



协调边境管理 CBM简介

世界海关组织

世界海关组织代表全球180个海关署，它们一共处理约98%的全球贸易。



- | | |
|--|---|
|  South America, North America, Central America and the Caribbean |  North of Africa, Near and Middle East |
|  Europe |  West and Central Africa |
|  Far East, South and South East Asia, Australia and the Pacific Islands |  East and Southern Africa |

WTO

第一部分 - 共12条, 关于贸易便利化和海关合作

第二部分 - 共10条, 关于发展中国家和最不发达国家可享受的特殊和差别待遇

第三部分 - 共2条, 关于制度安排与最后条款

贸易便利化协定几乎全部是与海关相关的话题



第一部分

- 第1条 信息发布和提供
- 第2条 征求意见
- 第3条 事先裁定
- 第4条 申诉和审查程序
- 第5条 加强透明度等其他措施
- 第6条 费用和收费
- 第7条 货物放行和清关
- 第8条 边境机构合作**
- 第9条 货物进口运输
- 第10条 手续
- 第11条 过境
- 第12条 海关合作



第二部分

特殊和差别待遇

给发展中国家和最不发达国家

- 关于A类、B类和C类条款的规则
- 能力建设援助
- 要提交给贸易便利化委员会的信息
- 最终条款



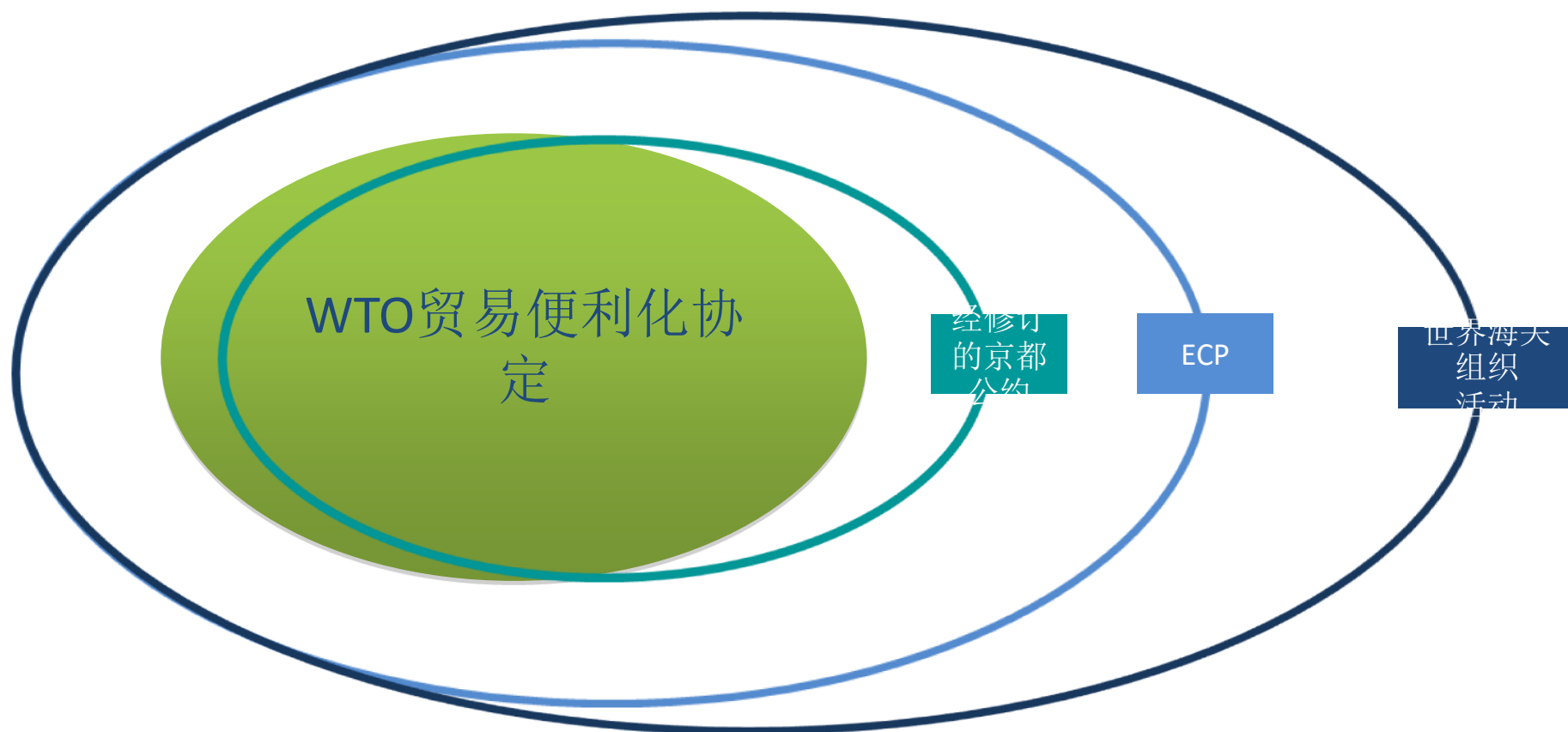
第三部分

制度安排和最终条款

- 贸易便利化委员会
- 贸易便利化委员会
- 最终条款

世界海关组织

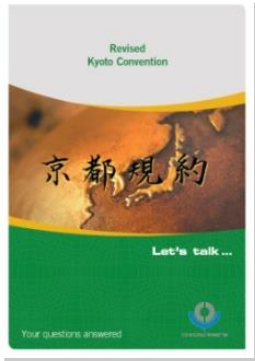
WCO的活动涵盖广泛的海关事物，包括经济竞争力、履约和执行、征收和组织发展。



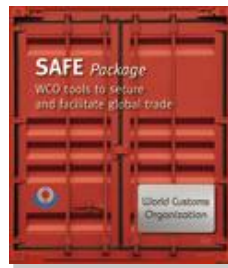
支持TFA的WCO工具

WCO针对成员TFA的履约需求开发了一些手段和工具。WCO正在继续开发和调整互动指导工具，帮助海关履行TFA。

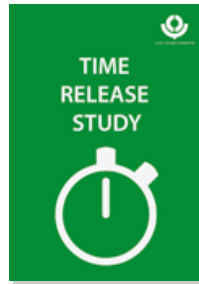
WCO工具示例



修订后的
《京都公约》



SAFE
标准框架



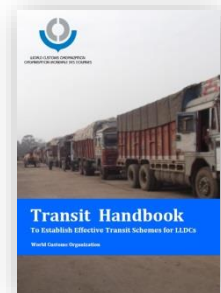
放行时间研
究指南



单一窗口
纲要



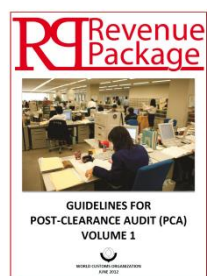
数据模型



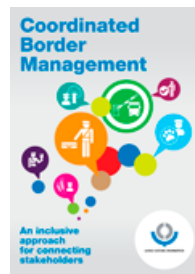
过境手册



风险管理
纲要



清关后稽查指
南



- CBM纲要



贸易便利化
国家委员会
指南



TFA电子网络学习
课程



海关企业合作关系
指南

WCO - 协调履约

WCO在网站上推出了针对TFA的WCO履约指南，支持成员履行TFA

<http://www.wcoomd.org/en/topics/wco-implementing-the-wto-atf/atf.aspx>

