Self-Assessment Checklist

**Framework of Standards
to Secure and Facilitate
Global Trade**

WORLD CUSTOMS ORGANIZATION

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WCO SELF-ASSESSMENT CHECKLIST FOR THE WCO FRAMEWORK OF STANDARDS TO SECURE AND FACILITATE GLOBAL TRADE

Customs Administrations around the globe play a critical role in border security, anti-terrorism, revenue collection, and trade facilitation. To address these vital responsibilities, the World Customs Organization (WCO) has developed the *Framework of Standards to Secure and Facilitate Global Trade* (hereafter referred to as "Framework of Standards" or "FoS") to simultaneously secure and facilitate the international trade supply chain. The Framework of Standards consists of two Pillars[1] containing 17 security and facilitation standards that WCO members who join the FoS are expected to follow. To aid the implementation of the FoS in the developing world, the WCO has also developed a capacity building component.

WCO members can signal their interest in joining the FoS by signing a letter declaring an intention to begin the process of implementing the FoS. While portions of the FoS can be implemented without development assistance, many administrations will require capacity building to adequately adhere to the principals of the FoS.

To assist Customs administrations in evaluating their conformity with the FoS, the WCO Secretariat has crafted a **Self-Assessment Checklist[2]** ("Checklist") which provides a snapshot of the required elements contained in the Framework of Standards.[3] The Checklist covers the following areas :

> Strategic Management;
> Resources;
> Legal Framework;
> Systems and Procedures;
> Information and Communication Technology;
> External co-operation, communication and partnership; and
> Integrity

By completing the Checklist, an administration can analyze the gap between existing and desired capacity. The Checklist draws from the FoS and the WCO Customs Capacity Building Diagnostic Framework ("Diagnostic Framework"), particularly Chapter 4 (Customs Systems and Procedures), Section 21 (Security and Facilitation of the International Trade Supply Chain). The WCO Secretariat designed the Diagnostic Framework to provide members with potential solutions to identified problems in a comprehensive and sustainable manner.

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[1] Pillar 1 involves Customs-to-Customs Network Arrangements and Pillar 2 involves Customs-to-Business Partnerships. Each Pillar includes a technical specification Annex.
[2] The WCO Secretariat has also produced a Self-Assessment Checklist for Facilitation.
[3] The Self-Assessment Checklist for the FoS follows this introduction.

The ultimate objective of WCO self-assessment checklists is to provide Customs administrations with an evaluative tool that will assist in identifying their needs and a foundation for undertaking more comprehensive Customs reform and modernization through use of the WCO Diagnostic. The WCO Secretariat can support Customs Administrations with diagnostic activity after completion of the checklists.

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WCO Framework of Standards to Secure and Facilitate Global Trade
Self-Assessment Checklist

	Strategic Management	**Yes**	**No**	**Comments/Observations**
V.1	Has a national security border policy been developed and implemented ?			
V.2	Does the administration have the prime responsibility to safeguard and secure the borders and the trade operations ?			
V.3	Does the administration have comprehensive border functional responsibilities (fiscal, immigration, security, health, environment, etc controls) ?			
V.4	If not, does a functional co-ordination between the Customs and other border agencies exist ?			
V.5	Does a 'single window' regime exist within the border controls and procedures ?			
V.6	Has the Customs administration a Strategic Plan which provides goals, objectives and priorities regarding trade supply chain security and facilitation ?			
V.7	If yes, does this plan set : (i) Risk Management objectives ? (ii) Detection objectives ?			
V.8	Is there an overall performance measurement/ monitoring or evaluation system to evaluate compliance with the Strategic Plan ?			
V.9	If yes, does this system ensure these targets are measurable and known by (i) Policy Staff ?			

		Yes	No	Comments/Observations
	(ii) Operational Managers ?			
	(iii) Operational staff ?			
	(iv) External Stakeholders ?			
V.10	Is there a system for reporting against these targets (i) Annually ? (ii) Quarterly ? (iii) Monthly ? (iv) Weekly ? (v) Daily ?			
V.11	Is accurate trade related data and information collected for border security purposes by the Customs Administration ?			
V.12	Does the information available include statistical reports of security inspections, as defined by Pillar 1 Standard 8 ?			
V.13	Are periodic review procedures established for Customs security controls ?			
V.14	Are stakeholders able to contribute to Customs security policy and reforms ?			

