CTI – Sub-Committee on Customs Procedures (SCCP)

Annex I
to the report

Experience exchange
on the use of tools and Information Technology
for goods identification

QUESTIONNAIRE

**SUNAT
Lima, Peru
18 December 2009**

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Asia-Pacific Economic Cooperation

SUB-COMMITTEE ON CUSTOMS PROCEDURES

QUESTIONNAIRE

**To collect experience exchanges
in the adoption of tools and IT for Goods Identification**

Proposed by the Peruvian Delegation

APEC 2009

**To be completed by
30 June 2009**

Introduction

In the post-9/11 context, Customs administrations have been addressing efforts and resources to maintain and enhance security by, inter alia, improving the inspection process without hindering the movement of cargo at borders. Existing inspection processes have underscored longstanding inadequacies in interagency information collection, sharing, and analysis. A better and wider use of available technologies has received greater attention in many countries as an option to reduce these inadequacies.

The SCCP decided to conduct a study to improve the use of tools and IT for goods identification. This study will be held in Lima – Peru, in 2009.

Questionnaire

This questionnaire has been developed for the SCCP by SUNAT-Peru with the assistance of an external consultant. It is intended to be used to collect experiences of the economies that have adopted (or that are going to adopt) international tools and IT for cargo identification, in the context of their border inspection process. The information on these experiences covers the necessary reforms to comply with new standards and requirements, as well as the practical aspects related with operational modalities of implementing the tools and IT for cargo identification, as they are presently undertaken by APEC economies

The questionnaire is being addressed to the security-concerned units within the Customs administrations of the APEC Member Economies.

The National Superintendency of Tax Administration (SUNAT-Peru) *will be in charge of consolidate and evaluate the questionnaires results and of the development of the final report of the project for its dissemination within member economies.*

Scope of the questionnaire:

This questionnaire comprises two parts. The first part (Part ONE) includes 27 questions necessary to understand the context of the use of cargo identification tools. The second part (Part TWO) includes 29 questions refering to the cargo identification technologies currently in use. These questions are important to complete the picture emerging from Part ONE. They are optional.

The context of use of cargo identification tools includes questions related to: your Agency mission; Inspection locations; Documentation; Inspection process; Reporting; inspection technology; Human resource development issues.

The cargo identification technologies have been grouped according to their (main) use in primary inspection or secondary inspection. Questions related to primary inspection refer to RPMs, NIIDs and Track devices. Questions related to secondary inspection refer to RIIDs, PRDs and other common tools including canines.

The Questionnaire is intended to be user-friendly and easy to answer by inputing directly into the respective sheets of present EXCEL worksheet. You can only enter information in the YELLOW cells, by selecting from the proposed list or typing a number (value or percentage). PURPLE cells are used to enter "free text", comments, additional information.

In total, there are 56 questions that can be accessed by scrolling down the two sheets of this EXCEL file.
Once completed, please save this file under the filename: "Questionnaire APEC-2009 from xxxxx.xls" with "xxxxx" being the name of your Economy. Example: Questionnaire APEC-2009 from Peru.xls

Support towards completion of the Questionnaire

If you need assistance in completing this Questionnaire, please send an email to the Project Overseer.
Contact details are provided at the end of this questionnaire.

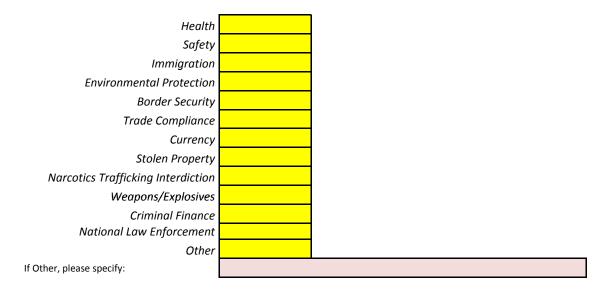**Questionnaire Returns – 30 June 2009**

Please send this completed questionnaire as an EXCEL file to jsullca@sunat.gob.pe
(with copy to maxence.orthlieb@gmail.com) by 30 June 2009.

