行政院所屬各機關因公出國人員出國報告書

（出國類別：出席國際會議）

出席 2009 年 APEC 單一窗口能力建構
第 2 次研討會報告

出國人員：

服　務　機　關	職　稱	姓　名
財政部關稅總局	科　　長	陳木榮
財政部關稅總局	稽　　核	張嘉元

出國地點：澳洲坎培拉

出國期間：98 年 2 月 2 日至 2 月 7 日

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出國計畫主辦機關／聯絡人電話：

財政部關稅總局　　稽　核　張嘉元　電話：25505500 轉 2932

出國人員／服務機關／單位／職稱／姓名及電話：

財政部關稅總局　　科　長　陳木榮　電話：25505500 轉 2417

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分類號/目：

關鍵詞：單一窗口、能力建構、聯合國貿易便捷及電子商業中心模式建構方法（UMM）、全球貿易安全與便捷化標準架構

內容摘要：

本出國報告主要內容包括會議議程、參與國家及人員名單與聯絡資料，並就課程情形與結論作成完整報告並將相關文件附於本報告，以供相關人員參考，本次研討會重點包括政府間資訊分享及聯合國貿易便捷及電子商業中心模式建構方法(UMM)，本報告最後提出心得與建議。

目　錄

壹、會議時間..... 1

貳、會議地點..... 1

參、我國與會代表..... 1

肆、會議背景..... 1

APEC 單一窗口工作小組簡介 1

研討會之課程安排.....2

伍、課程情形..... 3

統一模型語言(Unified Modeling Language, UML).....5

聯合國貿易便捷及電子商業中心模式建構方法（UMM） 6

UMM 與 UML（Unified Modeling Language）之關係 8

Enterprise Architect 之 UMM 造型輯 9

GIEM（Government Information Exchange Methodology）.....10

業務分析.....11

實作範例.....12

聯合國貿易便捷及電子商業中心核心組件技術規範（CCTS）...20

陸、心得與建議..... 23

出席2009年APEC單一窗口能力建構第2次研討會報告

壹、會議時間： 2009 年2 月2 ~7 日

貳、會議地點：澳洲坎培拉

參、我國與會代表：

財政部關稅總局陳科長木榮

財政部關稅總局張稽核嘉元

肆、會議背景：

關務程序次級委員會於(SCCP)於2009年2月2-7日於澳洲坎培拉舉辦單一窗口能力建構研討會。代表團來自澳洲、中華人民共和國(中國)、中國香港、印尼、墨西哥、紐西蘭、巴布亞新磯內亞、秘魯、中華台北、泰國及越南。本次會議由APEC 單一窗口工作小組(Single Window Working Group, SWWG)主席Julie Olarenshaw女士所領導之團隊主辦。

APEC 單一窗口工作小組簡介

APEC單一窗口工作小組(Single Window Working Group, SWWG)是2007年由澳洲、加拿大、中國、日本、南韓、紐西蘭、菲律賓、新加坡、美國及越南等10個經濟體組成，我國係於2008年第二階段加入，該小組之工作目標在於協助APEC成員體導入單一窗口架構，目前共提出6項建議文件，分別為：

第 1 號建議文件:於 SCCP 下成立單一窗口工作小組,負責協助各公、私部門,以及其他 APEC 次論壇或組織相關工作。

第 2 號建議文件:APEC 採用聯合國電子商務中心(UN/CEFACT)提出之 33 號建議文件作為單一窗口之定義。

第 3 號建議文件:APEC 成員體採行國際認可之工具或標準作為單一窗口設計之標準,以增進國際互通性。

第 4 號建議文件:SCCP 建置一個資料庫來紀錄單一窗口有關國際貿易便捷及安全之重要歷程。

第 5 號建議文件:SCCP 確認並協調重要之單一窗口能力建構活動。

第 6 號建議文件:SCCP 籌備執行計畫以實現單一窗口願景。

研討會之課程安排

單一窗口能力建構研討會係依據第 5 號建議文件執行一系列能力建構活動,本次為該系列之第 2 次研討會(第 1 次研討會於 97 年 10 月間於我國財訓所舉辦),議程請參見附件第 2 頁,主辦單位將參訓人員分為 2 梯次,每梯次分 2 部分,為期各 3 天,課程主題分別如下:

政府間資訊分享:包含單一窗口架構、資訊交換及安全、UNTDED、UNeDocs、UNLayout Key 等等。

UMM/UML:UML、XML 介紹、UMM 方法論與實作練習。

伍、課程情形

本次課程分為政府間資訊分享及UMM/UML，其中政府間資訊分享大多以投影片簡報為主，包含主題如下:

APEC SCCP SWWG

Whole-of-Government Collaboration and Benefits

Design Presentation

Integrated Cargo System

Single Window Architecture

Messaging and Security Architecture

Time Release Study

UNCEFACT Overview / Tools

E-Cert Initiative

Privacy Act

Customs Administration Regulations

Customs Act Electronic Communications

Customs Administration Act

IT determination

Legislation, Privacy and Secrecy

AGIMO GateKeeper

ACCI Electronic Certificate of Origin

Enhanced Trade Solutions

上述主題之講解多屬概括性之描述，茲將課程收集之簡報內容附於附件，以供讀者參考。本次課程重點為 UMM/UML，採實際上機練習方式作連貫性之教學，授課講師為 Mr. Steve Capell，主要介紹以下 2 套工具：

1. Sparx Enterprise Architect

目前最新版本為 7.5 版，為 UML 設計及建模工具。

2. Altova XML Spy

最新版本為 2009 SP1，為 XML/Schema 編輯工具。

3 天之課程內容如下：

第 1 天	基礎 統一模型語言(Unified Modelling Language, UML)基礎 XML 綱目定義語言(Schema Definition Language, XSD)基礎
第 2 天	業務分析 以聯合國貿易便捷及電子商業中心模式建構方法(UN/CEFACT Modeling Methodology, UMM)作程序模型 以 ISO-11179 及 UN/CEFACT 核心組件(Core Components)作資

	訊分析
第 3 天	標準開發 出口報單資訊標準 標準管理

統一模型語言(Unified Modeling Language, UML)

UML 是一套開放式建模語言，具有物件導向風格之圖形表示法，它可以將業務需求，以視覺化方式建立模型，藉以橫跨業務與資訊領域，若使用得當，可產生簡單且嚴謹之模型，甚至最終程式碼。對於不同領域的人，UML 都可以帶來一些好處，然而不論 UML 扮演的角色為何，皆具有以下幾項特性:

1、 平台、技術、語言中立

UML 提供較高的抽象程度，方便業務與資訊人員討論設計之議題,與使用之程式語言、資料庫或任何特定資訊技術與專利無關。

2、 開放標準，有相應開發工具廣為支援

由物件管理協會(Object Management Group, OMG)統籌管理，該協會成立之宗旨即為支援互通性(interoperability)共通標準，至目前為止，已有充分開放原始碼或商業化解決方案。

3、 具彈性及延伸性

透過造型輯(profile) 可應用在各種特殊之模型化需求，依特殊目的(例如描繪政府或企業模型)，用一群相關造型擴充。

4、 具有廣大可變規模能力

小至最簡單之使用案例至複雜之企業架構均可描繪。

UML 發展至 2.1 版以來，功能已漸趨完整，不過 UML 取得成功同時，也不斷地受到批評，來自工業界的批評主要是，它過於龐大和複雜，使用者很難全面、熟練地掌握它，大多數使用者只使用它一小部分之概念，因此主要的問題是:

1、 膨脹的語言

由於必須為所有狀況做到所有的事情之能力，因此無可避變得複雜。

2、 模型與程式碼之不一致

雖然模型可以產生基本程式碼，但經常須更進一步之開發，以致程式碼與模型變得不一致。

UML 僅為一種語言，其圖形是片段的資訊，對於實際問題的分析，我們需要一套有理論意涵的架構，即方法論(methodology)，本次課程講授者，為聯合國貿易便捷及電子商業中心模式建構方法(UN/CEFACT Modeling Methodology, UMM)。

聯合國貿易便捷及電子商業中心模式建構方法（UMM）

UMM 用標準化的方法，有效擷取業務流程中涉及之知識，而不受軟硬體工具限制或影響，其作法是由業務面(business)開始分析，逐步向資訊系統推演，共須完成 4 種觀點之審視如下:

1、 業務領域觀點 BDV (Business Domain View):定義業務之活動範圍。

2、 業務需求觀點 BRV (Business Requirement View):定義業務之情節，流程之輸入、輸出及流程間協同關係，以使用案例圖、活動圖等定義業務需求與流程。

3、 業務交易觀點 BTV (Business Transaction View):將 BRV 之需求，分析後以業務實體之語意描繪資料交換之流向，套入業務流程規格概要(BPSS, Business Process Specification Schema)。

4、 業務服務觀點 BSV (Business Service View):將 BTV 套入核心組件中，並實作 1~3 觀點之業務流程。

從業務到資訊模型，每一道都經過上述 4 種觀點加以觀察，作為業務領域專家(BDV->BRV)與資訊開發人員(BTV->BSV)溝通之基礎。由於 UMM 統一了分析(analysis)及設計(design)方法，在這套架構運行之下，理論上只要掌握了需求，不論由何者建模，按相同步驟應得到相同之產出(output)，最終並能以服務為導向之結構(Service Oriented Architecture, SOA) 實作資訊系統。

UMM 與 UML (Unified Modeling Language) 之關係

圖 1 為 UML 之模型與詮釋(超)模型(meta-model)之關係，利用 UML 詮釋模型，可延伸各種特定領域的語法及語意，UMM 之情況與 UML 完全相同，UMM 詮釋模型的目標是延伸可描述業務流程之 UML 詮釋模型，而 UMM 詮釋模型(M2)定義了 UMM 模型(M1)之規範，目前最新版本之 UMM 2.0 是以 UML 2.1 為基礎，另透過造型輯(profile)的方式加以擴充。所謂造型輯，是包括造型 (Stereotypes)、標籤值(Tagged values)及物件限制語言之限制 (OCL constraints)等 3 種方式組合加以特製化。

Meta Level	MOF-Term	Example
M3	meta-metamodel	The "MOF Model" Formal language for specifications
M2	meta-metadata metamodel	UML Metamodel, CCTS Metamodel W3C XML Schema specification
M1	Metadata model *definition*	UML Models, XML Schema for any payroll data file
M0	data *information*	Modeled systems, XML File containing Dave's payroll data

圖 1

使用 UMM 之好處可以分成以下數點討論:

1、 具有互通性(interoperability)之架構:UMM 承襲 UML 之高度互通性，符合國際標準。

2、 透過標準化及重複使用(re-use)組件，降低整合之成本及風險，此為物件導向設計之特性。

3、 使用實用之技術如 XML Schema 及 Web Service，並確保是由業務面主導。

Enterprise Architect 之 UMM 造型輯

到目前為止，EA 是唯一提供 UMM 造型輯之 use-case 工具，透過一套 UMM Add-In 之安裝，可達成以下功能:

1、 所有定義於 UMM 及 CCTS 詮釋模型之造型及其標籤值。

2、 UMM 業務交易型態:UMM 使用「交易」(transaction)來建立資訊交換模型。

3、 語意檢核(Semantic Validation):檢查使用者建立之模型是否符合 UMM 及 CCTS 之詮釋模型。

4、 工作編輯器(Worksheet Editor):支援需求及資訊收集之編輯器。

5、 轉換至 ebXML 佈署之能力:支援 UMM 模型轉換至 BPSS 1.1 版之相容能力。

6、 轉換為 XML Schema 之能力:符合 CCTS 之資訊模型可直接轉換為 XML Schema。

7、 模型架構之建立及精靈:建立基礎之 UMM 結構，並有客制化之工

具協助使用者快速建立符合 UMM 及 CCTS 之基礎模型。

GIEM (Government Information Exchange Methodology)

GIEM 是澳洲政府所發展的一套以模型驅動方法論，運用國際標準及最佳範例進行協同運作之方法論，它提供了由上而下的設計架構以確保最終技術元件與政府標準相容，並達成業務目需求。如果目前的專案需要以 XML 訊息交換政府間(G2G)或企業與政府(B2G)，則 GIEM 可提供容易上手之工具及方法協助達成目標。

GIEM 之架構：

本架構係建議政府間資訊交換建模，採取如圖 2 之步驟:

情境->概念->邏輯->實體

情境(Contextual)層:為最高指導原則，定義目標、策略、利害關係人及希望之產出。

概念(Conceptual)層:界定高層業務及資訊交換以達成情境層所需目標及產出。

邏輯(Logical)層經確定義詳細業務流程及資訊模型來實現概念，這個層次的資訊元件對應到可重複使用之標準元件以確保全部的一致性。

實體(Physical)層提供一種或多種技術規格來實現邏輯層的內容，它是透過工具軟體自動轉換產生的。

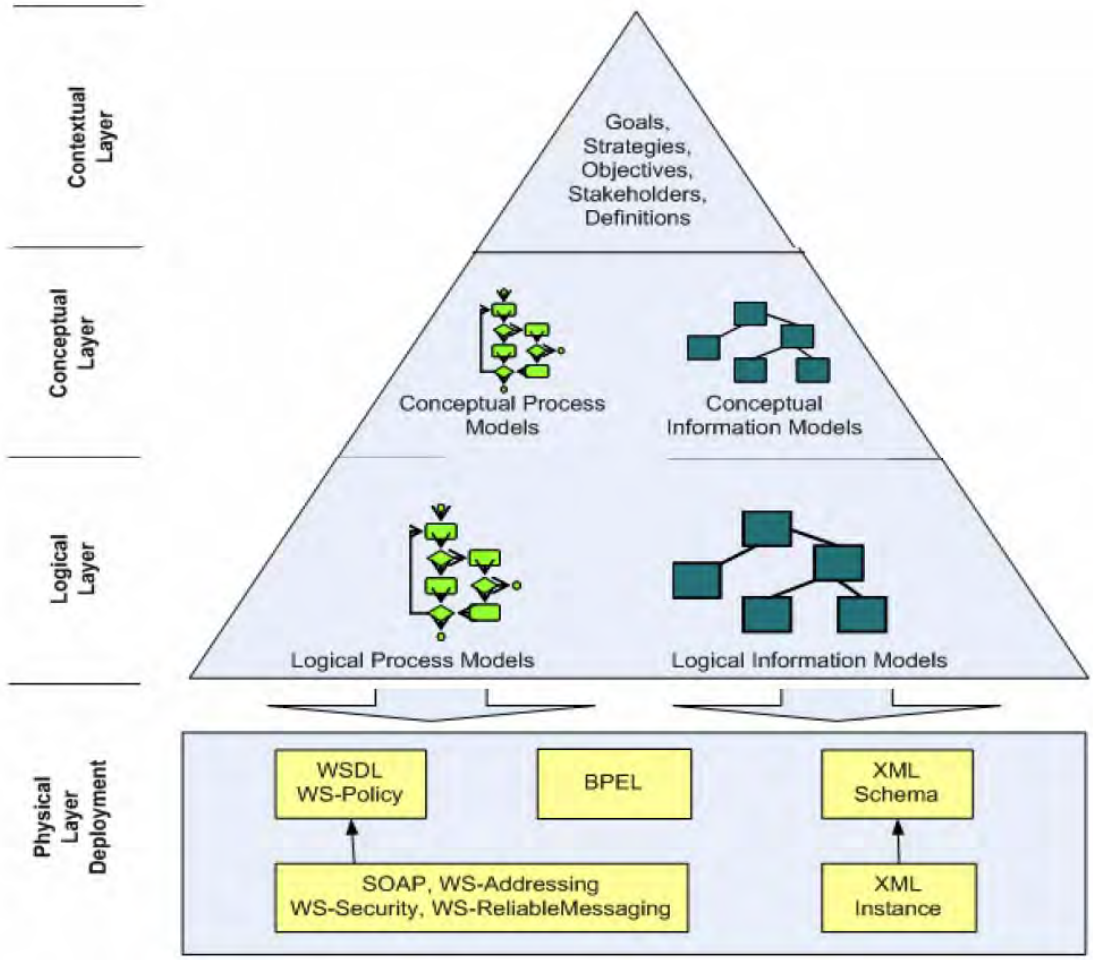


圖 2

GIEM 與 UMM 2.0 之關係：

UMM 2.0 適用於所有公司間往來之業務建模，而 GIEM 僅限定用於政府間之使用，仍完全是以 UMM 2.0 為基礎。目前澳洲政府正積極導入 GIEM 協助各項政府專案之進行，發現建立一套可重複使用之程序模型，的確可節省時間與金錢成本。

業務分析

業務分析是一套用來辨識業務需求並決定要如何處理之知識及方法，UMM 之業務分析即為前述 4 種觀點之審視之「業務需求觀點

(BRV)」，會有以下之產出：

1、 主要模型 (Domain Model)：包含整體策略或敘述、限制條件、主要績效指標(key metrics)、利害關係人與角色、業務程序列表等。

2、 程序模型 (Process Model)：包含個別業務程序描述/圖形、使用案例圖、角色互動、程序之規則與決策分支、例外等。

3、 資訊模型 (Information Model)：包含業務實體(Business entity)敘述、關聯、性質、資料型態、代碼表等。

實作範例

本次課程以「醫療器材輸出」作業為例，示範業務分析過程。

主要模型:

情境：醫療器材輸出(Exporting Therapeutic Goods)

Scalpel Glabal 是一家醫療器材製造及配售商，該廠商在經濟體(MyEconomy)下遵守其法令規範。在 MyEconomy 中不論採用何種運輸模式，海關負責任何輸出之准駁，Scalpels Global 有當地及海外的客戶，而在 MyEconomy 中醫療器材是醫療物品管理局(Therapeutic Goods Agency, TGA)控管的管制物品，任何輸出的醫療器材都須事先經由 TGA 核准。

法令規定非常清楚，任何要輸出之醫療器材在 TGA 許可後會發給

許可證號碼，因此 Scalpels 只需在出口報單上申報該許可證之號碼，不需另外提供紙本文件。意即 Scalpels 在填報出口報單前必須取得 TGA 之許可。

以上陳述可用使用案例圖加以說明如圖 3 所示捕捉業務資訊。

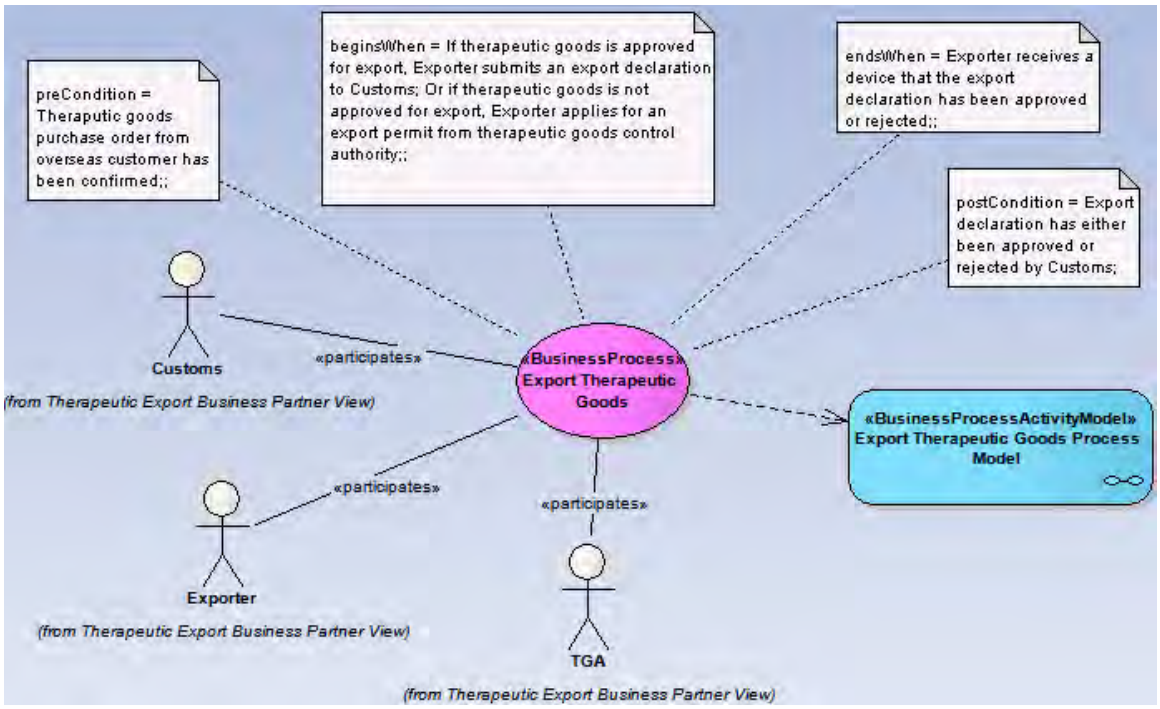


圖 3

使用案例(use case)圖是以參與者(Actor)觀點來描述演出者與程序(Export Therapeutic Goods)之互動，而使用案例之說明(use case description)包含了:

- preCondition(前置條件)/postCondition(後置條件)
- beginsWhen(作業開始訊號)/endsWhen(作業結束訊號)
- Exception(例外)

程序模型：

Export Therapeutic Goods 這個程序，可由如圖 4 之

<<BusinessProcessActivityModel>> 申報活動圖描述業務流程：

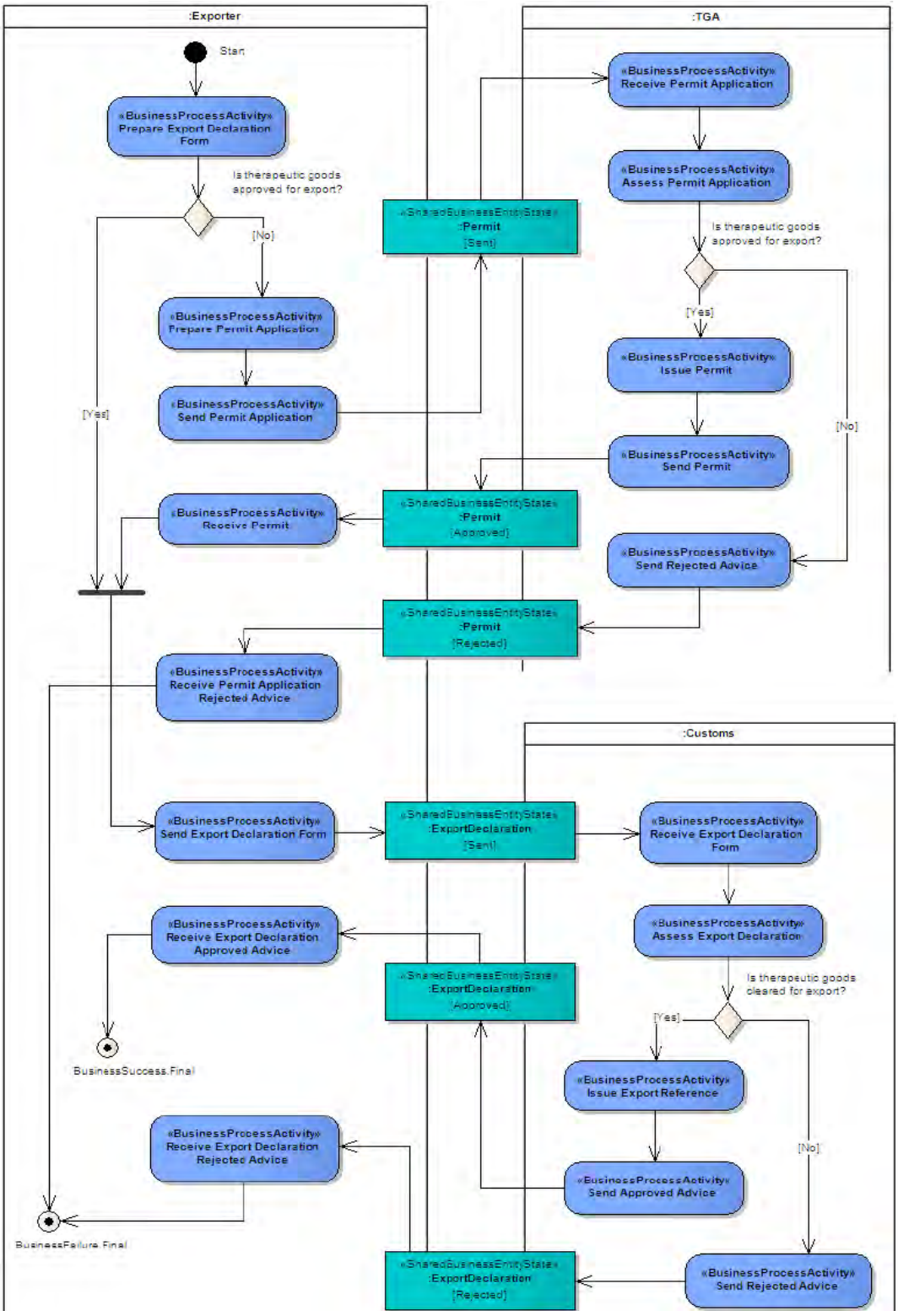


圖 4

此活動圖被區分為 3 個區塊(partition)，分別為出口商(Exporter)、海關(Customs)及醫療物品管理局（TGA)，另外圖中圓角方框為活動(Activity)，而方框為業務實體狀態(Business Entity State)，屬於物件(Object)，利用設定物件狀態即可將流程中各種情況表達出來。

資訊模型:

資訊的分析涉及資料結構，以「醫療器材輸出」程序而言，此資料結構主要就是出口報單(Export Declaration Form)，本例之出口報單是以澳洲政府舊版的出口報單（圖 5）為範例[1]，既然是結構之分析，故首先須將出口報單之資料項目加以分群，如**錯誤！找不到參照來源。**及圖 7 所示，共分成 Export Declaration、Party(Agent/Owner)、Consignee Party、Person Name、Company、Address、Communication(Phone/Fax)、Internet、Transport、Port(Loading and Discharge)、Warehouse、Cargo、Export Line Details、Goods、Permit 等 15 個群組，其中 Export Line Details、Goods 及 Permit 是貨物細項，由於一份出口申報單可能不只有一個項次，因此該 3 個群組會重複出現，其中若輸出醫療器材，則 Permit 群組中之 Permit ID 須申報 TGA 許可號碼。

[1] 澳洲現行出口報單、進口報單、海運艙單及空運艙單之格式請參見附件 P116~124。

Export Declaration

Disclaimer: This form does not represent any of the current or future export declaration forms of any Economy. This form is strictly for instructional purposes only.

1. Reference: *Customs Use Only*			2. Reporting Party Type ◯ Owner ◯ Agent		
3. Your reference			4. Reporting Party ID		
5. Intended Date of Export / /		6. Unique Consignment Reference No.		7. Customable/Excisable Indicator ◯ Yes ◯ No	
8. Warehouse ID		9. Goods Owner Party ID			
10. Confirming Exporter Type (N,Y,C)	11. Export Goods Type ◯ ST ◯ PO ◯ SP ◯ AB ◯ OP ◯ OT				
12. Consignee Name					
13. Consignee City		14. Port of Loading		15. First Port of Discharge	
16. Final Destination Country Code		17. Mode of Transport ◯ Air ◯ Sea		18. Vessel ID/ Flight No.	
19. Voyage No.	20. Cargo Type ◯ C ◯ CO ◯ N ◯ B		21. Total No. Packages		22. Total No. Containers
23. Invoice Amount		24. FOB Currency		25. Total FOB Amount	

LINE DETAILS

26. Line No.		27. Commodity Classification Code	
28. Goods Description			
29. Goods Origin Country Code(s)	30. Temporary Import No.		
31. Net Quantity	a). Amount	b). Unit	
32. Gross Weight	a). Amount	b). Unit	
33. Line FOB Amount			
34. Permit ID	Permit Description		

DECLARATION

I, the undersigned, make this export declaration (comprising a Header Page and _____ Supplementary Page(s) (not including "notes" pages)) and hereby declare I am the **(please tick)**

◯ Owner/authorised Principal exporter (including an employee of the Principal)

◯ Authorised agent of the Owner

and that the information provided is complete and correct.

