



**Australian
BORDER FORCE**



Australian Trusted Trader

Self-Assessment Questionnaire

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1. Introduction to the Self-Assessment Questionnaire

You are invited to complete a Self-Assessment Questionnaire (SAQ) because your business has recently completed an Expression of Interest (EOI) in becoming an Australian Trusted Trader (ATT).

Purpose:

The purpose of the SAQ, when completed and submitted to the Department, is to serve as a nomination to participate in the Australian Trusted Trader Programme (the Programme) pursuant to section 176B of the *Customs Act 1901* (Cth). It is an opportunity to provide more detail about your business, its operations, and its related trade compliance and international supply chain security measures. We need this information to assess whether your business meets the 'Qualification Criteria' set out in the Customs (Australian Trusted Trader Programme) Rule 2015. Once completed, this SAQ will be considered by the Comptroller-General of Customs or his/her delegate to assess whether the business meets the Qualification Criteria.

What to expect:

In this SAQ, we will ask you to provide the following information in relation to your business:

- Structure, operations, and personnel;
- Organisational governance;
- Trade compliance;
- Financial standing;
- Commercial record-keeping;
- Communications and ICT environment; and
- International supply chain security.

In order to complete this form, you may need to consult with various key personnel from across your business and review commercial records and documentation. Depending on the nature of your business, obtaining the required information may be time-consuming. We ask that you bear this in mind when completing this form.

If you need help:

We offer an 'SAQ kick-off meeting'. This is an opportunity for you to discuss the requirements of the SAQ with the Australian Border Force (ABF) Contact Officer allocated to your business.

If at any stage while completing the SAQ you require assistance, we encourage you to consult the ATT website (www.border.gov.au/trustedtrader) or contact the ABF Contact Officer allocated to your business. Should your business take longer than 30 days to complete this SAQ, your ABF Contact Officer will get in touch with you after this point to discuss your progress.

Please note:

You are responsible for completing this form on behalf of the entity you identified in the EOI (your business). The information you provide in this form will be relied upon by the Department to determine whether your business meets the requirements to be accredited as an Australian Trusted Trader. By completing this form, you are acknowledging that you have the authority to do so on behalf your business.

2. Privacy Policy

*Indicates mandatory fields

The personal information collected by the Department of Immigration and Border Protection (the Department) in this SAQ will be used and disclosed by the Department for the purposes of administering the ATT in accordance with Part XA of the *Customs Act 1901* and associated rules, to assess whether it is reasonably likely that your business will satisfy the qualification criteria for the ATT, assess the matters that the Comptroller-General of Customs must consider before entering into a trusted trader agreement and undertake a suitability assessment. In the event that the Comptroller-General of Customs enters into a trusted trader agreement with your business, some of the non-personal information provided may also be published on the publicly available Register of Trusted Trader Agreements. The information may also be disclosed to other Commonwealth, State and Territory government agencies.

Failure to provide any relevant personal information will mean your business will be unable to nominate for participation in the ATT.

At all times, any personal information will be collected, stored, used and disclosed in accordance with the Australian Privacy Principles in Schedule 1 of the *Privacy Act 1988*. Further information regarding how the Department handles personal information, and your rights to seek access to and correction of your personal information, can be found in the Department's privacy policy at www.border.gov.au/privacy. The Department's privacy policy also contains information about how you may complain about a breach of the Australian Privacy Principles and how the Department will deal with a complaint.

I acknowledge that I have read and understood the Privacy Policy.*

SAQ PART A – Business Overview

You will have already provided a brief overview of your business as part of the EOI you submitted. We would now like you to provide a detailed overview of its structure and operations.

Question 1 – Business ownership

**Indicates mandatory fields*

We need to know who owns your business and how it is structured. This helps us to understand how your business operates and who its key decision-makers are. As an Australian Trusted Trader, you may be required to make changes to how your international supply chain operates. We need to be sure that your business has the authority to make any required changes. We also need visibility of your ultimate corporate structure to understand your business' international supply chain.

- a. Who owns your business?*
- i. If your business is a *(please select a business structure below):**

Company - Provide the following:

- A current 'company extract' obtained from ASIC; and
- The full name, address, and date of birth of the office holders below.

Office Holder (1) details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	
Postcode	
Country	
Date of Birth	

Office Holder (2) details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	

Postcode	
Country	
Date of Birth	

Office Holder (3) details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	
Postcode	
Country	
Date of Birth	

Please check the box below:

I have attached a current ASIC company extract.

Please note: If there are more Office Holders, please provide a separate attachment of their details and check the box below.

I have attached details of additional Office Holders within the Company.