The *Sub Committee on Customs Procedures (SCCP)* thanks you for your participation in completing this questionnaire.
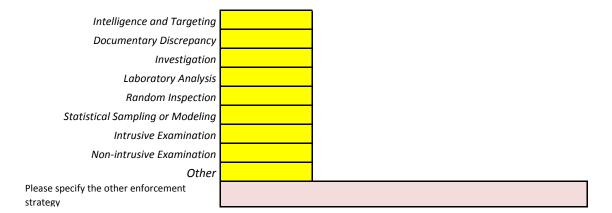
Part ONE:
Context of the use of cargo identification technologies

Section 1: Agency Mission

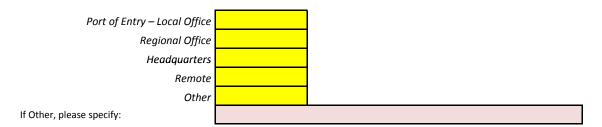**Q_1**   What are the missions of your agency (at ports of entry)?

Health	
Safety	
Immigration	
Environmental Protection	
Border Security	
Trade Compliance	
Currency	
Stolen Property	
Narcotics Trafficking Interdiction	
Weapons/Explosives	
Criminal Finance	
National Law Enforcement	
Other	

If Other, please specify:

Q_2   What is your principal enforcement strategy? (Indicate a relative percentage of effort for each)

Intelligence and Targeting	
Documentary Discrepancy	
Investigation	
Laboratory Analysis	
Random Inspection	
Statistical Sampling or Modeling	
Intrusive Examination	
Non-intrusive Examination	
Other	

Please specify the other enforcement strategy

Section 2: Inspection Locations

Q_3   Where does your agency review of Customs import or export documentation take place?

Port of Entry – Local Office	
Regional Office	
Headquarters	
Remote	
Other	
If Other, please specify:	

Q_4   Where is the initial non-intrusive examination of target population physically occur?

Apron, Dockside or at Anchor	
Within the Airport/Port Complex	
Co-located with another Agency	
Other	
If Other, please specify:	

Q_5   Where is the principal location that you review the data from an initial non-intrusive examination of the target population? (Indicate a relative percentage of review for each)

Apron, Dockside or at Anchor	
Within the Airport/Port Complex	
Within 5 miles of Airport/Port Complex	
Remote Site (greater than 5 miles)	
Co-located with another Agency	

Q_6   Where is the final physical examination or inspection performed of target population?

Airport/Marine Terminal/dockside	
Port of Entry	
Off site Examination	
Bonded Warehouse	
Ultimate Consignee's Facility	
Other	

If Other, please specify:

Q_7   Where is the principal office that exercises each of the following inspection functions?

	Apron, Dockside or at Anchor	*Within the Port Complex*	*Co-located with another Agency*	*Other*
Administrative and Data Analysis				
Documentary Review and Reporting				
Intelligence and Targeting				
Screening Examination				
Physical Inspection				

Q_8   Has a cost-recovery mechanism been established regarding the use of cargo inspection tools?

Who directly contributes to this mechanism?

If Others, please specify:

Section 3: Documentation

Q_9 With regards to the indicators below, what do you consider to be an effective deterrence level for your target population?   (Please indicate a number or a percentage, and specify if "Other")

Number of Annual Inspections	
Percentage of Annual Passengers	
Percentage of Container Volume Throughput	
Percentage of Inspection Target Population	
Other: (please specify)	
Other: (please specify)	
Other: (please specify)	

Section 4: Inspection process

Q_10 What are the basic elements of your agency's port of entry inspection process?

Data analysis and Profiling	
Documentary Review and Reporting	
Intelligence and Targeting	
Investigation	
Laboratory Analysis	
Non-intrusive Screening and Examination	
Random or Statistical Sampling	
Physical Intrusive Examination	
Inspection Technology	
Other	
If Other, please specify:	

Q_11 What is the primary inspection target for each function in ports of entry?
(Indicate a relative percentage of enforcement effort for each)

Baggage	
Bulk Freight	
Container Freight	
Vessel/Aircraft	
Other	
If Other, please specify:	

Q_12   If your primary target is container freight, what is your primary inspection target within the container?

Illegal Aliens	
Plants	
Animals	
Weapons/Explosives	
Narcotics	
Currency	
Merchandise Trade Compliance	
Organics	
Please specify	
Inorganic	
Please specify	
Other	
Please specify	

Q_13   To measure inspection and enforcement effectiveness, which of the following performance indicators are considered important?

% of annual container volume throughput	
Maximum revenue collection compliance	
Maximum trade compliance	
# or volume of seizures	
Increased/decreased # of cargo releases	
Increased fines and penalties	
Export/Import targeting effectiveness	
# of arrests, indictments, convictions	
Positive search ratio	
Other	
If Other, please specify:	

Q_14   What specific criteria in order of importance do you use to target particular containers for nonintrusive examination using inspection technology or for physical examination?

