

Action Plans: Informed Compliance and Enforcement Compliance



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Prescribe (Measurable) Action

Two categories:

- ▶ Informed, voluntary (?) compliance
- ▶ Enforced Compliance



Informed Compliance

Precursors:

- ▶ Information available
- ▶ Provisions for voluntary disclosure
- ▶ **Well Paid Professional Customs Officers**



Interventions by Customs

Solving problem approach to identified problems

The steps in an intervention include:

- ▶ Determine risk from repeated non-compliance
- ▶ Design the intervention strategy
 - Scope
 - Activity
 - Training Requirements
 - Personnel Requirements
- ▶ Develop Performance Measures
- ▶ Implement and Coordinate



MARC

Multi-port Approach to Raise Compliance

Program to bring Customs Offices with similar problems together for problem solving.



Compliance Improvement Plan

Resolution of choice for CA with low scores

(See Exhibit 30 CAT KIT)



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Account Action Plan

Post result of either a CA or Account Manager evaluation.

Can be ongoing process!



ENFORCED COMPLIANCE

The traditional approach to non-compliance; Examples:

- ▶ Investigation
- ▶ Seizure
- ▶ Arrest
- ▶ Penalties
- ▶ Administrative action
- ▶ Additional examinations
- ▶ Exclusion from Customs (preferential) programs

Disadvantages to enforced compliance

- ▶ High cost
- ▶ Labor intensive

Enforcement Evaluation Teams

- ▶ Detect non-compliance
- ▶ Determine Impact level
- ▶ Determine Scope
- ▶ Select course of action
- ▶ Assign, implement and track action
- ▶ Conduct post enforcement analysis

Note the continuous Cycle by post enforcement analysis



Company Enforced Compliance Process

Compliance Measurement below 90%

Confirmed Risk = Enforced Compliance approach

Formal notification to company of status

Results:

- ▶ Investigation initiated
- ▶ Fines and penalties imposed on further non-compliant shipments
- ▶ Complete documentation prior to release.