participation

- Tier III companies
  - Importers
  - Why? Safety Act is an incentive program built on the need to increase anti-terrorism detection, deterrence and prevention capabilities.
  - DHS desires the highest levels of security
  - Examining other entities for participation
    - Highway carriers
    - Others



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## C-TPAT/SAFETY Act process

- Applied as a pre-applicant
- Assigned a SAFETY Act advisor
- Met with DHS internally to discuss program objectives and processes
  - Got the SAFTEY Act 101
- Completed documentation explaining how our “technology” would prevent or deter acts of terrorism
  - Applied for creation of a “block designation”
    - Idea was to have C-TPAT companies get better at anti-terror prevention
  - Our approach is to tackle many areas of security not just one element
    - Our security criteria functions as this service and technology
    - Risk assessment requirements
    - Security profiles enhance security



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## C-TPAT/SAFETY Act process

- Completed our Exhibit A description of the “Technology”
- Defined tier III companies
  - Exceed minimum security criteria



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## Current Status

- Submitted our criteria, policies, explained the program to DHS
- Reviewed tier III
- Completed Exhibit A (in review within DHS)
- Awaiting further notification from DHS
- Should have block designation by the end of September 2014



## Summary

- No costs for program participation
- Only applies to acts of terrorism but may provide competitive advantage for future contracts
- Must apply through SAFETY act first then use C-TPAT as your "technology."
- Must be in good standing/certified exceeding status with C-TPAT as a Tier III partner
- C-TPAT block designation by the end of September 2014
- Apply individually through [www.safetyact.gov](http://www.safetyact.gov)
- Call Toll-Free: 1-866-788-9318 for assistance



# SAFETY Act

George Rudy

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August 26-28, 2014



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# 附件 12 AEO International Conference Agenda

## AEO INTERNATIONAL CONFERENCE San Antonio, Texas 28 August 2014

Thursday, August 28 <sup>th</sup>	
08:45 – 9:15	<b>Registration</b>
	<b>Conference Facilitator:</b> Ana Hinojosa Deputy Assistant Commissioner, Office of International Affairs, U.S. Customs and Border Protection (CBP)
09:15 – 9:30	<b>Opening Address:</b> Gil Kerlikowske Commissioner, CBP
09:30 – 10:45	<b>Panel Discussion: AEO Development: Sharing of Experiences and Best Practices</b> <i>(Description: Interactive discussion designed to address a wide variety of experiences and advancements pertaining to both developing and established AEO programs. This discussion will explore various subjects, to include basic challenges faced during AEO program development, as well as opportunities for increased exchange of information regarding best practices and effective program growth techniques.)</i>
	<b>Moderator:</b> Ron May, Acting Director, C-TPAT, CBP <ul style="list-style-type: none"> <li>• Isabel Clavijo, Representative from Mexico Customs</li> <li>• Shoko Kitada, Representative from Japan Customs</li> <li>• Wu-Yen Wen, Representative from Taiwan Customs</li> <li>• Roxana Machado, Representative from Uruguay Customs</li> </ul>
10:45 – 11:15	<b>Break</b>
11:15 – 12:30	<b>Panel Discussion: Building Blocks of a Sustainable AEO Program</b> <i>(Description: This discussion will focus on exploring the international blueprint for AEO program development, implementation and mutual recognition. A portion of the time will include a discussion on the use of international guidance and standards pertaining to AEO program development and how these are evolving through practice and experience.)</i>
	<b>Moderator:</b> David Dolan, Director, International Organizations and Agreements Division, Office of International Affairs, CBP <ul style="list-style-type: none"> <li>• Paul Allen, Representative from Canada Border Services Agency</li> <li>• CK Fan, Representative from Hong Kong Customs</li> <li>• Aida Aquino, Representative from Dominican Republic Customs</li> </ul>



