



China Customs Risk Management



May 29, 2012

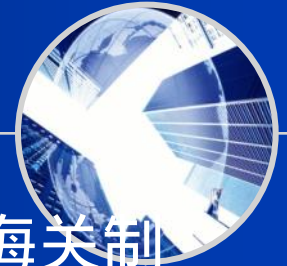


China Customs Risk Management



- 1 Background**
- 2 Organizational Structure**
- 3 Operational Model**
- 4 Application System**
- 5 Practices and Explorations**

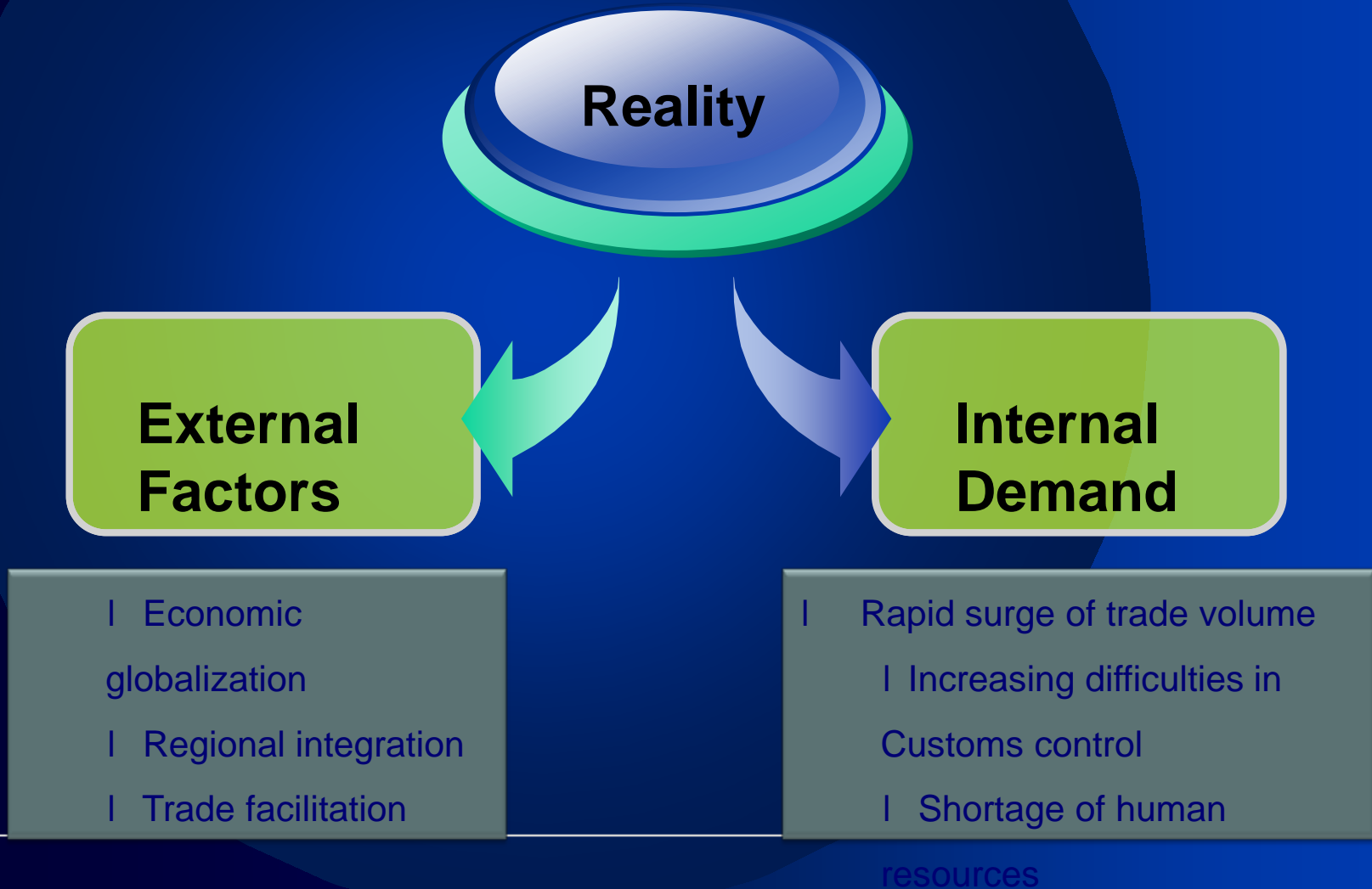
I Background



- ✓ 1973年订立的《京都公约》（《关于简化和协调海关制度的国际公约》）对海关风险有一个定义：海关风险=违反海关法律法规的可能性。The Kyoto Convention (The International Convention on the Simplification and Harmonization of Customs Procedures) concluded in 1973 has defined Customs risks as follows: Customs risks = the possibilities of violation of Customs laws and regulations
- ✓ 世界海关组织在海关风险管理指南中明确：风险管理就是海关管理程序和实务的系统化应用，提供了海关所从事活动、任务所蕴含风险的必要信息。The World Customs Organization (WCO) pointed out in its Customs Risk Management Guidelines: Risk management refers to the systematic application of management procedures and practices providing Customs with the necessary information to address movements or consignments which present a risk.