	Resources	Yes	No	Comments/Observations
	Physical			
V.15	Do the Customs facilities meet international security standards, such as : • International Ship and Port Facility Security Code (ISPS Code) ? • International Civil Aviation Organization (ICAO) Recommendations ?			

	• Others ?			
V.16	Are current border posts and Customs offices suitably located to meet supply chain security needs ?			
V.17	Do current operating hours enable supply chain security objectives to be met ?			
V.18	Are the facilities submitted to a security diagnostic assessment ?			
V.19	If yes, are the identified security breaches resolved ?			
V.20	Are there special installations for hazardous goods ?			
V.21	Have the Customs facilities satisfactory conditions to carry out examination and inspection ?			
V.22	Are there adequate tools and equipment for the inspection and examination of goods/means of transport, i.e. are vehicle lifts, forklifts, portal monitors, radiation pagers, etc., available in most or all border posts and/or Customs offices ?			
V.23	Is non-intrusive inspection (NII) equipment available ?			
V.24	Is radiation detection equipment available ?			
V.25	Are any other technical aids used ?			
V.26	Is there a departmental budget for security equipment ?			
V.27	Is there a system for operational area to request security equipment ?			
V.28	Is there provision for the repair and maintenance of existing security equipment ?			

		Yes	No	Comments/Observations
V.29	Is there a sufficient level of computerization within the operational area ?			
	People			
V.30	Does the administration have sufficient expertise to identify security risks to the trade supply chain ?			
V.31	Does the administration have sufficient expertise to manage risk in the supply chain ?			
V.32	Does current basic training for operational staff include sessions on supply chain security ?			
V.33	Do specialist posts exist to deal with supply chain security ?			
V.34	Is there specialist training for operational staff on supply chain security ?			
V.35	Does current basic training for policy staff include sessions on supply chain security ?			
V.36	Are there any special recruitment procedures for staff working on supply chain security issues ?			
V.37	Do operational staff have basic computerization skills ?			
V.38	Are security guards deployed in Customs areas ?			
V.39	Are education and/or training on security measures and procedures provided to non-Customs personnel ?			

	Legal Framework	**Yes**	**No**	**Comments/Observations**
V.40	Does national legislation confer power to Customs in regard to : • Examination, detention and seizure			

	of goods and means of transport ? • Inspection of cargo : (i) Originating ? (ii) transiting (including remaining on board) ? (iii) exiting or being transshipped through the country ?			
V.41	Does national legislation provide for control throughout the Customs territory ?			
V.42	Does national legislation allow Customs officials to obtain information on goods and means of transport prior to their arrival in the territory ?			
V.43	Does national legislation allow the Customs Administration to require, within a certain timeframe, complete and accurate advance information on cargo and container shipments originating, transiting (including remaining on board), exiting, or being transshipped through its country ?			
V.44	Does the administration have authority to conclude administrative agreements with : (i) trade ? (ii) other government agencies ? (iii) other Customs administrations ? (iv) regional/international organizations ?			
V.45	Does the administration have authority to exchange information/intelligence with :			

		Yes	No	Comments/Observations
	(i) other Customs administrations ?			
	(ii) key regional/international organizations ?			
V.46	Does national legislation require companies to retain commercial and account documents ?			
V.47	If yes, is a time limit specified to keep the documents ?			
V.48	Does national legislation provide that any data collected and or transmitted by Customs must be treated confidentially and sufficiently protected ?			
V.49	Does national legislation provide the adoption of digital signatures ?			

	Systems and Procedures	**Yes**	**No**	**Comments/Observations**
	General			
V.50	Has the Customs Administration acceded to the Revised Kyoto Convention ?			
V.51	Are the Customs control procedures integrated as outlined in the WCO Customs Guidelines in Integrated Supply Chain (ISCM Guidelines) ?			
V.52	Does Customs control cover : - goods ? - means of transport ? - people ?			
V.53	Are special controls exercised for supply chain security initiatives ?			