Implementation Guidance

The World Customs Organization (WCO), an intergovernmental organization specially mentioned in the Bali Ministerial Declarations, is highlighting its role in the implementation and administration of the WTO Agreement on Trade Facilitation (ATF). The WCO, the centre of excellence on Customs matters world wide, is committed to the efficient implementation of the ATF.

Select an article below to view more information

TRADE FACILITATION



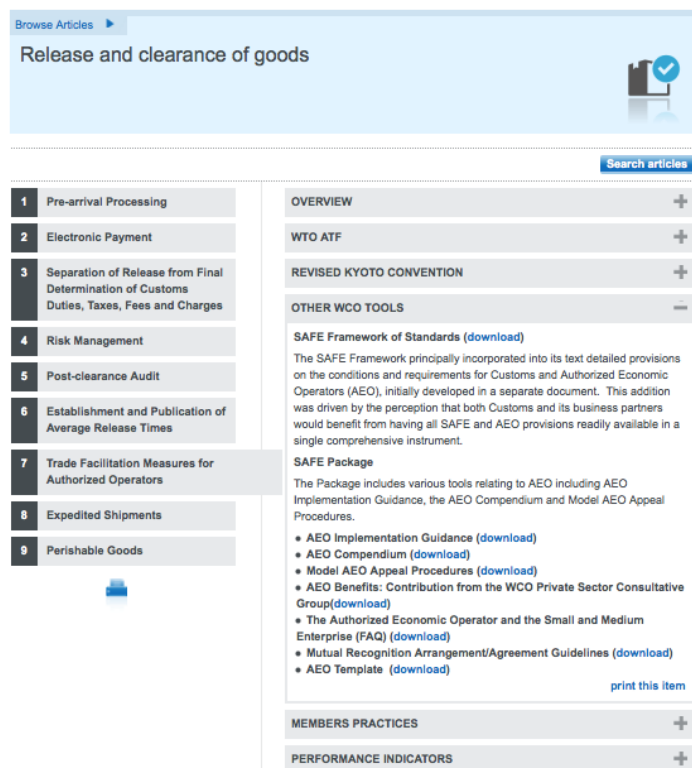
WCO IMPLEMENTING WTO ATF

Article 1 Publication and availability of information 	Article 2 Opportunity to comment, information before entry into force and consultation 	Article 3 Advance rulings 
Article 4 Appeal or review procedures 	Article 5 Other measures to enhance impartiality, non discrimination and transparency 	Article 6 Disciplines on fees and charges imposed on or in connection with importation and exportation 
Article 7 Release and clearance of goods 	Article 8 Border agency cooperation 	Article 9 Movement of goods under customs control intended for import 
Article 10 Formalities connected with importation and exportation and transit 	Article 11 Freedom of transit 	Article 12 Customs cooperation 

WCO - 协调履约

指南介绍了WCO手段和工具，如修订后的京都公约对履行TFA的相关性。

7.7条的WCO工具（经认证的经营者）



- 修订后的《京都公约》
- SAFE标准框架
- AEO实施指南
- AEO纲要
- AEO申诉示范程序
- AEO益处：WCO私营部门咨询小组的贡献
- 经认证的经营者和中小企业（常见问题解答）
- 互认安排/协议指南
- AEO模板