I. Background





I. Background



Business Characteristics of Shanghai Customs



- ❑ Comprehensive
- ❑ Multiple sites and long lines
- ❑ Huge business volume



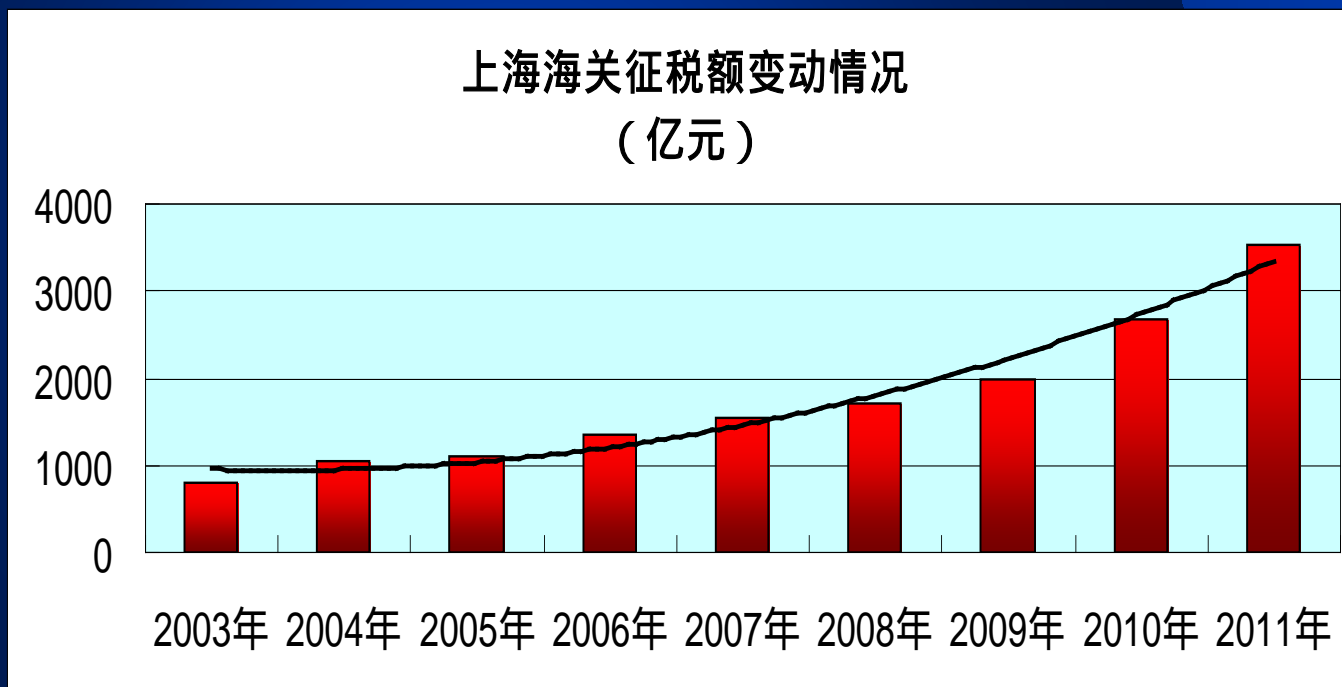


I. Background



Business Characteristics of Shanghai Customs