	<ul style="list-style-type: none"> <li>• Steve Krupinsky, C-TPAT</li> </ul>
12:30 – 14:00	<b>Lunch</b>
14:00 – 15:30	<p><b>Panel Discussion: Engaging the Trade Community and Effective Program Growth Methods</b></p> <p><i>(Description: This dialogue blends customs-business partnership practices with the establishment and implementation of supply chain security partnership programs. The individuals participating in the panel have a comprehensive understanding of the needs of the trade community.)</i></p> <p><b>Moderator:</b> Isabel Clavijo, Representative, Mexico Customs</p> <ul style="list-style-type: none"> <li>• Blanca Barandiaran, Representative from Peru Customs</li> <li>• Shawna Williams, Representative from Jamaica Customs</li> <li>• Geoff Bowering, Representative from Australia Customs</li> <li>• Manuel Garza, C-TPAT</li> </ul>
15:30 – 16:00	<b>Break</b>
16:00 – 17:30	<p><b>Panel Discussion: The Future of AEO: Creating a Global Network of Programs</b></p> <p><i>(Description: This panel explores the future of AEO programs and associated mutual recognition from an aspirational approach. The forecasted future of supply chain security engagements provides a discussion platform for the development of international systems of mutual recognition of AEO status not only at a bilateral level, but at a sub-regional, regional and, eventually global level, as stated in the WCO SAFE Framework. A global linkage of compatible AEO programs will set the stage for a secure and compliant international supply chain.)</i></p> <p><b>Moderator:</b> Bryan Picado, CBP Advisor, Lima, Peru</p> <ul style="list-style-type: none"> <li>• Tang Qingtao, Representative from China Customs</li> <li>• Garry Collins, Representative from New Zealand Customs Service</li> <li>• Ted Laurentius, Representative from Canada Border Services Agency</li> <li>• Hector Landeros, Technical Officer, World Customs Organization</li> </ul>
17:30 – 18.00	<p><b>Closing Remarks:</b></p> <p>Ana Hinojosa Deputy Assistant Commissioner, Office of International Affairs, CBP</p>

# 附件 13 AEO International Conference Discussion Questions

## AEO INTERNATIONAL CONFERENCE

### Discussion Questions

#### Panel Discussion: AEO Development: Sharing of Experiences and Best Practices

*(Description: Interactive discussion designed to address a wide variety of experiences and advancements pertaining to both developing and established AEO programs. This discussion will explore various subjects, to include basic challenges faced during AEO program development, as well as opportunities for increased exchange of information regarding best practices and effective program growth techniques.)*

*Moderator: Ron May, Acting Director, C-TPAT, CBP*

- Isabel Clavijo, Representative from Mexico Customs
- Shoko Kitada, Representative from Japan Customs
- Wu-Yen Wen, Representative from Taiwan Customs
- Roxana Machado, Representative from Uruguay Customs

#### Discussion Questions:

In their introductions, have each representative provide some basic information (how old the program is, how many members, how many MRAs, etc)

In Sep 2006, Taiwan submitted “letter of intent for implementing SAFE Framework” to APEC. Start to implement WCO SAFE Framework which included AEO program in 2009. The implementation of Taiwan AEO is separated into two stages. In stage I, we include Security and Safety AEO into Authorized Trader System which validates only importer and exporter. We run pilot project with 2 manufacturers. After one year, in stage II, all the other supply chain operators are included. Which are manufacturers, customs brokers, freight forwarders, shipping agencies, warehouse operators, highway carriers, sea carriers, and air carriers that involved in international movement of goods. So far Taiwan AEO have 294 AEOs and 323 AEOGs. In 2012, we signed Mutual Recognition Arrangement with US. And again, we signed Mutual Recognition Arrangement with Singapore and Israel in 2013.

- What are the critical first steps that need to be taken when establishing an AEO program?  
I believe legislations are the most important foundation. Once you have the solid foundation, the only question is how to realize and maintain them.
- What are the major challenges your administration encountered during the development of your AEO program? If we think about the elements that contribute to program success, such as political will, strong human resources, technical resources, private sector collaboration, etc., is there one which contributed the most to the growth of your program?  
Taiwan AEO has solid legislations and strong high level support as foundation and that contributes the most to the growth of our program. But even so, human resources are always an issue in both quantity and quality. Since Supply Chain Security Specialist is not a traditional task for customs, we make a lot of effort on capability building together with cooperation and collaboration with private sectors.
- Please identify a few lessons learned during the developmental phase of your program.

Since supply chain security is not a traditional task for customs, never pretend you know better than the private sectors. You need to learn and understand the supply chain of private sectors so you may help them to improve their supply chain security. And then this will also help customs to do better risk assessment on incoming threat.

- Tell us about your experience with Supply Chain Security Specialists- has your agency created a new job description or cross-trained existing Customs officers?

We are not so lucky to have dedicated personnel for Supply Chain Security Specialists. And even worse, they need to do job rotation. But in this way, we can extend the concept of AEO in our customs and make the program useful and sustainable.