WCO - 协调履约

履约指南介绍了成员履行TFA的实践和经验

成员关于10.4条的经验（单一窗口）

Browse Articles ▶

Formalities connected with importation and exportation and transit

Search articles

1	Formalities and Documentation Requirements	OVERVIEW
2	Acceptance of Copies	WTO ATF
3	Use of International Standards	REVISED KYOTO CONVENTION
4	Single Window	OTHER WCO TOOLS
5	Pre-shipment Inspection	MEMBER PRACTICES
6	Use of Customs Brokers	Data harmonization for Single Windows: a case study from Oman (WCO News, February 2014) (download)
7	Common Border Procedures and Uniform Documentation Requirements	Qatar Introduces the Customs Clearance Single Window (WCO News, February 2014) (download)
8	Rejected Goods	New Zealand Single Window opens for business (WCO News, October 2013) (download)
9	a. Temporary Admission of Goods	Nigeria develops an organic National Single Window (WCO News, October 2013) (download)
10	b. Inward and Outward Processing	Survey of Single Window Implementation (Single Window Compendium Volume 2)

The WCO Secretariat undertook a survey of Single Window Implementation. A total of 56 WCO member countries participated in the survey. The survey constitutes part of the WCO Single Window Compendium.

- Single Window Compendium Volume 2 ([download](#))

print this item

PERFORMANCE INDICATORS

New Zealand Single Window opens for business

ON AUGUST 15, the New Zealand Customs Service (NZCS) and the Ministry for Primary Industries (MPI) officially opened the Trade Single Window (TSW) for business, leveraging the WCO model to improve risk management and facilitation of compliant trade. New Zealand's economic wellbeing relies on efficient international travel and trade, while maintaining a secure border.

During 2012/13 NZCS processed 9.7 million international air passengers, and 6.21 million import and 3.48 million export transactions, while collecting 11,239 billion NZ dollars in revenue. With primary production currently generating more than two thirds of the country's export earnings, effective screening of arriving people, goods and craft for biosecurity risk is an ongoing concern for MPI.

NZCS and MPI have been developing their Joint Border Management System (JBMS) over the last three years. The JBMS modernizes the two agencies' border systems and allows them to better share processes, data and technology. The TSW is a key component of the JBMS, and will ultimately provide a single channel for New Zealand's international cargo industry to submit information and receive responses from border agencies.

Existing border systems

All people, goods, and craft entering and leaving New Zealand must be reported to NZCS, and this is mainly done using electronic messages based on an early United Nations trade facilitation committee data model. Airlines and shipping lines submit information about the aircraft or ship, and the cargo, crew and passengers, in messages, including Inward and Outward Cargo Reports.

Information about arriving ships and crew is currently provided in an emailed form which is shared with MPI and New Zealand's maritime safety agency and port health officers. Commercial importers and exporters or their agents have to submit more detailed information electronically to obtain Customs clearance, including import entries and export entries.

The existing Customs system manages this, identifying craft and cargo that could pose a risk, managing import and export permit controls, collating information for invoicing duty and tax, sending clearance notifications to cargo terminals, and recording the results of inspections and audits for analysis and learning.

Information on export and import cargo that is required to manage biosecurity and food safety risks is also sent to MPI systems. Importers may need to submit a Biosecurity Authority Clearance Certificate (BACC) application to MPI for inbound shipping containers and many imported consignments. They are currently either sent electronically or by fax, and may be supplemented by data passed from Customs' system.

Importers of certain foods need to email documents to a central processing office to obtain an import permit, and most animal and plant products exported from New Zealand must be accompanied by an approved export certificate which exporters apply for through MPI's export certification systems.

The existing NZCS and MPI systems lack the flexibility to respond to the increasing demands being placed on them to manage border risks while ensuring the smooth flow of trade and travel. The existing systems and border processes are not well integrated, requiring the duplication of data and processing which slows the supply chain.

While many commercial freight software products are able to join up information at the 'front end' for industry users, at the 'back end' the data is sent to the agencies separately, and updating software can be complex when there are changes.

Clients have also been limited to using one mandated 'messaging gateway' for sending electronic messages to NZCS and MPI.

A smarter, swifter border system

The JBMS initiative modernizes the two agencies' border systems and brings a fundamental change to the way NZCS and MPI

operate at the border. It will enable the agencies to work more collaboratively, with shared processes, data and technology.

The TSW will ultimately provide a single channel for importers, exporters and their agents to provide information required by border agencies. It will cut out the duplication of data and connections required for submitting information to the agencies' separate systems (see illustration).

The richer information available in new messages will be shared by NZCS and MPI to support New Zealand's border and revenue protection, and management of biosecurity and food safety risks. The country's maritime safety agency and port health officers will also access information about craft and crew, and give directions to ships via the TSW.

New message formats

The new electronic craft and cargo reporting and clearance messages are one of three key changes as a result of the TSW. They are based on Version 3.2 of the WCO Data Model (WDM3), enabling information requirements to be harmonized across the border agencies as much as possible. New Zealand border agencies have been closely involved in the development of the WDM3, and are now amongst the first agencies to use the new message formats.

These new WDM3 messages will ultimately replace the current or 'legacy' craft arrival and departure notices, inward and outward cargo reports and import and export clearance documents. The messages will be shared by the border agencies, starting with NZCS, MPI, Maritime New Zealand and port health officers.

For example, the new WDM3-based Import Declaration combines the Customs, biosecurity and prescribed food information required for clearance, in one message. Clients can move to the new WDM3 messages as they are introduced, or continue to use the current 'legacy' messages until the new messages are mandated. NZCS and MPI are consulting with industry on the mandatory date, but it will be no earlier than December 2014.