Name of Person making the Entry	Contact Address	
Contact Phone No.	Contact Email	
Contact Fax No.	Company Name	
Signature	Position in Company 110	Date / /

圖 5

Export Declaration	
Customs Reference Number (1)	
Exporter Reference Number (3)	
Intended Export Date (5)	
Consignment Reference Number (6)	
Customable/Excisable Goods Indicator (7)	
Type of Exporter (10)	
Type of Goods to be exported (11)	
Invoice Amount (23)	
Free-On-Board Amount (25)	
Date Form Submitted	
Party (Agent/Owner)	
Party ID (4)	
Consignee Party	
Name (12)	
City (13)	
Country (16)	
Person Name	
Full Name	
Job Position	
Company	
Name	
ID	
Address	
Line1	
Line2	
Line3	
Locality Name	
State Territory	
Post code	
Country	
Communication (Phone/Fax)	
Country	
Area	
Telephone Number	
Internet	
Web Address	
Email	
Transport	
Mode of Transport (17)	
Transport Identification Number (18)	
Voyage/Vessel Number (19)	
Port (Loading and Discharge)	
Name of Port (14)	
Warehouse	
Warehouse Identification ID (8)	

圖 6

Cargo	
Type of Cargo exported (20)	
Total Packages in the cargo (21)	
Total containers in the cargo (22)	

Export Line Details				
Line Number (26)	Temporary Import Number (30)	Net Quantity of Goods exported (31)	Gross Weight of Goods exported (32)	Line FOB Amount (33)

Goods		
Commodity Classification Code (27)	Description (28)	Country of Origin (29)

Permit	
Permit ID (34)	Permit Description

Export Line Details				
Line Number (26)	Temporary Import Number (30)	Net Quantity of Goods exported (31)	Gross Weight of Goods exported (32)	Line FOB Amount (33)

Goods		
Commodity Classification Code (27)	Description (28)	Country of Origin (29)

Permit	
Permit ID (34)	Permit Description

Export Line Details				
Line Number (26)	Temporary Import Number (30)	Net Quantity of Goods exported (31)	Gross Weight of Goods exported (32)	Line FOB Amount (33)

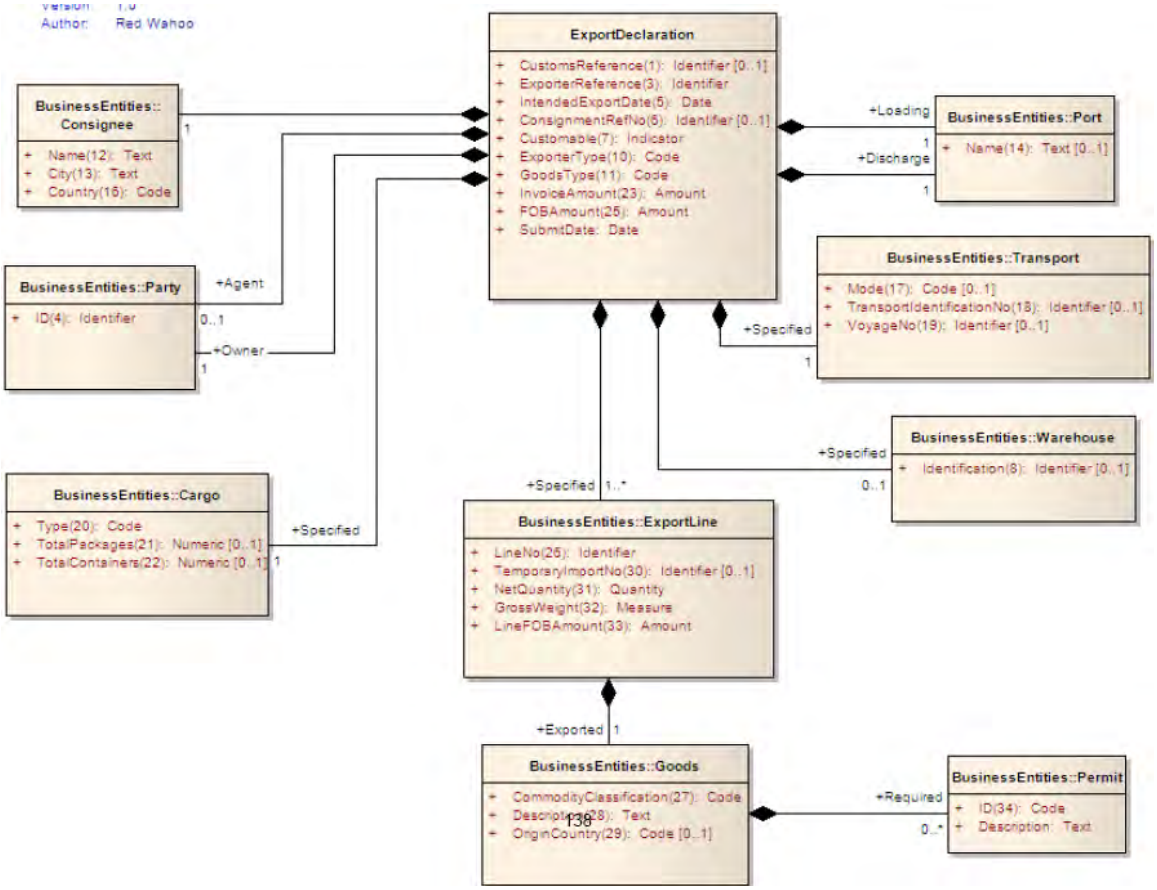
Goods		
Commodity Classification Code (27)	Description (28)	Country of Origin (29)

Permit	
Permit ID (34)	Permit Description

圖 7

在 UMM/UML 中最適合表達資料結構者為類別圖(Class diagram)，在出口報單資料分群後，即可清晰地以類別圖表示如圖

8，每一個群組都可以用一個類別(class)名稱代表，而群組中的資料項目則為類別之公開成員(public member)。



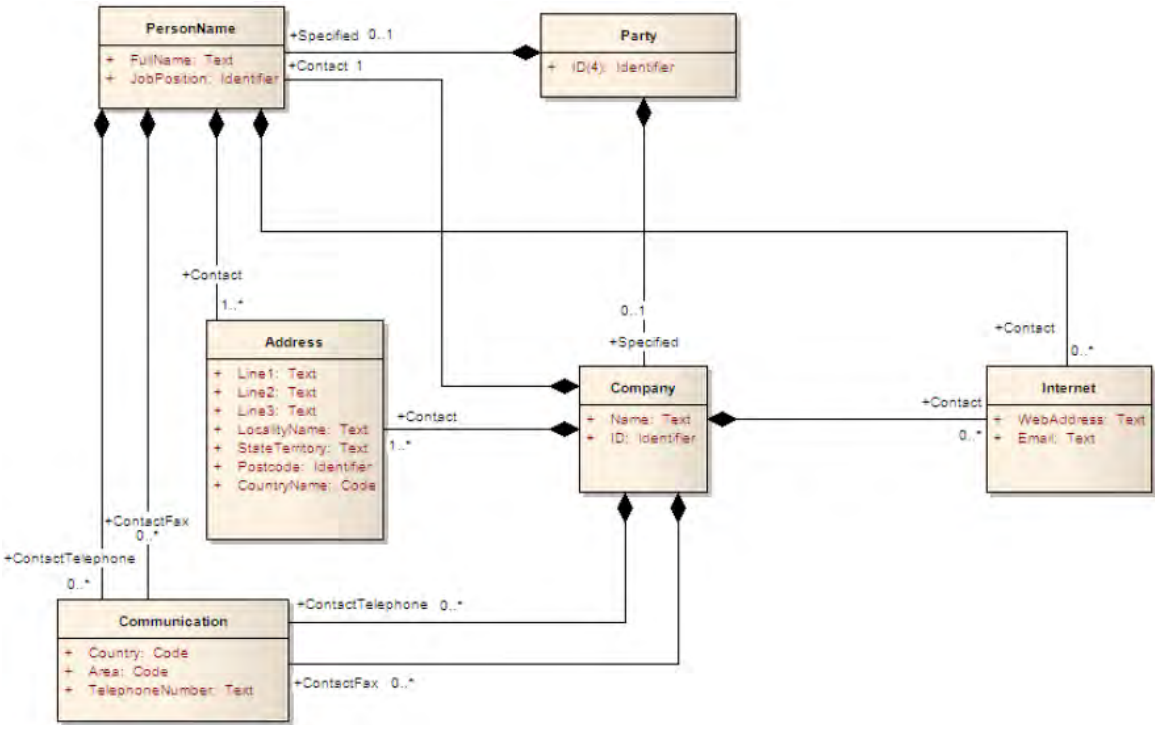


圖 8

聯合國貿易便捷及電子商業中心核心組件技術規範（CCTS）

CCTS 之英文全名為 UN/CEFACT Core Component Technical Specification 或 ISO-15000-5，其目標在於促進資料可交換性，至今已有 30 年的歷史，在 CCTS 中規範了以下事項：

1、 核心組件(Core Components)：一套情境中立(context neutral)，與業務無關之組件。

2、 業務實體(Business Information Entities, BIE)：一套與特定業務領域相關之組件。

3、 資料名稱字典(Dictionary Entry Name, DEN)：採用 ISO-11179 之命名原則。

4、儲存、註冊及發現(Storage, registration and discovery)：核心組件之維護程序。

5、UML 造型輯(UML Profile)：將 CCTS 中各種資料型態(data type)以造型方式表示,可以讓 UML 工具實際應用核心組件帶來之便利。

6、XML 命名及設計規則(XML Naming & Design Rules)：規範一致性的系統佈署方式。

核心組件帶來最大的好處是「組件」的重複利用(re-use)，此亦為 UMM 方法所標榜之優點之一，藉由標準核心組件之重複使用，可以有效地促進資料之可交換性，由於核心組件庫(Core Component Library, CCL)中已經定義為數不少之資料元件、型態與群組，通常在這一套大型的「字典」中，可以找到符合自己需要的組件，可直接取用而不必重新定義，而此尋求符合組件之過程稱為調和(harmonization)，以「輸出醫療器材」之例子而言，採用核心組件後其類別圖可表示如圖 9，新類別圖共使用了 Party、Transport Equipment、Consignment、Consignment Item、Status、Document、Location 及 Transport Movement 等 8 個核心組件，如此不但文件之複雜度降低，而且更能符合國際標準，易於交換。

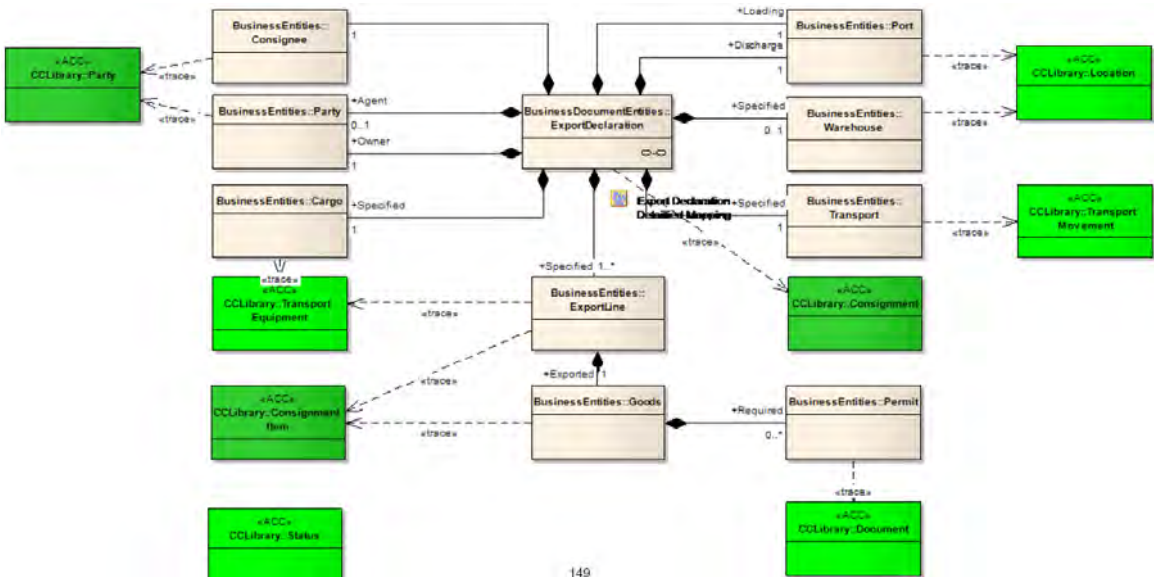


圖 9

核心組件庫目前由 UN/CEFACT 維護，每年出版 2 次(A 及 B)，在官方出版之 Excel 檔案中，其表現之方式如圖 10 所示，由於核心組件為數眾多，在該資料表中瀏覽相對不易，然而在 Enterprise Architect 套裝軟體中，透過 GIEM 或 UMM 的造型輯，核心組件很容易的以套件(package)的方式呈現，如圖 11 所示，不論是 CCL 或 BIE 的組件都井然有序地排列供調度使用，因此採用 UML 造型輯使用核心組件，可以說是最有效率之方式。

	A	B	C	D	E	
1	ADD/CHG/DEL/WDR	Unique UN Assigned ID	ABIE/ BBIE/ ASBIE/ACC/BCC/ASCC/DT/CC/SC	Dictionary Entry Name (auto generated)	Definition Mandatory	Obje
2		TBG17 Only	START HERE Press Enter	Keep the rows together Adjust selected rows with Ctrl-a	Enable macro's with Ctrl-e Disable macro's with Ctrl-d	
1437		UN00000376	ACC	Party. Details	An individual, a group, or a body having a role in a business function. Party has a legal connotation in a business transaction.	Party
1438		UN00000377	BCC	Party. Identification. Identifier	A unique identifier of the party.	Party
1439		UN00000378	BCC	Party. Type. Code	A code specifying the type of party that is independent of its role.	Party
1440		UN00000379	BCC	Party. Name. Text	A name, expressed as text, for this party.	Party
1441		UN00000380	BCC	Party. Description. Text	A textual description of this party.	Party
1442		UN00000381	BCC	Party. Access Rights. Code	A code specifying this party's access rights such as unlimited, restricted, prohibited.	Party
1443		UN00000382	BCC	Party. Classification. Code	A code specifying a classification for this party.	Party
1444		UN00000383	BCC	Party. Role. Code	A code specifying the role of this party.	Party
1445		UN00000384	BCC	Party. Language. Code	A code specifying a language for this specific party.	Party

Introduction | CC | Message-BIE | Message-qDT | Reference-BIE | Reference-qDT | uDT

圖 10

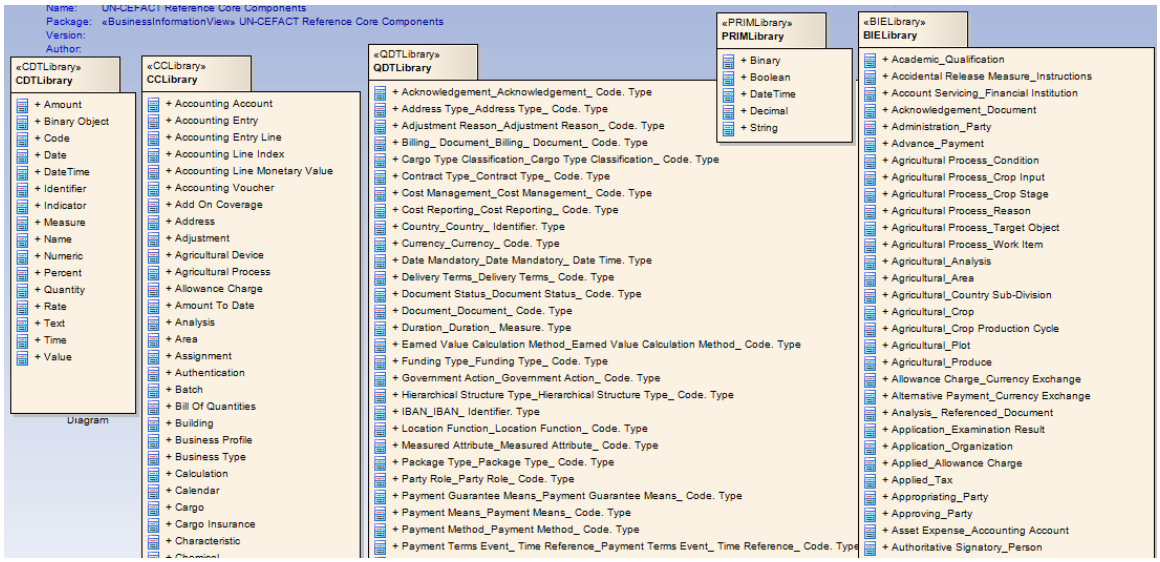


圖 11

陸、心得與建議

1、UMM 為聯合國先進國家主導，具一定之權威性，未來之發展不可忽視，我國海關應及早導入新觀念及技術，藉優質經貿網絡計畫

之推展重新檢視現行流程及描繪未來藍圖。

2、 由本次課程介紹中可發現，澳洲政府對於GIEM之推展使用可說是不遺餘力，Enterprise Architect亦為澳洲公司所開發，亦是目前唯一支援UMM之UML工具，若往後建置「關港貿單一窗口」責成委外廠商採行UML/UMM開發，則對於內部業務及技術人員之訓練，有必要儘早實施，以應未來需要。

附件目錄

AGENDA.....P001
Participant List……P005
Group Photo……P010
APEC SCCP SWWG Presentation ……..P011
Whole-of-Government Collaboration and Benefits Presentation.…….…....P013
Design Presentation ……P017
Integrated Cargo System Presentation……...…….P020
Integrated Cargo System Paper...……P029
Single Window Architecture Presentation……...……P034
Messaging and Security Architecture Presentation…….……P036
Time Release Study Presentation……P038
UNCEFACT Overview……...……P041
UNCEFACT Tools Presentation……...…...…P045
E-cert Factsheet……...……P052
E-cert Paper Certificate……...……P054
E-cert Transmission Protocols Fact Sheet……...……P055
E-cert Web View Screen-shot ……..……...……P057
E-cert XML …….……...……P059
E-Cert Initiative Presentation…….……...…...…P061
Privacy Act…….……...…...…P064
Customs Administration Regulations……...…...…P069
Customs Act Electronic Communications……...…...…P085
Customs Administration Act s16……..….....…P091
IT determination……...….....…P098
Legislation, Privacy and Secrecy Presentation...….....…P105
AGIMO GateKeeper...….....…P108
ACCI Electronic Certificate of Origin Presentation.....…P111
Enhanced Trade Solutions Presentation.....…P114
Export Declaration.....…P116
Import Declaration.....…P120
Ship’s Inward Cargo Report….....…P123
Aircraft Inwards Cargo Report….....…P124

Asia-Pacific
Economic Cooperation

2009/SCCP/SWWG/002
Agenda Item:

Agenda

Purpose: Information
Submitted by: SWWG Chair

SCCP SWWG Capacity Building Workshop Two
Canberra, Australia
2-7 February 2009

ATTACHMENT A

Workshop 2 Agenda

APEC Sub Committee on Customs Procedures (SCCP) Single Window Working Group (SWWG) Phase 2

Day 1 Monday 2 February 2009 All Participants – Customs House

Time	Activity
8.10	Pick up from Hotels
8.30 – 8.55	Registration
9.00 – 9.30	Official Opening
9.30 – 09.45	Official Photograph
09.45 – 10.15	Morning Tea

Stream 1 Customs House

Time	Activity
10.30 -10.40	Admin/Agenda
10.40 -11.00	APEC SWWG Overview
11.00 -11.30	Whole of Government collaboration & benefits
11.30 -12.00	Design Principles
12.00 -13.30	Lunch Provided
13.30 -14.20	Integrated Cargo System
14.20 -15.00	Single Window Architecture
15.00 -15.20	Afternoon Tea
15.20 -15.50	System/Message Security
15.50 -16.30	Time Release Study
16.30	Return to Hotel

Stream 2 Cliftons Training Centre

Time	Activity
10.15	Travel to Cliftons
10.30 – 11.00	Admin/Agenda
11.00 – 11.45	International trade
11.45 – 12.30	Work Environment
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	UML Foundation Session
15.00 – 15.20	Afternoon Tea
15.20 – 17.00	XML Foundation Session
17.00	Return to Hotel

18.30	Pick up for Optional Dinner (self funded)	Debacle (C)

Day 2 Tuesday 3 February 2009

Stream 1 Customs House

Time	Activity
08 45	Travel to Customs House
09.00 – 9.15	Opening Remarks
09.15 -10.00	UN/CEFACT Overview
10.00 -10.20	Morning Tea
10.20 -12.00	UN Instruments and Tools UNTDED, CCTS, UNeDocs & UN Layout Key
12.00 -14.00	Lunch (self funded)
14.00 -14.40	E-Cert Overview
14.40 -15.20	Legal and Privacy
15.20 -15.40	Afternoon Tea
15.40 -16.10	GateKeeper
16.10 -16.40	Electronic Certificate of Origin
16.40	Return to Hotel

Stream 2 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.00	Review Day 1
9.00 – 9.45	Business Analysis Introduction
9.45 – 10.10	UMM Tools
10.10 – 10.30	Morning Tea
10.30 – 12.30	Process Models
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	Information Models
15.00 – 15.20	Afternoon Tea
15.20 – 17.00	Harmonisation and Governance / Export Declaration exercise
17.00	Return to Hotel

18.30	Pick up for Optional Dinner (self funded)	Olims (C)

Workshop 2 Agenda

APEC Sub Committee on Customs Procedures (SCCP) Single Window Working Group (SWWG) Phase 2

Day 3 Wednesday 4 February 2009

Stream 1 Customs House

Time	Activity
08 45	Travel to Customs House
09.00 – 9.15	Opening Remarks
09.15 -10.00	Enhanced Trade Solutions
10.00 -10.20	Morning Tea
10.20 -12.00	Developing the APEC Single Window Roadmap and Implementation Strategy
12.00 -12.30	Stream 1 Customs House Sessions Wrap up
12.30 -16.30	Excursion City Tour/Zoo (Lunch and Afternoon Tea self funded)
16.30	Return to Hotel

Stream 2 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.00	Review of Day 2
9.00 – 10.00	Core Components Practice
10.00 – 10.20	Morning Tea
10.20 – 12.30	Export Declaration Final Model
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	XML Generation and Publishing
15.00 – 15.20	Afternoon Tea
15.20 – 16.40	Model Management
16.40 – 17.00	Wrap up and feedback
17.00	Return to Hotel

18.30	Pick up for Optional BBQ Dinner Provided	Stage 88 (C)

Note – Streams 1 and 2 have completed the first half of the program and move to the second half of the program

Day 4 Thursday 5 February 2009

Stream 1 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.15	Admin/Agenda
9.15 – 10.00	International Trade Overview
10.00 –10.20	Morning Tea
10.20 – 11.10	Work Environment
11.10 – 12.30	UML Foundation Session
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	UML Foundation Session cont.
15.00 – 15.20	Afternoon Tea
15.20 – 17.00	XML Foundation
17.00	Happy Hour / Return to Hotel

Stream 2 Customs House

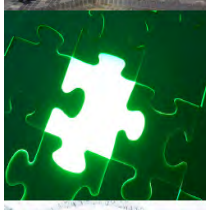
Time	Activity
08 45	Travel to Customs House
9.00 – 9.10	Admin/Agenda
9.10 - 9.30	APEC SWWG Overview
9.30 - 10.00	Whole of Government collaboration & benefits
10.00 – 10.30	Morning Tea
10.30 - 11.10	Design Principles
11.10 – 12.00	Integrated Cargo System
12.00 -13.50	Lunch Provided
13.50 - 14.30	Single Window Architecture
14.30 - 15.10	System/Message Security
15.10 -15.40	Afternoon Tea
15.40 -16.25	Time Release Study
16.30	Happy Hour / Return to Hotel

18.30	Walk from Happy Hour to Optional Dinner (self funded)	Venue (TBC)

Workshop 2 Agenda

APEC Sub Committee on Customs Procedures (SCCP) Single Window Working Group (SWWG) Phase 2

APEC SCCP SWWG Capacity Building Workshop Series



Day 5 Friday 6 February 2009

Stream 1 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.00	Review of Day 1
9.00 – 9.45	Business Analysis Introduction
9.45 – 10.10	UMM Tools
10.10 – 10.30	Morning Tea
10.30 – 12.30	Process Models
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	Information Models
15.00 – 15.20	Afternoon Tea
15.20 – 17.00	Harmonisation and Governance / Export Declaration Exercise
17.00	Return to Hotel

Stream 2 Customs House

Time	Activity
08 45	Travel to Customs House
09.00 – 9.15	Opening Remarks
09.15 - 10.00	UN/CEFACT Overview
10.00 - 10.20	Morning Tea
10.20 - 12.00	UN Instruments and Tools UNTDED, CCTS, UNeDocs and UN Layout Key
12.00 - 14.00	Lunch (self funded)
14.00 - 14.40	E-Cert Overview
14.40 - 15.20	Legal and Privacy
15.20 - 15.40	Afternoon Tea
15.40 - 16.10	GateKeeper
16.10 - 16.40	Electronic Certificate of Origin
16.40	Return to Hotel

18.30	Pick up and travel to Official Dinner Provided University House (C)

Day 6 Saturday 7 February 2009

Stream 1 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.00	Review of Day 2
9.00 – 10.00	Core Components Practice
10.00 – 10.20	Morning Tea
10.20 – 12.30	Export Declaration Final Model
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	XML Generation and Publishing
15.00 – 15.20	Afternoon Tea
15.20 – 16.40	Model Management
16.40 – 17.00	Wrap up and feedback
17.00	Return to Hotel

Stream 2 Customs House

Time	Activity
08 45	Travel to Customs House
09.00 – 9.15	Opening Remarks
09.15 -10.00	Enhanced Trade Solutions
10.00 -10.20	Morning Tea
10.20 -12.00	Developing the APEC Single Window Roadmap and Implementation Strategy
12.00 -12.30	Stream 2 Customs House Sessions Wrap Up
12.30 -16.30	Excursion City Tour/Zoo (Lunch and Afternoon Tea self funded)
16.30	Return to Hotel

18.30	Pick up for Optional Excursion (self-funded)	National Multicultural Festival

Asia-Pacific
Economic Cooperation

2009/SCCP/SWWG/001
Agenda Item:

Participant List

Purpose: Information
Submitted by: SWWG Chair

APEC 2009 Singapore

SCCP SWWG Capacity Building Workshop Two
Canberra, Australia
2-7 February 2009

Event organisers

Title	Name	Position	Organisation	Tel	Fax	Email
Ms	Julie Olarenshaw	Director, APEC SCCP SWWG, Enhanced Trade Solutions	Australian Customs Service	61 2 62756476	61 2 62744994	julie.olarenshaw@customs.gov.au
Ms	Carolyn Fotoulis	Manager, APEC SCCP SWWG, Enhanced Trade Solutions	Australian Customs Service	61 2 62744984	61 2 62744994	carolyn.fotoulis@customs.gov.au
Ms	Rebecca Goss	Manager, Strategy, Enhanced Trade Solutions	Australian Customs Service	61 2 62744980	61 2 62744994	rebecca.goss@customs.gov.au
Ms	Libby Eckersley	Supervisor, APEC SCCP SWWG, Enhanced Trade Solutions	Australian Customs Service	61 2 62758101	61 2 62744994	libby.eckersley@customs.gov.au

UN/CEFACT

Mr	Gordon Cragge	Chair, TBG15 - International Trade Procedures Worksing Group	UN/CEFACT	44 20 7215 8150	44 20 7215 4242	gordon.cragge@sitpro.org.uk

Economy: Australia

Title	Name	Position	Organisation	Tel	Fax	Email
Mr	David Hunt	Director, Data Management	Australian Customs Service	61 2 6275 6038		david.hunt@customs.gov.au

Economy: China

Title	Name	Position	Organisation	Tel	Fax	Email
Mr	Wei Yuan	Section Chief	China Customs	86 10 65194339	86 10 65194611	weiyuan@customs..gov.cn
Ms	Yang Lu	Customs official	General Administration of Customs	86 10 65194653	86 10 65194901	Yanglu_hgzs@customs.gov.cn

Economy: Hong Kong, China

Title	Name	Position	Organisation	Tel	Fax	Email
Mr	Yuk Ping Yau	Assistant Staff Officer	Customs and Excise Department	852 22314338	852 28541145	yp_yau@customs.gov.hk

Economy: Indonesia

Title	Name	Position	Organisation	Tel	Fax	Email
Mr	Sigit Santosa	System Analyst	Directorate General of Customs and Excise	62 21 4891949	62 21 4892859	s_santosa@depkeu.go.id
Mr	Sofyan Helmi	Head of Section II	Directorate General of Customs and Excise	62 21 4890308	62 21 4891335	helmi@yahoo.com

Economy: Mexico

Title	Name	Position	Organisation	Tel	Fax	Email
Miss	Miroslava Perez	Deputy Director for Rules of Origin and Customs Procedure	Ministry of Economy	(5255) 57 29 91 00 Ext. 15031	(5255) 57 29 91 00 Ext. 15098	mperezl@economia.gob.mx

Economy: New Zealand

Title	Name	Position	Organisation	Tel	Fax	Email
Mr	Carl Hagedorn	Senior Business Analyst	New Zealand Customs Service	64 44 620184	64 44 991110	carl.hagedorn@customs.govt.nz
Mr	Ross Baird	Business Analyst	New Zealand Customs Service	64 44 620101	64 44 991110	ross.baird@customs.govt.nz

Economy: Papua New Guinea

Title	Name	Position	Organisation	Tel	Fax	Email
Mrs	Josette Kakaraya	Manager Operations	Internal Revenue Commission of PNG - Customs Operations	675 3226847	675 3203442	jkakaraya@customs.gov.pg

Economy: Peru

Title	Name	Position	Organisation	Tel	Fax	Email
Mrs	Gloria Ramirez	Senior Trade Official	Ministry of Foreign Trade and Tourism	(511) 5136100 Ext. 8036	(511) 5136100 Ext. 8002	gramirez@mincetur@gob.pe
Mr	Carlos Cueva	Professional Analyst	Peruvian Customs	0511 4112230 28042		ccueva@sunat.gob.pe

Economy: Chinese Taipei

Title	Name	Position	Organisation	Tel	Fax	Email
Mr	Mu-Jung Chen	Section Chief	Directorate General of Customs, Ministry of Finance	886 2 25546528	886 2 5578460	mjchen@webmail.customs.gov.tw
Mr	Chia-Yuan Chang	Auditor	Directorate General of Customs, Ministry of Finance	886 2 25505500 Ext. 2932	886 2 5597322	zeropt@webmail.customs.gov.tw

Economy: Thailand

Title	Name	Position	Organisation	Tel	Fax	Email
Mr	Sinmahat Kiatjanon	Director of Planning and Standard Division	Thai Customs Department	662 667 7534	662 6717035	100512@customs.go.th
Mr	Weerasak Loyasai-or	Computer Specialist	Thai Customs Department	662 667 7543	662 6717035	weerasak@customs.go.th

Economy: Viet Nam

Title	Name	Position	Organisation	Tel	Fax	Email
Mr	Nguyen Bac Hai	Expert	General Department of Viet Nam Customs	84 4 87 20279		hainb@customs.gov.vn

Mrs	Nguyen Thi An Giang	Officer	General Department of Viet Nam Customs	84 4 2220 7623	84 4 2220 7600	giangnta@customs.gov.vn

Sub-Committee on Customs Procedures
Single Window Working Group

Single Window Vision

To develop Single Window systems that facilitate legitimate trade and enhance supply chain security in two stages:

Stage 1 - within APEC economies

Stage 2 - establishing links that enable seamless data sharing between Single Window systems through the identification and use of recognised international instruments and standards.

