

Unified Global Security: The Challenge Ahead



U.S. Customs and Border Protection Importer Self-Assessment Overview

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Presentation Outline

- Importer Self-Assessment (ISA) Program Overview
- Program Requirements and Benefits
- ISA Application and Review Process
- ISA Post-Acceptance Requirements

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What is ISA?

The ISA Program:

- Is a voluntary approach to trade compliance
- Is a partnership between CBP and importers to maintain a high level of trade compliance
- Recognizes importers who can demonstrate a readiness to assume the responsibilities for self-assessment in exchange for less CBP oversight

The ISA program was announced by the Deputy Commissioner of U.S. Customs and Border Protection via General Notice in the Federal Register on June 17, 2002 (67 FR 41298).

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ISA Benefits

- Exemption from Focused Assessment audit pool
- Receipt of Importer Trade Activity (ITRAC) Data
- Expedited Internal Advice and Rulings Request/Resolution
- Enhanced Prior Disclosure
- Assigned a National Account Manager
- Expedited Cargo Release
- Greater Business Certainty
- Priority Consideration for Entries to be Processed Through Center of Excellence & Expertise

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Requirements for Participation

Pre-requisite:

- U.S. or Canadian resident importer with at least two years of importing history
- Current member of C-TPAT

Complete an ISA application:

- Memorandum of Understanding
 - Outlines CBP/Trade roles and responsibilities
 - Signed by company's officer or senior official
- ISA Questionnaire
 - Ascertain if company has documented and implemented internal controls
 - Provide all requested supporting documents (i.e., self-testing plan, etc.)

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Application Review Meeting Objective

The objective of an ISA Application Review Meeting (ARM) is to assess the applicant's readiness to assume the responsibilities of the ISA program through an evaluation of its internal control for achieving compliance with CBP laws and regulations.

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Application Review Meeting

- 1-3-Day Visit
- Importer Trade Activity (I-TRAC) Data
 - Import transactions from the most recent 5 year period
- Importer demonstrates its system of internal control over CBP transactions
 - Design of Internal Controls over CBP Transactions
 - Walk-Through (1-5) sample entries
 - Provide ISA Self-Testing Plan (based on risk)

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ISA Post Acceptance Requirements

Annual Notification Letter

Key elements to report should include a summary of the following:

- Organizational and personnel Changes
- Changes in import activity
- Procedural changes
- Risk assessment results
- Self test results and corrective action taken
- Disclosure and/or post entry amendment