New connection options

The second key change with the TSW is the availability of new options for clients to submit messages, providing the opportunity to reduce transaction costs. Clients

CBM



EU: Integrated Border Management



World Bank: Collaborative Border Management



OSCE: Comprehensive Border Management



WCO: Coordinated Border Management



WTO: Border Agency Coordination

为什么需要CBM

改变边境环境

货运量

资源限制

新挑战

现实

重复检查

孤岛思维

边境控制流程协调和组织薄弱

结果

减慢通关时间

延迟

增加违约情况

增加贸易成本

解决方案
=
协调边境管理

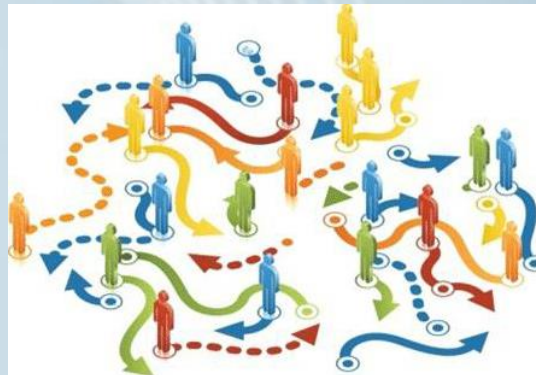


为什么需要CBM

通过结构化的方法进行边境管理



更有效地使用人力资源



风险管理



利益相关方的益处



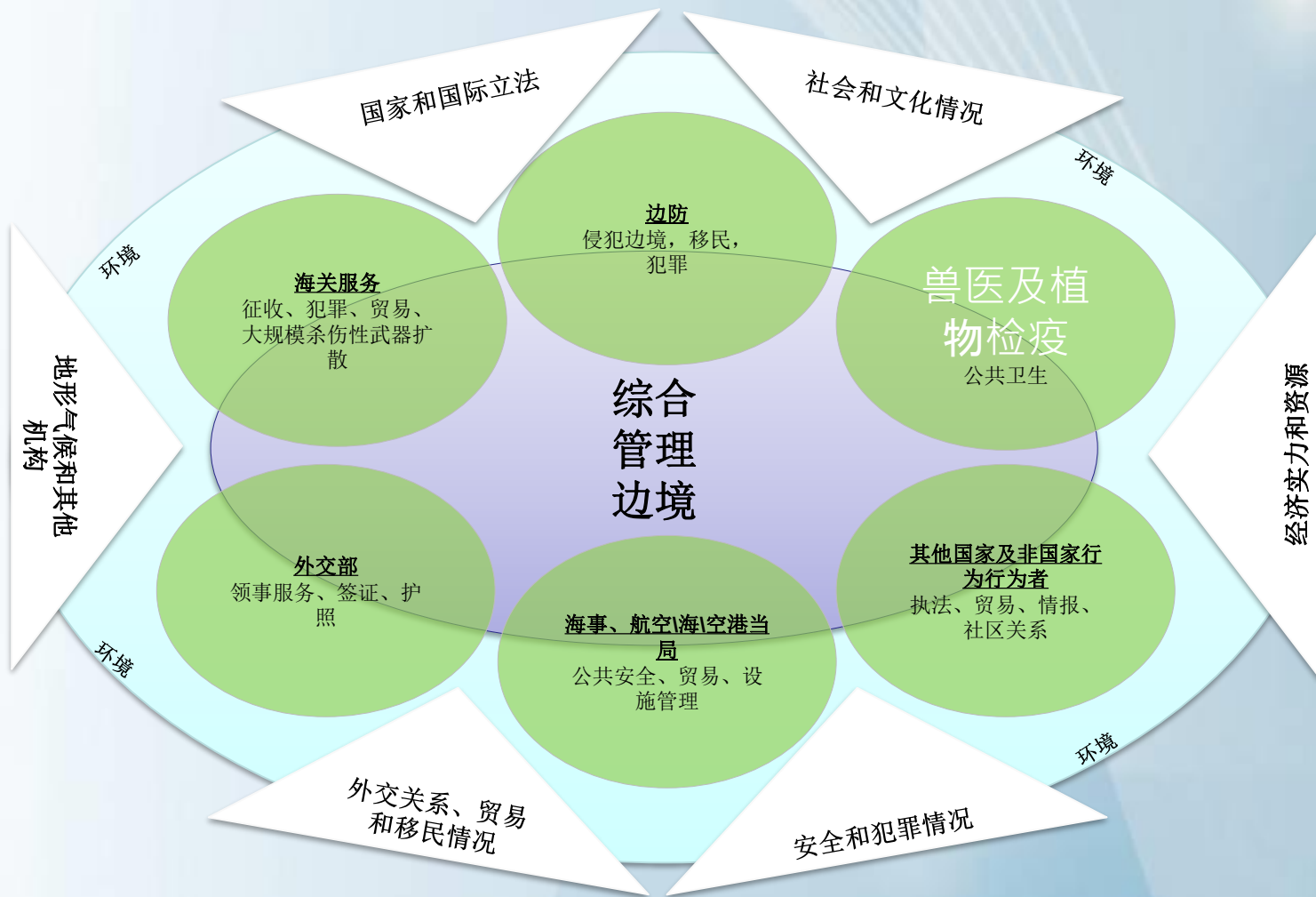
协调边境管理

优化海关、**跨境**监管机构和贸易之间的货物和信息流动，实现有效和高效的边境管理。

CBM:

- 边境控制机构采取协调的工作方式，
- **更高效地管理**贸易和旅游客流，
- **保持平衡**履约要求，
- 应对时间、**人力、信息和基础设施**的短缺
- **充分利用**现有的资源，满足目前必要需求