Criteria # 1	
Criteria # 2	
Criteria # 3	
Criteria # 4	
Criteria # 5	

Section 5: Reporting

Q_15   To which level of the Control and Enforcement instution are inspection results reported?

Port of Entry – Local Office
Regional Office
Headquarters
Remote
Other
If Other, please specify:

Q_16   What type(s) of inspection results are reported?

Successfull identifications
Failures
Volume/number of cargo units inspected (throughput)
Other
If Other, please specify:

Q_17   Where are the inspection results recorded?

Manually in local Records Book
Customs computerized system
Port Authority computerized system
Other
If Other, please specify:

Q_18   Are inspections results shared with other concerned institutions?

With the Port Authority?
With other Customs Administrations abroad?
With other Institutions?
If Other institutions, please specify:

Section 6: Inspection technology

Q_19 What is the degree of mobility in the inspection technology that you utilize?
(Please indicate a percentage)

Fixed	
Portable/Transportable	
Mobile	

Q_20 What kind of inspection technology do you currently utilize for your target population?
(Please indicate the relative percentage of each technology)

X-ray	
Gamma Ray	
Fast/Thermal Neutron	
Radioactive Isotope Detector	
Radiation Detector	
Vapor/Trace Detector	
Other	

Please specify the other technologies

Q_21 What inspection technology does your agency primarily utilize for non intrusive screening and examination of each of the following? (Please indicate the technology)

Passengers:	
Baggage:	
Freight at ports of entry:	

Q_22 What is the relative percentage of effort (in terms of staffing and funding) for your agency between **physical examination** (intrusive) and **technology screening** (non-intrusive examination) of target populations?

	Staffing	Funding
Physical Examination		
Technology Screening		
TOTAL	100%	100%

Q_23 How many **LOCAL** specialized personnel (Full Time Equivalent - FTE) do work in the following areas?

Enforcement and control procedures

Operations of cargo identification tools

Interpretation of results

Information Technology

Other

Please specify the other areas

Q_24 How many **FOREIGN** specialized personnel (Full Time Equivalent - FTE) do work in the following areas?

Enforcement and control procedures

Operations of cargo identification tools

Interpretation of results

Information Technology

Other

Please specify the other areas

Please indicate the **total number of FOREIGN personnel** (FTE) involved in national security-related issues:

Q_25 Does your institution provide/organize training in the following areas?

	Locally	Abroad
Enforcement and control procedures		
Operations of cargo identification tools		
Interpretation of results		
Information Technology		
Other		

Please specify the other areas

Q_26 Have you established an audit mechanism for the goods control process?

Please detail this mechanism:

Q_27   Is primary inspection carried out using active NII devices?

If Yes, please specify what type of screening methods:

Screening Method	Risks Detected	
X-Ray	Explosives, stolen/mislabeled goods, illegal drugs	
Gamma Ray	Explosives, stolen/mislabeled goods, illegal drugs	
Pulsed Fast Neutron Analysis	Explosives, illegal drugs	
Thermal Neutron Activation	Explosives	

Any particular view on Cargo Identification issues?

Comments on Part ONE of this Questionnaire

Contact Details

Please provide the contact details of the person the Project Overseer can contact if clarification of any answers provided on this questionnaire is required.

Main contact person:

Address:

City & Zip Code:

Country:

Phone Number:

Fax Number:

Email:

If you are having difficulty answering any of these questions, please contact:

Mr. James Walt Sullca Cornejo
Peruvian Tax Collection and Customs Administration Systems area - SUNAT

Postal address: National Intendency of System Information
                          Av. Andrés Reyes N° 320 San Isidro, Lima, Peru
Phone Number: **+51 1 219 04 30 ext. 20346/20341**
Fax Number: **+51 1 219 04 30 ext. 20787**
Email: jsullca@sunat.gob.pe

Our Group thanks you for your cooperation in completing this questionnaire.
This is an important initiative and we look forward to working with you on this project in 2009.

Part TWO:
Cargo identification equipment currently used

This Part of the Questionnaire will review the technologies used for primary inspection, for secondary inspection as well as support facilities (Alarm stations) and staffing (Secondary Inspection Teams).

PRIMARY INSPECTION and Radiation Portal Monitors (RPMs)

Q_28   Is primary inspection carried with RPMs?