Variations in Revenue Collected by Shanghai Customs (hundred million yuan)



2003 2004 2005 2006 2007 2008 2009 2010 2011

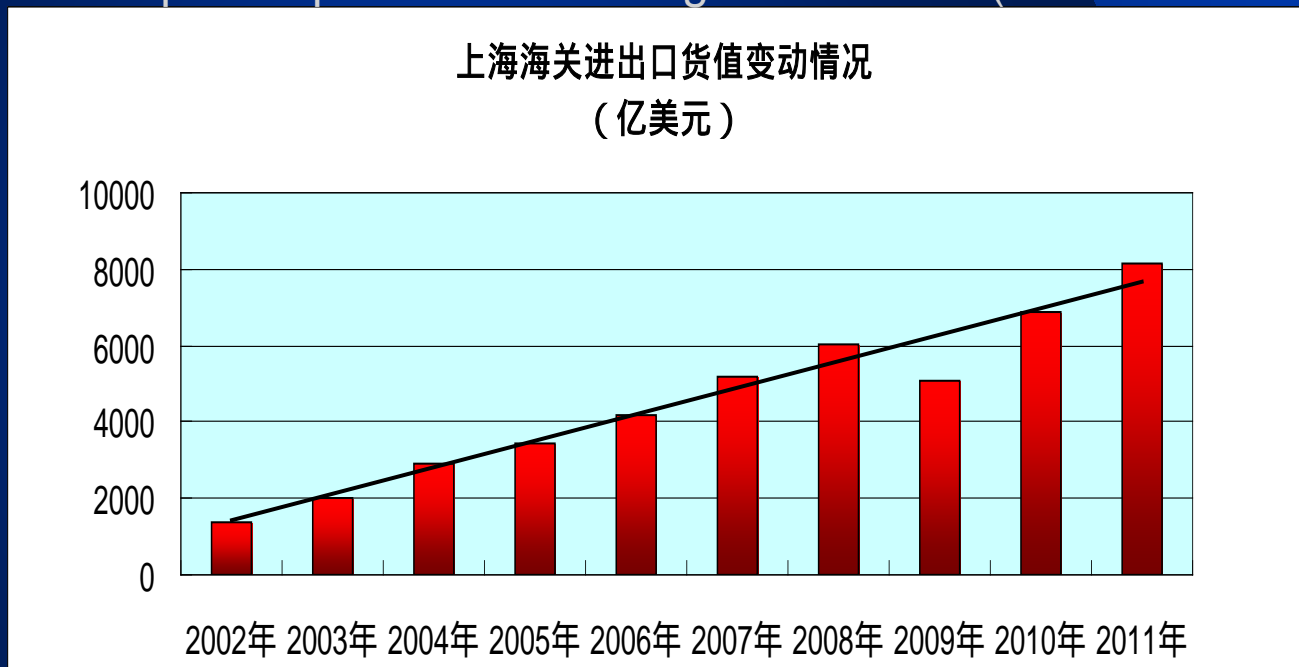


I. Background



Business Characteristics of Shanghai Customs

Variations in Import/Export Value - Shanghai Customs (hundred million yuan)