Working together, it is envisaged that international interoperability can be achieved within the APEC region.

Phase 1 - 2007

10 Member Economies

- Australia, Canada, China, Japan, Korea, New Zealand, the Philippines, Singapore, United States and Viet Nam

Supported by experts from

- WCO, ASEAN Secretariat, UN/CEFACT and APEC ECSG

SCCP Recommendations

Recommendation 1: The SCCP establish a working group to further single window activities across APEC. The working group will engage private and public sectors, other relevant APEC sub-fora and relevant international bodies

Recommendation 2: The UN/CEFACT definition of single window (UN/CEFACT Recommendation 33) be adopted by APEC economies

Recommendation 3: The APEC economies adopt the use of internationally recognised instruments and standards in single window design to increase international interoperability

Recommendation 4: The SCCP establish a repository to capture information regarding relevant Single Window related initiatives in international trade facilitation and supply chain security

Recommendation 5: The SCCP identify and coordinate relevant capacity building Single Window activities

Recommendation 6: The SCCP prepare a roadmap and implementation plan to achieve the Single Window vision

Phase 1 Delivered

A framework to articulate the vision for single window developments in APEC and recommendations for next steps

A comprehensive snapshot of the border regulatory environment in all 21 APEC economies, their current activities and future plans for the design, development singe window enhancement plans in the APEC Region

Phase 2 – 2008/2009

13 Member Economies

- Australia, Canada, China, Japan, Korea, New Zealand, Peru, Philippines, Singapore, Chinese Taipei, Thailand, United States and Viet Nam

Supported by experts from

- WCO, ASEAN Secretariat, UN/CEFACT and APEC ECSG

Phase 2 Deliverables

Capacity Building Workshops

Single Window Standards

Peru as host of APEC in 2008 took the lead in delivering Recommendation 3

The final report draws on information derived from the:

- Standards and Instruments Survey
- Standards and Instruments Workshop
- Research Activity

Important Dates in 2009

SCCP1 Singapore 23-26 February

- Progress report to SCCP, seek endorsement of Rec 6 concept paper, joint meeting with PTS

SWWG workshop 3 Singapore 1-4 April

- WCO data model training

SWWG workshop 4 Singapore 6-8 April

- Public/Private sector workshop, WCO, UN/CEFACT, UNCITRAL legal expert, review and comment on SWWG final deliverable, explore next steps…

SCCP2 Singapore July

- Final deliverable tabled, SWWG Phase 2 concludes

Pilot Projects & Proofs of Concept

Important information not currently collected and centrally available

Recommendation 4 activities will address this issue

Templates designed to capture information

The new Single Window tab on the WCO website will host this and other single window related information

Thank You

APECSWWG@customs.gov.au

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1

APEC SCCP
Single Window Working Group
Workshop 2

Brian Stonebridge
Department of Finance and Deregulation

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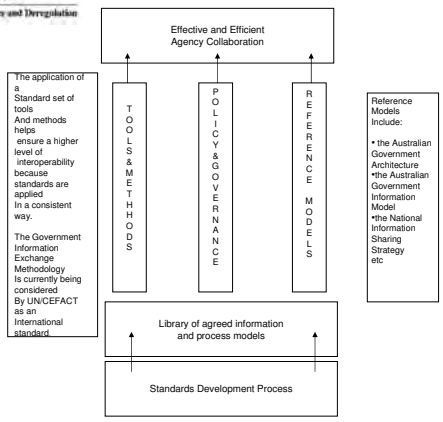

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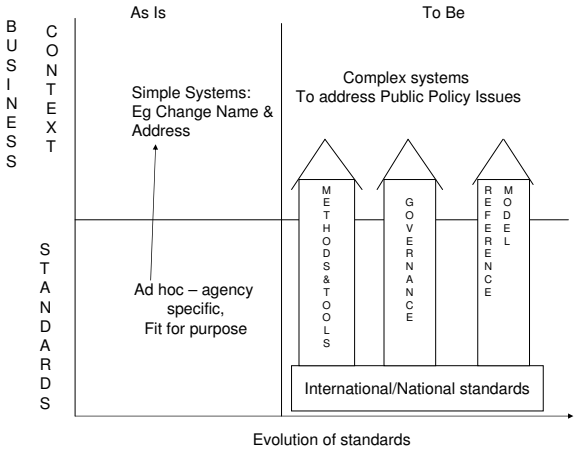
2

Whole of Government Collaboration and Benefits

- Context
- Governance
- Methodology



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3

Whole of Government Collaboration and Benefits

- Context:

  A whole of government approach enabled by ICT

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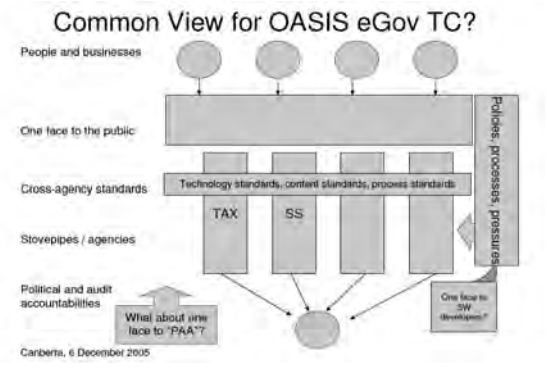

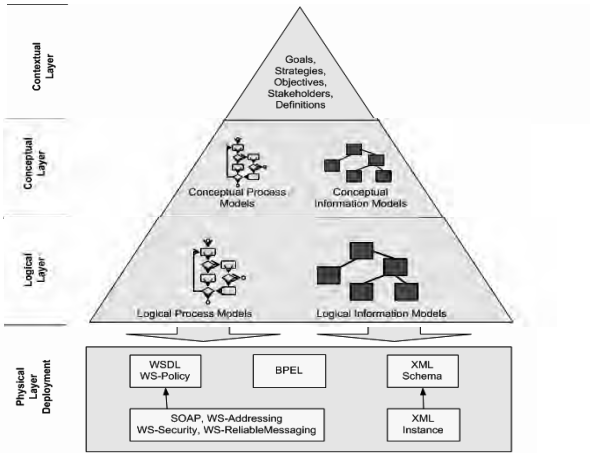

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Whole of Government Collaboration and Benefits

- Governance

Publish, Discover, Consume

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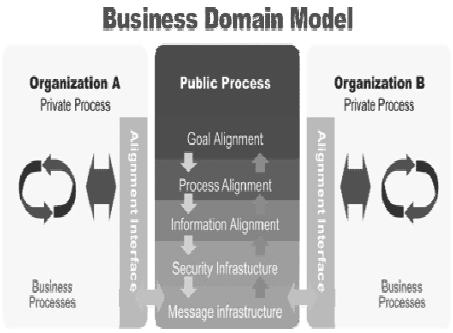

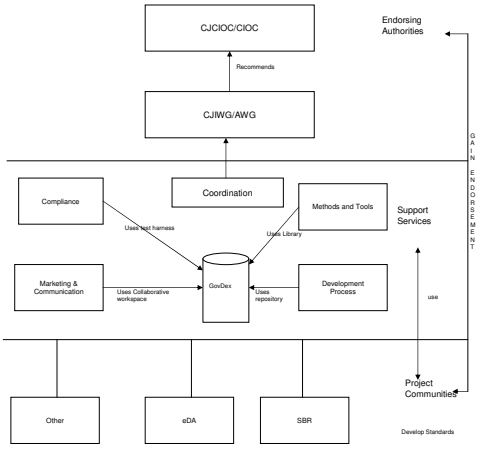

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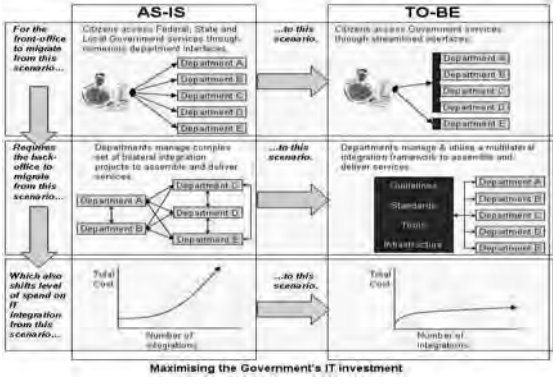

Maximising the Government's IT investment

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Whole of Government Collaboration and Benefits

- Methodology

The Government Information Exchange Methodology

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GIEM Overview

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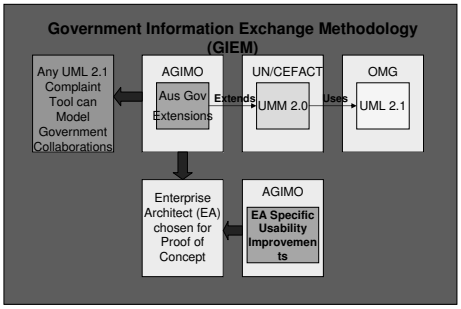
What is GIEM?

Government Information Exchange Methodology or GIEM is a Whole of Government desktop modelling tool that can be readily deployed to all business analysts to model Government collaborations.



An Industry Case Study

Context ⟶ Concept ⟶ Logical ⟶ Physical

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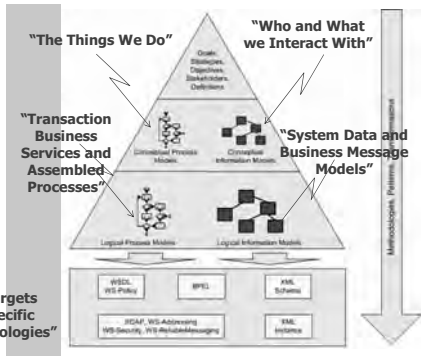
GIEM - A Model Driven Approach Defined – Top Down

Context

Concept

Logical

Physical



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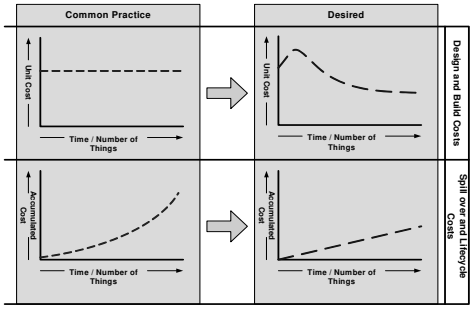
Cost/Benefit



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GIEM and UMM 2.0

GIEM is exclusively based on the **U**N/CEFACT **M**odelling **M**ethodology 2.0 which is under the management of UN/CEFACT.

UMM is a methodology that targets modelling collaborations between enterprises. Therefore as a base methodology, UMM is well positioned to meet basic Government collaboration modelling needs.

UMM 2.0 is the latest version which incorporates many improvements primarily in the areas of ease of use.

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Australian Government Extensions

Model structure that supports autonomous and incremental project by project modelling efforts.

Model taxonomy that would allow the "roll-up" of all project models to form a Whole of Government view.

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Thank You

Questions

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Proof of Concept using EA and GIEM EA Extensions

Real time model constructions aides to improve model compliance to UMM 2.0 as well as increasing model construction speed

Custom Toolboxes and Diagram Types that reduce complexity and help the Modeler focus on the particular task at hand

Custom Diagram Templates to facilitate the creation of common diagrams types while providing a consistent look and feel

Model Patterns to give the Modeler a jump start for developing consistent compliant models

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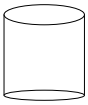
Finally….

We get a repository of reusable information and process models.

This saves time and money!



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Design at Customs

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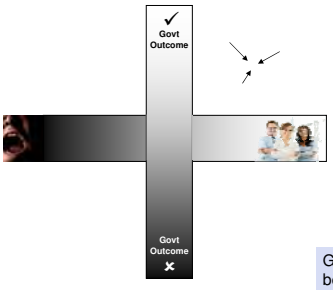

Good design achieves a **balance** between what the Government/ Customs wants to achieve and what users need.

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JL3
JL4
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Australian Customs Service

Good design has a *context* of use

Who is the user?
<Usable, useful, desirable, legitimate>

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Slide 5

JL3 Jacqueline Little, 03/06/2008
JL4 Jacqueline Little, 03/06/2008

JL1
JL2

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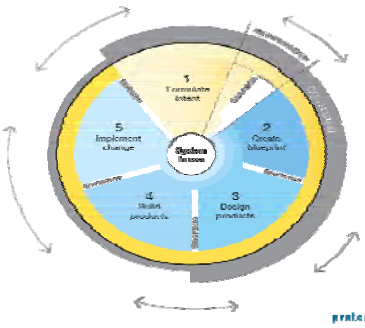
Design Process



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Slide 6

JL1 Jacqueline Little, 03/06/2008
JL2 Jacqueline Little, 03/06/2008

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Blueprinting

User pathways
(building understanding of the user, designing to the context of use)

Personas
(reality checking, empathy building, user focussing etc.)

Scenarios
(Reality- and coherency-checking the design, outcome focussing. Making the design consumable)

Solution map
(Show an abstract solution architecture, including capabilities, end-to-end integration)

Blueprint
Outlines the overall high-level design for a proposed change

Also includes other design/project thinking (eg Intent, business architecture, high-level requirements, timelines, stakeholders, phases, design issues etc…)

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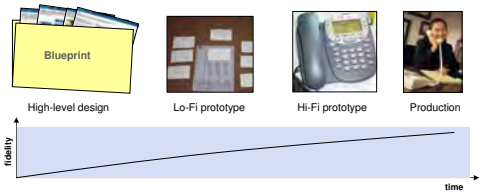
Prototyping

Allows early visibility of the design

→ Design walkthroughs, user evaluations, simulation, etc
→ Iterative and agile



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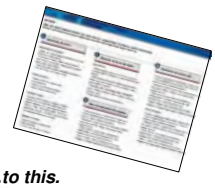
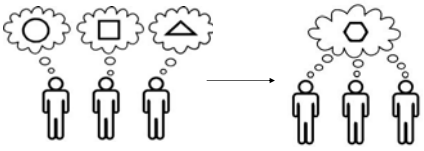
Intent

What we want to achieve as a result of a change. Must be understood, articulated and shared right form the start.



Gets from this…. ***…to this.***



COLLABORATION

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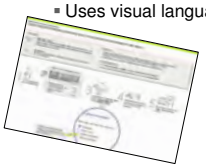
the solution

Design Walkthrough

- Shows the future solution in operation
- Scope is as big as it needs to be
- Narrative is led by an experience set
- Uses visual language



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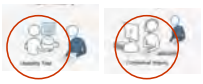
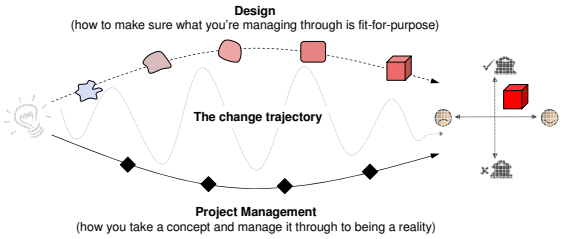
User-centring with users

You should always involve users in your design process.

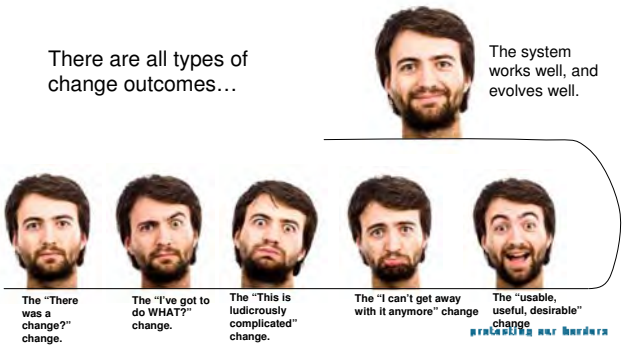
A wealth of techniques are available…eg:



Project management and design are two sides of the same coin…



There are all types of change outcomes…



QUESTIONS?

Design principles

- Build a **shared understanding** of intent
- Take a **user-centred approach**
- Make the emerging **design visible early**
- Work **collaboratively** in interdisciplinary teams
- Follow a **disciplined yet flexible** process
- Create a **coherent blueprint** for change

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Introduction to the Integrated Cargo System (ICS)

Developed by User Services for the APEC SCCP Single Window Working Group

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Background to the ICS

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Housekeeping

- Introductions
- Questions?
- Handout

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What is the ICS?

- Integrated software application
- Electronic reporting

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Session Aims

- ✓ Functions of the ICS
- ✓ Industry roles
- ✓ Other ICS users
- ✓ Import process
- ✓ Export process
- ✓ Further information

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Digital Certificates

- Communicate with ICS
- Electronic signature and entry key
- Customs Interactive or Electronic Data Interchange

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What does the ICS offer?

- Import and export management
- Cargo risk assessment
- Client register
- Track cargo movement
- Client and other agency interaction

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Industry and the ICS

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Why was the ICS developed?

- Integrate systems
- Importation increases
- Enhanced security

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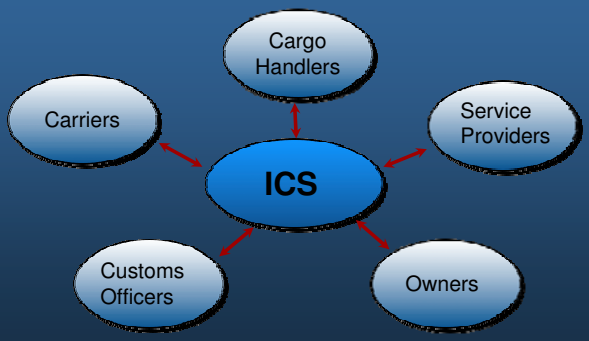
Who uses the ICS?



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ICS Facts and Figures

- The ICS includes over 9 360 business rules, 15 000 pages of technical documentation and over 800 ICS screens.
- The ICS will interface with up to 12 external systems including those of the ATO and ABS.
- The ICS can handle 40 000 concurrent external users and 3 000 internal users.

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Carriers

Responsible for carriage of goods.

- Owners of shipping lines and airlines

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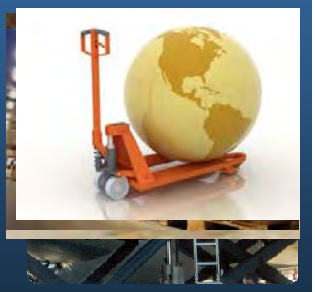
Cargo Handlers

Responsible for movement and safekeeping of goods.

- ✓ Owners of sea ports and airports
- ✓ Stevedores and air cargo handlers
- ✓ Depot operators
- ✓ Warehouse operators
- ✓ Freight Forwarders



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Customs use of the ICS

- Import / export functions
- Cargo Risk Assessment
- Client Data management
- Other agency interaction

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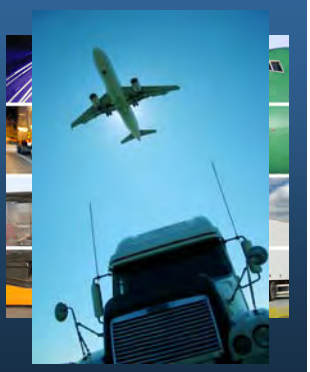
Service Providers

Responsible for offering services to importers and exporters.

- ✓ Customs Brokers
- ✓ Freight Forwarders
- ✓ Express Carriers



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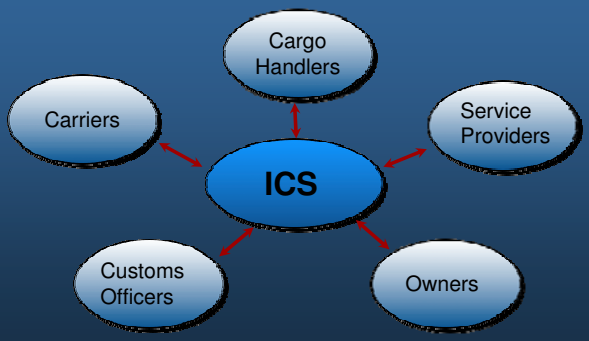
Who uses the ICS?



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Owners

Responsible for the clearance of goods through Customs formalities as well as ensuring that data supplied to Customs is correct.

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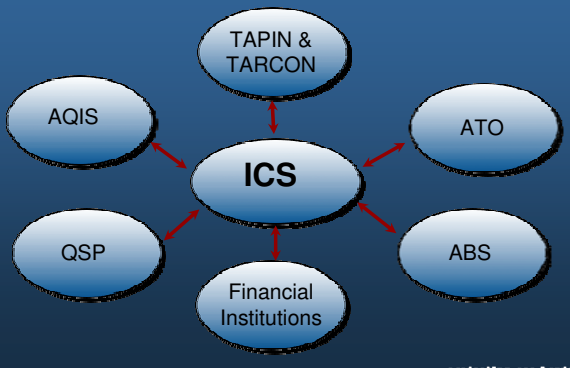
Who else uses the ICS?



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Australian Quarantine and Inspection Service

- Quarantine entries/charges
- Reference files and status

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Australian Taxation Office

- Supplies ABN
- Tax collection

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TAPIN and TARCON

Tariff And Precedents Information Network

•Tariff advice services and preference inquiries

TARiff CONcessions

- Concessional items

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Australian Bureau of Statistics

- Statistical info
- Amended Tariff unit value ranges

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Duty Collected

- Over $6 billion worth of duties collected in 2007/8.

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Financial Institutions

- Exchange rates
- Account details

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Quality Software Programs

- Customs Financial Management Information System
- Manages Customs revenue collection

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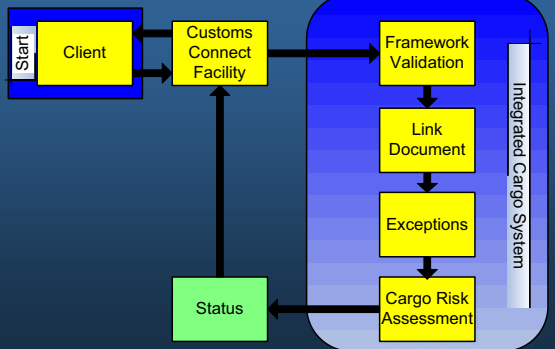
The ICS Process Flow



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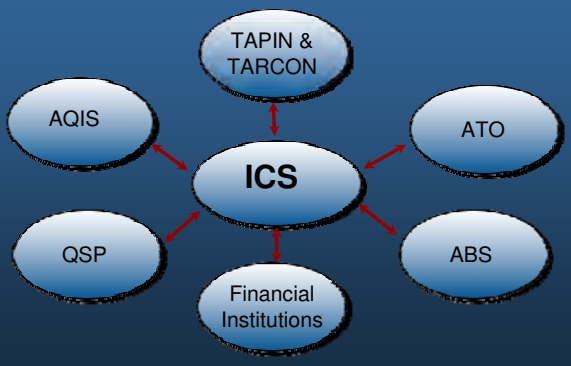
Who else uses the ICS?



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Vessel & Cargo Reporting

Linking Fields Sea Cargo
- Vessel ID
- Voyage No.
- First Port of Arrival /Discharge

Linking Fields Air Cargo
- Airline Code/Flight No.
- Date of Arrival
- First Port of Arrival

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The Import Process

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Importing Cargo

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Air Cargo Reporting Timeframes

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- Air Impending Arrival Report → 3 hours before arrival
- Air Cargo Report → 2 hours before arrival
- Air Actual Arrival Report → 3 hours after arrival
- Air Waybill Outturn Report → 24 hours after arrival
- Underbond Movement Request → Must have submitted Air Cargo Report before being approved.
- Outturn Report → 24 hours after unpacking or receipt

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Importing Cargo

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- Cargo Entering Australia
- Vessel and cargo reporting formalities
- Goods under Customs Control
- Research and Evaluation

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Sea Cargo Reporting Timeframes

Australian Government
Australian Customs Service

- Sea Impending Arrival Report → 96 hours before arrival
- Sea Cargo Report or Cargo List Report → 48 hours before arrival
- Sea Actual Arrival Report → 24 hours after arrival
- Sea Cargo Outturn or Progressive Discharge Report → SCO within 5 days of starting discharge. PDR 3 hours after starting discharge and every 3 hours until complete
- Underbond Movement Request → Must have submitted Sea Cargo Report before being approved.
- Outturn Report → 24 hours after unpacking or receipt

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Research and Evaluation

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- Cargo Risk Assessment (CRA) provides profiling functionality for the ICS.

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CRA Terms

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- Alert
- Profile
- Event
- Subsidiary

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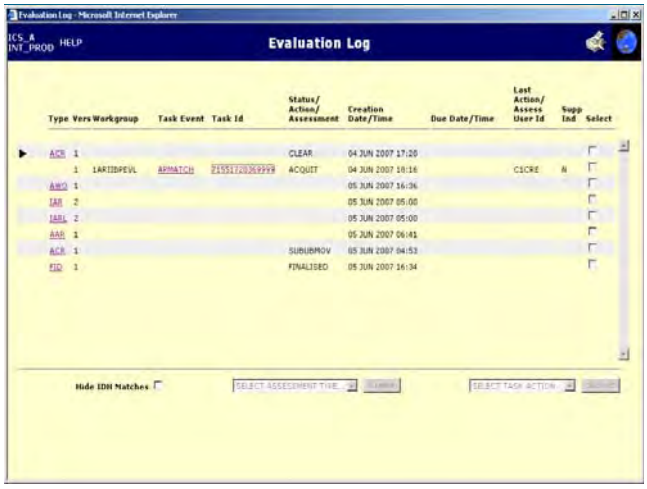

Import Declaration

Full Import Declaration (FID)

- goods value exceeds the $1000 threshold.

Self Assessed Clearance (SAC)

- goods value is under the $1000 threshold.