- What are some best practices and program growth techniques you would like to share?  
As I mentioned, customs is never an expert in all supply chain. Introducing risk assessment techniques such as HB167 and ISO31010 to private sectors will be very helpful for customs to understand their supply chain.

#### Panel Discussion: Building Blocks of a Sustainable AEO Program

*(Description: This discussion will focus on exploring the international blueprint for AEO program development, implementation and mutual recognition. A portion of the time will include a discussion on the use of international guidance and standards pertaining to AEO program development and how these are evolving through practice and experience.)*

*Moderator: David Dolan, Director, International Organizations and Agreements Division, Office of International Affairs, CBP*

- Paul Allen, Canada Border Services Agency
- CK Fan, Representative from Hong Kong Customs
- Aida Aquino, Dominican Republic Customs
- Steve Krupinsky, C-TPAT

#### Discussion Questions:

In their introductions, have each representative provide some basic information (how old the program is, how many members, how many MRAs, etc)

- Did your administration follow international guidelines during the development of your AEO program? If so, which ones?
- To what extent did your administration utilize the WCO SAFE Framework guidelines? What portions of the Framework did you find to be most useful? Is there anything you would recommend to be incorporated into future versions of the Framework and/or the SAFE Package?
- What is the role of foreign counterparts, donor organizations, or other groups in the development and implementation of other programs? Have you provided or benefitted from assistance from any of these groups? If so, what type of assistance?
- Have you been exploring the possibility of mutual recognition with other countries? If so, please describe your experience.

<p><b>Panel Discussion: Engaging the Trade Community and Effective Program Growth Methods</b></p> <p><i>(Description: This dialogue blends customs-business partnership practices with the establishment and implementation of supply chain security partnership programs. The individuals participating in the panel have a comprehensive understanding of the needs of the trade community.)</i></p>
<p><b>Moderator:</b> Isabel Clavijo, Representative, Mexico Customs</p> <ul style="list-style-type: none"> <li>• Blanca Barandiaran, Peru Customs</li> <li>• Shawna Williams, Jamaica Customs</li> <li>• Geoff Bowering, Representative from Australia Customs</li> <li>• Manuel Garza, C-TPAT</li> </ul>
<p><b>Discussion Questions:</b></p> <p>In their introductions, have each representative provide some basic information (how old the program is, how many members, how many MRAs, etc)</p> <ul style="list-style-type: none"> <li>• How would you describe the role of the trade community in supply chain security?</li> <li>• What initial actions did your administration take to engage with the trade community?</li> <li>• What type of feedback did you receive when introducing your AEO program to the private sector?</li> <li>• What kinds of challenges did you encounter when trying to attract companies to participate in your program?</li> <li>• How has your administration's engagement with the trade community improved your program? What valuable insight has the private sector provided in regards to strengthening your program?</li> <li>• How does engagement on AEO fit within your administration's overall trade engagement?</li> </ul>
<p><b>Panel Discussion: The Future of AEO: Creating a Global Network of Programs</b></p> <p><i>(Description: This panel explores the future of AEO programs and associated mutual recognition from an aspirational approach. The forecasted future of supply chain security engagements provides a discussion platform for the development of international systems of mutual recognition of AEO status not only at a bilateral level, but at a sub-regional, regional and, eventually global level, as stated in the WCO SAFE Framework. A global linkage of compatible AEO programs will set the stage for a secure and compliant international supply chain.)</i></p>
<p><b>Moderator:</b> Bryan Picado, CBP Advisor, Lima, Peru</p> <ul style="list-style-type: none"> <li>• Tang Qingtao, Representative from China Customs</li> <li>• Garry Collins, Counsellor, New Zealand Customs Service</li> <li>• Ted Laurentius, Canada Border Services Agency</li> <li>• Hector Landeros, Technical Officer, World Customs Organization</li> </ul>
<p><b>Discussion Questions:</b></p> <p>In their introductions, have each representative provide some basic information (how old the program is,</p>

how many members, how many MRAs, etc)

- What steps can be taken now to improve the growth of AEO programs on a global level?
- What is your vision for a global network of programs? In your opinion, what does AEO look like in 20 years?
- What barriers do you envision?
- How can we better engage international organizations and other stakeholders in AEO program growth?
- Once countries begin to establish Mutual Recognition Arrangements with their counterparts throughout the world, what are the next steps to be taken? Are bilateral MRAs the building blocks for a global network?