2002 2003 2004 2005 2006 2007 2008 2009 2010 2011

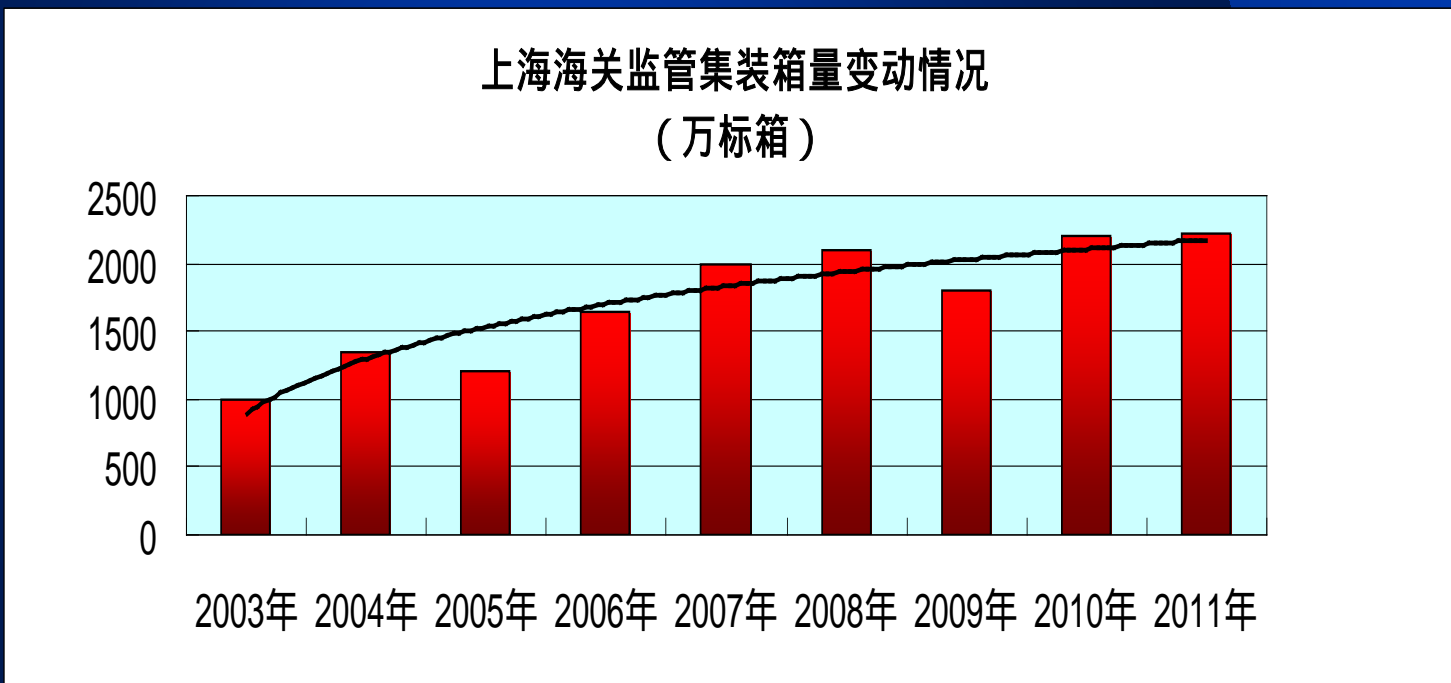


I. Background



Business Characteristics of Shanghai Customs

Variations in the Number of Containers - Shanghai Customs
(unit: ten thousand TEUs)