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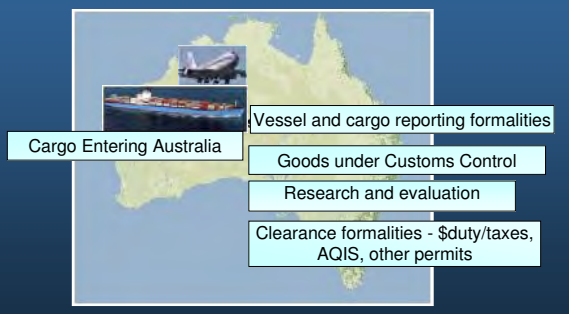
Importing Cargo



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Full Import Declaration

There are 4 types:

- N10 - Entry for Home Consumption
- N20 - Warehouse Entry
- N10/20 - Combined Entry for Home Consumption and Warehousing
- N30 - Ex Warehouse

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Clearance Formalities

- Declare the goods
- Duty or tax
- Provide permits
- AQIS requirements

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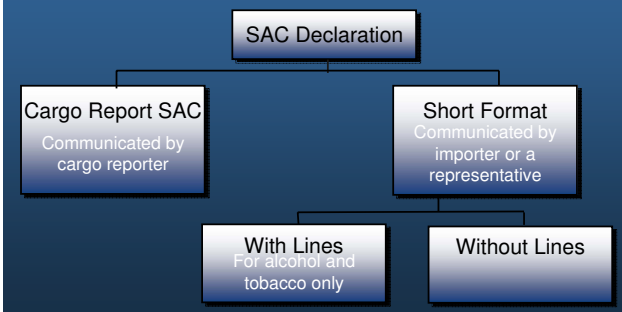
Self Assessed Clearances



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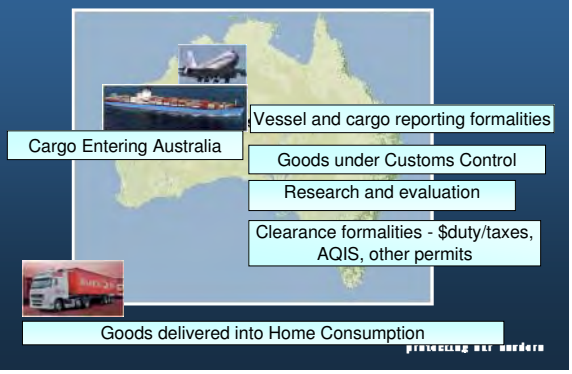
Importing Cargo

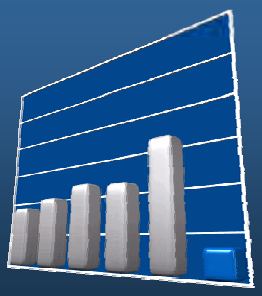


ICS Statistics

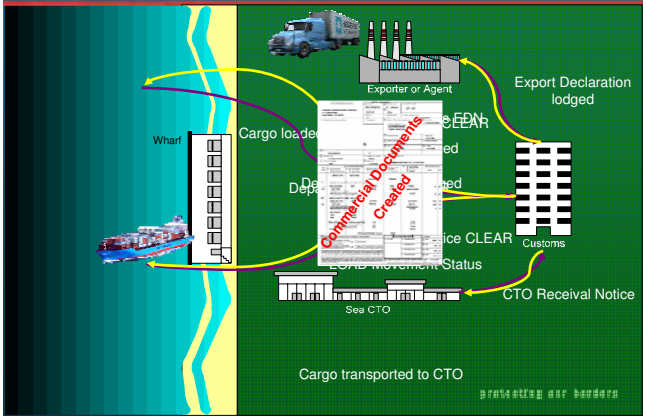
The Export Process

ICS Statistics

- Messages Processed
- Import Messages
- Export Messages
- EDI vs CI Messages



Sea Cargo Export Process

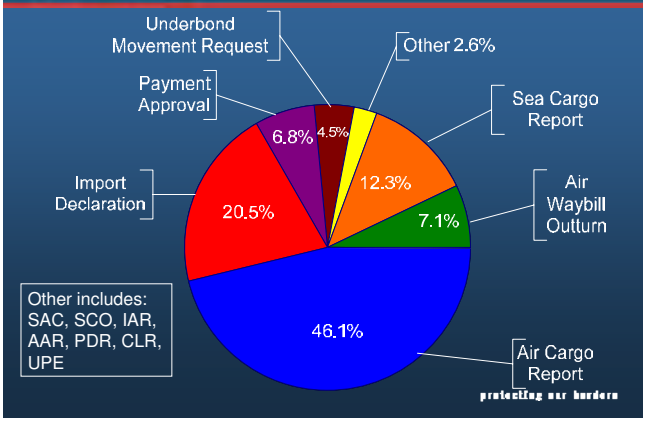


ICS Messages Processed

ICS Messages Successfully Processed Since Implementation	
Exports	17 520 885
Imports	69 616 978
Total	**87 137 863**

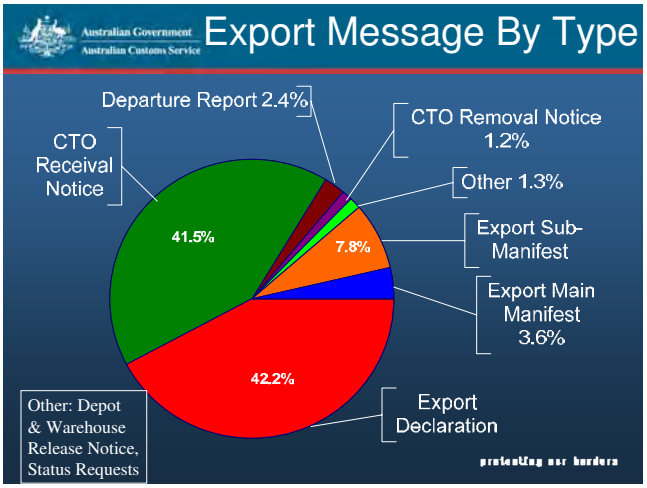
*Current as at midnight Wednesday 26 November

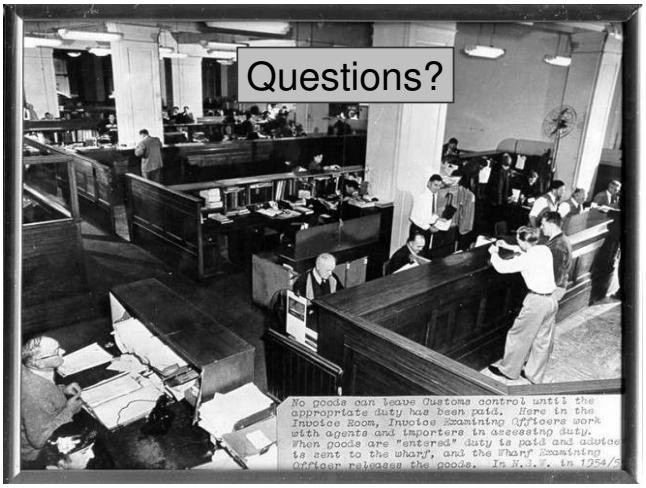
Import Message By Type



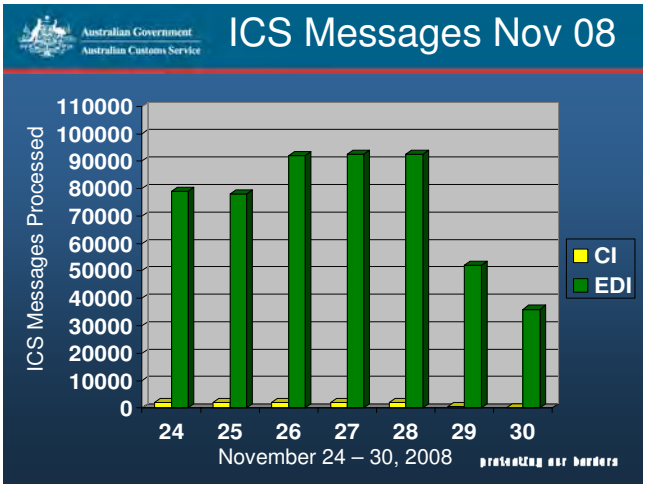
Further Information

Export Message By Type



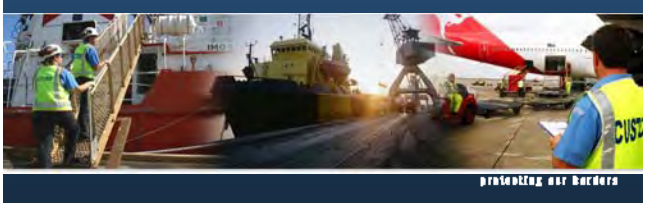


ICS Messages Nov 08



Thank you for your interest and participation.

Have a great day!



Introduction to the ICS

Background.

The Integrated Cargo System (ICS) is a software application that replaced previous import and export reporting and processing procedures with one integrated IT system. The development and complete implementation of the ICS in October 2005 represented the most significant change to the way the movement of cargo across the Australian border is reported to Customs in the past 100 years. The ICS undertakes automatic processing of messages transmitted and generates related messages back to the communicator and other parties in some circumstances.

Why was the ICS developed?

- To integrate the separate systems that previously managed all aspects of importing and exporting.
- As a response to significant increases in imports.
- To improve security around airport and maritime environments.

Accessing the ICS

Direct electronic communication with the ICS requires a digital certificate. Communication with the ICS is through the Customs Connect Facility (CCF) which provides the function of data validation and is a secure electronic gateway only accessible with a digital certificate. A digital certificate allows the user to communicate with Customs through either Customs Interactive (CI) or Electronic Data Interchange (EDI) and acts as both a signature of authenticity and an entry key. Accessing the ICS through Customs Interactive is internet based and requires the installation of special software. Electronic Data Interchange is most commonly used by ICS high use groups and as well as requiring the same software as Customs Interactive it requires an off the shelf or specifically developed software package.

What does the ICS offer?

- Efficient management of all importing and exporting functions including vessel, aircraft and cargo reporting.
- Effective Cargo Risk Assessment.
- A comprehensive register of client information and roles.
- Ability to track the movement of cargo.
- Interaction with Government and other agencies.

Introduction to the ICS

Industry Groups That Use The ICS

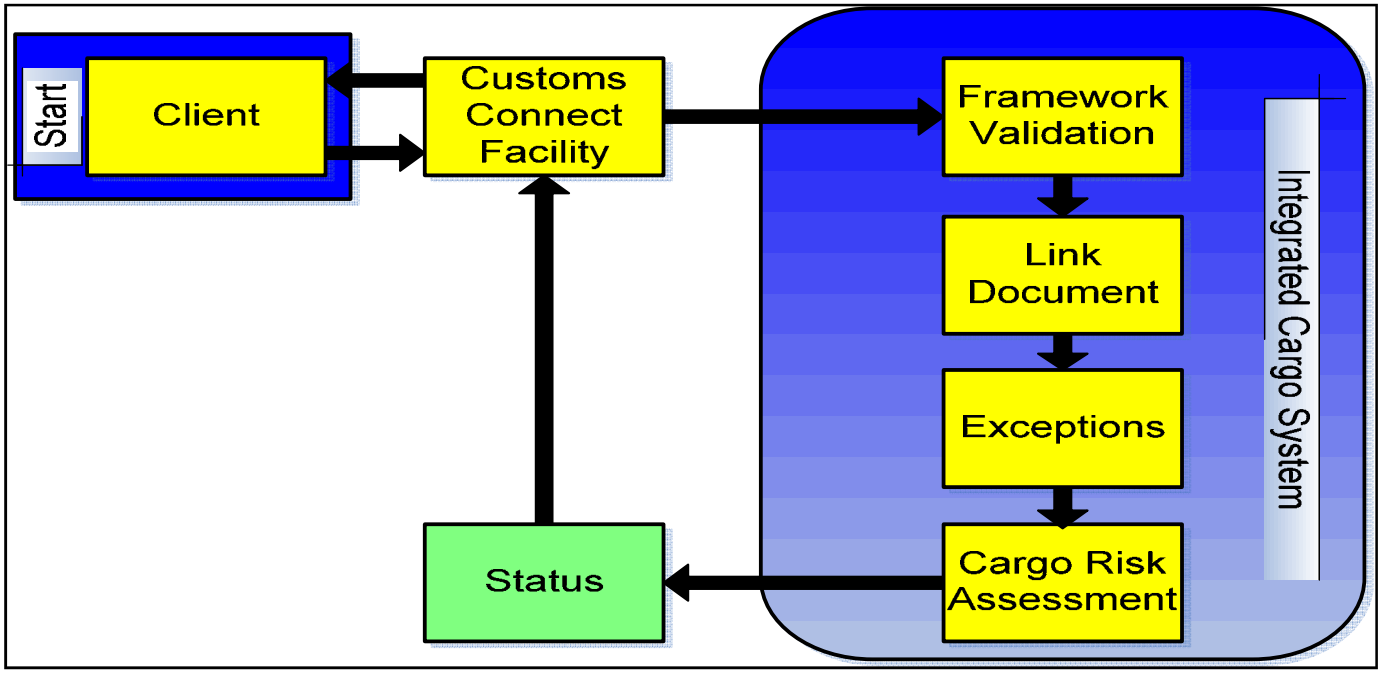
Industry Group	Participants	Function
Carriers	Owners of shipping and airlines	• Responsible for the carriage of goods
Cargo Handlers	• Owners of sea ports and airports • Stevedores and air cargo handlers • Depot Operators • Warehouse Operators • Freight Forwarders	• Responsible for the control, movement and safety of cargo. • Responsible for the loading, unloading and safekeeping of cargo • Responsible for movement and security of cargo • Responsible for the safekeeping of warehoused goods • Arrange for the carriage of cargo and report details
Service Providers	• Customs Brokers • Freight Forwarders • Express Carriers	• Lodge and finalise import declarations • Arrange for the carriage of cargo and report on it • Can perform every role in the industry group
Owners	• Importers, exporters or someone acting on their behalf	• Clear goods through Customs formalities • Ensure data supplied to Customs is correct

Other Groups That Use The ICS

Group	Nature of interaction with the ICS
AQIS	Data submitted by importers and brokers is transmitted to AQIS for processing, including EFT payment of quarantine charges. AQIS supplies the ICS with reference files and status advice.
TAPIN and TARCON	Customs officers, authorised brokers and importers use TAPIN for Tariff advice services. Importers use TAPIN to claim preference based on the country the import is from.
ATO	The ATO supplies registration information such as Australian Business Number and receives information on GST payments and deferral. Customs collects GST, Wine Equalisation Tax and Luxury Car Tax on behalf of the ATO.
ABS	The ICS transfers statistical information to the ABS daily. The ABS transfers to the ICS amended tariff information.
Financial Institutions	Financial Institutions provide bank account details and daily exchange rates for 28 major currencies.
QSP	Manages Customs financial matters relating to revenue collection, client information and dishonoured payments.

Introduction to the ICS

The ICS Process Flow



This diagram represents the flow of information through the ICS. A client submits a document through the Customs Connect Facility which is then passed to the ICS for Framework Validation where checks are performed to ensure that mandatory and conditional fields are populated in the correct format. Errors identified at this stage will result in the rejection of the document. The ICS will then attempt to use linking fields to link this document to associated reports. The Exceptions area recognises areas that are of interest to Customs but do not require immediate attention and stores record of this in the Exception Log. The report is then passed to the CRA sub system for risk assessment where it will be run against all current profiles and alerts. On completing the processing of the reports, the ICS generates and transmits a status advice message to the cargo reporter and discharge CTO or other depot nominated on the document. The report is then stored and available for viewing by Customs and the Outturn reporter.

Vessel and Cargo Reporting - Linking Fields

Linking Fields Sea Cargo	Linking Fields Air Cargo
Vessel ID	Airline Code/Flight Number
Voyage Number	Date of Arrival
Port or Arrival/Discharge	Port of Arrival

Linking fields are an integral part of the ICS and the importing process. In order for a shipment to be given a “Clear” status all linking fields must connect between the Impending Arrival Report, Cargo Report and Import Declaration.

Introduction to the ICS

Air Cargo Reporting		
Report	**Details**	**Timeframe**
Impending Arrival Report (IAR)	Provides advanced notification of estimated time of arrival and ports of arrival and is mandatory whether reporting cargo or not. The Carrier is responsible for the lodgement of this report.	At least 3 hours before arrival.
Air Cargo Report (ACR)	Contains detailed information relating to the cargo to be imported. Submitted by the group arranging the carriage of the cargo.	At least 2 hours before arrival.
Actual Arrival Report (AAR)	Details of the actual arrival of the aircraft into Australia. Submitted by the Carrier.	Within 3 hours of arrival.
Air Waybill Outturn (AWO)	Detailed account of cargo unloaded from an aircraft. Submitted by the Cargo Terminal Operator.	Within 24 hours of discharging cargo.
Underbond Movement Request (UMR)	Detailed information relating to the movement of cargo between Customs controlled premises. Submitted by the Cargo Handler group.	Can be as early as when the Air Cargo Report is submitted.
Air Waybill Outturn (AWO)	Acquits an underbond movement by acknowledging receipt of the cargo and reporting the relocation. Lodged by operator of the Customs premise receiving cargo.	Within 24 hours of unpacking at a Cargo Terminal or Depot.

Sea Cargo Reporting		
Report	**Details**	**Timeframe**
Impending Arrival Report (IAR)	Detailed information about the impending arrival of the cargo vessel. Submitted by the Carrier. (Vessel owner or operator)	At least 96 hours before arrival.
Sea Cargo Report (SCR)	Lists all goods that are to be imported, transhipped or transited through Australia. Submitted by the group arranging the carriage of the cargo.	At least 48 hours before estimated arrival time.
Cargo List Report (CLR)	Lists goods not required to formally be reported; empty containers, domestic and export cargo. Submitted by the group arranging the carriage of the cargo..	At least 48 hours before estimated arrival time.
Sea Cargo Outturn (SCO)	Reports non containerised cargo (bulk and break bulk) discharged from the vessel. Reported by Container Terminal Operators.	Within 5 days following the discharge.
Progressive Discharge Report (PDR)	Reports containerised cargo discharged from the vessel. Reported by Container Terminal Operators.	Within 3 hours of commencing discharge and then at not more than 3 hourly intervals
Underbond Movement Request (UMR)	Detailed information relating to the movement of cargo between Customs controlled premises. Submitted by the Cargo Handler group.	Can be as early as when the Sea Cargo Report is submitted.
Outturn Report	Acquits an underbond movement by acknowledging receipt of the cargo and reporting the relocation. Lodged by operator of the Customs premise receiving cargo.	Within 24 hours of unpacking at a Cargo Terminal or Depot.

Introduction to the ICS

Cargo Risk Assessment (CRA)

CRA is a risk assessment tool that provides profiling functionality for the ICS. Cargo Risk Assessment is undertaken in four specific forms to target particular threats.

CRA Tool	Function
Alert	Used to target specific entities - people, organisations and containers.
Profile	Used to target generic risk indicators - country of origin, commodity.
Events	Identify high risk occurrences not normally detected by an alert or profile - break in the export movement chain or client behaviour that is of interest of Customs
Subsidiary	Used to include or exclude an entity from an alert or profile - possible to exclude high volume, low risk importers from an alert or profile.

Clearance Formalities

In order to have goods cleared by Customs it is necessary to declare the goods, pay any applicable duty or tax, provide permits where relevant and meet any associated AQIS requirements.

Full Import Declaration (FID) is required for goods valued at over $1000 Australian. The four varieties of Full Import Declaration are detailed in the table below on this page

FID	Purpose
Nature 10	Goods entered for immediate home consumption released from Customs when all applicable duty and entry charges are paid. GST may be paid or deferred depending on arrangements with the ATO.
Nature 20	Goods entered for warehousing and do not require payment of duty and taxes until they are released from the warehouse.
Nature 10/20	Goods entered where a single consignment contains goods for home consumption as well as for warehousing. Relevant duty and taxes are payable on the Nature 10 Entry for Home Consumption component of this import declaration.
Nature 30	Goods entered for home consumption after being stored in a licensed Customs warehouse. Typically, duty and taxes must be paid on goods entered for home consumption on a Nature 30 Ex Warehouse declaration although ATO approved importers may defer GST.

Self Assessed Clearance (SAC) declarations are used for goods valued at under $1000 Australian.

SAC Type	Purpose
Cargo Reported SAC	Lodged by Cargo Reporter and submitted at the same time as the cargo report. Used where goods are not subject to Quarantine, not alcohol or tobacco and not subject to any other prohibition or restriction.
Short Format SAC	Two formats - one to cater for a SAC that does include alcohol and tobacco and another for a SAC that does not include alcohol or tobacco.

Further information:

www.customs.gov.au - General Customs Information and Support

www.cargosupport.gov.au - ICS and Cargo Information and Support

cargosupport@customs.gov.au - Customs Information and Support Centre, Phone: 1300 363 263

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Single Window Architecture

APEC Sub Committee on Customs Procedures (SCCP)
Single Window Working Group (SWWG)

Murray Alston
Systems Architect – Customs IT

2nd & 5th February 2009

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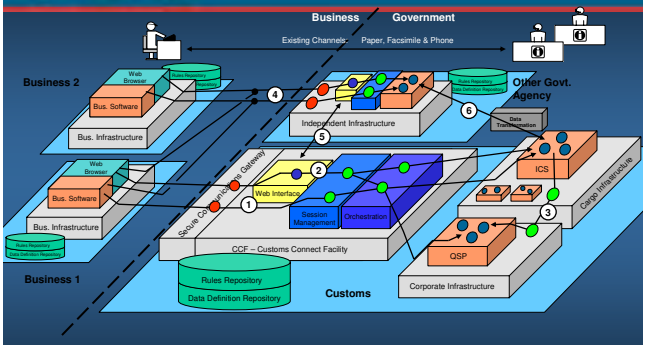
High Level System Interactions



1. Business SW communicates through electronic messages with Customs.
2. Business accesses Web Interface to use Customs systems.
3. Cargo systems interact with other Customs systems.
4. Business accesses Other Government Agency systems.
5. User interface links Customs and Other Agencies' Web Interfaces.
6. Customs & Other Agencies' applications systems communicate with each other.

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Agenda

- Cargo Systems Topology
- High Level System Interactions
- Single Window Design Issues
- Business & Information Architecture Issues

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Single Window Design Issues

- Physical goods versus information flows
  - Use natural control points in business processes.
  - Do not expect information to flow with the goods.
  - Recognise the incentives and constraints.
- Key high level design concepts
  - SOS … Systems of Systems
  - FOS … Family of Systems
- Consignment Identity
  - Sources of truth, trusting the information
  - Enforcing identity
  - Inferring identity

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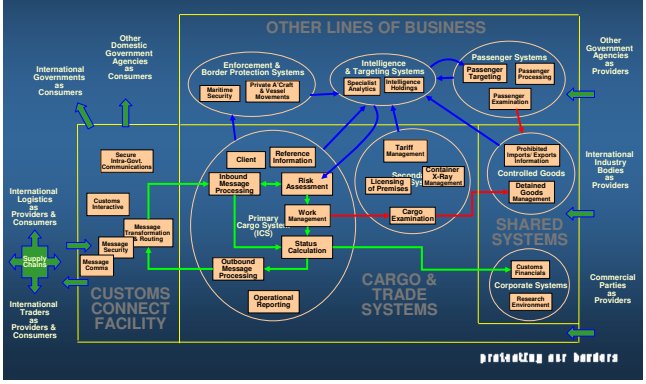
Customs - Cargo Systems Topology



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Business & Information Architecture Issues

- Shared views increase shared understanding
  - Visual representations of architectures are powerful common points of reference.
  - Improve decision making between individuals and organisations.
- Managing large and complex initiatives is not easy
  - Not every idea will work when tested.
  - Recognising what to stop and when to stop it.
  - Need to have options, build alternative plans.
- Strategic Options Management
  - Get the key outcomes clear; Security / Trade / Revenue
  - Use architecture to assess and communicate the outcomes and issues.
- User centred design
  - Spend time understanding the stakeholders; motives and condition.
  - Look for and build to the natural order of business between stakeholders.

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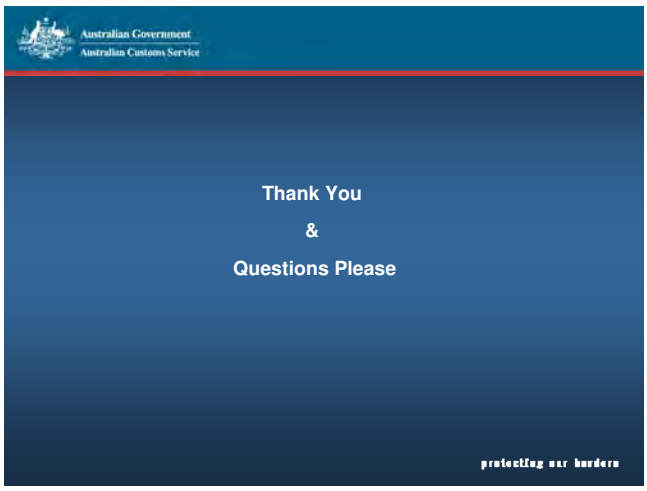
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Thank You
&
Questions Please
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Messaging and Security Architecture

APEC Sub Committee on Customs Procedures (SCCP)
Single Window Working Group (SWWG)

Steve Nitschke
Systems Integration Architect – Customs IT

2nd & 5th February 2009

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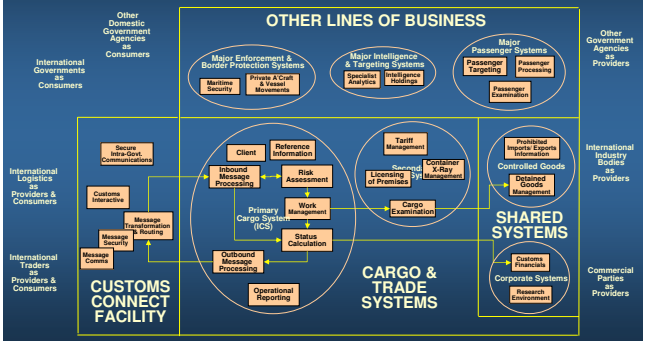
Customs - Cargo Systems Topology



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Agenda

- Security Approach
- Business Functionality
- PKI Functionality
- CCF Message Flow

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Security Approach

- 3 Tier Web Application Architecture
  - DMZ, ICZ, PZ
- Common Security Functionality
  - Firewalls
  - Mail Relays
  - NAT
- Usage of PKI
- Access Controls
  - Deeds to secure resources
  - Checks at message flow control points

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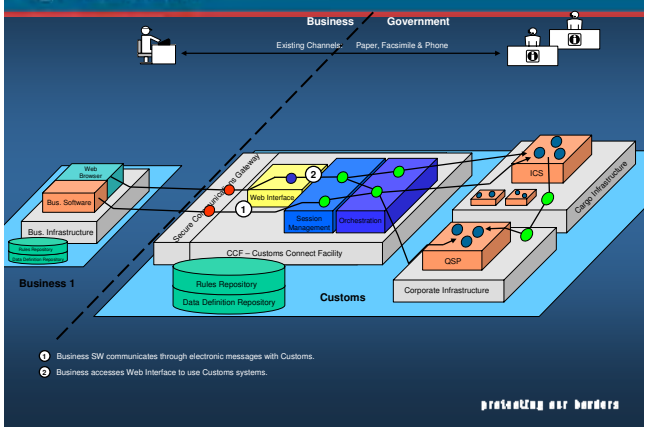
High Level System Interactions



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Business Functionality

- Authentication
- Authorisation
- Non Repudiation
- Confidentiality

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PKI Functionality

- Authentication
  - 100 Points of identification
  - Certificate Check for Validity
- Authorisation
  - Roles Based
  - Access Controls
- Non Repudiation
  - Signed with Valid Certificate
- Confidentiality
  - Encrypted Attachments

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Questions

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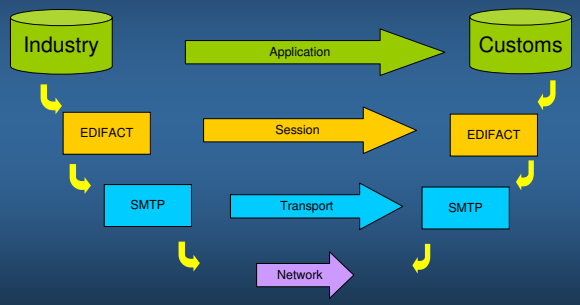
Messaging Architecture



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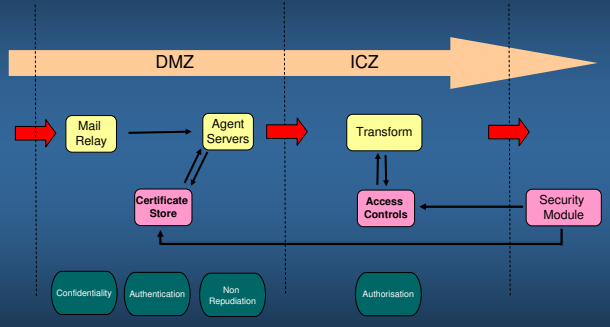
CCF Message Flow



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Time Release Study 2007

APEC SCCP SWWG Capacity Building Series
Workshop 2
Canberra, 2 – 7 February 2009

Mark Debeljakovic
Director, Enhanced Trade Solutions

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The Australian Customs Service and the TRS

- Conducted first TRS in 2008 as a 'snapshot' using 2007 data extracted from ICS.
- WCO method applied to measure:

  "The arithmetic mean between the arrival of the goods and their release into the economy via a standardised system"

- Guidance sought from other customs administrations, including Japan and Korea.
- Snapshot period: 24 – 30 September 2007

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Measuring Trade Facilitation Performance

- Review of Customs Integrated Cargo System (ICS) in 2006 included recommendations to measure cargo processing performance against agreed indicators.
- APEC's 2nd Trade Facilitation Action Plan (TFAPII) 2007 targets a 5% reduction of trade transaction costs by 2010.
  - Menu of Actions and Measures includes Time Release Study (TRS)

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TRS Method Used

- Planned survey using WCO guidelines
- Identified key events within the Australian border clearance process: **Arrival, Discharge, Documents, Release**
- Sourced all data from the ICS to establish timing of events
- Analysed this data to calculate average time gaps
- Compiled and analysed results

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Value and objectives of TRS

- OECD estimates 24 hrs saved in import processing time provides efficiencies to the economy valued at 1% of import trade volume.
- World Bank's maxim is:

  "to reform, first measure"

- Key objectives of TRS are to:
  - establish a baseline of current performance; and
  - identify opportunities to improve or reform.