协调边境管理



* 资料来源：Henry Bolton的一篇讲话，OSCE秘书处

可能是非常复杂的事情！

协调边境管理

驱动力

- 增多的贸易量
- 增多的安全威胁
- 社会需要
- 财政限制
- 等等

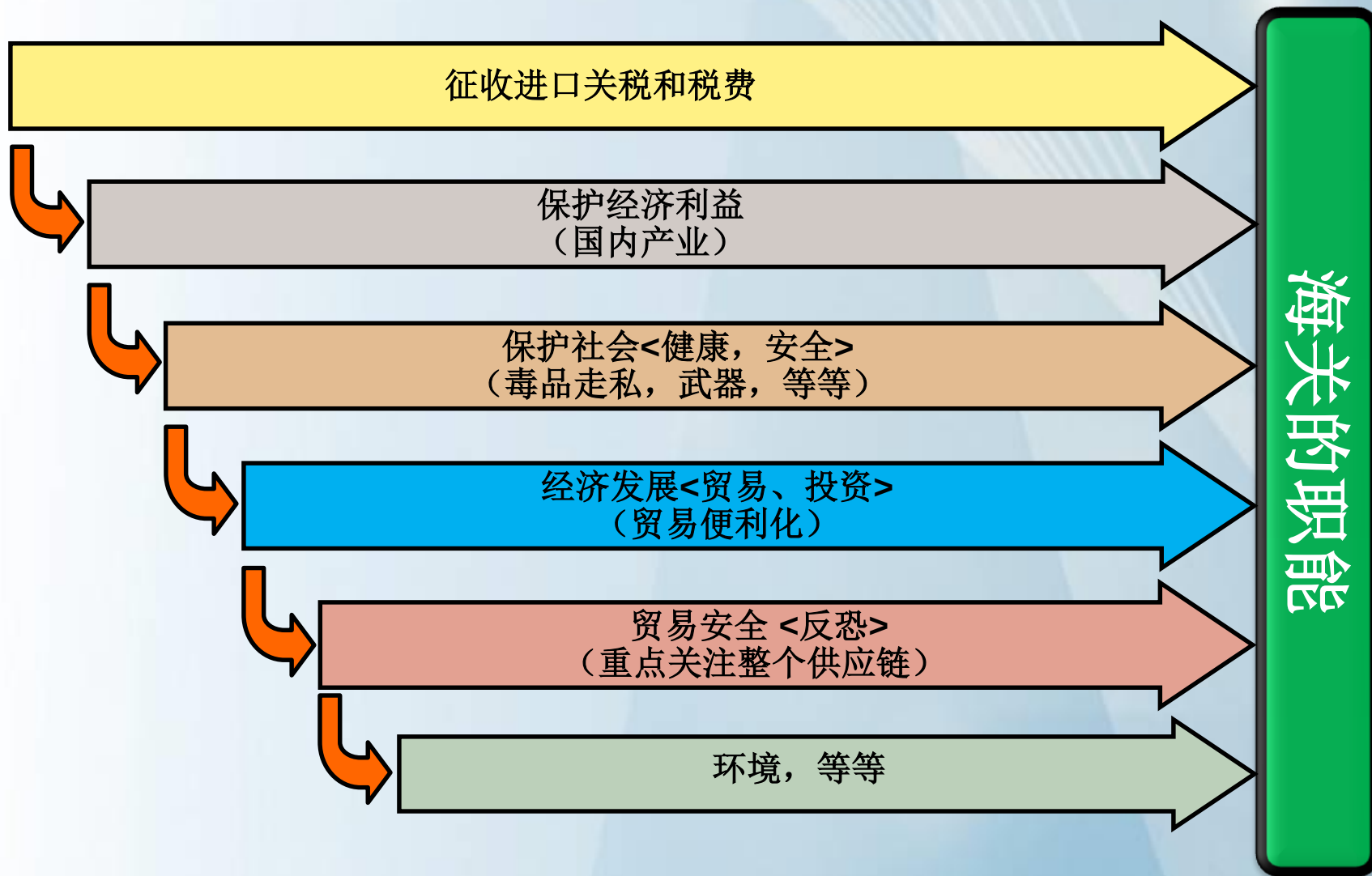
成功因素

- 政治意愿
- 法律基础
- 私营部门支持
- 组织意愿

益处

- 加强风险管理
- 资源效率
- 内部和外部政策协调
- 提高责任感/透明度

海关的职责



跨境监管机构的职责

- 监管辖区内的货物进出口
 - 活畜、植物和农产品、食品、药品等等
 - 跨境监管机构负责监管总贸易量中的一部分
- 跨境监管机构承担监管特定货物进出口的具体职责
 - 消费者安全、电信标准、药品、两用品
- 所有跨境监管机构都需要不时与海关接触

贸易的角色

- 海关和跨境监管机构的“客户”
 - 海关和跨境监管机构向贸易提供监管服务
 - 对合规者提供市场准入
- 贸易不仅是被动的地位
 - 反馈意见的重要来源
 - 是整个供应链中的关键参与者
 - 海关和跨境监管机构只是供应链的一小部分
- 没有贸易，就不需要海关和跨境监管机构了
 - 没有海关和跨境监管机构，贸易将更加混乱并破坏公共利益