2003 2004 2005 2006 2007 2008 2009 2010 2011

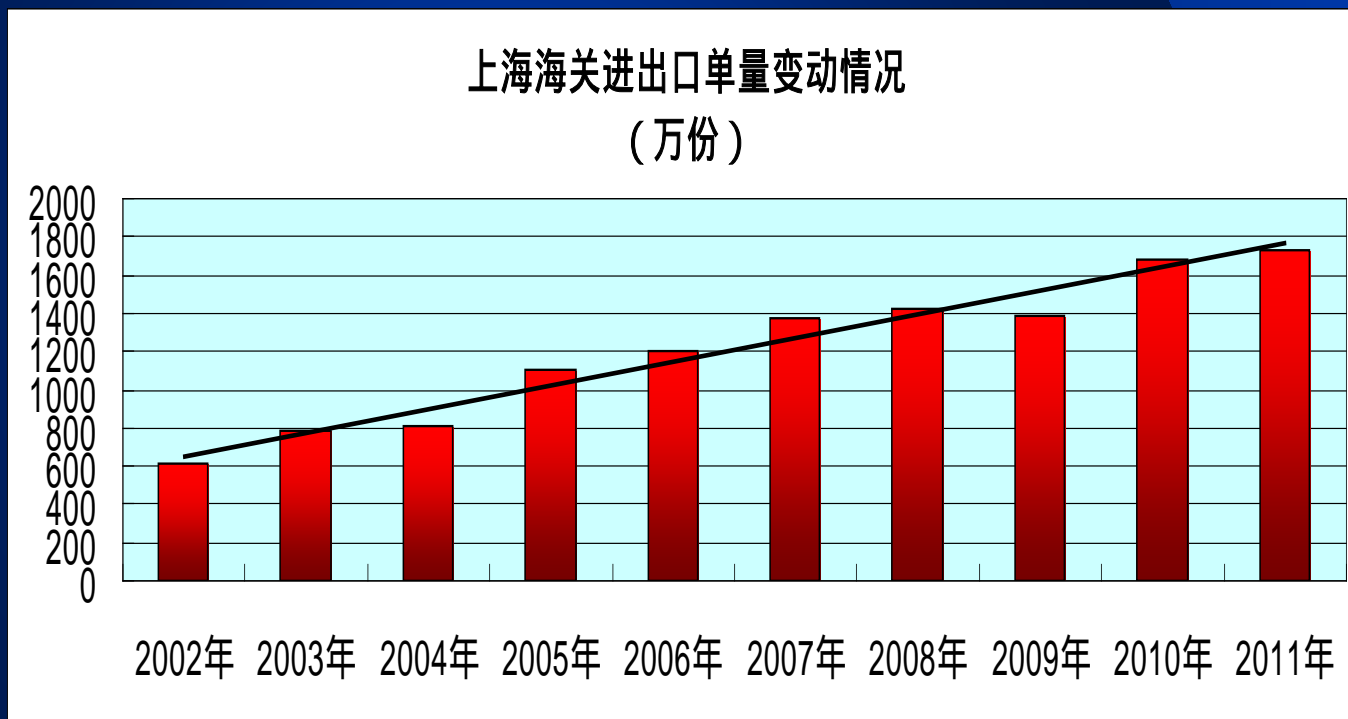


I. Background



Business Characteristics of Shanghai Customs

Variations in the Number of Import/Export Declaration Forms - Shanghai Customs
(Unit: ten thousand)



2002 2003 2004 2005 2006 2007 2008 2009 2010 2011



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II. Organizational Structure



Development of Risk Management





II. Organizational Structure



Department of Customs Audit and Risk Management of GACC

Sub-centers of Risk Parameter Maintenance and Management
(Qingdao, Shanghai, Huangpu)