Q_29   What type(s) of RPMs?

	Model	Trademark	Mobility	Average age (years)	Number of units
Type #1					
Type #2					
Type #3					
Type #4					
Type #5					

If Other, please specify:

Q_30   Who owns the RPM(s)?

	Type #1	Type #2	Type #3	Type #4	Type #5
If Other, please specify:					
If a private service provider under contract:					
Contract signed with					
If Other, please specify:					
Duration of the contract (years)					
Cost-basis for the contract					

Q_31   Who provides RPM maintenance?

	Type #1	Type #2	Type #3	Type #4	Type #5
If Other, please specify:					
If a private service provider under contract:					
Contract signed with					
If Other, please specify:					
Duration of the contract (years)					
Cost-basis for the contract					

Q_32   Where are located the RPMs?

	Type #1	Type #2	Type #3	Type #4	Type #5
If Other, please specify:					

Q_33   Has the installation of the RPMs created a re-organisation of land use within the Port area?

Type #1	Type #2	Type #3	Type #4	Type #5

PRIMARY INSPECTION and Non-Intrusive Inspection Devices (NIIDs)

Q_34 Is primary inspection carried out using active NII devices?

If Yes, please specify what type of screening methods:

Screening Method	Risks Detected	
X-Ray	Explosives, stolen/mislabeled goods, illegal drugs	
Gamma Ray	Explosives, stolen/mislabeled goods, illegal drugs	
Pulsed Fast Neutron Analysis	Explosives, illegal drugs	
Thermal Neutron Activation	Explosives	

Q_35 What type(s) of X-Ray device(s)?

	Model	Trademark	Mobility	Average age (years)	Number of units
Type #1					
Type #2					
Type #3					
Type #4					
Type #5					

If Other, please specify:

Q_36 Who owns the X-Ray device(s)?

	Type #1	Type #2	Type #3	Type #4	Type #5
If Other, please specify:					
If a private service provider under contract:					
Contract signed with					
If Other, please specify:					
Duration of the contract (years)					
Cost-basis for the contract					

Q_37 Who provides tool maintenance?

	Type #1	Type #2	Type #3	Type #4	Type #5
If Other, please specify:					
If a private service provider under contract:					
Contract signed with					
If Other, please specify:					
Duration of the contract (years)					
Cost-basis for the contract					

Q_38 Where are located the X-Ray devices?

	Type #1	Type #2	Type #3	Type #4	Type #5
If Other, please specify:					

Q_39 What type(s) of Gamma Ray device?

	Model	Trademark	Mobility	Average age (years)	Number of units
Type #1					
Type #2					
Type #3					
Type #4					
Type #5					

If Other, please specify:

Q_40 Who owns the Gamma-Ray device(s)?

	Type #1	Type #2	Type #3	Type #4	Type #5
If Other, please specify:					

If a private service provider under contract:

	Type #1	Type #2	Type #3	Type #4	Type #5
Contract signed with					
If Other, please specify:					
Duration of the contract (years)					
Cost-basis for the contract					

Q_41 Who provides tool maintenance?

	Type #1	Type #2	Type #3	Type #4	Type #5
If Other, please specify:					

If a private service provider under contract:

	Type #1	Type #2	Type #3	Type #4	Type #5
Contract signed with					
If Other, please specify:					
Duration of the contract (years)					
Cost-basis for the contract					

Q_42 Where are located the Gamma-Ray devices?

	Type #1	Type #2	Type #3	Type #4	Type #5
If Other, please specify:					

Q_43 What type(s) of Fast Neutron Analysis (FNA) device?

	Model	Trademark	Mobility	Average age (years)	Number of units
Type #1					
Type #2					
Type #3					
Type #4					
Type #5					

If Other, please specify:

Q_44 What type(s) of Thermal Neutron Activation (TNA) device?

	Model	Trademark	Mobility	Average age (years)	Number of units
Type #1					
Type #2					
Type #3					
Type #4					
Type #5					

If Other, please specify:

Q_45 Has the installation of the NIIDs created an additional re-organisation of land use within the Port area (in addition to the installation of RPMs)?

	X-Ray	Gamma Ray	FNA	TNA
Level of reorganization				

PRIMARY INSPECTION and Track Devices

Q_46 Have you installed the following types of track devices at major ports and airports handling international cargo?