Sole Trader – Provide the full name, address, and date of birth of the trader below:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	
Postcode	
Country	
Date of Birth	

- Partnership** – Provide the full name, address, and date of birth of each partner below:

Partner 1 details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	
Postcode	
Country	
Date of Birth	

Partner 2 details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	
Postcode	
Country	
Date of Birth	

Trust – Provide the following:

- Full name, address, and date of birth in relation to each of the trustees and beneficiaries; and
- If one or more of the trustees is a corporate trustee, please provide a current 'company extract' from ASIC in relation to that corporation.

Trustee/ Beneficiary (1) details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	
Postcode	
Country	
Date of Birth	

Trustee/ Beneficiary (2) details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	
Postcode	
Country	
Date of Birth	

Trustee/ Beneficiary (3) details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	

State	
Postcode	
Country	
Date of Birth	

Trustee/ Beneficiary (4) details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	
Postcode	
Country	
Date of Birth	

Trustee/ Beneficiary (5) details:

First Name	
Last Name	
Job Title	
Address (please provide the below details):	
Address Line 1	
Address Line 2	
Suburb/ Town	
State	
Postcode	
Country	
Date of Birth	

Please check the box below:

I have attached a current ASIC company extract in relation to all corporate trustees.

Please note: If there are more trustees and beneficiaries, please provide a separate attachment of their details and check the box below.

I have attached details of additional trustees and beneficiaries in the Trust

- b. Please provide a brief description of any upcoming changes (actual or potential) to the ownership of your business within the next two years:

Question 2 – Participation in an overseas Authorised Economic Operator (AEO) programme

***Indicates mandatory fields**

We need to know if your business, or a related entity, is already accredited as an AEO in another country. While not a pre-requisite for entry into ATT, it may indicate that your business is familiar with the standards and requirements for entry into an AEO programme.

If overseas entities within the corporate group have lost their AEO status in their home country, this does not mean you will necessarily be prevented from joining ATT, but it may inform any requirements and conditions that might be placed on your business in order to be accredited in ATT.

Have any related entities of your business:

- a. Obtained an Authorised Economic Operator (AEO) accreditation in another jurisdiction?*

- Yes
 No

If 'Yes', please provide details, including the jurisdiction in which they are accredited:

b. Applied for AEO accreditation and are currently undergoing a Trusted AEO review by a foreign customs authority?*

Yes

No

If **'Yes'**, please provide details, including the jurisdiction in which they have applied and status of accreditation:

c. Had their AEO status changed in another country? (e.g. downgraded)*

Yes

No

If **'Yes'**, please provide a statement on the circumstances:

Question 3 – International supply chain activities

**Indicates mandatory fields*

We need to know what activities your business undertakes in the international supply chain, including those activities that may be ancillary to the core activities of your business. We will assess your business' activities against the applicable standards of supply chain security and trade compliance.

Please check the appropriate box in the table **below** to indicate where your business, or a related entity or third party on its behalf, undertakes any of the following:*

International Supply Chain Activity	Undertaken <u>by</u> your business	Undertaken <u>on behalf of</u> your business	Number of years the activity has been undertaken for
Manufacturing	<input type="checkbox"/>	<input type="checkbox"/>	
Processing	<input type="checkbox"/>	<input type="checkbox"/>	
Importing and/or Exporting	<input type="checkbox"/>	<input type="checkbox"/>	
Physical Handling of Goods	<input type="checkbox"/>	<input type="checkbox"/>	
Reporting Goods	<input type="checkbox"/>	<input type="checkbox"/>	
Storing Goods	<input type="checkbox"/>	<input type="checkbox"/>	
Transporting Goods	<input type="checkbox"/>	<input type="checkbox"/>	

Relevant section of the Rule: section 7(3)

Question 4 – Description of your business' international supply chain activities:

**Indicates mandatory fields*

We need to know how the activities you identified in Question 3 are performed by your business, or by third parties on behalf of your business. This will give us a better understanding of the operation of your international supply chain.

Please provide a diagram or flowchart depicting your activities and the flow of goods in your international supply chain.*

Please also include information on:

- The goods and services provided by your business;
- The countries your business imports or exports from/to;
- Activities that are undertaken by third parties on behalf of your business; and
- Any regulated items you deal in. For example, include any goods that require a permit or licence to import, export or otherwise trade in, or other conditions/requirements that apply to their handling (such as dangerous goods).*

Please check the box below:

- I have attached a diagram or flowchart as requested above.*

Please provide additional details not included in your diagram/flowchart below:

Relevant section of the Rule: section 7(3)

Question 5 – International supply chain changes

*Indicates mandatory fields

We need to know about any known future changes to your business' operations in the international supply chain. This will help us to understand how your business will likely operate in the future. For example, we want to know about upcoming changes to your business' service providers, or changes in the goods it deals with.