Risk Management Divisions of Regional Customs

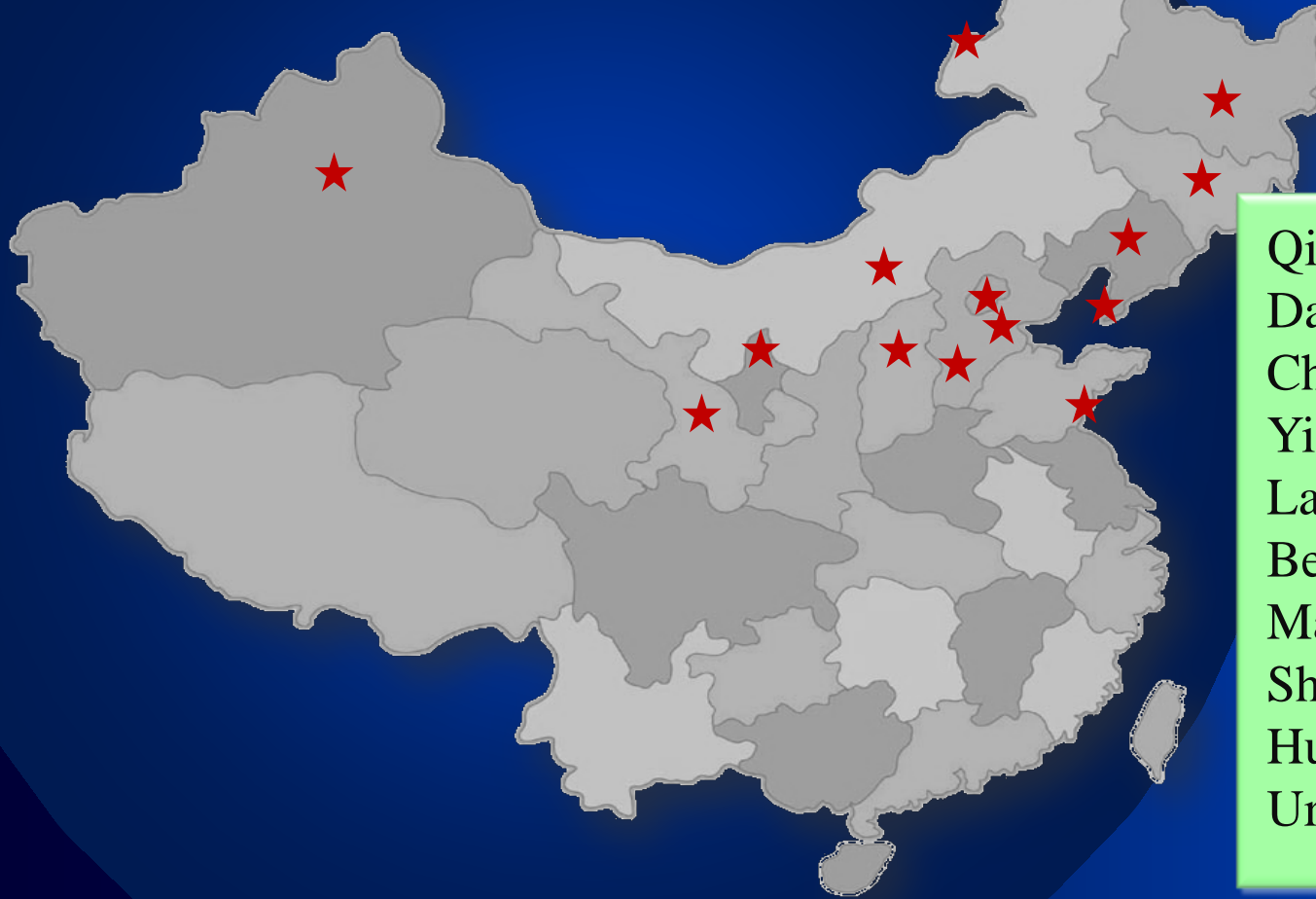
Risk Management Posts of Local Customs Houses



II. Organizational Structure



Jurisdiction of Qingdao Parameter Sub-center



Qingdao, Tianjin,
Dalian, Shenyang,
Changchun,
Yinchuan,
Lanzhou, Taiyuan,
Beijing, Harbin,
Manchuria ,
Shijiazhuang.
Huhhot.
Urumuqi



II. Organizational Structure



Jurisdiction of Shanghai Parameter Subcenter



Shanghai, Nanjing,
Hangzhou,
Ningbo, Wuhan,
Chongqing,
Chengdu, Xining,
Lasa, Xi'an,
Zhengzhou, Hefei