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TRS 2007 Results – Sea Cargo

Interval	All Types (Days)	FCL	LCL	Break-Bulk	Bulk
Arrival to Documents (Docs)	-2.4	-2.8	0.1	-4.7	-5.2
Arrival to Availability	1.2	0.7	4.1	2.1	1.8
Arrival to Ready To Pay (RTP)	-1.1	-1.5	1.4	-2.9	-2.4
Arrival to CondClear/Release	1.3	0.8	4.2	0.5	2.3
Arrival to Clear	1.8	1.3	4.3	1.1	3.5

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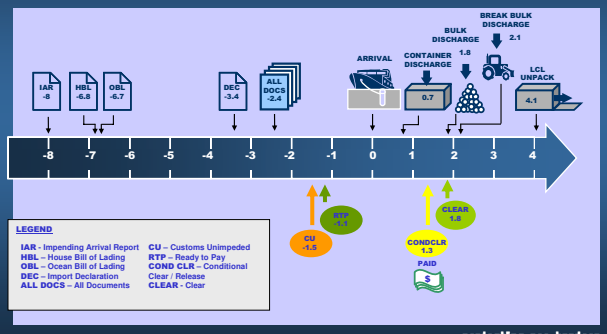
TRS 2007 – Sea Timeline (Average Days)



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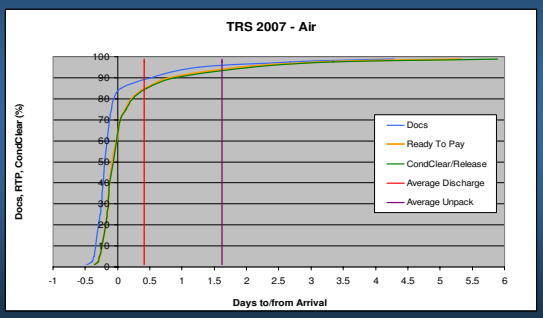
Cumulative View- Air



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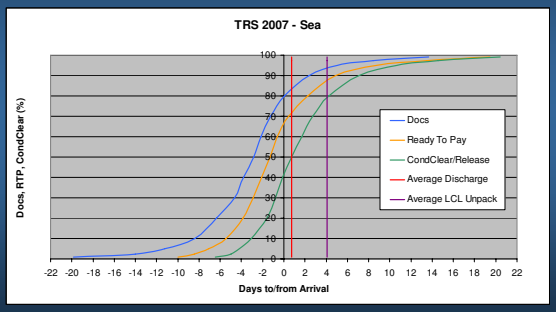
Cumulative View- Sea



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Top 5 Countries of Origin comparison - Sea

Origin Country	Consignments	Arrival to Documents	Arrival to CondClear/Release	Arrival to Clear
ALL	36384	-2.4	1.3	1.8
China	13102	-1.9	1.5	1.8
USA	2105	-2.7	1.3	2.0
Hong Kong	2024	-1.3	1.7	1.9
New Zealand	1933	-2.4	0.3	0.6
Thailand	1623	-3.4	0.3	1.0

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TRS 2007 Results – Air Cargo

Interval	All Types (Days)	Consolidated	Straight Line
Arrival to Documents (Docs)	0.0	0.0	2.1
Arrival to Discharge/Unpack*	0.4	1.6	0.4
Arrival to Ready To Pay (RTP)	0.2	0.2	2.3
Arrival to CondClear/Release	0.3	0.2	2.6
Arrival to Clear	0.3	0.2	2.8

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Testing the TRS findings with industry

- Presented TRS findings to industry to confirm whether they aligned with industry experience:
  - Key industry forums
  - Detailed interviews with importers and service providers
  - Industry Perceptions Survey conducted
- Industry confirmed the validity of the TRS results

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Outcomes

- Established a performance baseline for trade facilitation
- Contributors to performance/dwell time identified & quantified
- Potential opportunities for reform identified
- Recognition that further measurement is required

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Thank you

For further information, email:

timereleasestudy@customs.gov.au

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Australian Customs Service

Key Findings

- Customs is not a significant impediment to import trade.
- The entities and variables that affect trade facilitation performance are numerous, interdependent and span both industry and government.
- A risk management approach is critical to trade facilitation performance.
- Opportunities for Customs to further enhance trade facilitation do exist (e.g. earlier lodgement of documents).

protecting our borders

Australian Government
Australian Customs Service

Next Steps for TRS

- **Pursue opportunities identified**
- **Repeat**
- **Extend the survey, e.g. Exports**

protecting our borders

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

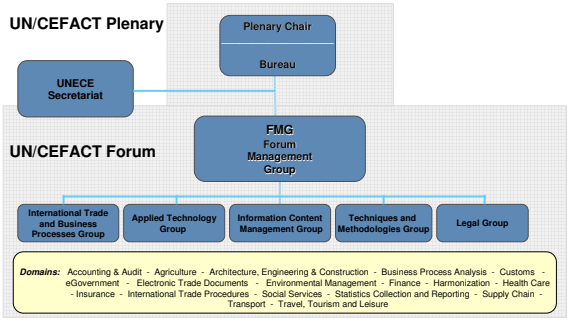
UN CEFACT

APEC Sub Committee on Customs Procedures
Single Window Working Group
Capacity Building Workshop Series
Canberra, Australia
2 - 7 February 2009

Gordon Cragge
Chair TBG15
International Trade Procedures Working Group

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Structure

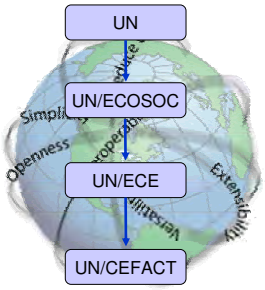


UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Mandate

'**UN Centre for Trade Facilitation and Electronic Business** *supports activities dedicated to improving the ability of business, trade and administrative organisations, from developed, developing and transitional economies, to exchange products and relevant services effectively."*

ECOSOC = Economic and Social Council
ECE = Economic Commission for Europe
(with responsibility for global trade facilitation)



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UN CEFACT Structure

APPLIED TECHNOLOGY GROUP (ATG)

Mandate:

- **Responsible for developing, delivering and maintaining the SYNTAX solutions for UN CEFACT standards:**
  - **document structures – UN Layout Key**
  - **UN/EDIFACT**
  - **XML schemas and style sheets**

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

Mission
UN CEFACT Mission

Simple, Transparent and Effective Processes for Global Business

- **Analyse and understand** the key elements of international processes, procedures and transactions and working for the elimination of constraints;
- **Develop methods** to facilitate processes, procedures and transactions, including the relevant use of information technologies;
- **Promote** both the use of these methods, and associated best practices, through channels such as government, industry and service associations;
- **Coordinate work** with other international organizations;
- **Secure coherence** in the development of standards

Facilitating national and international transactions

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Structure

INFORMATION CONTENT MANAGEMENT GROUP (ICG)

Mandate:

- **Responsible for the management of the Registeries of all UN CEFACT standards:**
  - **technical specifications for e-business**
  - **Business Requirement Specifications (BRS)**
  - **syntax specific information objects and components**
  - **code lists**
- **The ICG is the Librarian for UN CEFACT**

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UN CEFACT Structure

TRADE AND BUSINESS PROCESSES GROUP (TBG)

Mandate:

- Responsible for the simplification of international trade procedures and business and governmental process analysis
  - best trading practices
  - support the development of trade facilitation & e-Business solutions.

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UN CEFACT Strategy

TRADE FACILITATION

- Holistic approach to the International Supply Chain and Trade Transaction Process
- Identification and elimination of barriers to trade
- Trade Security – supporting the development of a safe, certain and predictable global trading process
- Promote the use of UN/CEFACT instruments (Recommendations, standards) to address trade facilitation issues in the WTO
- Develop Capacity Building Programmes on trade facilitation implementation

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UN CEFACT Structure

TECHNIQUES & METHODOLOGIES GROUP (TMG)

Mandate:

- Responsible for the methodologies and modelling techniques used by UN CEFACT
  - semantics, language and vocabulary
  - UN Modelling Methodology (UMM)
  - Core Component Technical Specification (CCTS)
  - E-business Architecture
  - Modellers Refrence Initiative

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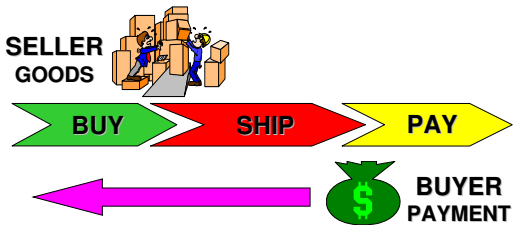
UN CEFACT

TRADE FACILITATION



INTERNATIONAL SUPPLY CHAIN

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Structure

LEGAL GROUP (LG)

Mandate:

- Responsible for the legal aspects of UN CEFACT work and standards
- UN CEFACT Intellectual Property Rights policy

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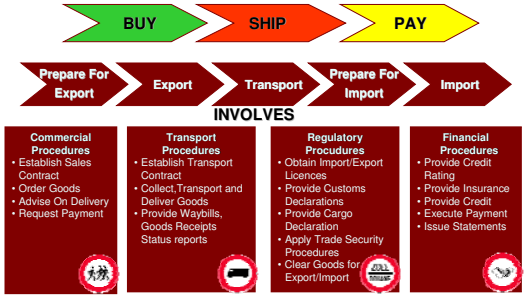
UN CEFACT



UN CEFACT INTERNATIONAL SUPPLY CHAIN REFERENCE MODEL

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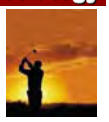
UN CEFACT
Trade Facilitation Strategy



Trade Facilitation
The Drivers for Business

- Progressive reduction in duty rates have exposed non-Tariff Barriers to Trade especially official procedures and documentation
- Integrated production and supply chains have cut the costs of manufacture and delivery
- Faster, more predictable clearance of goods – reducing delays
- Enhanced competitiveness
- Compliance with official security requirements

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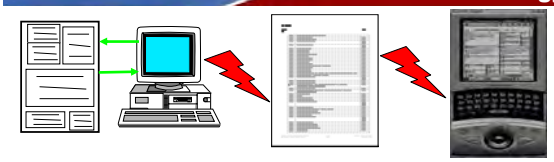
UN CEFACT
E-Business Strategy



- Open and transparent migration path to link paper and electronic equivalent documents
- Business and government choose the technology to support
- Based on international standards
- Compatible with existing and future legal and regulatory environments
- Simple, easy to use and cost effective from low end applications to advanced technology solutions

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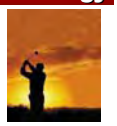
UN CEFACT
Trade Facilitation Strategy



Trade Facilitation
The Drivers for Government

- Improved trade related controls
- More effective and efficient deployment of resources, human and financial
- Need for better trade regulation compliance
- Accelerated economic development
- Encouragement of foreign investment
- Security of the international Supply Chain

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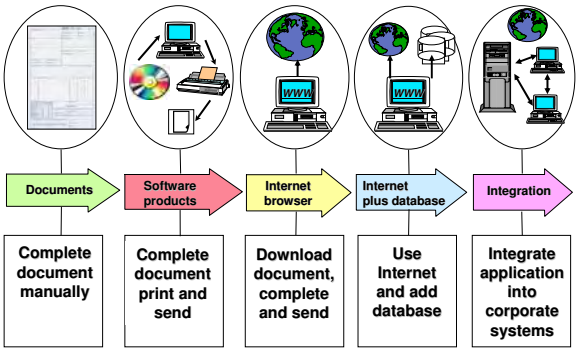
UN CEFACT
E-Business Strategy



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UN CEFACT
Strategy

ELECTRONIC BUSINESS

- Cross-sectoral analysis (to promote interoperability & supply chain synchronicity)
- Business process and information modelling (to capture user requirements, independent of any specific syntax, technology or platform)
- Embrace emerging technologies (e.g., eXtensible Markup language (XML), webServices, …)
- Develop international standards for enabling e-business systems & interoperability

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UN CEFACT
External Liaison

Working Relationships with other Standards Development Organisations

- Memorandum of Understanding
  - avoid divergent and conflicting approached to standardisation
  - eliminate duplication of effort
- UN/CEFACT & OASIS
  - co-operation agreement on ebXML
  - collaboration statement on UBL
- Other SDOs
  - some are delegations in UN/CEFACT Forum – GS1, WCO, SWIFT
  - some are not – ANSI X12, RosettaNet, OAGi, CIDX, XBRL

Meeting the Challenge of making it easier to do international trade

UN/CEFACT

SIMPLE, TRANSPARENT AND EFFECTIVE PROCESSES FOR GLOBAL BUSINESS

Recommendations

Business Standards

Technical Specifications

Implementation Guides

Best Practice Guidance

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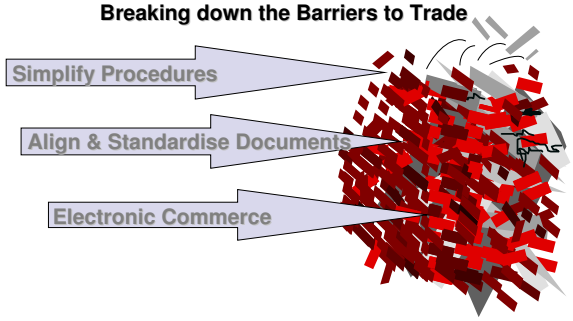
UN CEFACT

Trade Facilitation and e-Business
Breaking down the Barriers to Trade



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UN CEFACT

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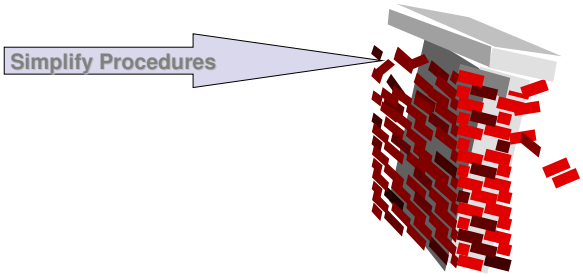
Breaking down the Barriers to Trade



UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN/CEFACT Tools

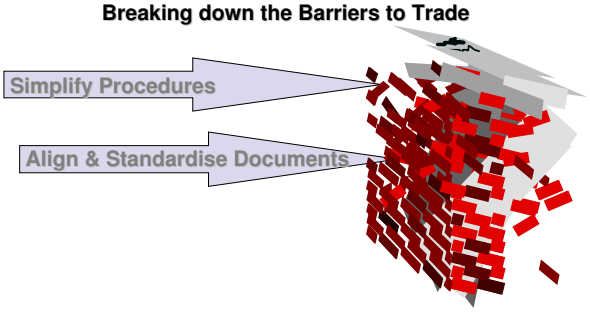
Standards and Tools

- Recommendations
- UN Layout Key – Recommendation No. 1
- UN Trade Data Elements Directory (ISO 7372)
- Core Component Technical Specifications and Core Component Library
- EDIFACT
- XML – Naming and Design Rules
- UNeDocs Project (under review)

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT

Trade Facilitation and e-Business
Breaking down the Barriers to Trade



UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Recommendations

Over 30 Recommendations
(many are ISO Standards
and covered in the WTO TF Negotiations)

- Recommendation 1 - UN Layout Key for Trade Documents (ISO 6422)
- Recommendation 4 - Trade Facilitation Structures
- Recommendation 18 - Trade Facilitation Measures
- Recommendation 25 - UN/EDIFACT (ISO 9735)
- Recommendation 33 - Single Window
- Code Lists, such as Recommendation 16 - LOCODE

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Recommendations

11 Code List Recommendations

- Recommendation 3 - Country Codes
- Recommendation 9 - Currency Codes
- Recommendation 10 - IMO Unique Identification of Ships
- Recommendation 15 - Simpler Shipping Marks
- Recommendation 16 - LOCODE (Location Code)
- Recommendation 19 - Mode of Transport
- Recommendation 20 - Units of Measures
- Recommendation 21 - Types of cargo, packages
- Recommendation 23 - Freight Cost Code
- Recommendation 24 - Trade and Transport Status
- Recommendation 28 - Types of means of Transport

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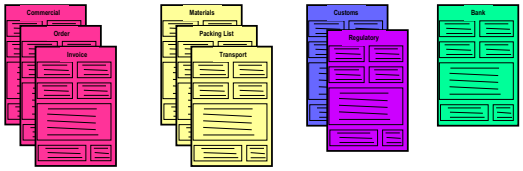
UN Layout Key

Aligned Documents

- SAME details (data) found in the SAME place on all documents



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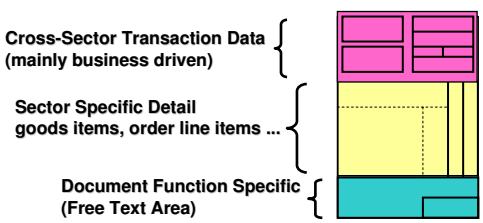
UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN Layout Key

A standard and template for aligning international trade documents



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Trade Data Element Directory

United Nations Trade Data Elements Directory
International Standards Organisation ISO 7372

- Developed to provide a Directory to facilitate open interchange of data in international trade
- Standard data element names with description of meaning (data value) and a specification of character representation
- Supports and is fully consistent with Recommendation 1 – Aligned Layout Key (ISO 6422)
- Fully consistent with UN/EDIFACT
- Multimodal & multisectoral
- Technology &syntax independent
- ebXML Core Components Technical Specification compliant

UN CEFACT Tools

Standards and Tools

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Data Types

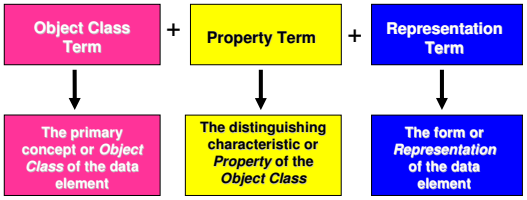
- All BCCs and BBIEs have a data type
  - date, code, measure
- BBIEs can have a qualified data type
  - Can reference codes lists maintained by UN/CEFACT, for example codes from Recommendation 20 – Units of Measure, or ISO Country Codes

Core Components

- Basic building block - a data element - without business context
- Types
  - ACC = Aggregate Core Component
    - Like a segment in EDIFACT or X12
  - BCC = Basic Core Component
    - Like a data element in EDIFACT or X12
  - ASCC = Associate Core Component
    - Connects two ACCs
      - Like a Party to an Address

Naming

- Each dictionary entry name has three parts, constructed like this:



Example : Country. Name. Text

Business Information Entities

- Built from Core Components and have a Business Context (8 possible)
  - Like Trade, Purchasing, Switzerland
- Types
  - ABIE = Aggregate Business Information Entity
    - Built from an ACC
    - Qualified with a meaningful term
  - BBIE = Basic Business Information Entity
    - Built from a BCC
  - ASBIE= Association Business Information Entity Connects two ABIEs
    - Built from an ASCC

CCTS Naming Convention

- Unique Dictionary Entry Name for each Core Component
- Dictionary Entry Names are ISO 11179 compliant
- Terms are separated by a period (.) and a single space
- Qualifiers are separated by an underscore (_) and a space
- Multiple words are separated by spaces (no CamelCase)

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Library

Once approved, a globally unique ID assigned

We use the Oxford English Dictionary

Unique ID	Dictionary Entry Name	CC Type	Definition
UN00000010	Address. Details	ACC	The information relevant to a specific address.
UN00000014	Address. Postcode. Code	BCC	The postal code of the address.
UN00000033	Address. Street Name. Text	BCC	A name of a street or thoroughfare.
UN00000013	Address. City Name. Text	BCC	The name of the city, town or village of this address.
UN00000203	Address. Country. Identifier	BCC	A unique identifier of a country, e.g. as specified in ISO 3166 and UNECE Rec 3.
UN00000204	Address. Type. Code	BCC	The type of this address such as business address or home address.

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UN CEFACT Tools

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XML Naming & Design Rules

- Describe and specify the rules and guidelines for developing UN/CEFACT schema
- Technical Specification promotes the re-use of business information as schema components, defining the content of the payload
- Schema based on information developed in accordance with CCTS – part 8 of ebXML Framework
- Support and enhance interoperability across multi business processes
- Facilitate the sharing and exchange of information
- Compliant with CCTS as ISO/TS15000-5

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UN/EDIFACT

- Promotes a single standard for electronic data interchange (EDI) for aspects of the transaction links in the international supply chain
- Applicable at national, sub-regional, regional and international levels
- EDI messages must comply with UN Trade Data Interchange Directory (UNTDID)
- EDI messages approved , published and maintained
- EDI message guidelines (MIGs)
- Supported by other tools that recommend usage, codes of practices and interchange agreements

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UN CEFACT Tools

Standards and Tools

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- Core Component Technical Specifications
- Core Component Library
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- UNeDocs Project (under review)

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UNeDocs

- Project to harmonise and standardise international trade related data using the standards of UN/CEFACT
- Production of aligned cross-border documentation and electronic messaging to facilitate the move to 'Straight Through Processing' of data for international trade

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Stairway of Standards

UN/CEFACT Stairway of Standards

First Floor

Document Simplification and Standardization	More Aligned Documents - Recommendations 6 (and Annex), 11 and 22
Document Simplification and Standardization	UN Code Lists - common understanding of data
Document Simplification and Standardization	UN Recommendation 1 - UN Layout Key, UN Trade Data Elements Directory (UNTDED), Toolkit and Forms Repository
Process Analysis and Simplification	International Supply Chain Reference Model, Unified Modeling Methodology (UMM), Unified Modeling Language (UML), Audit Methodologies
Taking the First Step	Collaboration Between Public and Private Sectors UN/CEFACT Recommendation 4 - establishing a mechanism for government and trade dialogue and consultation

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UNeDocs

PROJECT OBJECTIVES

- Align cross border data
- Increase semantic interoperability through reuse of UN/CEFACT Core Component Library
- Integration of paper (UNLK), EDI and XML through a harmonised data model
- UNLK document and box completion guidelines
- UN/EDIFACT Message Implementation Guidelines
- XML schema (subset schemas)
- Other related deliverables - electronic document implementation guidelines, aligned stylesheets, schematron or interactive electronic UNLK aligned forms

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Stairway of Standards

UN/CEFACT Stairway of Standards

Paperless Trading

Single Window	UN Recommendation 33; *UN Recommendation 35*
Cross Border Data Exchange	UNTDED / CCTS / WCO Data Model UNeDocs Project (under review)
Electronic Commerce	UN Recommendation 25 UN/EDIFACT; UN Recommendations 26, 31 and 32 enabling an e-Commerce environment
National Data Simplification	UNTDED, UN CEFACT Core Components (Technical Specification and Libraries); *UN Recommendation 34*
Trade Facilitation	Recommendation 18 - Making International Trade Easier with measures for commerce, payment, transport and official controls; UN Recommendation 8 for Unique Consignment Reference Number

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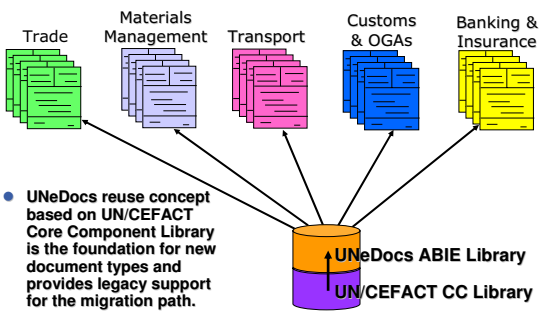
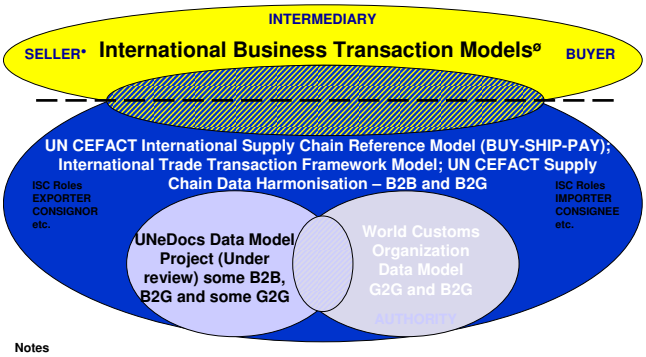
UNeDocs Reuse Concept



- UNeDocs reuse concept based on UN/CEFACT Core Component Library is the foundation for new document types and provides legacy support for the migration path.

UN CEFACT DATA MODELS – The complete model?



Notes

⁰ data exchanged between trading partners in a business transaction not part of the International Supply Chain; for example master data files, intra-company data, pricing strategies and catalogues, staff and payroll records, health and safety information.

• For example Sellers of Tourism, Travel and Leisure services, or Insurance, or Finance or Health.

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Recommendation 33
Establishing a Single Window

UN CEFACT Recommendation and Guidelines on Establishing a Single Window

Governments and those involved in the international trade and movement of goods to consider implementing a Single Window facility that allows:

- parties to lodge standardised information and documents with a single entry point to fulfil all export, import and transit related regulatory requirements
- if the information is electronic, then individual data elements should only be submitted once
- the sharing of all information supported by a legal framework that provides privacy and security in the exchange of information
- co-ordinate the controls of the various governmental authorities, where appropriate
- facilities to receive payment of duties and other charges
- the single entry point to provide access to trade related government information

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Recommendation 34
Data Simplification and Standardization

To meet government and regulatory requirements business submits:

- increasing amounts of information
- to various authorities and agencies
- at different stages within the international trade process
- through various communication routes (paper, EDI)
- with each authority often having its own systems and paper forms.