Are you aware of any upcoming changes to your business' operations in the international supply chain over the next two years?*

- Yes
- No

If your answer is 'Yes':

- Briefly describe the operational changes:

- Please provide a revised version of the diagram/flowchart provided in Question 4 depicting these changes.

Please check the box below:

- I have attached a diagram or flowchart as requested above.

Question 6 – Internal organisational structure

**Indicates mandatory fields*

We need to know how your business is structured, particularly the structure relating to trade compliance and international supply chain security.

Please provide an organisational chart outlining the internal organisational structure of your business, and:

- Identify on this chart the departments/functions involved in your business' international supply chain activities identified in Question 3; and
- Provide a description of the role of each department/function identified above.*

Please check the box below:

- I have attached an organisational chart including the required information listed above.*

Please provide additional details below:

Question 7 – Key personnel

*Indicates mandatory fields

We need to know about the key personnel within your business who are responsible for managing trade compliance and security in relation to your international supply chain activities. This will help us to understand how trade compliance and international supply chain security is managed within your business. Key personnel include those responsible for managing:

- Reporting information to the Department or other Australian government departments;
- Goods at all stages in the international supply chain (e.g. shipping managers, warehouse managers, logistics managers);
- Record keeping;
- Financial management;
- Compliance; and
- Customs operations.

Please provide the following information in relation to each of your key personnel:*

- Full Name;
- Job title;
- Period engaged by your business;
- Brief explanation of what the position entails; and
- Whether a criminal history check or any other security screening has ever been undertaken in relation to each of your business' key personnel and, if so, the date the most recent check and/or screening was undertaken (if known).

Key Personnel (1) details:

First Name*	
Last Name*	
Job Title*	
Period engaged by your business*	
Brief position description*	
Criminal history check/ security screening*	<input type="checkbox"/> Yes, please provide date undertaken below.* <input type="checkbox"/> No
Date criminal history check/security screening undertaken	

Key Personnel (2) details:

First Name*	
Last Name*	
Job Title*	
Period engaged by your business*	
Brief position description*	
Criminal history check/ security screening*	<input type="checkbox"/> Yes, please provide date undertaken below.* <input type="checkbox"/> No
Date criminal history check/security screening undertaken	

Key Personnel (3) details:

First Name*	
Last Name*	
Job Title*	
Period engaged by your business*	
Brief position description*	
Criminal history check/ security screening	<input type="checkbox"/> Yes, please provide date undertaken below.* <input type="checkbox"/> No
Date criminal history check/security screening undertaken	

Relevant section of the Rule: section 11(3)(a)(i)

Please note: If there are more key personnel in your business, please provide a separate attachment of their details and check the box below.

I have attached details of additional key personnel within the business

Question 8 – Business premises

*Indicates mandatory fields

We need to know about all of the premises in Australia where your business undertakes its international supply chain activities, or where a third party conducts internal supply chain-related activities on behalf of your business. This will help us to understand how your business' international supply chain operates. Examples of relevant premises include warehouses, storage facilities, manufacturing or processing facilities, dispatch or other facilities.

Please provide site plans for each of your business' relevant premises, and provide the following information in relation to each:*

- a. The full street address;
- b. The size of the premises (in m²);
- c. The international supply chain activities undertaken at the premises;
- d. The number of staff employed at the premises;
- e. The owner of the premises;
- f. Who manages the premises (if different to the owner);
- g. Any other businesses sharing the premises, and the relationship between the businesses (if applicable);
- h. Identify on each site plan the perimeters, access routes, CCTV locations, and the location of buildings.

Please note: We do not need information in relation to business premises that are only incidentally related to the international supply chain (e.g. a domestic store front). If your business has more than 5 relevant premises, please contact your ABF Contact Officer to discuss how to provide site plans for these additional premises.

Relevant section of the Rule: section 11(4)

Please provide the required details below:*

Business Premise (1):

Address (please provide the below details):*	
Address Line 1*	
Address Line 2	
Suburb/ Town*	
State*	
Postcode*	
Country	Australia
Size of the premises (in m ²)*	
International supply chain activities undertaken at the premises*	

Number of staff employed at the premises*	
The owner of the premises (please provide the below details):*	
Business Name; or	
First Name of owner	
Last Name of owner	
If more than one owner, please provide details	
Who manages the premises (if different to the owner, please provide the below details):*	
<i>Manager (1):</i>	
First Name	
Last Name	
<i>Manager (2):</i>	
First Name	
Last Name	
<i>Manager (3):</i>	
First Name	
Last Name	
Other businesses sharing the premises, and the relationship between the businesses (if applicable, please provide the below details):	
<i>Other Business (1):</i>	
Business Name	
Relationship between businesses	
<i>Other Business (2):</i>	
Business Name	
Relationship between businesses	
<i>Other Business (3):</i>	
Business Name	
Relationship between businesses	