II. Organizational Structure



Jurisdiction of Huangpu Parameter Subcenter



Guangdong, Sub-Administration, Guangzhou, Shenzhen, Gongbei, Shantou, Huangpu, Zhanjiang, Jiangmen, Fuzhou, Xiamen, Kunming, Changsha, Guiyang, Haikou, Nanchang, Nanning



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5 Practices and Explorations



III. Operational Model



Risk Analysis

Risk Handling

Risk Management

**Information
Collection**

Performance Feedback





III. Operational Model



 **Risk Information Collection is the foundation.**

Accurate

Complete

Timely





III. Operational Model



Risk Information Collection is the foundation.

▣ Objective side: Information Platform

▣ Subjective side: Institutional Guarantee





III. Operational Model



Information Module of Risk Management Platform

海关风险信息与处置管理系统 - 当前用户(翟炜宇) - Windows Internet Explorer

http://10.62.5.15/CustomsRisk0AWebApp/CustomsRisk0APortal/Default.aspx?t=bbACITc3a2f5xk2E2ou74Wtdp8w

直属海天风险管理平台 风险信息与外置管理

分析监控结果展示 综合数据分析监控

全文检索 全部应用 工作台 退出

您好, 翟炜宇!

供业务现场阅 状态: 未处理 处理夹: 现场贸易管制 0条 载体拟稿 高级查询 暂缓处理 刷新

待办事项(1) 待阅事项 已办事项

风险信息管理:

- 全国信息查询
- 关区信息查询
- 载体查询
- 信息处置
- 信息拟稿
- 载体编辑
- 信息处置跟踪
- 信息工作统计

处置单管理:

- 处置单录入

风险信息采编列表 总记录数483 20/页 第1页/共25页 << 上一页 下一页 >> 1 跳转到

编号	标题	信息类型	录入人	录入部门	报送时间	状态
XQ2200201004280222	提请关注税号为90289090项下商品归类风险	查发情事 (货运通关)	陈跃进	稽查科	2010-04-28 13:52	未处理
XD2200201004280341	提请关注“似砖非砖”货物的漏证监管风险	风险动态信息	陈祖勤	稽查科	2010-04-28 13:39	未处理
XD2200201004280340	警惕出口聚丙烯购物袋存在归类	风险动态信息	李时音	稽查科	2010-04-28 13:27	未处理
XD2200201004280339	提请关注出口砂光机存在归类、骗退税风险	风险动态信息	李时音	稽查科	2010-04-28 13:21	未处理
XD2200201004280337	建议加强对加工贸易不作价设备备案、进口通关环节审核力度	风险动态信息	乐莹	风险管理科	2010-04-28 12:16	未处理
XD2200201004280338	提请关注深加工结转中结转数据未对碰	风险动态信息	乐莹	风险管理科	2010-04-28	未处理

开始 海关风险信息与处 上海海关 - Wind... 新建 Microsoft E... 13:58



III. Operational Model



- Risk analysis is the core

Risk analysis priorities:

Revenue risks

security risks

IPR risks

Drug-trafficking risks



III.Operational Model



Risk Analysis is the core.

Major methods ::

- ⊖ Regressive analysis
- ⊖ Dynamic focus
- ⊖ Horizontal analogy
- ⊖ Probability evaluation





III. Operational Model



● Risk analysis is the core

Analysis results:

1
Instructions
For Customs control at the site

2
Warning
For functional management

3
Analysis Report
For decision-making



III. Operational Model



Risk handling is the purpose of risk analysis.