Recommendation 34 recommends data simplification and standardization by:

- ***Capturing*** existing requirements into a national trade data inventory
- ***Defining*** the individual data elements
- ***Analyzing*** the need for, and context of the data requirements
- ***Reconciling*** the national trade data inventory with international standards

TO PRODUCE A SIMPLIFIED, STANDARDIZED NATIONAL DATA SET FOR THE EXCHANGE OF INFORMATION WITH A SINGLE WINDOW FACILITY

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Recommendation 33
Establishing a Single Window

Give full consideration to the Guidelines in the Recommendation in the establishment of the Single Window facility

The Annexes

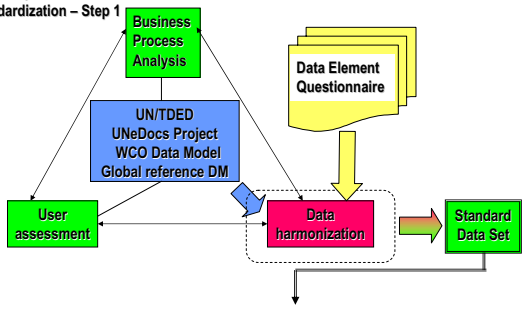
- **Annex A: Single Window Models - examples of existing or planned Single Windows**
- **Annex B: Practical Steps for Planning & Implementation**
- **Annex C: Components of a Feasibility Study**
- **Annex D: Tools & Techniques**
- **Annex E: Signposts - contact details for operational Single Windows and international organisation projects**
- **Repository of Single Window Case Studies**

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Recommendation 34
Data Rationalization and Standardization

UN CEFACT Recommendation 34
Data Simplification and Standardization

Data Simplification and Standardization – Step 1



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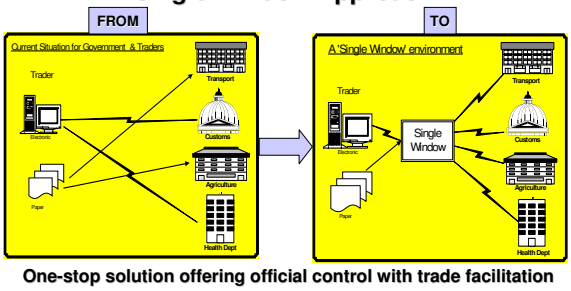
UN CEFACT Recommendation 33
Establishing a Single Window

Single Window Approach

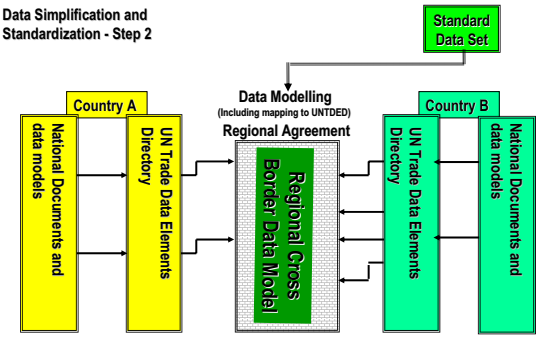


One-stop solution offering official control with trade facilitation

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Recommendation 34
Data Simplification and Standardization

Data Simplification and Standardization - Step 2



UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Recommendation 35
Establishing a Legal Framework

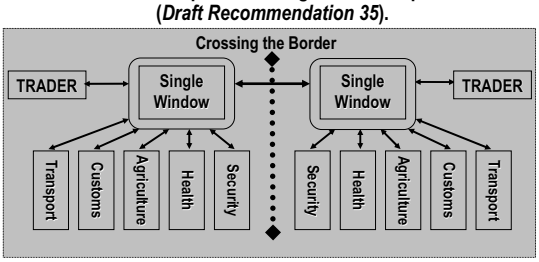
UN/CEFACT recommends

- Undertake a study to determine an appropriate set of measures to create legally enabling environment for an International Trade Single Window:
- Use the UN/CEFACT Check-list with Guidelines of the legal issues related to national and cross-border exchange of trade data
- Amend existing legislation, if necessary
- Draft new legislation, if required, to allow Single Window functionality
- Use the Toolkit for reviewing and assessing international standards and international legal instruments

UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT Recommendation 35
Establishing a Legal Framework

A set of measures that may need to be taken to address legal issues related to national and cross-border exchange of trade data required for Single Window operations (*Draft Recommendation 35*).



UN/CEFACT United Nations Centre for Trade Facilitation and Electronic Business

UN CEFACT

Meeting the Paperless Trading Challenge

UN/CEFACT
SIMPLE, TRANSPARENT AND EFFECTIVE PROCESSES FOR GLOBAL BUSINESS

Recommendations
Business Standards
Technical Specifications
Implementation Guides
Best Practice Guidance

E-CERT FACT SHEET – Electronic Certification

What is E-cert?

E-cert is an electronic system to generate export certificates for traded food and agricultural commodities. Certificates provide assurances to importing countries concerning food safety and animal and plant health.

What does E-cert do?

The system generates an electronic message in place of the current paper certificate issued for the clearance of product.

What Information does it contain?

The same information currently provided on agreed export paper certificates. This information is negotiated on a country by country basis.

Beginnings

Australia and New Zealand have collaborated to develop and implement a web-based system for electronic certification, known as E-cert. This partnership was formed following the Food Safety Quadrilaterals in Hawaii in 2002 where Australia, New Zealand, Canada and the USA made commitments to trial E-cert for meat shipments during 2003.

What is Driving Paperless Trade?

Cross border security is a front-of-mind issue heightened by the escalated threat of bio-terrorism. The World Customs Organisation (WCO) has recognised the benefit of prior notice of cargo movement in order to apply risk assessment protocols to ensure public safety.

IT requirements

You will need a PC with an internet connection with access to the World Wide Web, with a minimum browser requirement of Netscape 4.7 or Internet explorer 4.

The data may be viewed on-screen or downloaded in extensible mark-up language (XML) format for integration into import management systems.

Ratification processes to recognise E-cert/XML as the international standard for SPS messages and associated business processes are underway in United Nations (UN) and CODEX (International food standards).

When will the E-cert System be available?

The system is now available to interested trading partners to trial.

What Commodities does it cover?

Edible Meat, Dairy, Seafood, Grains, Horticulture, Eggs, Inedible Meat Products and Wool, Skins & Hides.

Is it Secure?

E-cert provides an unprecedented level of certificate security. The data is retained on a secure website and is protected by security firewalls, full audit trails are generated, and the transmission of the data is protected by encryption using HTTPS or SFTP secure transmission protocols.

What are the benefits?

- E-cert will strengthen the security of traded food and agricultural products. Certification data will be securely transferred direct from Government to Government reducing the opportunity for fraudulent activity.
- E-cert will improve resourcing at ports of entry by providing prior notice of imports. The electronic certificate will be available on the internet within minutes of authentication by the issuing government.
- Real time SPS data sharing will enable borders to be able to verify container contents prior to arrival in compliance with emerging World Customs Organisation pre-shipment notification requirements.
- Being internet-based it is an easy to access and affordable system to verify electronic certificates on-screen.
- Data is easily downloaded and integrated into existing import management systems.

International Support

APEC Pathfinder Initiative endorsed by APEC Leaders Meeting in Los Cabos in 2002, Food Safety Quadrilaterals (Australia, New Zealand, Canada and the United States of America), Codex Committee of Food Inspection and Certification Systems.

Supporters

As an APEC Pathfinder E-cert has been profiled at a number of forums including the Paperless Trading Symposium, e-Commerce Steering Committee, Agricultural Technical Cooperation Working Group, counter Bio Terrorism Action Plan, meetings with government officials and in line with E-cert implementation plans, Australia will demonstrate at Codex Committee on Food Inspection and Certification Systems.

Participation

To participate in this initiative please contact ecertadministrator@daff.gov.au. Following this we will work with you to tailor an implementation plan to best suit your current practices and IT infrastructure.

AQIS Contacts:

Email: ecertadministrator@daff.gov.au

TEST RFP NUMBER 2093739 COPY

Department of Agriculture, Fisheries and

Official Meat Inspection Certificate for Exporting Meat Products to Canada

Certificat officiel d'inspection des viandes pour l'exportation de produits de viande au Canada

3. Certificate No. / *No.du certificat* AUS 2083592

4. Slaughtered at (Establishment number and name) / *Abbatu à (Le nombre et le nom de l'établissement)* — AUSTRALIA / *AUSTRALIE*

NO. 77 CANBERRA EXPORT MEATS - - - - - - - - - - - - - - 50 - 100

1. Exporter/*Exportateur*

AQIS TESTING - EXPORTER ALL COMMOD
5TH FLOOR
18 MARCUS CLARKE ST
CANBERRA ACT 2600
AUSTRALIA

2. Importer/*Importateur*

TO ORDER
ADDRESS
AND
CITY IN STATE OF
CANADA

8. Processed at (Establishment number, name) / *Transformé à (Le nombre et le nom de l'établissement)* — AUSTRALIA / *AUSTRALIE*

NO. 77 CANBERRA EXPORT MEATS - - - - - - - - - - - - - - - - - - -

E-cert Transmission Protocols – Electronic Certification Plain English Technical Facts

What is E-cert?

E-cert is an electronic system to generate export certificates for traded food and agricultural commodities. Certificates provide assurances to importing countries concerning food safety and animal and plant health.

What does E-cert do?

The system generates an electronic message in place of the current paper certificate issued for the clearance of product.

What do I need to receive E-cert?

A computer with access to the internet and permission to access the system.

AQIS is mindful that a country's level of comfort and readiness to adopt electronic certification will vary dependent on their existing IT infrastructure. So has developed various ways for trading partners to participate in the many benefits derived from electronic certification.

Data Standard

A design document is available to interested parties. AQIS development is based on the E-cert Data Standard Version 2.8, which is currently at UNCEFACT for ratification of an international standard. The data elements and message structure are essential for those countries seeking to develop E-cert like systems to receive or send the data, this ensures that both systems are conforming to the same design standard for the exchange of data.

Data Technical Language

The IT language utilised by E-cert is the Extensible Markup or XML as it is commonly known. XML is a plain English text language most suitable to web based applications.

Data Transfer Method

AQIS data transfer uses synchronous transfer methods and provides access to the data through an interface using the Simple Object Access Protocol (SOAP) standard.

Secure Transfer

The transfer of data is supported by Secure Hypertext Transfer Protocol (HTTPS).

Data Security

A 128-bit secure certificate is used for encryption.

Data Access

The receiving authority may either

- view the data from the web application and download in XML format from this site
- pull the data from the AQIS application via interaction with the SOAP interface
- have the data pushed to their dedicated application using Simple Mail Transfer Protocol (SMTP) and digital certificate authentication.

System Integration

Web Site – clearance may be as simple as verifying detail on the web screen or downloading the XML data into your own database.

SOAP Interface – the certificate data is posted to the SOAP interface within 30 seconds of being generated by our system. A trading partner may then choose to 'pull' the data at regular intervals or as required in response to their import clearance system/activities. The importing country is responsible for developing an application to interact with our SOAP interface for the purpose of retrieving export certificates. AQIS will provide the E-cert SOAP Interface Design document to aid development.

SMTP Interface – the data will be 'pushed' to your system using SMTP to transfer the data and digital certificates to authenticate the receiving and sending system. The message transferred by SMTP conforms to the S/MIME version 2 Message Specification specification. The certificate data will be sent to your system 30 seconds after our system has generated an electronic certificate, your system will be required to acknowledge receipt of the message within an agreed time interval.

Authentication

Trading Partners are required to agree to a terms of reference prior to access being granted.

Access to the web site or to 'pull' the data is controlled by log on and password. Users will be restricted by country and commodity with write/read access dependent on their role.

Digital certificates, issued by a recognised Certification Authority, are used to authenticate the receiver/sender for data 'pushed' to a system.

Contingency Planning

Both trading partners need to agree on contingency arrangements for major unscheduled outages to ensure trade is not disrupted. Paper certificates will be issued where outages are unable to be rectified within shipping time.

Maintenance Periods

AQIS system outages for general maintenance are scheduled during extremely low business activity times to minimise disruption to trade.

Scheduled outages are	TUESDAY EVENINGS AEST 19.00hrs – 00.00hrs
	SUNDAYS MORNINGS AEST 08.00hrs – 12.00hrs.

Certificate Details E-cert Test Environment

Test Certificate

Department of Agriculture, Fisheries and Forestry
Australian Quarantine and Inspection Service

Electronic Health Certification

Download Confirm

Certificate No. / No.du certificat 2083592

Status Approved

Title Official Meat Inspection Certificate for Exporting Meat Products to Canada / Certificat officiel d'inspection des viandes pour l'exportation de produits de viande au Canada

Declarations

- ✔ I hereby certify that Australia has been free of Foot and Mouth Disease, Rinderpest or other serious epizootic diseases for not less than six months, and that Anthrax is not prevalent in Australia.
- ✔ I hereby certify that the meat products specified above have been prepared in an establishment certified for export to Canada and are derived from animals that have been examined and found, by ante-mortem and post-mortem inspection at the time of slaughter, to be free from disease and that meat products are suitable in every way for human consumption and are otherwise in compliance with requirements at least equal to those in the Canadian Meat Inspection Act and Regulations. / Je certifie par la présente que les produits de viande spécifiés ci-dessus ont été préparés dans des établissements agréés pour exportation au Canada et qu'ils proviennent d'animaux examinés et trouvés lors de l'inspection ante-mortem et post-mortem au moment de l'abattage, exempts de maladie et que les produits de viande sont à tous égards propres à la consommation humaine et sont à tous les points de vue conformes aux exigences au moins égales à celles stipulées dans la Loi et Règlement canadiens sur l'inspection des viandes.
- ✔ Export Certificate Number AUS2083592

Exporting Establishment no. / No.de l'etablissement exportateur
77

Veterinary Officer / Veterinaire Officiel John Langbridge, Vo Of Affa, 2 January 2009

Certifying Location CANBERRA

Exporting Country
Australia

Competent Authority
Department of Agriculture, Fisheries and Forestry

Exporter / Exportatuer
AQIS TESTING - EXPORTER ALL COMMOD
5TH FLOOR, 18 MARCUS CLARKE ST, CANBERRA ACT 2600 Australia

Importer / Importateur
TO ORDER
ADDRESS, AND, CITY IN STATE OF, CANADA

Importing Country
CANADA

Transport Mode
1

Carrier / Transporteur
VESSEL

Voyage/Flight Ref
77

Port of Loading / Ports d'embarquement
MELBOURNE

Date of Departure / Date de l'envoi
15 January 2009

Port of Landing / Port debarquement
ACTON VALE

Inspection Port
ACTON VALE

No. and kind of packages / Nombre et nature des colis	Description of meat products and Label reg. No (if applicable) / Description des produits de viande et no.d'enr de l'etiquette (si applicable)	Net weight / Poids Net
50 CARTONS	BONE-IN BEEF	Net: 500.000 KGM

Shipping marks / Marques d'expedition
mip345345

Slaughtered at (Establishment number and name) / Abbatu a (Le nombre et le l'etablissement)
77
CANBERRA EXPORT MEATS ---------- 50 ---------- 100

Processed at (Establishment number, name) / Transforme a (Le nombre et le nom de l'etablissement)
77
CANBERRA EXPORT MEATS ---------- 50 ---------- 100

Import Authority Code
ee

Update Certificate Status

Please select an action, provide a reason and press the Change Status button.

Change the status of this certificate to Revoked

Reason for change:

Change Status

E-cert Test Environment

AQIS ABARE BRS

For more information contact the E-cert Administrator
©Commonwealth of Australia 2003-2004. | Privacy Statement | Disclaimer
E-cert 2.0.0.0 (10 Dec 2008)

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Australian Government
Australian Quarantine and Inspection Service

Overview of Electronic Certification APEC Single Window Workshop

Barbara Cooper
February 2009

DEPARTMENT OF AGRICULTURE, FISHERIES AND FORESTRY

TABLE OF CONTENTS

- Our Business
- Foundation Systems
- E-cert System
- International Standard
- Implementation
- Collaboration

Australian Quarantine and Inspection Service

AQIS – What we do

The Australian Quarantine and Inspection Service (AQIS) provides quarantine intervention services for the arrival of international vessels, passengers, cargo, mail, animals and plants or their products into Australia. AQIS also provides export certification for a range of agricultural, fisheries and forestry produce exported from Australia and inspects imported food to ensure compliance with Australia's food safety standards.

Our objective

Through quarantine services manage the risk to Australia's animal, plant and human health status, and maintain market access through delivery of export services.

Exports

Legislation
Export Control Act (1982)
General Orders
Commodity Orders
Fees and Charges

Inspection, auditing or verification
Meat, dairy, fish, grain and horticulture including their byproducts
Inspectorate may be on-plant (veterinarians & meat inspectors) or end point (grain) and/or
Auditors verifying system compliance (dairy)

Registered Establishments
Prescribed Goods must be produced, packed, stored and handled at a registered establishment
Establishment must satisfy legislative requirements
Fit for purpose
Fit and Proper assessment of management & control
Financial assessment concerning outstanding debt

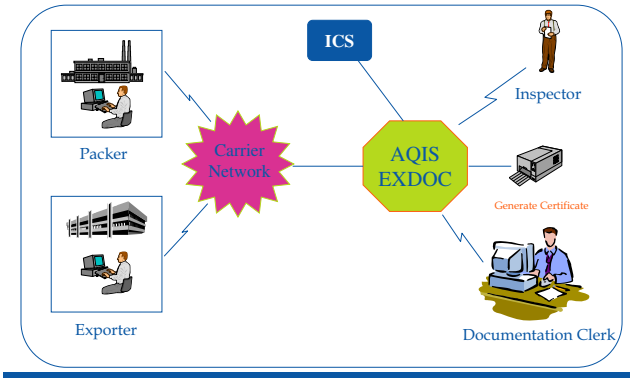
Statistics

- 700 templates in use
- trade with 120 economies
- 30 + languages supported
- 150 000 certificates for edible meat issued each year
- 16,000 of these are exchanged between AUS & NZ

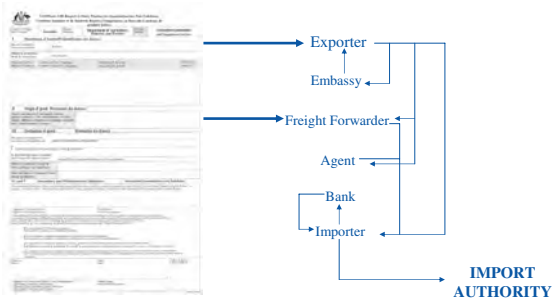
Electronic Export Documentation System

- EXDOC is an electronic system to issue export permits and export certificates for agricultural commodities in compliance with the Export Control Act (1982)
- It has a series of business and validation rules that must be satisfied, to ensure compliance with ECA (1982) and importing country requirements
- Links to other relevant databases
- Provides 24/7 access
- Supports E-cert

EXDOC DATA FLOW

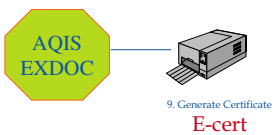


PAPER CERTIFICATE FLOW



WHAT IS E-CERT?

- E-cert is an electronic certification system for agricultural products
- It is a web-based system
- Information may be downloaded into automated clearance systems or viewed on the internet
- Management of replacement certificates on-line
- Information is exchanged G2G



ELECTRONIC CERTIFICATE FLOW

G2G → **IMPORT AUTHORITY**

Extract of data sent by email to the Exporter

E-Cert Drivers

• **Fraud Control**	✓ Confirm paper certificate ✓ G2G exchange
• Paperless Trading	✓ APEC Initiatives
• Prior notice of imports	✓ Bioterrorism
• Cross border efficiencies	✓ Download data into import management system

INTERNATIONAL COLLABORATION

- System data standard & message structure
  - scoped by AQIS & NZFSA
  - Supported by Food Safety Quadrilateral Group (AUS/NZ/USA/CDA)
  - agreed at UN/CEFACT by E-cert Project Team (JPN, CDA, SIN, US, AUS, NZ, CT, WCO…)
  - Verified during trials
  - WCO

INTERNATIONAL STANDARD SETTING

- UNCEFACT
  - Ratification of the E-cert Data Standard as an international standard 2008
- CCFICS
  - Electronic certification (E-cert) accepted as part of guidelines
- IPPC
  - Electronic certification (E-cert) accepted as part of guidelines

ADOPTION/TRIALS

ADOPTION

- Jordan
- Canada

Commitment

- Japan
- China
- Philippines

TRIALS

- USA
- India
- Hong Kong, China
- Republic of Korea
- EU

thanks

Privacy Act 1988

Act No. 119 of 1988 as amended

This compilation was prepared on 11 November 2008
taking into account amendments up to Act No. 113 of 2008

The text of any of those amendments not in force
on that date is appended in the Notes section

The operation of amendments that have been incorporated may be
affected by application provisions that are set out in the Notes section

Prepared by the Office of Legislative Drafting and Publishing,
Attorney-General's Department, Canberra

6 Interpretation

(1) In this Act, unless the contrary intention appears:

personal information means information or an opinion (including information or an opinion forming part of a database), whether true or not, and whether recorded in a material form or not, about an individual whose identity is apparent, or can reasonably be ascertained, from the information or opinion.

Information Privacy Principles

Principle 1

Manner and purpose of collection of personal information

1. Personal information shall not be collected by a collector for inclusion in a record or in a generally available publication unless:
   (a) the information is collected for a purpose that is a lawful purpose directly related to a function or activity of the collector; and
   (b) the collection of the information is necessary for or directly related to that purpose.
2. Personal information shall not be collected by a collector by unlawful or unfair means.

Principle 2

Solicitation of personal information from individual concerned

Where:

(a) a collector collects personal information for inclusion in a record or in a generally available publication; and

(b) the information is solicited by the collector from the individual concerned;

the collector shall take such steps (if any) as are, in the circumstances, reasonable to ensure that, before the information is collected or, if that is not practicable, as soon as practicable after the information is collected, the individual concerned is generally aware of:

(c) the purpose for which the information is being collected;

(d) if the collection of the information is authorised or required by or under law—the fact that the collection of the information is so authorised or required; and

(e) any person to whom, or any body or agency to which, it is the collector's usual practice to disclose personal information of the kind so collected, and (if known by the collector) any person to whom, or any body or agency to which, it is the usual practice of that first-mentioned person, body or agency to pass on that information.

Principle 3

Solicitation of personal information generally

Where:

(a) a collector collects personal information for inclusion in a record or in a generally available publication; and

(b) the information is solicited by the collector;

the collector shall take such steps (if any) as are, in the circumstances, reasonable to ensure that, having regard to the purpose for which the information is collected:

(c) the information collected is relevant to that purpose and is up to date and complete; and

(d) the collection of the information does not intrude to an unreasonable extent upon the personal affairs of the individual concerned.

Principle 4

Storage and security of personal information

A record-keeper who has possession or control of a record that contains personal information shall ensure:

(a) that the record is protected, by such security safeguards as it is reasonable in the circumstances to take, against loss, against unauthorised access, use, modification or disclosure, and against other misuse; and

(b) that if it is necessary for the record to be given to a person in connection with the provision of a service to the record-keeper, everything reasonably within the power of the record-keeper is done to prevent unauthorised use or disclosure of information contained in the record.

Principle 5

Information relating to records kept by record-keeper

1. A record-keeper who has possession or control of records that contain personal information shall, subject to clause 2 of this Principle, take such steps as are, in the circumstances, reasonable to enable any person to ascertain:
   (a) whether the record-keeper has possession or control of any records that contain personal information; and
   (b) if the record-keeper has possession or control of a record that contains such information:
      (i) the nature of that information;
      (ii) the main purposes for which that information is used; and
      (iii) the steps that the person should take if the person wishes to obtain access to the record.

2. A record-keeper is not required under clause 1 of this Principle to give a person information if the record-keeper is required or authorised to refuse to give that information to the person under the applicable provisions of any law of the Commonwealth that provides for access by persons to documents.

3. A record-keeper shall maintain a record setting out:
   (a) the nature of the records of personal information kept by or on behalf of the record-keeper;
   (b) the purpose for which each type of record is kept;
   (c) the classes of individuals about whom records are kept;
   (d) the period for which each type of record is kept;
   (e) the persons who are entitled to have access to personal information contained in the records and the conditions under which they are entitled to have that access; and
   (f) the steps that should be taken by persons wishing to obtain access to that information.

4. A record-keeper shall:
   (a) make the record maintained under clause 3 of this Principle available for inspection by members of the public; and
   (b) give the Commissioner, in the month of June in each year, a copy of the record so maintained.

Principle 6

Access to records containing personal information

Where a record-keeper has possession or control of a record that contains personal information, the individual concerned shall be entitled to have access to that record, except to the extent that the record-keeper is required or authorised to refuse to provide the individual with access to that record under the applicable provisions of any law of the Commonwealth that provides for access by persons to documents.

Principle 7

Alteration of records containing personal information

1. A record-keeper who has possession or control of a record that contains personal information shall take such steps (if any), by way of making appropriate corrections, deletions and additions as are, in the circumstances, reasonable to ensure that the record:
   (a) is accurate; and
   (b) is, having regard to the purpose for which the information was collected or is to be used and to any purpose that is directly related to that purpose, relevant, up to date, complete and not misleading.

2. The obligation imposed on a record-keeper by clause 1 is subject to any applicable limitation in a law of the Commonwealth that provides a right to require the correction or amendment of documents.

3. Where:
   (a) the record-keeper of a record containing personal information is not willing to amend that record, by making a correction, deletion or addition, in accordance with a request by the individual concerned; and
   (b) no decision or recommendation to the effect that the record should be amended wholly or partly in accordance with that request has been made under the applicable provisions of a law of the Commonwealth;

   the record-keeper shall, if so requested by the individual concerned, take such steps (if any) as are reasonable in the circumstances to attach to the record any statement provided by that individual of the correction, deletion or addition sought.

Principle 8

Record-keeper to check accuracy etc. of personal information before use

A record-keeper who has possession or control of a record that contains personal information shall not use that information without taking such steps (if any) as are, in the circumstances, reasonable to ensure that, having regard to the purpose for which the information is proposed to be used, the information is accurate, up to date and complete.

Principle 9

Personal information to be used only for relevant purposes

A record-keeper who has possession or control of a record that contains personal information shall not use the information except for a purpose to which the information is relevant.

Principle 10

Limits on use of personal information

1. A record-keeper who has possession or control of a record that contains personal information that was obtained for a particular purpose shall not use the information for any other purpose unless:
   (a) the individual concerned has consented to use of the information for that other purpose;

(b) the record-keeper believes on reasonable grounds that use of the information for that other purpose is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or another person;

(c) use of the information for that other purpose is required or authorised by or under law;

(d) use of the information for that other purpose is reasonably necessary for enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue; or

(e) the purpose for which the information is used is directly related to the purpose for which the information was obtained.

2. Where personal information is used for enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue, the record-keeper shall include in the record containing that information a note of that use.

Principle 11

Limits on disclosure of personal information

1. A record-keeper who has possession or control of a record that contains personal information shall not disclose the information to a person, body or agency (other than the individual concerned) unless:

(a) the individual concerned is reasonably likely to have been aware, or made aware under Principle 2, that information of that kind is usually passed to that person, body or agency;

(b) the individual concerned has consented to the disclosure;

(c) the record-keeper believes on reasonable grounds that the disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or of another person;

(d) the disclosure is required or authorised by or under law; or

(e) the disclosure is reasonably necessary for the enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue.

2. Where personal information is disclosed for the purposes of enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the purpose of the protection of the public revenue, the record-keeper shall include in the record containing that information a note of the disclosure.

3. A person, body or agency to whom personal information is disclosed under clause 1 of this Principle shall not use or disclose the information for a purpose other than the purpose for which the information was given to the person, body or agency.

Customs Administration Regulations 2000

Statutory Rules 2000 No. 27 as amended

made under the

Customs Administration Act 1985

This compilation was prepared on 3 May 2008
taking into account amendments up to SLI 2008 No. 63

Prepared by the Office of Legislative Drafting and Publishing,
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Page

Contents

	1	Name of Regulations [*see* Note 1]	3
	2	Commencement [*see* Note 1]	3
	3	Definition	3
	4	International organisations	3
	5	Disclosure — permitted entities	3
	6	Disclosure — permitted classes of information	3
Schedule 1		**International organisations**	4
Schedule 2		**Permitted entities**	5
Part 1		Commonwealth	5
Part 2		State or Territory	7
Part 3		Foreign or international	9
Schedule 3		**Permitted classes of information**	12
Notes			14

1 Name of Regulations [*see* Note 1]

These Regulations are the *Customs Administration Regulations 2000*.

2 Commencement [*see* Note 1]

These Regulations commence on the date of commencement of Schedule 2 to the *Customs Legislation Amendment Act (No. 1) 1999*.

3 Definition

In these Regulations:

Act means the *Customs Administration Act 1985*.

4 International organisations

For paragraph (b) of the definition of ***international organisation*** in subsection 16 (1A) of the Act, the international organisations mentioned in Schedule 1 are prescribed.

5 Disclosure — permitted entities

For paragraph 16 (10) (a) of the Act, the entities mentioned in Schedule 2 are specified.

6 Disclosure — permitted classes of information

For paragraph 16 (10) (b) of the Act:

(a) the classes of information mentioned in Schedule 3 are specified; and

(b) a class of information mentioned in an item of Schedule 2 is specified as a class of information that may be disclosed to the entity mentioned in the item.