Please check the below box:

- I have attached the site plan for this business premise and have identified the perimeters, access routes, CCTV locations, and the location of buildings.*

Business Premise (2):

Address (please provide the below details):*	
Address Line 1*	
Address Line 2	
Suburb/ Town*	
State*	
Postcode*	
Country	Australia
Size of the premises (in m ²)*	
International supply chain activities undertaken at the premises*	
Number of staff employed at the premises*	
The owner of the premises (please provide the below details):*	
Business Name; or	
First Name of owner	
Last Name of owner	
If more than one owner, please provide details	
Who manages the premises (if different to the owner, please provide the below details):*	
<i>Manager (1):</i>	
First Name	
Last Name	
<i>Manager (2):</i>	
First Name	
Last Name	
<i>Manager (3):</i>	

First Name	
Last Name	
Other businesses sharing the premises, and the relationship between the businesses (if applicable, please provide the below details):	
<i>Other Business (1):</i>	
Business Name	
Relationship between businesses	
<i>Other Business (2):</i>	
Business Name	
Relationship between businesses	
<i>Other Business (3):</i>	
Business Name	
Relationship between businesses	

Please check the below box:

- I have attached the site plan for this business premise and have identified the perimeters, access routes, CCTV locations, and the location of buildings.*

Business Premise (3):

Address (please provide the below details):*	
Address Line 1*	
Address Line 2	
Suburb/ Town*	
State*	
Postcode*	
Country	Australia
Size of the premises (in m ²)*	
International supply chain activities undertaken at the premises*	
Number of staff employed at the premises*	
The owner of the	

premises (please provide the below details):*	
Business Name; or	
First Name of owner	
Last Name of owner	
If more than one owner, please provide details	
Who manages the premises (if different to the owner, please provide the below details):*	
<i>Manager (1):</i>	
First Name	
Last Name	
<i>Manager (2):</i>	
First Name	
Last Name	
<i>Manager (3):</i>	
First Name	
Last Name	
Other businesses sharing the premises, and the relationship between the businesses (if applicable, please provide the below details):	
<i>Other Business (1):</i>	
Business Name	
Relationship between businesses	
<i>Other Business (2):</i>	
Business Name	
Relationship between businesses	
<i>Other Business (3):</i>	
Business Name	
Relationship between businesses	

Please check the below box:

- I have attached the site plan for this business premise and have identified the perimeters, access routes, CCTV locations, and the location of buildings.*

Please note: If there are more business premises, please provide a separate attachment of their details and check the box below.

I have attached details of additional business premises

SAQ PART B – Organisational Governance

Question 9 – Organisational Governance

**Indicates mandatory fields*

We need to understand how your business governs trade compliance and international supply chain security. This provides an indication of its ability to ensure staff uphold trade compliance and international supply chain security requirements, and the measures in place to ensure accountability.

We would like to know the following:

- a. How does your business promote and encourage trade compliance and international supply chain security (e.g. through a corporate vision, mission or values statement, policy or corporate ethos)?* Please provide copies where applicable.

Please provide details below:

Please check the below box if additional information stated below is attached:

I have attached copies of the business' corporate vision, mission or values statement, policy or corporate ethos.

- b. What training is given to employees engaged in roles relating to international supply chain security or trade compliance activities?* In particular, we would like to know:
- The type of training, and how this training differs (if at all) depending on the role; and
 - Whether employees are trained to recognise risks that may arise in relation to their role and, if applicable, the business' international supply chain.

Please provide details below:

- c. Please describe the level of supervision of employees operating across international supply chain activities (e.g. close, general or broad)?*

Please provide details below:

- d. Does your business have an internal audit function or process in place for overseeing trade compliance and international supply chain security (e.g. an audit committee)? *

Yes

No

If 'Yes', please briefly describe the structure and operation of this function or process:

Relevant section of the Rule: section 11(3)(a)(ii)

SAQ PART C – Trade Compliance

Question 10 – Compliance record

*Indicates mandatory fields

We need to know your business' history of compliance with Customs-related laws. This will help us to understand your business' ability to adhere to Customs-related laws, to identify instances of non-compliance and implement corrective measures.

- a. Over the past two years, has your business or any of the personnel identified in Questions 1 or 7 failed to comply with a Customs-related law?*

Yes

No

- b. If you answered 'Yes' to Question 10(a):

- i. What was the nature and extent of the non-compliance?

Please provide details below:

--

- ii. What were the reasons for the non-compliance?

Please provide details below:

--

- iii. Who first detected the non-compliance?

First Name	
Last Name	
Position in the business	

iv. Was the relevant government authority notified?