	Port #1	Port #2	Airport #1	Airport #2
OCR and Image recognition system				
If Yes, please specify:				
Electronic seal technology				
If Yes, please specify:				
Integrated Surveillance Intelligence System				
If Yes, please specify:				

Q_47 Have you organized joint inspection lanes using both RPM and NIID technology, plus eventually, other cargo tracking device(s)?

If Yes, please describe the organization of your joint inspection lane(s):

If Yes, are the Alarm Stations serving both RPMs and NIIDs?

Q_48 The operation of the scanning process requires a team of officers. The composition of this team depends on the configuration of the site.

Could you indicate the size of this team at major ports and airports handling international cargo? Please refer to the following profiles.

	Port #1	Port #2	Airport #1	Airport #2
Scanner manager who ensures efficient operations of the scanning unit(s), including liaison with port/terminal authority and Customs intelligence officers.				
Marshaller who controls the movement of cargo and containers into and out of the scanning area.				
Image analyst who interprets the images from the scanning equipment. In case of mobile unit, the image analyst may also be the driver of the scanner.				
Technical staff who service and maintain the scanner.				
Radiation expert who ensures compliance with national (Health) regulations and issues scanning operation licences.				

Type		Number
Other (Specify type and number of staff)		
Other (Specify type and number of staff)		
Other (Specify type and number of staff)		

SECONDARY INSPECTION:

Radioactive Isotope Identification Devices (RIIDs) and Personal Radiation Detectors (PRDs)

Secondary inspection equipment is utilized to isolate the location of a radioactive source and to perform isotopic identification of the container's contents. This secondary equipment assists the operator in differentiating between naturally occurring radioactive material (NORM) and weapons grade materials of concern.

Identification equipment ranges from hand-held radioactive isotope identification devices (RIIDs), Personal Radiation Detectors (PRDs) to large-scale advanced spectroscopic portals (ASP).

Q_49 Is secondary inspection carried out using RIIDs (for ex.: HPGe, NaI, or others)?

What type(s) of RIIDs?

	Model	Trademark	Average age (years)	Number of units
Type #1				
Type #2				
Type #3				
Type #4				
Type #5				

If Other, please specify:

Q-50 Is secondary inspection carried out using PRDs (for ex: survey meters, pagers, etc.)?

What type(s) of PRDs?

	Model	Trademark	Average age (years)	Number of units
Type #1				
Type #2				
Type #3				
Type #4				
Type #5				

If Other, please specify:

Q_51 Have you installed advanced spectroscopic portals (ASP) at your major ports?

How many?

Are you planning to install ASPs at your major ports, in a near future?

How many?

SECONDARY INSPECTION: Other common tools

Other tools are also used for secondary inspection. These tools include vapor and trace detection systems, busters and canines.

Q_52 Are you using the following tools for secondary inspection?

Vapor detection systems	
Trace detection systems	
Busters	
Canines	

Q_53 What type(s) of Vapor Detection Systems?

	Model	Trademark	Average age (years)	Number of units
Type #1				
Type #2				
Type #3				
Type #4				
Type #5				

If Other, please specify:

Q_54 What type(s) of Trace Detection Systems?

	Model	Trademark	Average age (years)	Number of units
Type #1				
Type #2				
Type #3				
Type #4				
Type #5				

If Other, please specify:

Q_55 What type(s) of Busters?

	Model	Trademark	Average age (years)	Number of units
Type #1				
Type #2				
Type #3				
Type #4				
Type #5				

If Other, please specify:

CANINES: Drug- and explosives-detecting canines are widely considered by security experts to be the most effective way to screen cargo since they have the fewest drawbacks of any method currently available. Dogs have a very sensitive sense of smell, and they can be trained to passively alert handlers of the presence of explosive materials or drugs. Properly trained canines very rarely give false positive alerts. Canines can be trained to detect either explosives or drugs, but should never be trained to detect both. Usually, a canine unit consists of 2 to 4 teams with 1 handler and 1 to 2 dogs per team.

Q_56 How many canine units do you have?

How many teams per canine unit do you have?

How many dogs per team do you have?

Any particular view on Cargo Identification tools?

Comments on Part TWO of this Questionnaire

Contact Details

Please provide the contact details of the person the Project Overseer can contact if clarification of any answers provided on this questionnaire is required.

Main contact person:	
Address:	
City & Zip Code:	
Country:	
Phone Number:	
Fax Number:	
Email:	

If you are having difficulty answering any of these questions please contact:

Mr. James Walt Sullca Cornejo
Peruvian Tax Collection and Customs Administration Systems area - SUNAT

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