Schedule 1 International organisations

(regulation 4)

Caribbean Customs Law Enforcement Council

Combined Agency Border Intelligence Network

European Police Office (EUROPOL)

International Criminal Police Organisation (INTERPOL)

Oceania Customs Organisation

Regional Intelligence Liaison Office (Asia/Pacific)

United Nations

World Customs Organization

World Trade Organization

Schedule 2 Permitted entities

(regulations 5 and 6)

Part 1 Commonwealth

Item	Entity	Classes of information
101	Australian Bureau of Statistics	C
102	Australian Defence Force	A, B, C, D, E, F, G
103	Australian Federal Police	A, B, C, D, E, F, G
104	Australian Fisheries Management Authority	A, B, C, D, E, F, G
105	Australian Maritime Safety Authority	A, B, D
106	Australian Quarantine Inspection Service	A, B, C, D, E, F, G
107	Australian Postal Corporation	A, G
108	Australian Secret Intelligence Service	A, B, C, D, E, F, G
109	Australian Security Intelligence Organisation	A, B, C, D, E, F, G
110	Australian Sports Anti-Doping Authority	B, C, E, F, G
111	Australian Sports Commission	B, C, E, F, G
112	Australian Taxation Office	A, B, C, D, G
113	Australian Transaction Reports and Analysis Centre	A, B, C, D, E, F, G
114	Australian Wine and Brandy Corporation	C
115	Austrade	C
116	Civil Aviation Safety Authority	A, B, D, E, F, G
117	Director of National Parks and Wildlife	E, G
118	Great Barrier Reef Marine Park Authority	A, B, D
119	Medicare Australia	A, B, C, D, E, F, G
120	Indian Ocean Territories Customs Service (Christmas Island)	A, B, C, D, E, F, G

Item	Entity	Classes of information
121	Indian Ocean Territories Customs Service (Cocos (Keeling) Islands)	A, B, C, D, E, F, G
122	Australian Crime Commission	A, B, C, D, E, F, G
123	Australian Pesticides and Veterinary Medicines Authority	B, C, F, G
124	Norfolk Island Customs	B, C, D, F
125	Office of National Assessments	A, B, C, D, E, F, G
126	The Attorney-General's Department	A, B, C, D, E, F, G
127	The Department of Agriculture, Fisheries and Forestry	C, G
128	The Department of Broadband, Communications and the Digital Economy	C
129	The Department of Defence	A, B, C, D, E, F, G
130	The Department of Foreign Affairs and Trade	A, B, C, D, E, F, G
131	The Department of Health and Ageing	A, B, C, D, E, F, G
132	The Department of Human Services	A, B, C, D, E, F, G
133	The Department of Immigration and Citizenship	A, B, D, E, F, G
134	The Department of Resources, Energy and Tourism	A, B, C, D, G
135	The Department of the Environment, Water, Heritage and the Arts	A, B, C, D, E, F, G
136	The Department of the Prime Minister and Cabinet	A, B, C, D, E, F, G
137	The Department of Infrastructure, Transport, Regional Development and Local Government	A, B, C, D, E, F, G
138	The Department of the Treasury	C
139	Therapeutic Goods Administration	A, C, E, F, G
140	Export Wheat Commission	C
141	Horticulture Australia Limited	C

Item	Entity	Classes of information
142	Australian Securities and Investments Commission	B
143	Director, National Industrial Chemicals Notification and Assessment Scheme	C
144	Trade Measures Review Officer	C
145	Australian Competition and Consumer Commission	C
146	Australian Radiation Protection and Nuclear Safety Agency	C, G
147	The Department of Innovation, Industry, Science and Research	A, B, C, D, G

Part 2 State or Territory

Item	Entity	Classes of information
New South Wales		
200	Department of Corrective Services	A, B, D, F, G
201	Office of Fair Trading	C, G
202	New South Wales Crime Commission	A, B, C, D, E, F, G
203	New South Wales National Parks and Wildlife Service	A, B, D, E, F, G
204	New South Wales Police Integrity Commission	A, B, C, D, E, F, G
205	New South Wales Police Force	A, B, C, D, E, F, G
206	WorkCover NSW	C, G
Victoria		
210	Department of Sustainability and Environment	A, B, C, D, E, F, G
211	Office of Police Integrity Victoria	A, B, C, D, E, F, G
212	Victoria Police	A, B, C, D, E, F, G
213	WorkSafe Victoria	C, G

Item	Entity	Classes of information
Queensland		
220	Crimes and Misconduct Commission	A, B, C, D, E, F, G
221	Department of Primary Industries and Fisheries	A, B, D
222	Environmental Protection Agency	A, B, D, E, F, G
223	Queensland Police Service	A, B, C, D, E, F, G
224	Department of Mines and Energy	C, G
Western Australia		
230	Corruption and Crime Commission of Western Australia	A, B, C, D, E, F, G
231	Department for Planning and Infrastructure	A, B, D
232	Department of Environment and Conservation	A, B, C, D, E, F, G
233	Department of Fisheries	A, B, D
234	Western Australia Police Service	A, B, C, D, E, F, G
235	Department of Consumer and Employment Protection	C, G
South Australia		
240	Department for Environment and Heritage	A, B, D, E, F, G
241	South Australia Police	A, B, C, D, E, F, G
242	SafeWork SA	C, G
Tasmania		
250	Department of Primary Industries and Water	A, B, C, D, E, F, G
251	Tasmania Police	A, B, C, D, E, F, G
252	Department of Infrastructure, Energy and Resources	C, G
Australian Capital Territory		
260	Australian Capital Territory Corrective Services	A, B
261	Environment ACT	A, B, D, E, F, G

Item	Entity	Classes of information
262	Office of the Occupational Health and Safety Commissioner	C, G
Northern Territory		
270	Northern Territory Police	A, B, C, D, E, F, G
271	Parks and Wildlife Commission of the Northern Territory	A, B, C, D, E, F, G
272	NT WorkSafe	C, G

Part 3 Foreign or international

Item	Entity	Classes of information
301	Aruba Customs Service	A, B, D
302	Canada Border Services Agency	A, B, C, D, E, F, G
303	Caribbean Customs Law Enforcement Council	A, B, C, D, E, F, G
304	Combined Agency Border Intelligence Network	A, B, C, D, E, F, G
305	Cook Islands Customs	A, B, D
306	Customs Administration of the Federal Republic of Germany	A, B, C, D, E, F, G
307	Guam Customs and Quarantine Agency	A, B, D
308	Customs Department of the Kingdom of Thailand	A, B, C, D, E, F, G
309	Customs Service of the United States Commonwealth of the Northern Mariana Islands	A, B, D
310	Direction Générale des Douanes et Droits Indirects (Directorate General for Customs and Indirect Duties (France))	A, B, C, D, E, F, G
311	Directorate General of Customs and Excise Indonesia	A, B, C, D, E, F, G
312	Directorate-General of the Tax and Customs Administration (Netherlands)	A, B, C, D, E, F, G

Item	Entity	Classes of information
313	Fiji Islands Revenue and Customs Authority	A, B, C, D, E, F, G
314	General Administration of Customs of the People's Republic of China	A, B, C, D, E, F, G
315	(UK) Her Majesty's Revenue and Customs	A, B, C, D, E, F, G
316	Hong Kong Customs and Excise Department	A, B, C, D, E, F
317	Indian Customs	A, B, D, F
318	Japanese Customs and Tariff Bureau	A, B, C, D, E, F
319	Japan Coast Guard	A, B, D, E, F, G
320	Korean Office of Customs Administration	A, B, C, D, E, F, G
321	Ministry of Defence, New Zealand	A, B, C, D, E, F, G
322	Ministry of Finances, Directorate of Taxes and Customs, Republic of Trinidad and Tobago	A, B, D
323	National Criminal Intelligence Service (UK)	A, B, D
324	National Police Agency of Japan	A, B, C, D, E, F, G
325	New Zealand Customs Service	A, B, C, D, E, F, G
326	New Zealand Defence Force	A, B, C, D, E, F, G
327	New Zealand Police	A, B, C, D, E, F, G
328	Papua New Guinea Internal Revenue Commission	A, B, C, D, E, F, G
329	Philippine Bureau of Customs	A, B, C, D, E, F, G
330	Regional Intelligence Liaison Office (Asia/Pacific)	A, B, C, D, E, F, G
331	Service des Douanes de Nouvelle-Calédonie	A, B, D
332	Sri Lanka Customs	A, B, D, F
333	Taiwan Customs Service	A, B, C, D, E, F, G

Item	Entity	Classes of information
334	The United Nations	A, B, C, D, E, F, G as they concern activities in East Timor
335	Tonga Customs and Excise Department	A, B, D
336	United States Coast Guard	A, B, C, D, E, F, G
337	United States Department of Defense	A, B, C, D, E, F, G
338	United States Department of Homeland Security	A, B, C, D, E, F, G
339	United States Fish and Wildlife Service	A, B, D, E
340	World Customs Organization	A, B, C, D, E, F, G
341	World Trade Organization	C
342	Maldives Customs Service	A, B, C, D, E, F, G
343	(UK) Serious Organised Crime Agency	A, B, C, D, E, F, G
344	United States Drug Enforcement Administration	A, B, C, D, E, F, G
345	United States Food and Drug Administration	A, B, C, D, E, F, G

Note The use of information is limited to the performance of an entity's functions or specified purposes, see section 16 of the Act.

Schedule 3 Permitted classes of information

(regulation 6)

A Documents and information about surveillance activity or analysis

1. This class includes, for a person, information such as identification details, travel documents and details of suspected offending conduct.

2. It also includes documents and information derived from human and electronic surveillance methods, such as reports of observations, perceptions or detections, photographs, videotape recordings, radar, satellite or closed circuit television images or stills and sound recordings.

B Documents and information about intelligence activity or analysis

1. This class includes, for a person, details of convictions, identification details of known associates, past travel details, and details of agencies to whom the person is of interest.

2. It also includes reports, assessments, briefings and other intelligence publications.

C Documents and information about commercial transactions, including the importation or exportation of goods to and from Australia

D Documents and information about the movement of vessels and aircraft

E Documents and information about passenger and crew detentions and examinations

F **Documents and information about the arrival and departure of persons to and from Australia**

G **Documents and information about detection, examination and seizure of goods including postal articles**

Notes to the *Customs Administration Regulations 2000*

Note 1

The Customs Administration Regulations 2000 (in force under the *Customs Administration Act 1985*) as shown in this compilation comprise Statutory Rules 2000 No. 27 amended as indicated in the Tables below.

Under the *Legislative Instruments Act 2003*, which came into force on 1 January 2005, it is a requirement for all non-exempt legislative instruments to be registered on the Federal Register of Legislative Instruments. From 1 January 2005 the Statutory Rules series ceased to exist and was replaced with Select Legislative Instruments (SLI series). Numbering conventions remain the same, ie Year and Number.

Table of Instruments

Year and number	Date of notification in *Gazette* or FRLI registration	Date of commencement	Application, saving or transitional provisions
2000 No. 27	23 Mar 2000	23 Mar 2000 (*see* r. 2 and *Gazette* 2000, No. S142)	
2000 No. 351	20 Dec 2000	20 Dec 2000	—
2001 No. 24	23 Feb 2001	23 Feb 2001	—
2002 No. 158	3 July 2002	3 July 2002	—
2002 No. 326	20 Dec 2002	1 Jan 2003 (*see* r. 2)	—
2004 No. 260	26 Aug 2004	26 Aug 2004	—
2005 No. 207	19 Sept 2005 (*see* F2005L02673)	1 Oct 2005 (*see* r. 2)	—
2005 No. 277	2 Dec 2005 (*see* F2005L03701)	3 Dec 2005	—
2006 No. 5	16 Feb 2006 (*see* F2006L00484)	17 Feb 2006	—
2006 No. 263	20 Oct 2006 (*see* F2006L03390)	21 Oct 2006	—
2007 No. 141	12 June 2007 (*see* F2007L01604)	13 June 2007	—
2007 No. 291	28 Sept 2007 (see F2007L03835)	Rr. 1 – 3 and Schedule 1: 29 Sept 2007 Remainder: 1 Oct 2007	—

Table of Instruments

Year and number	Date of notification in *Gazette* or FRLI registration	Date of commencement	Application, saving or transitional provisions
2008 No. 63	2 May 2008 (*see* F2008L01198)	3 May 2008	—

Table of Amendments

ad. = added or inserted am. = amended rep. = repealed rs. = repealed and substituted

Provision affected	How affected
R.4	am. 2005 No. 277
Schedule 1	
Schedule 1	am. 2002 No. 158
Schedule 2	
Schedule 2	am. 2000 No. 351; 2001 No. 24; 2002 Nos. 158 and 326; 2004 No. 260; 2005 Nos. 207 and 277; 2006 No. 5 rs. 2006 No. 263 am. 2007 Nos. 141 and 291; 2008 No. 63

Customs Act 1901

Act No. 6 of 1901 as amended

This compilation was prepared on 18 December 2008
taking into account amendments up to Act No. 144 of 2008

Prepared by the Office of Legislative Drafting and Publishing,
Attorney-General's Department, Canberra

Division 3—The report of the cargo

Subdivision A—General reporting requirements

64AB Cargo reports

(1) This section applies to a ship or aircraft in respect of a voyage or flight to Australia from a place outside Australia.

(2) If the ship or aircraft is due to arrive at its first port or airport in Australia since it last departed from a port or airport outside Australia, each cargo reporter must report to Customs, in accordance with this section, particulars of all goods:

(a) that the cargo reporter has arranged to be carried on the ship or aircraft on the voyage or flight; and

(b) that are intended to be unloaded from the ship or aircraft at a port or airport in Australia (whether the first port or airport or any subsequent port or airport on the same voyage or flight); and

(c) that are not:

(i) accompanied personal or household effects of a passenger or member of the crew; or

(ii) ship's stores or aircraft's stores.

(2A) If the ship or aircraft is due to arrive at its first port, or airport, in Australia since it last called at a port, or departed from an airport, outside Australia, each cargo reporter must report to Customs, in accordance with this section, particulars of all goods that the cargo reporter has arranged to be carried on the ship or aircraft and that are intended to be kept on board the ship or aircraft for shipment on to a place outside Australia, other than:

(a) goods that are accompanied personal or household effects of a passenger or member of the crew; or

(b) ship's stores or aircraft's stores.

(3) A cargo report that is made by a person during the general moratorium period, or is made by a person during a further moratorium period that has been granted to the person, may be a documentary report or an electronic report.

(4) A cargo report to which subsection (3) does not apply must be an electronic report.

(4A) A documentary cargo report must:

(a) be in writing; and

(b) be in an approved form; and

(c) be communicated to Customs by sending or giving it to an officer doing duty in relation to the reporting of ships or aircraft at the port or airport at which the ship or aircraft is expected to arrive; and

(d) contain such information as is required by the form; and

(e) be signed in a manner specified in the form.

(4B) An electronic cargo report must communicate such information as is set out in an approved statement.

(5) If the information required by an approved form to be contained in a documentary cargo report, or required by an approved statement to be communicated electronically, refers to particulars of the consignor or consignee of goods:

(a) in the case of a report under subsection (2)—the reference in the form or statement to the consignor of goods is a reference to a supplier of goods who is located outside Australia and:

(i) initiates the sending of goods to a person in Australia; or

(ii) complies with a request from a person in Australia to send goods to the person; and

(aa) in the case of a report under subsection (2A)—the reference in the form or statement to the consignor of goods is a reference to a supplier of goods who is located outside Australia and:

(i) initiates the sending of goods to a person in a place outside Australia; or

(ii) complies with a request from a person in a place outside Australia to send goods to the person; and

(b) in any case—the reference in the form or statement to the consignee of goods is a reference to the person who is the ultimate recipient of goods that have been sent from outside Australia, whether or not the person ordered or paid for the goods.

(6) The CEO may approve different forms or statements for the cargo reports to be made in different circumstances or by different kinds of cargo reporters.

(7) The form or statement approved for a report by a special reporter in relation to low value cargo of a particular kind must not require the special reporter to include information relating to cargo of that kind at a level of specificity below the level of a submaster air waybill or an ocean bill of lading, as the case requires.

(7A) The form or statement approved for a report by a re-mail reporter in relation to re-mail items must not require the reporter to include information relating to re-mail items at a level of specificity below the level of a submaster air waybill or an ocean bill of lading, as the case requires.

Note: This means that a re-mail reporter using the approved form or statement does not have to give information about individual re-mail items.

(7B) However, a re-mail reporter must not use that approved form or statement for a re-mail item for which the reporter has information below that level of specificity.

Note: A re-mail reporter who does not use the approved form or statement for re-mail items must provide information about individual re-mail items in a cargo report.

(8) A cargo report is to be made not later than:

(a) if the cargo is carried on a ship:

(i) the start of the prescribed period; or

(ii) if the journey from the last port is of a kind described in regulations made for the purposes of this subparagraph—the start of the shorter period that is specified in those regulations;

before the estimated time of arrival of the ship at the first port in Australia since it last departed from a port outside Australia; or

(b) if the cargo is carried on an aircraft:

(i) 2 hours or such other period as is prescribed by the regulations; or

(ii) if the flight from the last airport is of a kind described in regulations made for the purposes of this subparagraph—such shorter period as is specified in those regulations;

before the estimated time of arrival specified in the report under section 64 of the impending arrival of the aircraft at the first airport in Australia since it last departed from an airport outside Australia.

(8A) Regulations made for the purposes of paragraph (8)(a) may prescribe matters of a transitional nature (including prescribing any saving or application provisions) arising out of the making of regulations for those purposes.

(9) A cargo reporter who intentionally contravenes this section commits an offence punishable, on conviction, by a penalty not exceeding 120 penalty units.

(10) A cargo reporter who contravenes this section commits an offence punishable, on conviction, by a penalty not exceeding 60 penalty units.

(11) An offence against subsection (10) is an offence of strict liability.

(12) If:

(a) a cargo reporter who is required to make a cargo report in respect of particular goods commits an offence against this section because the report is not made before the time by which it was required by subsection (8) to be made; and

(b) that time occurs before the end of the general moratorium period or, if a further moratorium period is granted to the cargo reporter, before the end of the further moratorium period;

the cargo reporter is not liable to be prosecuted for the offence and an infringement notice cannot be served on the cargo reporter under Division 5 of Part XIII for the offence.

(13) The ***general moratorium period*** is the period of 6 months beginning on the date of commencement of this section.

(14) If:

(a) a cargo reporter applies to the CEO for the grant to the cargo reporter of a further moratorium period to have effect at the end of the general moratorium period; and

(b) the CEO is satisfied that the cargo reporter has, within the general moratorium period, made reasonable progress in:

(i) installing the facilities required for the making of electronic cargo reports; or

(ii) in putting in place business practices or entering into business arrangements to enable the making of electronic cargo reports;

the CEO may grant to the cargo reporter a ***further moratorium period*** of not more than 18 months beginning at the end of the general moratorium period.

(15) Nothing in this section affects the operation of Subdivision C.

(16) In this section:

aircraft's stores and ***ship's stores*** have the meanings given by section 130C.

64ADAA Requirements for communicating to Customs electronically

A communication that is required or permitted by this Subdivision to be made to Customs electronically must:

(a) be signed by the person who makes it (see paragraph 126DA(1)(c)); and

(b) otherwise meet the information technology requirements determined under section 126DA.

Part VIA—Electronic communications

126D CEO to maintain information systems

The CEO must establish and maintain such information systems as are necessary to enable persons to communicate electronically with Customs.

126DA Communications standards and operation

(1) After consulting with persons likely to be affected, the CEO must determine, and cause to be published in the *Gazette*:

(a) the information technology requirements that have to be met by persons who wish to communicate with Customs electronically; and

(c) the information technology requirements that have to be met to satisfy a requirement that a person's signature be given to Customs in connection with information when the information is communicated electronically; and

(d) the information technology requirements that have to be met to satisfy a requirement that a document be produced to Customs when the document is produced electronically.

(2) The CEO may:

(a) determine alternative information technology requirements that may be used; and

(b) without limiting paragraph (a), determine different information technology requirements that may be used in different circumstances or by different classes of persons.

126DB Authentication of certain electronic communications

An electronic communication that is made to Customs and is required or permitted by this Act is taken to be made by a particular person, even though the person did not authorise the communication, if:

(a) the communication meets the information technology requirements that the CEO has determined under section 126DA have to be met to satisfy a requirement that the person's signature be given to Customs in connection with information in the communication; and

(b) the person did not notify Customs of a breach of security relating to those information technology requirements before the communication;

unless the person provides evidence to the contrary.

126DC Records of certain electronic communications

(1) The CEO must keep a record of each electronic communication made as required or permitted by this Act. The CEO must keep the record for 5 years after the communication is made.

Note: It does not matter whether the communication is made to Customs or by Customs.

Evidentiary value of the record

(2) The record kept is admissible in proceedings under this Act.

(3) In proceedings under this Act, the record is prima facie evidence that a particular person made the statements in the communication, if the record purports to be a record of an electronic communication that:

(a) was made to Customs; and

(b) met the information technology requirements that the CEO has determined under section 126DA have to be met to satisfy a requirement that the person's signature be given to Customs in connection with information in the communication.

(4) In proceedings under this Act, the record is prima facie evidence that Customs made the statements in the communication, if the record purports to be a record of an electronic communication that was made by Customs.

126DD Authentication, records and *Electronic Transactions Act 1999*

Sections 126DB and 126DC have effect despite section 15 of the *Electronic Transactions Act 1999*.

126E Communication to Customs when information system is temporarily inoperative

(1) If:

(a) an information system becomes temporarily inoperative; or

(b) an information system that has become temporarily inoperative again becomes operative;

the CEO must cause notice of the occurrence to be given:

(c) on the website maintained by Customs on the Internet; and

(d) where practicable, by e-mail to persons who communicate with Customs electronically.

(2) If an information system is temporarily inoperative, information that a person could otherwise have communicated electronically to Customs by means of the system may be communicated to Customs in either of the following ways:

(a) if another information system by means of which the person can communicate information to Customs is operative—electronically by means of that other system;

(b) by document given or sent to an officer doing duty in relation to the matter to which the information relates.

(3) If:

(a) because an information system is temporarily inoperative, a person communicates information to an officer by document in accordance with paragraph (2)(b); and

(b) the CEO causes notice to be given under paragraph (1)(b) stating that the information system has again become operative;

the person must communicate the information electronically to Customs within 24 hours after the notice was given.

Penalty: 50 penalty units.

126F Payment to Customs when information system is temporarily inoperative

(1) This section applies when a person who is liable to make a payment to Customs and would ordinarily make the payment electronically is unable to do so because an information system is temporarily inoperative.

(2) The person may give an undertaking to Customs to make the payment as soon as practicable after, and in any case not later than 24 hours after, the CEO causes notice to be given under paragraph 126E(1)(b) stating that the information system has again become operative.

(3) If the person is notified by Customs that the undertaking is accepted:

(a) this Act has the effect that it would have if the payment had been made; and

(b) the person must comply with the undertaking.

Penalty: 50 penalty units.

126G Meaning of *temporarily inoperative*

An information system that has become inoperative is not taken to be ***temporarily inoperative*** for the purposes of this Part unless the CEO is satisfied that the period for which it has been, or is likely to be, inoperative is significant.

Customs Administration Act 1985

Act No. 38 of 1985 as amended

This compilation was prepared on 20 December 2005
taking into account amendments up to Act No. 144 of 2005

The text of any of those amendments not in force
on that date is appended in the Notes section

Prepared by the Office of Legislative Drafting and Publishing,
Attorney-General's Department, Canberra

16 Prohibition of disclosure of certain information

Overview

(1) This section:

(a) prohibits the unauthorised recording and disclosure of certain information held by the Australian Customs Service; and

(b) provides for exceptions in relation to the prohibition; and

(c) makes particular provision in relation to the authorised disclosure of personal information.

Persons to whom section applies

(1AA) This section applies to:

(a) the CEO; and

(b) a person performing duties in the Australian Customs Service as a person employed or engaged by the Commonwealth, a Commonwealth agency, a State or a State agency; and

(c) any of the following persons:

(i) a person engaged to provide goods or services to the Commonwealth through the Australian Customs Service (whether or not under an agreement to which the Commonwealth is a party);

(ii) if the person mentioned in subparagraph (i) is a body corporate—a director, an employee or an agent of the body corporate;

(iii) if the person mentioned in subparagraph (i) is an individual—an employee or agent of the individual; and

(d) a person to whom the CEO has delegated a power or function of the CEO under a law of customs or any other law of the Commonwealth; and

(e) a person authorised by the CEO to exercise a power or function under a law of customs or any other law of the Commonwealth.

Definitions

(1A) In this section:

Commonwealth agency means any instrumentality or agency of the Crown in right of the Commonwealth and includes:

(a) a department of the public service of the Commonwealth; and

(b) any body corporate in which the Commonwealth holds a controlling interest;

but does not include a Minister of the Crown in right of the Commonwealth.

duties, in relation to a person, means the duties of the person in the capacity because of which he or she is a person to whom this section applies and only includes such duties that are performed in or in connection with the Australian Customs Service.

Example: In the case of a person who is employed by a State agency, the person's duties, for the purposes of this section, include only those duties performed in or in connection with the Australian Customs Service as such an employee and does not include the person's other duties as an employee of that State agency.

international organisation means:

(a) an international organisation within the meaning of the *Diplomatic Privileges and Immunities Act 1967*; and

(b) any other international organisation prescribed by the regulations for the purposes of this paragraph.

personal information has the same meaning as in the *Privacy Act 1988*.

principal officer, in relation to a Commonwealth agency or a State agency, means:

(a) if the agency is constituted by one person—that person; and

(b) if the agency is constituted by more than one person—the person who is entitled to preside at any meeting of the agency at which he or she is present; and

(c) in any other case—the person holding, or performing the duties of, the office of the head of that agency.

protected information means information that directly or indirectly comes to the knowledge of, or into the possession of, a person while he or she is performing his or her duties (whether the information is related to those duties or not).

State includes the Australian Capital Territory, the Northern Territory and Norfolk Island.

State agency means any instrumentality or agency of the Crown in right of a State, and includes a department of the public service of the State and any body corporate in which the State holds a controlling interest, but does not include a Minister of the Crown in right of the State, a municipal corporation or any other local government body.

Prohibition against disclosure etc. of protected information

(2) A person who is or has been a person to whom this section applies must not directly or indirectly:

(a) make a record of any protected information; or

(b) disclose to any person any protected information;

except:

(c) as authorised by this section; or

(d) as required or authorised by any other law; or

(e) in the course of performing the person's duties.

Penalty: Imprisonment for 2 years.

Authorised disclosure under this section

(3) Subject to subsections (7), (8) and (10), a person is authorised by this section to carry out an act referred to in paragraph (2)(a) or (b) if it is carried out:

(a) in accordance with an authorisation by the CEO that is referred to in subsection (3A), (3B), (3C) or (3D); or

(b) as provided in subsection (3F), (3G) or (3H).

CEO's authorisation—Commonwealth agency

(3A) Subject to subsections (3E), (7), (8) and (10), if the CEO is satisfied that:

(a) information or a class of information held by the Australian Customs Service will be used by a Commonwealth agency for the purposes of that agency's functions; and

(b) the Commonwealth agency has undertaken not to use or further disclose such information or class of information except for the purpose referred to in paragraph (d) or otherwise as required or authorised by law;

the CEO may in writing:

(c) authorise the disclosure by a person of the information or the class of information to the principal officer of, or a person authorised to act on behalf of, that agency; and

(d) specify the purpose for which the disclosure is authorised to be made and the manner in which, or the conditions under which, the disclosure is to be made (including the form in which the information is to be presented and the mode of transmitting that information).

CEO's authorisation—State agency for Commonwealth purposes

(3B) Subject to subsections (3E), (7), (8) and (10), if the CEO is satisfied that:

(a) information or a class of information held by the Australian Customs Service will be used by a State agency for purposes relating to the carrying out of a Commonwealth function by that agency; and

(b) the State agency has undertaken not to use or further disclose such information or class of information except for the purpose referred to in paragraph (d) or otherwise as required or authorised by law;

the CEO may in writing:

(c) authorise the disclosure by a person of the information or the class of information to the principal officer of, or a person authorised to act on behalf of, that agency; and

(d) specify the purpose for which the disclosure is authorised to be made and the manner in which, or the conditions under which, the disclosure is to be made (including the form in which the information is to be presented and the mode of transmitting that information).