Yes

No

Please provide details below:

v. Was your business or relevant individual penalised by the relevant government authority?

Yes

No

Please provide details below:

vi. What measures, if any, did your business take to prevent future non-compliance?

Please provide details below:

Relevant section of the Rule: section 12

SAQ PART D – Financial Standing

Question 11 – Financial Standing

*Indicates mandatory fields

We need to know about the financial standing of your business. This will help us to ascertain whether your business is capable of fulfilling its financial obligations when they become due and payable. We are particularly concerned with your business' ability to meet its Customs-related financial obligations and financial obligations that arise from its activities in the international supply chain.

- a. Are any of the following statements applicable to your business?*
- i. At any stage within the last two years, a receiver of the property or part of the property of the business has been appointed?*
- Yes
- No

If 'Yes', please provide details:

- ii. At any stage within the last two years, your business has been placed under administration within the meaning of the *Corporations Act 2001*?*
- Yes
- No

If 'Yes', please provide details:

iii. At any stage within the last two years, your business has been unable to pay its debts when due and payable?*

Yes

No

If 'Yes', please provide details:

--

iv. Your business is currently, or expects to be, involved in legal proceedings that may necessitate a financial settlement?*

Yes

No

If 'Yes', please provide details:

--

b. Are any of the personnel in your business identified at Questions 1 or 7:

i. Undischarged bankrupts?*

Yes

No

If 'Yes', please provide details:

Key Personnel (1) that are undischarged bankrupts:

First Name	
Last Name	
Job Title	

Key Personnel (2) that are undischarged bankrupts:

First Name	
Last Name	
Job Title	

Key Personnel (3) that are undischarged bankrupts:

First Name	
Last Name	
Job Title	

Please note: If there are more key personnel in your business that are undischarged bankrupts, please provide a separate attachment of their details and check the box below.

I have attached details of additional key personnel with undischarged bankrupts

ii. Currently being investigated for, or have previously been found to have breached one or more 'directors' duties as defined in the *Corporations Act 2001*?*

Yes

No

If 'Yes', please provide details below:

Key Personnel (1) breached one or more 'directors' duties':

First Name	
Last Name	
Job title	

Key Personnel (2) breached one or more 'directors' duties':

First Name	
Last Name	
Job title	

Key Personnel (3) breached one or more 'directors' duties':

First Name	
Last Name	
Job title	

Please note: If there are more key personnel in your business currently being investigated for, or have previously been found to have breached one or more 'directors' duties, please provide a separate attachment of their details and check the box below.

I have attached details of additional key personnel who have breached one or more 'directors' duties

c. Are there any upcoming events you are aware of that could impact on your business' ability to pay its debts when they become due and payable in the future?*

Yes

No

If 'Yes', please provide details:

Relevant section of the Rule: section 8

SAMPLE

SAQ PART E – Commercial Records Management

We need to know how your business manages its commercial records. This will provide us with a clearer understanding of whether your business stores documents securely and can access documentation when required. We will ask you questions in relation to your business':

- Financial data record-keeping; and
- Logistics record-keeping.

Question 12 – Financial data recordkeeping

***Indicates mandatory fields**

We need to know about the existence, reliability, traceability, accessibility, and security of your business' **financial** records in relation to its international supply chain activities and overall financial standing. In particular:

- Does your business keep financial records (physical or electronic) that document and explain your international supply chain transactions and financial standing?*
- Yes
 No
- If **'Yes'**, please describe how your financial record keeping system operates. In particular, please provide us with the following information:
 - What is the system, and how is data entered into it (e.g. automatically or manually)?

- How long is data kept for?

iii. Does the system provide an audit trail?

Yes

No

Please provide details below:

iv. Does the system enable audit-based customs control?

Yes

No

Please provide details below:

v. Can financial data be made available on request and, if so, in physical or electronic form (both)?

Yes

No

Please provide details below:

vi. Are all financial records kept in English?

Yes

No

If 'No', please provide details below:

c. What measures, if any, are in place in your business:

i. To ensure that your financial records are accurate and traceable to the source of the information?

Please provide details below:

ii. That control access, physical and electronic, to financial records relating to international supply chain transactions and financial performance? (e.g. passwords to access electronic records, or a safe to secure physical records)

Please provide details below:

iii. That governs the secure archiving of financial data (physical or electronic)?

Please provide details below:

Relevant section of the Rule: sections 9(1), 9(2)(a), (c), 9(3), 10(1)(a)

Question 13 – Logistics recordkeeping

*Indicates mandatory fields

We need to know about the existence, reliability, traceability, accessibility and security of your business' **logistical** records in relation to its international supply chain activities.