	Physical Security and Surveillance			
V.54	Is the administration responsible for export control or licensing at the border ?			
V.55	Does national legislation specify : • Places where goods may be introduced into the Customs territory ? • Places approved for unloading of goods ? • Controls for the temporary storage of goods ? • What kinds of goods can be stored in warehouses, and for how long can they be stored ?			
V.56	Are prohibitions or restrictions applied to goods entering the Customs territory (e.g. relating to public morality, security, hygiene and health) applied to warehoused goods ?			
V.57	Is access to Customs controlled areas restricted ?			
	Intelligence and Risk Management			
V.58	Has the administration developed a national strategic risk management policy that takes into account supply chain security initiatives ?			
V.59	Does the administration physically inspect most or all consignments ?			
V.60	Does the administration use risk management for the inspection of consignments ?			

V.61	Does the administration use a random strategy for the inspection of consignments ?			
V.62	Does the administration use both risk management and a random strategy for the inspection of consignments ?			
V.63	Does the administration have an automated clearance system ?			
V.64	Is IT used for the intelligence function ?			
V.65	Is IT used for risk management purposes ?			
V.66	Is there a centralized database to produce strategic/tactical intelligence for trade supply chain security initiatives ?			
V.67	Are risk profiles and indicators constantly being developed and updated ?			
V.68	Does the administration consider high-risk cargo and container shipments to mean : i) inadequate information to deem them as low-risk for security threats; ii) that tactical intelligence indicates high-risk, or iii) that a risk scoring assessment methodology, based on security-related data elements identifies the shipment as high-risk ?			

V.69	Does the administration have a national or special intelligence department/unit for profiling and/or targeting ?			
V.70	Are there in-house guidelines for risk management ?			
V.71	Does the risk management system consider the particularities of the regional and local offices ?			
V.72	Is there formal or informal co-operation and information exchange at the international level dedicated to the supply chain security initiatives ?			

	Information and Communication Technology	**Yes**	**No**	**Comments/Observations**
V.73	Does the administration have an Information and Communication Technology (ICT) computerized system ?			
V.74	Does the Customs system apply the internationally accepted data standards, such as : (i) the WCO Data Model ? (ii) the Unique Consignment Reference Number (UCR) ? (iii) other ?			
V.75	Does the administration have an automated enforcement information system ?			
V.76	If yes, does it include automated selectivity programmes ?			
V.77	Has the Customs administration received any assistance in developing or acquiring the requisite automated systems ?			

		Yes	No	Comments/Observations
V.78	Does the administration receive declarations and exchange information using : (i) Electronic Data Interchange (EDI) ? (ii) Direct Trade Input ? (iii) The Internet ?			
V.79	Has the administration established an Information and Communication Technology (ICT) security policy ?			
V.80	Does the administration apply a corporate (e.g. Ministry of Finance, Foreign Commerce, etc.) ICT security policy ?			
V.81	Does the data protection and privacy policy meet international standards, such as the ones provided by the Information and Communication Technology Guidelines of the Revised Kyoto Convention ?			
V.82	Does the data protection policy include the use of digital signature ?			

	External Cooperation, Communication and Partnership	Yes	No	Comments/Observations
V.83	Does the administration use multilateral or bilateral Mutual Administrative Assistance (MAA) agreements to exchange information or intelligence on supply chain security with other Customs administrations or regional/international organizations ?			
V.84	Does the Administration plan to sign the WCO's Johannesburg Convention ?			