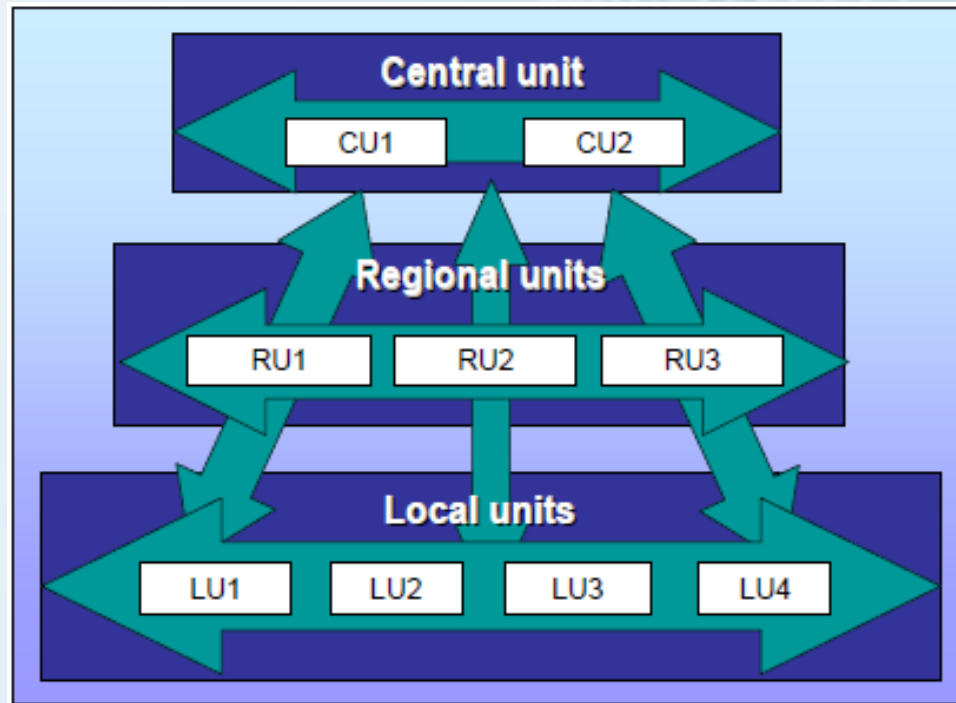
CBM的概念和应用



资料来源：改编自《Better Connected Services for Kiwis》，政策研究所，新西兰

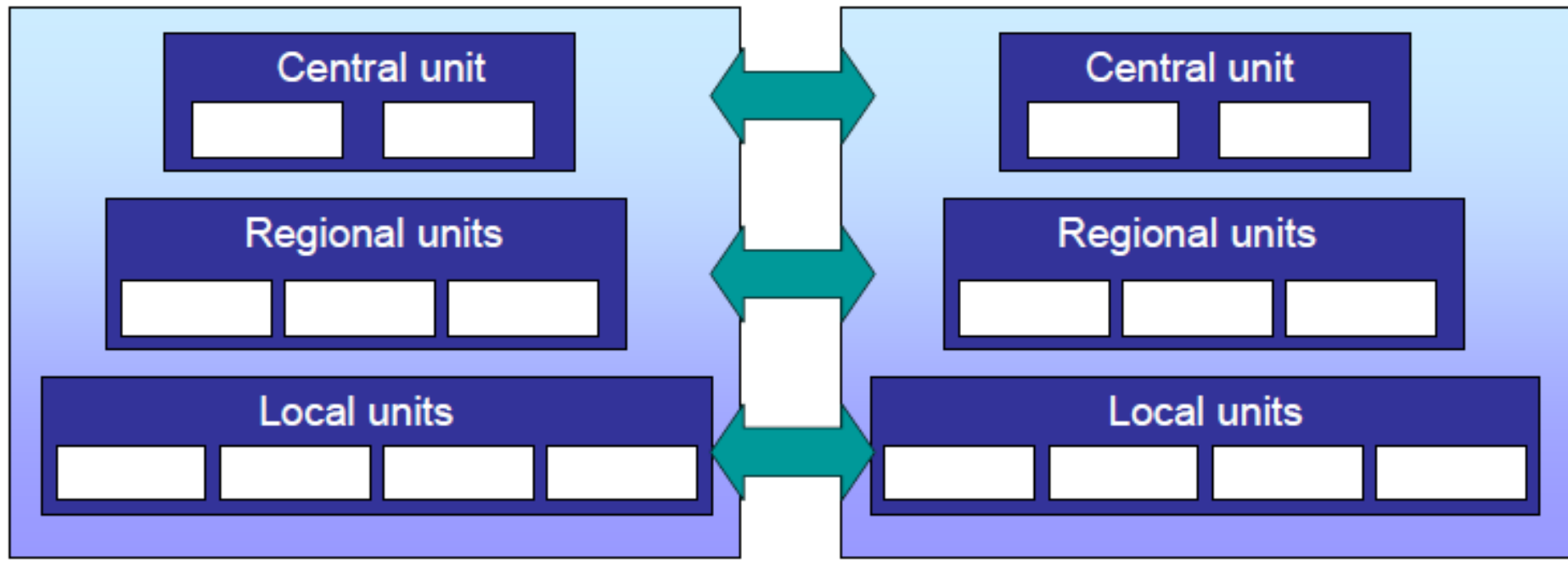
- 完全不协调的边境情况是少见的 - 多部门参与边境管理是常见的
- 关键问题不是边境有多少机构，而是他们合作的怎么样
- 正规的程度非常重要 - 必须超越非正规/个人网络的安排，才具有可持续性