- a. Does your business keep records (physical or electronic) that document the handling, movement and storage of goods moving through your international supply chain?*

Yes

No

- b. If 'Yes', please describe how your logistics record keeping system operates. In particular, please provide us with the following information:

- i. What is the system, and how is data entered into it (e.g. automatically or manually)?

- ii. Does the system allow identification of other businesses or individuals that may be in contact with the goods within the international supply chain?

Yes

No

Please provide details below:

- iii. How long is data kept for?

iv. Does the system provide an audit trail?

Yes

No

Please provide details below:

v. Does the system enable audit-based customs control?

Yes

No

Please provide details below:

vi. Can logistics data be made available on request and, if so, in physical or electronic form (or both)?

Yes

No

Please provide details below:

vii. Are all logistics records kept in English?

Yes

No

If **'No'**, please provide details below:

c. What measures, if any, are in place in your business:

- i. To ensure that your records relating to the handling, movement and storage of goods are accurate and traceable to the source of the information?

Please provide details below:

- ii. That control access, physical and electronic, to the records relating to the handling, movement and storage of goods?

Please provide details below:

- iii. That governs the secure archiving of financial data (physical or electronic)?

Please provide details below:

Relevant section of the Rule: sections 9(1), 9(2)(b), (c), 9(3), 9(4), 10(1)(a)

SAQ PART F – Communication and ICT

We need to know how your business manages its ICT environment and communications it sends and receives in relation to its international supply chain activities. This will impact on your business' ability to maintain trade compliance and also keep reliable commercial records. We will ask you about:

- How your business ensures the integrity of information it receives;
- How your business communicates electronically with the Department; and
- How your business manages its ICT environment.

Question 14 – Receiving information

***Indicates mandatory fields**

We need to know how your business ensures the integrity of the information it receives regarding goods in the international supply chain. 'Information' may include supporting documentation, such as licences or permits required by other government agencies.

- a. What measures are in place in your business to ensure that:
 - i. Any information provided to it from another party about goods moving through the international supply chain is accurate and traceable?*

Please provide details below:

- ii. Any information provided to your business by third parties regarding goods moving through its international supply chain are secured against misuse, loss and unauthorised access? (e.g. restriction of physical and electronic access, such as through use of safes, passwords, firewalls etc.)*

Please provide details below:

- b. Is data entered by third parties controlled by access codes, and is such data regularly audited by your business?*

Yes

No

Please provide details below:

Relevant section of the Rule: sections 9(1)(b), (d), 9(2)(b), (c), 9(4), 10(1)(a), 10(2)(a)

Question 15 – Communicating with the Department

*Indicates mandatory fields

We need to know how your business ensures the integrity of the information it, or a broker on its behalf, provides to the Department regarding its international supply chain activities.

- a. What measures are in place at your business to ensure that:
- i. Any communication made to the Department and other relevant government agencies regarding the importation or exportation of goods is accurate, traceable, and submitted in accordance with relevant statutory timeframes?*

Please provide details below:

- ii. Any communications identified above are secured against misuse, loss, and unauthorised access?*

Please provide details below:

Relevant section of the Rule: sections 9(1)(a), (b), (c), 10(1)(a), (b), 10(2)(b)

Question 16 – ICT environment

*Indicates mandatory fields

We need to know how your business' information and communication technology (ICT) system manages data relating to its international supply chain activities to ensure data is accurate, accessible, and protected against loss or interference.

- a. Briefly describe the ICT system that your business uses to process, communicate, and store data relating to the international supply chain, and how it operates. In particular, please provide information regarding:
 - i. How data is stored (e.g. on servers, or on the cloud)?*

Please provide details below:

- ii. Where data is stored (e.g. internal or external to your business)?*

- Internal
- External
- Both internal and external

Please provide details below:*

iii. Who manages IT support (e.g. internal or outsourced)?*

- Internal
- Outsourced
- Both internal and outsourced

Please provide details below:*

iv. How the ICT system is secured physically (e.g. server room), and electronically (e.g. firewall, virus protection)?*

Please provide details below:

b. Please describe the measures, if any, in place in your business to:

i. Govern access (physical and electronic) to the ICT system, and to ensure that it is secured against misuse and unauthorised access?*

Please provide details below:

- ii. Identify and resolve processing or data integrity issues?*

Please provide details below:

- iii. Identify and investigate system security breaches?*

Please provide details below:

- iv. Address data backup, restoration, and disaster recovery? *

Please provide details below:

- c. What other measures, if any, does your business have in place to secure its ICT system to protect data relating to its international supply chain activities?