Methods of handling:

设置参数 Set parameters into the system

要求查验 Ask for an inspection

专项行动 Initiate special operations

政策建议 Make policy recommendations





III. Operational Model

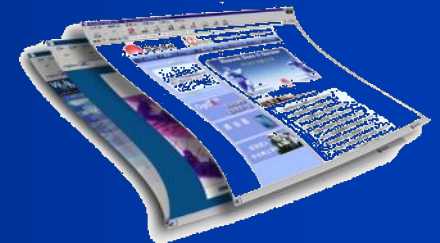


Performance feedback: to help summarize risks and make adjustments

ρ **Accurate rating**

ρ **Effective Handling**

ρ **Scientific allocation of human resources**





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IV. Application System



Information Module of Risk Management Platform

直属海天风险管理平台 风险信息与处置管理

系统版本: 1.0 全文检索 全部应用 工作台 退出

您好, 钱温!

待办事项

共有 0 项待办事项

待办事项

共有 3 项待办事项

张宝刚	风险预警提示(第二十七期) -- "新手法走私毒品风险专刊"	风险信息	送阅	2011-05-04 15:53
张宝刚	风险预警提示(第二十六期) -- "迪拜飞机走私毒品风险专刊"	风险信息	送阅	2011-04-25 10:28
翟伟宇	风险预警提示(第二十五期) -- "给文物的走私风险专刊"	风险信息	送阅	2011-04-15 16:16

完成



IV. Application System



P

The screenshot shows a web browser window displaying the '海关执法监督系统 (2.1) Customs Enforcement Supervision System (2.1)'. The interface includes a navigation menu on the left with items like '个人收藏', '自动提示', '监控分析', '组合查询', '外挂系统', '风险信息', and '安全维护'. The main content area features a welcome message and four risk hint categories: '关税审单风险提示' (Revenue-related risk hints), '加工贸易风险提示' (Processing trade risk hints), '监管通关风险提示' (Customs control risk hints), and '执法高风险提示' (Hints of high risks for law enforcement). The footer contains a date and time stamp: '2009年06月08日' and '2009年06月09日07时05分23秒'.



IV. Application System



P

现场业务综合处理 ftest24/014444/蛇口海关 5304

接打

报关单输入
报关单号输入:

海关编号: 530420090000000057 | 申报号: 530420090000000057 | 备案号: | 申报口岸: 蛇口海关

申报单位: 广州市 | 经营单位: 广州市 | 发货单位: 广州市

许可证号: | 结汇证号: | 合同号: | 随附单证: | 监管仓号: |

审单结果显示

报关单修改记录显示

海关编号	操作人	操作时间	操作类型
530420090000000057	014444	2009-5-12 10:04:35	修改

审单结果显示

流转信息	状态数值	状态描述
!	0685	20英尺集装箱容量需重点审核
!	0093	经营单位为一般通关企业
!	0113	申报单位为一般通关企业
!	0742	经营单位为1类企业
!	1002	申报单位为1类企业
!	0171	优先决策或状态决策决策出通道结果
!	1	优先决策第6001号决策出接单交单: AS
!	0221	出口成交方式与运保费关系正常

分拣结果提示信息

集中分拣信息提示:

高风险重点审核

High Risk! Targeted Check!
Ok

商品编号: 39013 | 申报数量: | 法定数量: 1000 | 法定单位: 千克 | 海关单价: | 海关总价: 1000 | 用途: | 第二数量: | 第二单位: | 备案号: | 版本号: | 目的地: 中国香港 | 征免: 照章征税

高风险重点审核



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V. Practices and Explorations



✓ Project risks before clearance :

With enterprise compliance management at the core, set risk parameters in light of various risk elements, such as enterprises' categories, commodity classification, value, licenses and certificates, trading countries, routes, logistic information.



V. Practices and Explorations



✓ Risk Ratings for Clearance :

Low risks: fast release

Medium risks: document inspection, but not inspecting the goods physically

High risks: Targeted inspection and control of the goods

V. Practices and Explorations



✓ **Follow-up management after clearance:**

Targeted Customs Audit

Put the case on file for anti-smuggling investigation



Thank you!



谢谢!