部门内的合作



负责特定职责的部或机构在地方、区域和中央层面，以及同级别的不同单位之间高效的内部合作以及流程、信息和资源管理

部门间的合作

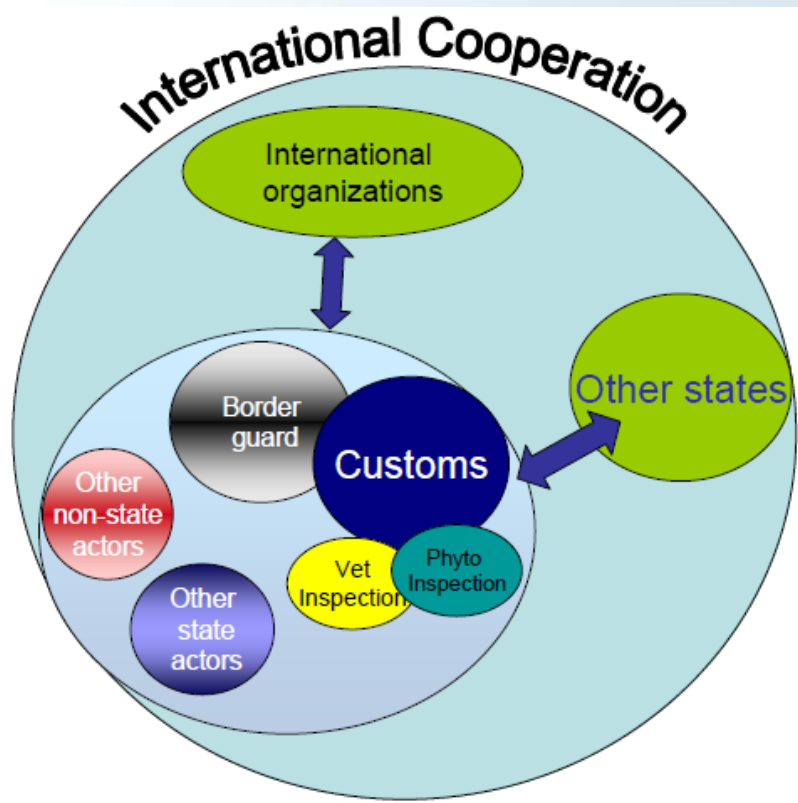


地方、区域和中央层面负责不同边境管理职责的部委之间的合作

资料来源：EC Guidelines for IBM in the Western Balkans

国际合作

包括三个方面：



- 边境两侧官员地方层面的合作
- 邻国的合作（合作管理共用边境通道，组织联合巡逻）
- 旨在推动共同工作领域中效率的各层次合作

资料来源：EC Guidelines for IBM in the Western Balkans

CBM的推动力

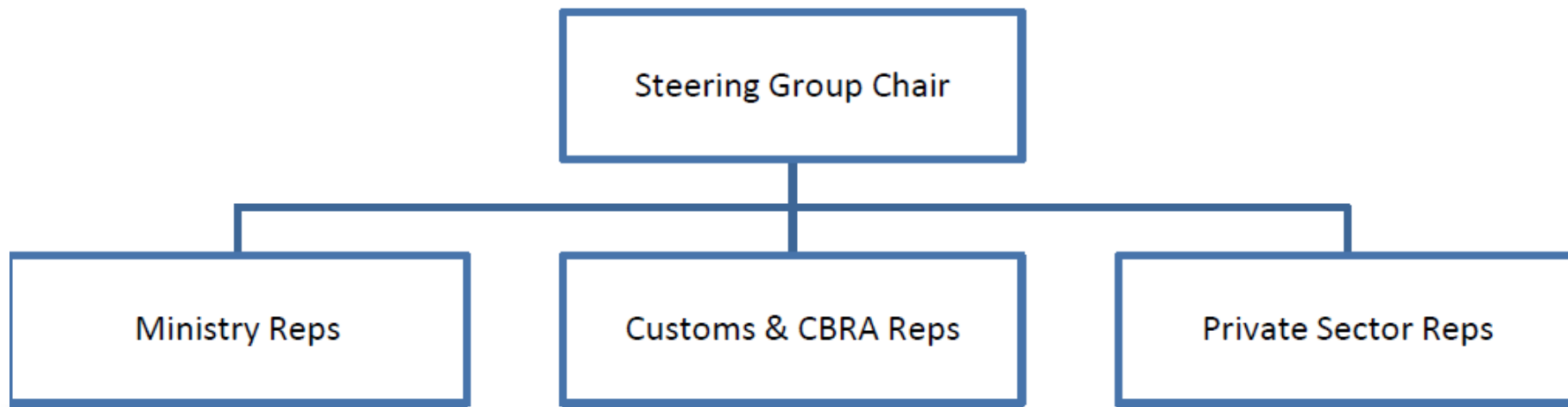
外部动力

- 履行双边或多边协议，包括：
 - 互助协议
 - AEO互认
 - 自由贸易协定

内部动力

- 提升国家竞争力
- 新建基础设施，如边境检查站、海港或机场
- 解决安全威胁和监管挑战
- 改进服务质量

CBM- 指导委员会



- 牵头的部委或部门担任委员会的主席单位
- 包括以下单位的高级成员：
 - 协调的部委
 - 跨境监管机构
 - 贸易界

关键决策可征求重要利益相关方的意见

实行CBM

法律基础

明确改进CBM的必要法律手段，或阻碍有效CMB的法律缺口。

信息技术

明确哪些领域的数据融合能够进一步简化政府、贸易和货物实际流动。

流程

描绘现有的边境流程，发现并解决瓶颈及效率低下

人力资源及片讯

确定参与部门目前的能力状态，发现能力缺口和所需新能力。

CBM诊断考察团

国家政策对话

- 所有相关部门的领导层对话

诊断考察团

- 实地考察过境点（小型、中型）

诊断报告

- 提出协调边境管理方面的改进建议

高层会议

- 陈述报告

实行CBM

评估选项

- 不时所有事情都可以同时做
- 第一批建议只是为了未来的改进做铺垫
- “快速成果”