Please provide details below:

- d. Please provide your business' following materials, or otherwise indicate if they do not exist:*

Please check the appropriate boxes below:

- i. ICT security plan attached; or ICT security plan does not exist
- ii. ICT disaster recovery plan attached; or ICT disaster recovery plan does not exist

Relevant section of the Rule: sections 9(4), 10(1)(a)

SAMPLE

SAQ PART G – Security of Goods and Related Data in the International Supply Chain

We need to know how your business ensures the security of its goods and the integrity of data relating to its goods when moving through the international supply chain. We are concerned with both your business' overall approach to supply chain security, and the specific measures it takes at each stage in the international supply chain.

Question 17 – Security risk assessment

*Indicates mandatory fields

We need to know how your business undertakes security risk assessments and protects against identified risks posed to its international supply chain activities. This will help us understand how your business assesses its operational context, and whether it adequately protects against risk arising from its operational context.

- a. Does your business undertake security risk assessments in relation to your activities in the international supply chain?*
- Yes
 No
- b. If 'Yes', please provide the following information in relation to your business' security risk assessment process:
- i. Who is responsible for undertaking assessments?

Please provide details below:

Personnel (1) responsible:

First Name	
Last Name	
Position in the business	

Personnel (2) responsible:

First Name	
Last Name	
Position in the business	

Personnel (3) responsible:

First Name	
Last Name	
Position in the business	

Please note: If there are more personnel in your business responsible for undertaking security risk assessments, please provide a separate attachment of their details and check the box below.

- I have attached details of additional personnel within the business

ii. What is assessed?

Please provide details below:

iii. What is the frequency of assessments?

Please provide details below:

iv. How does your business protect against identified risks?

Please provide details below:

v. What measures are in place to ensure the security risk assessment is undertaken properly?

Please provide details below:

vi. How is the security risk assessment process monitored and reviewed?

Please provide details below:

Relevant section of the Rule: section 11(1), (2)

Question 18 – Security of business premises

***Indicates mandatory fields**

We need to know what security measures your business has in place at its premises involved in the international supply chain. This helps us understand how your business protects against:

- 1) unlawful or unauthorised access to its premises; and
- 2) unlawful or unauthorised movement, alteration or interference with goods during their movement into or out of the premises, and whilst stored at the premises.

a. What physical barriers or deterrents are in place at your business' premises to guard against and/or monitor unauthorised access to goods?*

Please provide details below:

b. What measures are in place to control and monitor entry of individuals into your business' premises?*

Please provide details below:

- c. What other measures are in place in your business to ensure physical security of goods at handling or storage facilities?*

Please provide details below:

- d. How does your business ensure that the measures identified in Questions 18(a)-(c) above are complied with?*

Please provide details below:

Relevant section of the Rule: section 11(4)

Question 19 – Goods arrival/receipt

We need to know how your business manages and records the receipt of goods into its premises. This helps us understand what mechanisms are in place to ensure the receipt of goods is properly recorded and reconciled against commercial documentation. We are also interested in how your business manages the receipt of non-business related goods.

What measures are in place in your business to manage the receipt of any goods into premises involved in the international supply chain?

- a. How is the receipt of goods into your business managed? (e.g. are the personnel responsible for receiving goods on behalf of the business specifically selected to perform this role, and are they supervised.)

Please provide details below:

b. How is the receipt of goods recorded?

Please provide details below:

c. Are the goods actually received reconciled with the documentation relating to those goods?

Yes

No

Please provide details below:

d. Are there separate measures in place relating to the handling of incoming goods not related to your business' international supply chain activities (e.g. employees' personal mail)?

Yes

No

Please provide details below:

- e. How does your business ensure that the measures identified in Questions 19(a)-(d) above are complied with?

Please provide details below:

Relevant section of the Rule: section 11(4), (7)

Question 20 – Goods processing operations

We need to know what security measures your business has in place in relation to goods involved in the international supply chain during processing operations. This helps us to understand how your business ensures that goods are secured against unlawful movement, alteration or interference during processing operations.

- a. What measures are in place at your business to maintain the security of goods during processing operations you identified at Question 3?

Please provide details below:

- b. How does your business ensure that the measures identified in Question 20(a) above are complied with?

Please provide details below:

Relevant section of the Rule: section 11(4), (7)

Question 21 – Goods storage

We need to know what security measures your business has in place to ensure the security of its goods involved in the international supply chain while they are being stored. This helps us to understand how your business ensures that goods are secured against unlawful movement, alteration or interference during storage.

- a. How are the goods secured while being stored?

Please provide details below:

- b. Who has access to the goods while they are stored?

Please provide details below:

c. How is the storage of goods recorded?

Please provide details below:

d. Are stored goods periodically reconciled with those recorded in your business' logistics recordkeeping system and, if so, how frequently?

Yes

No

Please provide details below:

e. How does your business ensure that the measures identified in Questions 21(a)-(d) above are complied with?