V.85	Does the administration apply a common approach for risk management and controls with other Customs administrations ?			
V.86	Are there measures with other administrations to : (i) exchange Customs data ? (ii) share intelligence and risk profiles ?			
V.87	At the reasonable request of the importing country and based on mutual assistance agreements or other arrangements, is the Customs administration able to conduct outbound security inspection of high-risk containers ?			
	Authorized Economic Operator			
V.88	Does the administration have an Authorized Economic Operator style program ? (e.g. StairSec)			
V.89	Are there validation processes and quality accreditation procedures to identify Authorized Economic Operators ?			
V.90	If yes, are distinct and measurable facilitation benefits offered to Authorized Economic Operators ?			
V.91	Are trade operators encouraged to conduct self-assessments of their supply chains based upon the Customs security standards and recommendations ?			
V.92	Do trade operators incorporate sound security practices and Customs best practices into their business practices ?			

V.93	Do trade operators request information and evaluate the security systems of their trade partners ?			
V.94	Does the administration provide any training programmes for the trade operators and keep them updated with changing security standards ?			
V.95	Is there any kind of information exchange policy with the trade community that contributes to supply chain security ?			
V.96	Are there any supply chain security initiatives driven by the private sector ?			
V.97	Does the Customs administration check the actions taken by trade operators to record the level of compliance with Customs legislation, regulations and administrative procedures ?			

	Integrity	**Yes**	**No**	**Comments/Observations**
V.98	Does the country apply the WCO Revised Arusha Declaration ?			
V.99	In the Customs administration, does high-level management staff : • support anti-corruption activities ? • demonstrate integrity and leadership in combating corruption ?			
V.100	Has a comprehensive integrity/anti-corruption action plan for Customs been developed ?			
V.101	If yes, (i) Is it linked to national anti-corruption initiatives ?			

	(ii) Has it been implemented ?			
V.102	Do the existing Customs practices confer excessive discretionary power to Customs officers ?			
V.103	Has there been emphasis on eliminating excessive bureaucracy and reducing unnecessary duplication ?			
V.104	Are Customs laws, regulations, procedures and administrative guidelines made public and fully available ?			
V.105	Is there an appeal and administrative review mechanism against Customs decisions ?			
V.106	Have client service charters or performance standards been established, published and monitored ?			
V.107	If yes, do these charters or standards include security procedures and measures ?			
V.108	Are there outdated or inefficient Customs processes that may encourage corrupt practices or activities ?			
V.109	Have monitoring and control mechanisms, such as internal check programmes, internal and external auditing and investigating and prosecution regimes, etc. been established ?			
V.110	Are Customs staff, clients and the general public encouraged to report corruption and unethical or illegal activity ?			
V.111	Are allegations completely investigated ?			
V.112	Are sources of allegations adequately			

	protected ?			
V.113	Does the administration employ independent anti-corruption agencies ?			
V.114	Does the administration have a current Code of Conduct in place ?			
V.115	Are penalties for non-compliance detailed in the Code of Conduct ?			
V.116	Does the administration provide Customs officials with sufficient salary ?			
V.117	Is new and current staff checked to ensure they have, and are likely to maintain high standards of integrity ?			
V.118	Are staff selection and promotion procedures free from bias and favoritism, and based on the principle of merit ?			
V.119	Are decisions on the deployment, rotation and relocation of staff undertaken periodically ?			
V.120	Has the administration removed opportunities for Customs officials to hold vulnerable positions for a long time ?			
V.121	Does the administration provide adequate training and professional development to staff upon recruitment and throughout their careers to continually promote and reinforce the importance of maintaining high ethical and professional standards ?			
V.122	Does the administration implement appropriate performance appraisal and management systems to reinforce sound practices and foster high levels of personal and professional integrity ?			

V.123	Does the Customs administration ensure the officials at all levels are actively involved in the anti-corruption programme ?			
V.124	Are open, transparent and productive relationships fostered with the private sector ?			
V.125	Has the administration established any Memoranda of Understanding with the private sector which include ethics issues ?			
V.126	Is the administration aware of the private sector establishing Codes of Conduct ?			
V.127	Has the administration encouraged the private sector to develop them ?			
V.128	Has the Customs administration undertaken a self-diagnostic study on integrity ?			
V.129	Are employees working for private facilities in the Customs controlled areas subject to personal screening ?			
V.130	Are guidelines implemented to maintain and monitor the integrity of non-Customs personnel deployed in Customs area ?			

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