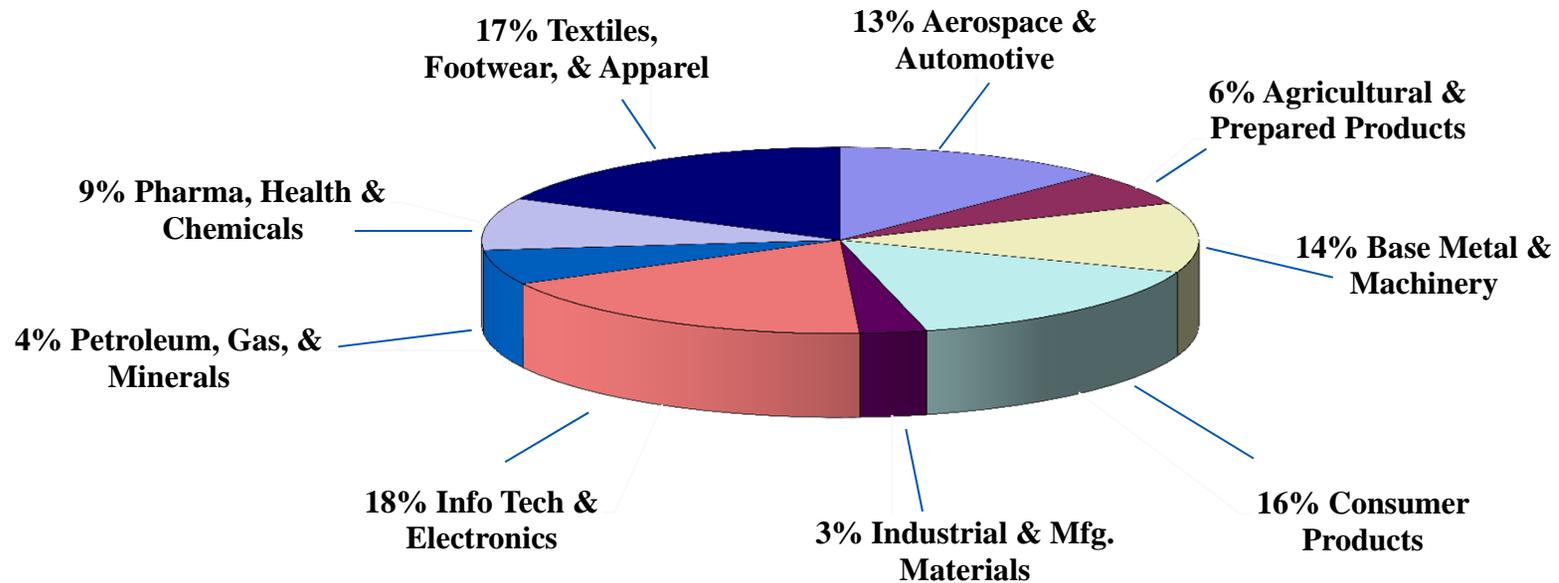
Continuation Review Meeting

- Eligible after 5 years

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ISA Members By Industry (FY 2012)



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ISA Program - Initiatives

Focused Assessment to ISA Transition

On October 5, 2012, a General Notice was published in the Federal Register announcing the following changes to the ISA program.

Importers who have successfully completed a Focused Assessment Audit and were determined to be an acceptable risk to CBP in all areas tested can transition to the ISA program without further review.

The opportunity for an importer to transition will be open for a 12-month period from the date of the Focused Assessment Report.

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ISA Program - Information

- Florence Constant
 - Chief – Partnership Programs Branch
 - (202) 863-6537
 - florence.constant@dhs.gov
 - TPPB-ISA@dhs.gov
- www.cbp.gov
 - Go to Trade tab
 - Go to Trade Programs (on the left)
 - Scroll down - Importer Self-Assessment Program
 - Select – ISA Handbook

The screenshot shows the CBP.gov website with the following elements:

- Header:** CBP.gov logo, "Securing America's Borders", and a search bar.
- Navigation:** About CBP, Newsroom, Border Security, Trade, Travel, Careers.
- Left Sidebar:** Trade Programs menu with categories: Automated Systems and Operational Support, Basic Importing and Exporting, Cargo Security, Legal Decisions/Publications, Priority Trade Issues, Quicklinks, Trade Transformation, Trade Outreach, and Trade Programs.
- Main Content:** "Importer Self-Assessment Program (ISA)" section with a description of the program and a list of resources:
 - **Importer Self-Assessment Handbook** (circled in red) - 08/18/2011. For Accessibility Information: OT500CONTACT@dhs.gov. pdf - 1,258 KB.
 - **ISA Questionnaire** - 11/29/2011. doc - 100 KB.
 - **Importer Self-Assessment Consumer Product Safety Pilot** - CBP and CPSC have a strong history of partnership in combating unsafe imports and have worked together diligently on significant product recalls, CBP announces a new partnership between CBP, CPSC and importers to prevent unsafe imports from entering the United States.
 - **Importer Self-Assessment Product Safety Pilot** - featured see also.
 - **Importer Self-Assessment Points of Contact** - featured see also - 12/01/2010. Office of International Trade.
- Right Sidebar:** Search bar for "Importer Self-Assessment Program (ISA)", a "section sitemap for Importer Self-Assessment Program (ISA)", and "see also:" section with links to "in Trade Programs" and "on cbp.gov".

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