执行改进方案

- 现在要把获批的行动方案通报给相关各方

检查阶段

- 改进是否有效，是否成功实施并取得目标

关键原则

简化检查和通关：

- 通关程序
- 多部门控制同时完成
- 也可以在内陆指定地点完成

阻塞管理：

- 基础设施应进行组织
- 要努力发现潜在的瓶颈

人员的可用性：

- 完成必要的控制
- 跨部门培训，代表其他部门完成检查
- 协调工作时间
- 交接班时间安排

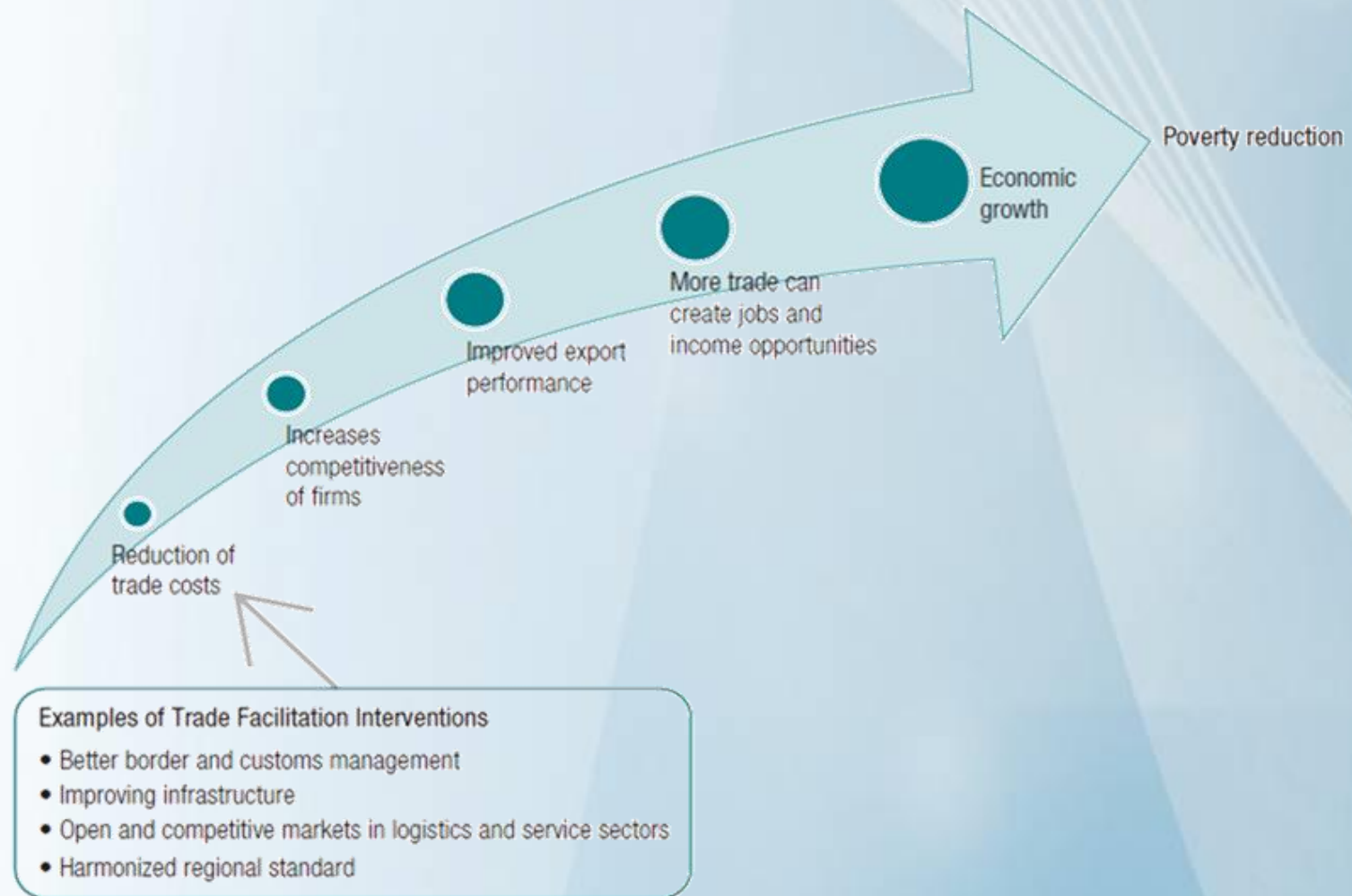
基础设施的可用性：

- 机构须配备必要设备
- 共享设备
- 办公空间、停车场、验货仓和检验设备可得到更好的使用

阻碍竞争力

Figure 7.2 >

How Trade Facilitation Can Contribute to Reaching Development Goals



本质上



- 没有标准化的方法，没有一刀切的解决方案
- 各国必须采用符合其国情的解决方案
- 不同方面支持CBM的工具和手段

谢谢
各位聆听