Please provide details below:

Relevant section of the Rule: section 11(4), (7)

Question 22 – Goods packing and dispatch

We need to know what measures your business has in place to ensure the security of its goods involved in the international supply chain while they are being packed and dispatched. This helps us to understand how your business ensures that goods are secured against unlawful movement, alteration or interference during packing and dispatch.

- a. What measures are in place at your business that govern the following:
 - i. How access is granted to goods during the packing and dispatch process?

Please provide details below:

- ii. How goods are packed?

Please provide details below:

- iii. How goods are kept secure during the packing and dispatch process?

Please provide details below:

- iv. How goods packed are reconciled with the supporting commercial documentation relating to those goods prior to dispatch?

Please provide details below:

- b. How does your business ensure that the measures identified in Question 22(a) above are complied with?

Please provide details below:

Relevant section of the Rule: section 11(4), (7)

Question 23 – Container security

We need to know what physical security measures your business takes in relation to its containers involved in the international supply chain. This helps us understand how your business protects against the unlawful or unauthorised alteration or interference with containers before being packed with goods and during goods transportation.

You will need to provide the following information:

- a. What measures are in place to ensure that containers are secure before goods are packed into them and during transportation?

Please provide details below:

- b. What measures are in place to ensure that containers are properly sealed, and that container seals meet or exceed the current PALS ISO 17712 standards for high security seals?

Please provide details below:

- c. How does your business store its container seals prior to use, and who has access to them?

Please provide details below:

- d. Does your business record unique identification details in relation to each of its container seals in its logistics recordkeeping system described in Question 13?

Yes

No

Please provide details below:

- e. How does your business ensure that the measures identified in Questions 23(a)-(d) above are complied with?

Please provide details below:

Relevant section of the Rule: section 11(6)

Question 24 – Transportation of goods

We need to know what physical security measures are in place at your business to manage the security of its goods while being transported across the international supply chain. This helps us understand how your business protects against the unlawful or unauthorised alteration or interference with your business' goods during transportation.

- a. Who is responsible for transporting the goods (e.g. your business or a service provider)?

Please provide details below:

- b. How are the goods secured while in transit?

Please provide details below:

c. How is access granted to the goods whilst in transit?

Please provide details below:

d. Are the goods being transported reconciled with the commercial documentation for the goods?

Yes

No

Please provide details below:

Relevant section of the Rule: section 11(5)

Question 25 – Third party security

*Indicates mandatory fields

We need to know how your business manages its engagement with third parties, in order to better understand your business' international supply chain security. This is because businesses that engage third parties (including business partners) to undertake activities related (directly or indirectly) to their international supply chain will be dependent on the security standards and proper conduct of these parties in order to ensure the security of goods in the international supply chain.

- a. Please list the legal name and trading name/s of the third parties whose activities are related in any way to your business' international supply chain.*
If possible, please include brief information on the role of these parties in relation to your business.

Please provide details below:

Third Party (1) details:

Legal Name*	
Trading Name(s)*	
Role of the third party in relation to the business*	

Third Party (2) details:

Legal Name*	
Trading Name(s)*	
Role of the third party in relation to the business*	

Third Party (3) details:

Legal Name*	
Trading Name(s)*	
Role of the third party in relation to the business*	

Please note: If there are more third parties whose activities are related in any way to your business' international supply chain, please provide a separate attachment of their details and check the box below.

I have attached details of additional third parties

b. How does your business screen third parties in relation to its activities in the international supply chain? In particular:

i. Describe any procedures or criteria that must be met before a third party is selected.*

Please provide details below:

ii. Does your business screen prospective third parties in relation to their international supply chain security standards and, if 'Yes', how?*

Yes

No

If 'Yes', please provide details below:

c. What measures are in place to facilitate the communication of international supply chain security issues to your business from third parties, and how are such issues managed?

Please provide details below:

- d. How does your business ensure the security of its international supply chain from the unlawful or unauthorised conduct of third parties once they are engaged? In particular:
 - i. What security requirements are imposed on third parties once they are engaged?

Please provide details below:

- ii. How does your business ensure that third parties are complying with these security requirements?

Please provide details below:

Relevant section of the Rule: section 13

Question 26 – Personnel security

We need to know what measures your business takes to manage staff access (prospective, current, and former) to its goods in the international supply chain. This helps us understand how your business safeguards the security of goods being accessed by its staff, and protects against the unlawful or unauthorised alteration or interference with your business' goods by former staff.

- a. What measures does your business have in place to screen prospective employees and to periodically check current employees (e.g. criminal history checks, reference checks)?

Please provide details below:

- b. What measures are in place at your business to ensure that personnel whose employment has been terminated do not continue to have access to the business' premises or systems?

Please provide details below:

Relevant section of the Rule: section 11(3)