CEO's authorisation—State agency for State purposes

(3C) Subject to subsections (3E), (7), (8) and (10), if the CEO is satisfied that:

(a) information or a class of information held by the Australian Customs Service will be used by a State agency for the purposes of the performance of the functions of the State agency; and

(b) the State agency has undertaken not to use or further disclose such information or class of information except for the purpose referred to in paragraph (d) or otherwise as required or authorised by law;

the CEO may in writing:

(c) authorise the disclosure by a person of the information or the class of information to the principal officer of, or a person authorised to act on behalf of, that agency; and

(d) specify the purpose for which the disclosure is authorised to be made and the manner in which, or the conditions under which, the disclosure is to be made (including the form in which the information is to be presented and the mode of transmitting that information).

CEO's authorisation—certain agreements

(3D) Subject to subsections (3E), (7), (8) and (10), if the CEO is satisfied that:

(a) information or a class of information held by the Australian Customs Service will be used in accordance with an agreement that has been entered into by the Commonwealth or a Commonwealth agency and one or more of any of the following:

(i) a foreign country;

(ii) an instrumentality or agency of a foreign country;

(iii) an international organisation; and

(b) the country, instrumentality, agency or organisation has undertaken not to use or further disclose that information except for the purpose referred to in paragraph (d) or otherwise as required or authorised by law;

the CEO may in writing:

(c) authorise the disclosure by a person of the information or the class of the information to a person authorised to act on behalf of that country, instrumentality, agency or organisation; and

(d) specify the purpose for which the disclosure is authorised to be made and the manner in which, or the conditions under which, the disclosure is to be made (including the form in which the information is to be presented and the mode of transmitting that information).

Specified purpose in an authorisation by the CEO

(3E) The CEO may only specify a purpose for the disclosure of information or a class of information in an authorisation under subsection (3A), (3B), (3C) or (3D) that:

(a) in the case of subsection (3A)—is related to the performance of the functions of the Commonwealth agency concerned; and

(b) in the case of subsection (3B)—is related to the performance of the Commonwealth function concerned; and

(c) in the case of subsection (3C)—is related to the performance of the functions of the State agency concerned; and

(d) in the case of subsection (3D)—is related to the purpose of the agreement concerned.

Note: The obligations under subsection (3E) is affected by paragraph (8)(b) if the information concerned contains personal information.

Authorised disclosure because of threat to health or life

(3F) A person may carry out an act referred to in paragraph (2)(a) or (b) if there are reasonable grounds for that person to believe that:

(a) a serious and imminent threat to the health or life of a person or persons exists or might exist; and

(b) it is necessary to carry out that act in order to avert or reduce that threat.

Body corporate may consent to disclosure

(3G) If the CEO is satisfied that the principal officer of, or a person authorised to act on behalf of, a body corporate has consented to the disclosure to a person of information or a class of information (not including personal information) about the body, the CEO may authorise, in writing, the disclosure of the information to the person.

Government agencies, foreign countries or international organisations may consent to disclosure

(3H) If the CEO is satisfied that a Commonwealth agency, State agency, a foreign country, an instrumentality or agency of a foreign country or an international organisation has consented to the disclosure to a person of information or a class of information (not including personal information) about the agency, country, instrumentality or organisation, the CEO may authorise, in writing, the disclosure of the information to the person.

Disclosure of personal information

(7) If:

(a) apart from this subsection, a person is authorised by this section to carry out an act referred to in paragraph (2)(b) because of the operation of subsection (3A), (3B), (3C) or (3D); and

(b) the act involves the disclosure by the person to someone else of information (including a class of information) that contains personal information;

then, despite the above provisions of this section, the person is not to be taken to be authorised by this section to carry out the act unless:

(c) the person to whom the information relates has consented to the disclosure; or

(d) the following apply:

(i) in the case of any disclosure of information—the disclosure complies with subsection (8);

(ii) in the case of a disclosure of a class of information—the disclosure also complies with subsection (10).

Requirements applicable to disclosure of personal information

(8) This subsection is complied with in relation to the disclosure of information as referred to in subparagraph (7)(d)(i) if:

(a) the CEO is satisfied that the disclosure is necessary for a permissible purpose referred to in a paragraph of subsection (9); and

(b) the purpose is specified as a purpose for which the disclosure is authorised to be made in an authorisation under subsection (3A), (3B), (3C) or (3D) that applies to the disclosure; and

(c) the disclosure is made for that purpose.

Permissible purposes

(9) A purpose specified in any of the following paragraphs is a permissible purpose for the purpose of subsection (8):

(a) the administration or enforcement of a law of the Commonwealth, of a Territory or of another country that relates to:

(i) criminal law; or

(ii) a law imposing a pecuniary penalty or providing for the forfeiture of property;

(b) in relation to a law referred to in paragraph (a), the prevention of crime, or the detection or analysis of criminal conduct, in respect of that law;

(c) the administration or enforcement of a law of a State that relates to:

(i) criminal law; or

(ii) a law imposing a pecuniary penalty or providing for the forfeiture of property;

(d) in relation to a law referred to in paragraph (c), the prevention of crime, or the detection or analysis of criminal conduct, in respect of that law;

(e) a purpose relating to the protection of public health, or the prevention or elimination of risks to the life or safety of an individual or a group of individuals;

(ea) the collection and verification of statistics for the purposes of the *Census and Statistics Act 1905* and the performance of the functions of the Australian Bureau of Statistics as set out in section 6 of the *Australian Bureau of Statistics Act 1975*;

(f) the protection of the public revenue of the Commonwealth, a Territory or another country;

(g) the protection of the public revenue of a State;

(h) a purpose relating to a law of customs;

(i) a purpose relating to immigration, quarantine or border control between Australia and another country;

(ia) a purpose relating to the performance of functions under section 17 of the *Australian Security Intelligence Organisation Act 1979*;

(ib) a purpose relating to the performance of functions under section 6 of the *Intelligence Services Act 2001*;

(j) the administration or enforcement of laws with respect to commerce:

(i) between a State and another State; or

(ii) between a State and a Territory; or

(iii) between a Territory and another Territory; or

(iv) between Australia and another country;

(k) the administration or enforcement of laws with respect to commerce within a State.

Additional requirements concerning classes of information

(10) This subsection is complied with in relation to a disclosure of a class of information pursuant to an authorisation under subsection (3A), (3B), (3C) or (3D) as referred to in subsection (7) if:

(a) the disclosure is made to a Commonwealth agency, State agency, a foreign country, an instrumentality or agency of a foreign country or an international organisation, that is specified in the regulations; and

(b) the class of information specified by the CEO in the authorisation is specified in the regulations as a class of information that may be disclosed to the agency, country, instrumentality or organisation concerned.

COMMONWEALTH OF AUSTRALIA

CEO DETERMINATION NO. 1 OF 2006

Customs Act 1901

I, MICHAEL JOSEPH CARMODY, Chief Executive Officer of Customs determine the following information technology requirements under section 126DA of the *Customs Act 1901.*

CEO Determination No. 2 of 2005 is revoked.

This determination commences at 11pm in the Australian Capital Territory on 3 February 2006.

Dated: 20 January 2006

MICHAEL JOSEPH CARMODY

Chief Executive Officer of Customs

Federal Register of Legislative Instruments F2006L00222

PART 1 - PRELIMINARY

1.01 Name of Determination

This Determination is CEO Determination No. 1 of 2006.

1.02 Definitions

In this Determination:

Act means the *Customs Act 1901*;

Secure HTTP means secure Hypertext Transfer Protocol;

S/MIME means Secure/Multipurpose Mail Extensions;

SMTP means Simple Mail Transfer Protocol;

UN/EDIFACT means the international standard for EDI, known as Electronic Data Interchange For Administration, Commerce and Transport, administered by the United Nations.

PART 2 - INFORMATION TECHNOLOGY REQUIREMENTS FOR COMMUNICATIONS MADE UNDER SECTION 119AA OF THE ACT [APPLICATION TO MOVE, ALTER OR INTERFERE WITH GOODS FOR EXPORT]

2.01 Information technology requirements for communication

Persons who wish to communicate with Customs electronically under section 119AA of the Act must communicate with Customs using a SMTP e-mail addressed to a nominated Customs mail box dedicated to the receipt of such messages.

2.02 Information technology requirements for signature

A person who is required to give the person's signature to Customs in connection with an electronic communication under section 119AA of the Act must:

a) where the communication is being sent by an individual (including an individual sending the communication on behalf of an organisation) – place their full name in the SMTP e-mail which contains an application made under subsection 119AA(2) of the Act;

b) where the communication is being sent by an individual on behalf of an organisation – place the name and ABN of the organisation (if the organisation has an ABN) in the SMTP e-mail which contains an application made under subsection 119AA(2); and

c) in any event take such other steps in relation to signing the communication as is required in the statement approved (as in force from time to time) made for the purposes of section 119AA of the Act.

PART 3 - INFORMATION TECHNOLOGY REQUIREMENTS FOR OTHER COMMUNICATIONS

3.01 Information technology requirements for communication

The information technology requirements in items 3.02 to 3.04 apply to a person who is required or permitted to make a communication with Customs under Division 3 or 4 of Part IV or Division 2 of Part VI of the Act (except section 119AA), and wishes to communicate with Customs electronically.

3.02 General requirements for electronic communications

The person must:

a) communicate either by:

(i) Electronic Data Interchange (EDI) message using an S/MIME SMTP e-mail to a specified Customs e-mail address; or

(ii) the Customs Interactive facility using a Secure HTTP form on a Customs website;

b) be registered in:

(i) the Customs Connect Facility, and

(ii) the Integrated Cargo System;

c) communicate with Customs using Public Key Infrastructure (PKI) in accordance with the Commonwealth's Gatekeeper® strategy administered by the Australian Government Information Management Office (within the Department of Finance and Administration) ; and

d) configure the person's e-mail software with the appropriate digital certificate(s) to be able to decrypt encrypted e-mails sent to them from Customs.

3.03 Standards and message specifications for EDI messages

A person who communicates electronically with Customs by EDI message must:

a) use the UN/EDIFACT D99B standards and attach the EDI message to an S/MIME SMTP e-mail. The method for applying the standards must be in accordance with the ICS Message Implementation Guidelines of the CMR Software Developers Guide, as in force at the time when this Determination takes effect and published on the Customs web site (www.customs.gov.au);

b) sign and encrypt the message to Customs; and

c) be able to decrypt an EDI message from Customs.

3.04 Customs Interactive

A person who communicates electronically with Customs via the Customs Interactive facility must use the web-based approved statements made available by the Customs business application, that is, the Integrated Cargo System. The minimum Internet browser standard for such transactions is Microsoft Internet Explorer 5.5 Service Pack 2.

3.05 Information technology requirements for signature

The information technology requirements in items 3.06 to 3.08 apply to a person who is required to sign an electronic communication with Customs under Division 3 or 4 of Part IV or Division 2 of Part VI of the Act.

3.06 Digital signature and certificate

1) The person must use a digital signature and associated digital certificate.

2) The digital certificate must be issued by a Gatekeeper® accredited Certification Authority and issued in accordance with a Gatekeeper® Certificate Policy and Certificate Practice Statement. The Certification Authority must be approved by Customs.

3) The person must use at least one of the following four types of certificates, depending on the nature of the communicator and the communication:

   a) **Type 1 – Grade 2 Individual Certificate** may be used by an individual. The digital certificate identifies that person;

   b) **Type 2 – Grade 2 Non-Individual Certificate** may be used by an organisation (not being an individual) without an Australian Business Number (ABN). The digital certificate identifies the organisation and an associated individual;

   c) **Type ABN-DSC Grade 2 Certificate** may be used by an organisation with an ABN. The digital certificate identifies the organisation and an associated individual;

   d) **Type 3 - Device Certificate** may be used by a person who communicates EDI messages to a Customs system using an application or device (software or hardware). The digital certificate identifies the person and the application or device used.

4) A person using a Type 3 Certificate must first obtain a Type ABN-DSC Grade 2 Certificate.

3.07 Signing an EDI transaction

Integrated Cargo System EDI communications with Customs must be digitally signed and encrypted using PKI in accordance with the Commonwealth's Gatekeeper® Strategy. Customs expects, in accordance with the Commonwealth's Gatekeeper® Strategy, that a person who communicates with Customs via EDI will use a Type 3 certificate.

3.08 Application of signatures in the Customs Interactive Facility

A person using the Customs Interactive facility must use a digital signature and digital certificate for online authentication in accordance with the Commonwealth's Gatekeeper® Strategy.

PART 4 - INFORMATION TECHNOLOGY REQUIREMENTS RELATING TO PRODUCING DOCUMENTS TO CUSTOMS ELECTRONICALLY

1) Where a person is required to produce a document to Customs, the document may be produced by electronic communication by sending the document to Customs as an MIME attachment to an SMTP e-mail addressed to a nominated Customs mail box dedicated to the receipt of such documents.

2) The attached document must be in a format that can be opened, viewed and printed in one of the following document standards:

   a) Microsoft Word,

   b) Microsoft Excel,

   c) HTML,

   d) PDF,

   e) Plain Text, or

   f) JPEG

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Australian Customs Service

Legislation, privacy and secrecy

APEC Sub Committee on Customs Procedures (SCCP) Single Window Working Group (SWWG) Phase 2

Julie Pettrey, Director, Legislation Management Unit

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Customs legislation prior to 2005

- Reports and other communications could be sent electronically
- Customs Act referred to specific computer systems, eg Compile (for import entries) and EXIT (for export entries)
- Registration by Customs was required
- No flexibility

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- Legislation
  - Customs
  - Government initiatives
- Secrecy
- Privacy
  - Current
  - Review by the Australian Law Reform Commission

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Customs legislation since 2005

- *Customs Legislation and Amendment (International Trade Modernisation) Act 2001* (the ITM Act)

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Customs legislation

- Customs powers, functions, requirements – *Customs Act 1901*
- For example, s 64AB requires cargo reports to be provided to Customs.

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Customs legislation since 2005

- ITM Act – removed all references to specific computer systems
- Some reports can only be made electronically
- S 126D - CEO of Customs is required to establish and maintain information systems to allow electronic communication with Customs
- S 126DA – CEO of Customs is required to determine IT requirements

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Information Technology Requirements – s 126DA

- Must be met by people who want to communicate with Customs;
- Must be met to satisfy the requirement the person sign the communication;
- Must be met when producing documents to Customs.
- CEO Determination No. 1 of 2006 – legislative instrument available at www.comlaw.gov.au

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Alternatives when system inoperative

- Section 126E – CEO must notify users when system is inoperative and when it becomes operative again. Whilst inoperative, alternative electronic systems can be used or information provided by document. If communicated by document, the information must be re-communicated within 24 hours of the system becoming operative again.
- Section 126F – money must be paid within 24 hours of the system becoming operative again.

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Information Technology Requirements – s 126DA

- Allowed to determine alternative IT requirements – different circumstances or different classes of people

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Government initiatives

- Electronic Transactions Act 1999
  - Commenced 15 March 2000
  - A transaction is not invalid because it took place by means of one or more electronic communications
  - The following requirements can be met in electronic form:
    - a requirement to give information in writing;
    - a requirement to provide a signature;
    - a requirement to produce a document;
    - a requirement to record information;
    - a requirement to retain a document.

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Non-repudiation and evidence

- Section 126DB – if a communication is sent with a person's signature attached and they have not notified Customs of a security breach, the communication is taken to be made by them unless they provide evidence to the contrary.
- Section 126DC – the CEO is required to keep all electronic communications which can then be used in evidence.

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Secrecy

- Prohibit the disclosure of certain information
- General – *Crimes Act 1914* and *Public Service Regulations 1999*
- Specific – s 16 of the *Customs Administration Act 1985*

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Section 16 of the Customs Administration Act

- Employees, contractors, other people who perform functions on behalf of Customs
- Prohibits recording and disclosure
- Breach punishable by up to 2 years imprisonment
- Applies to all Customs information

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Privacy Act

- Information Privacy Principles (IPPs)
  - IPP 1 – manner and purpose of collection
  - IPP 2 – notification when collecting information from an individual
  - IPP 4 – storage and security
  - IPP 6 and 7 – accuracy and access
  - IPP 8, 9 and 10 – use of personal information
  - IPP 11 – disclosure of personal information

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Section 16 of the Customs Administration Act

- Exceptions:
  - Required or authorised by another law (eg Freedom of Information legislation)
  - Course of duties (ie for Customs functions)
  - Authorised by s 16:
    - Emergencies
    - Companies consent
    - To Commonwealth, State, Territory and international agencies – with CEO's authorisation
- Single window – rely on CEO authorisations

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Privacy reform

- Australian Law Reform Commission: *For Your Information: Australian Privacy Law and Practice* (ALRC 108)
- Recommended changes to the IPPs including:
  - Allowing individuals to interact anonymously or using a pseudonym
  - Increased notification requirements – including where information collected from another person

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Privacy – personal information

- Disclosures authorised by the CEO
  - Permissible purpose
  - If a class of information – agency and class of information must be prescribed
- Course of duties
  - *Privacy Act 1988* must be complied with

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Questions?

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APEC SINGLE WINDOW WORKING GROUP

Authentication & Gatekeeper

Drew Andison
Australian Government Information Management Office
Department of Finance and Deregulation

e-AUTHENTICATION

- What You Know - usernames & passwords or shared-secrets
- What you Have - physical tokens such as smart cards or electronic password devices
- What you Are - biometrics such as a finger-print image or facial-image or voice-print.
- Combination of Factors – eg PIN or password activation of a digital certificate stored on a smartcard
  - Multi-factor authentication delivers higher assurance

INTRODUCTION

- Why is identity important
- Government policy on e-authentication
  - National e-Authentication Framework (NeAF)
- Where does PKI fit
- Gatekeeper Overview

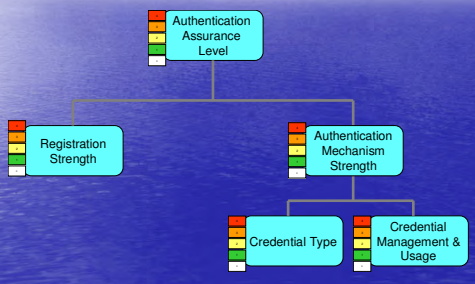
NATIONAL e-AUTHENTICATION FRAMEWORK

- e-Authentication is one of a cluster of methods used to address the risks associated with electronic transactions.
- e-Authentication provides a level of assurance that the remote party is who they purport to be.
- e-Authentication requirements and solutions are necessarily considered in concert with other risk management requirements and responses.
- e-authentication may be leveraged as part of the solution to other risk management requirements.

IDENTITY & IDENTITY MANAGEMENT

- Identity
  - the dynamic collection of all attributes related to a specific entity, be it a citizen, enterprise or object.
- Identity Management
  - Organisational and technical infrastructures are developed to define, designate and administer the identity attributes related to specific groups of people, such as customers, patients or citizens.

ASSURANCE LEVELS



NATIONAL e-AUTHENTICATION FRAMEWORK (NeAF)

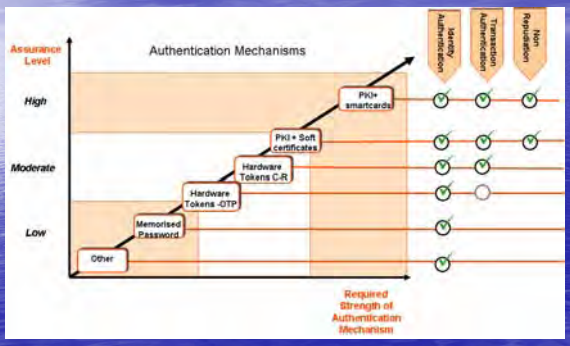
Assurance Levels:

No Assurance	Minimal Assurance	Low Assurance	Moderate Assurance	High Assurance
Level 0	Level 1	Level 2	Level 3	Level 4
No confidence is required in the assertion.	Minimal confidence is required in the assertion.	Low confidence is required in the assertion.	Moderate confidence is required in the assertion.	High confidence is required in the assertion.

PKI IN THE AUSTRALIAN GOVERNMENT

- Use of PKI "regulated" through Gatekeeper for B2G and C2G
  - Policy Framework
  - Accreditation program for PKI service providers
  - Head Agreement signed between Service Provider and Commonwealth
  - Administrative Review in 2005-06

NeAF and PKI



GATEKEEPER PKI FRAMEWORK

- 3 Certificate Categories
  - Special (Closed Communities of Interest)
  - General (open PKI)
  - High Assurance (likely to be Closed)
- Flexibility in Evidence of Identity processes
  - Relationship – Special Category only
  - Known Customer – Banking industry model
  - Threat / Risk
  - Formal Identity Verification – face to face
- 100 points replaced by Proof of Identity Framework
  - Established under the National identity Security Strategy
    - Utilise Commencement (eg birth certificate) and Use (eg driver's licence) of identity documentation

PUBLIC KEY INFRASTRUCTURE PKI

- Public-Key Infrastructure (PKI)
  - the combination of software, encryption technologies, and services that enables enterprises to protect the security of their communications and business transactions on the Internet.
- PKI integrates digital certificates, public-key technology, and Certification/Registration Authorities into a total security architecture.

OPEN vs CLOSED PKI's

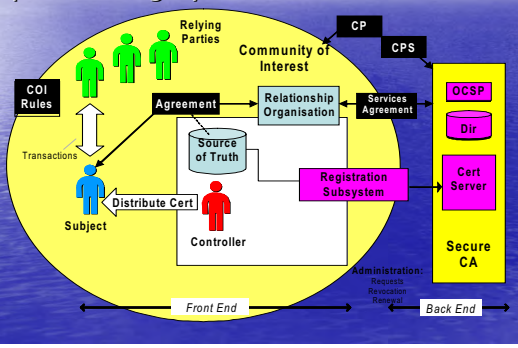
- Closed PKI is defined by discrete set of Relying Parties
  - Usually contractually bound
- Open PKI has no restrictions on potential Relying Parties
  - Relying Parties have no contractual relationship with issuing CA

GATEKEEPER PKI FRAMEWORK

- Provides for a range of certificate types depending on agency and business requirements:
  - Individual / Organisational (represented by an authorised individual)
  - Corporate certificates
  - Device certificates
  - Hosted certificates
  - Digital credentials

GATEKEEPER PKI FRAMEWORK

- Special Category



GATEKEEPER PKI FRAMEWORK

- Core Obligations Policy
  - Assigns Core Obligations to PKI participants
    - Certification / Registration Authorities
    - Subscribers & Relying Parties
    - Known Customer & Threat/Risk Organisations
    - Communities of Interest
  - Links to guidance on Liability Limitations
  - Links to Gatekeeper Accreditation and Listing requirements

PKI – GOVERNMENT DEPLOYEMENTS

- AUSTRALIAN CUSTOMS SERVICE (import/export declarations)
- AUSTRALIAN TAXATION OFFICE
- MEDICARE AUSTRALIA
- DEPARTMENT OF DEFENCE (High Assurance)
- LAND VICTORIA (planning permits, survey reports)
- LAND EXCHANGE VICTORIA (e-conveyancing)

GATEKEEPER PKI FRAMEWORK

- General Category Business Certificates
  - Certificate Manager
  - Additional Certificates
    - Identity vouched for by business entity
- Standard Certificate Profile
  - Includes certificates extensions for
    - Australian Business Number (ABN)
    - EOI Model
    - EOI Assurance

Thank You

Questions?

ACCI

Electronic Certificate of Origin

APEC Single Window Workshop

Canberra February 2009

Presenter

OZDOCS

TradeConnect

Electronic Certificate of Origin

Agenda

- **Overview of Electronic Certificate of Origin.**
- **Data reuse.**
- **Globalisation & Security.**

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About Ozdocs

- Celebrating over 25 years of distinguished service to industry.
- Providing trade automation and documentation software for over two decades now.
- 500 active customer sites in 8 countries around the globe.
- Providing most comprehensive range of trade compliance products.
- Software used by Exporters, Importers, Freight Forwarders, Customs Brokers and Banks.

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TradeConnect

Electronic Certificate of Origin

TradeConnect

- Allows Exporters to obtain signed and stamped documents from ACCI without having to leave their desks.
- Documents are exactly similar to paper based certified documents.
- Certificates are capable of including users company logo and signature.
- Certificates include Chamber's Stamp and Signature.
- Fully integrated with existing trade documentation software to minimise re-keying of data.
- Both desktop and web based software provided to Exporters to access the application - Anytime, Anywhere.

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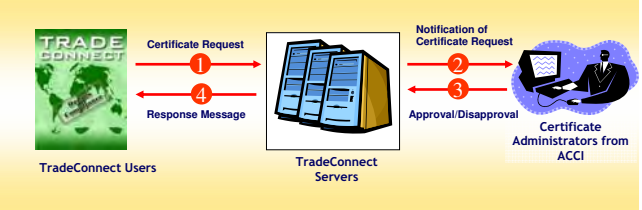
TradeConnect

Electronic Certificate of Origin

Functionality



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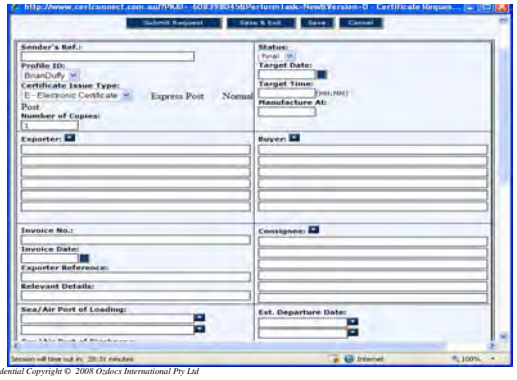
TradeConnect

Electronic Certificate of Origin

User's Web Interface



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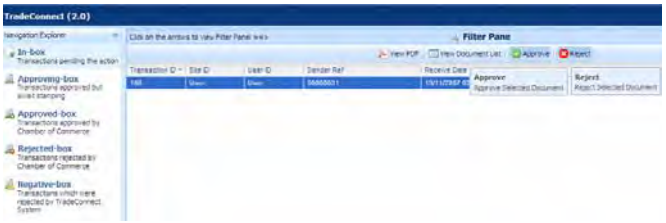
Chamber's Interface



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Approved Documents

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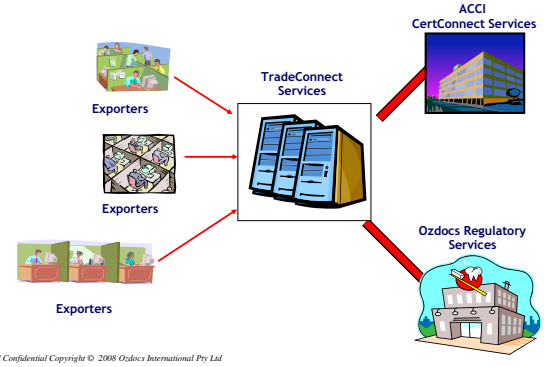
Framework



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Additional Features

Dual Presentation

- PDF/Paper for Visual Presentation.

And

- XML Standardised data submitted once and used many times.

- **This is currently implemented for a Major Chamber of Commerce.**

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Additional Features

Globalisation and Security

Global Trust achieved by:

- Public key/ Private Key Infrastructure.
- Electronic Certificates are secured by PKI.

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Additional Features

Globalisation and Security

Method of Global Verification using Public Key Infrastructure

- Chamber applies Digital Signature
- Counter parties (Customs & Banks) authenticate it using PKI technology.

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TradeConnect

Electronic Certificate of Origin

Australian Exporter Benefits

- Faster turnaround times with certificates and documents available to users within minutes of approval by Chamber.
- All data filled in by Exporter themselves, ensuring complete reliability and security.
- Only solution to provide **acknowledgment message** to Exporter.
- Only solution that is **desktop** as well as **web based** for providing connectivity to all Chamber members.
- Savings on courier and postal costs with no reliance on external mail or couriers.
- All certificates managed by software leading to better housekeeping.

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Electronic Certificate of Origin

ACCI Benefits

- Increase of new membership to the Chamber.
- No investment required by Chamber in technology and software.
- Offer a complete range of trade automation of services to Chamber members.
- Faster turnaround times with certificate available to users within minutes of approval by Chamber.
- Savings on courier and postal costs with no reliance on external mail or couriers.
- All certificates managed by software leading to better housekeeping.
- Complete control over data and customers with guarantee of privacy of key strategic information - including volume and customer info.

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TradeConnect

Electronic Certificate of Origin

Counter Party Benefits

- No investment required in technology and software.
- Verification of Documents from any location.
- Issuance of Secure Data.
- Prevention against Fraud.
- Speedy Clearance of Goods.
- Compliance with International PKI Key & Digital Key standards.

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Services

Highlights

- Target is ZERO delay in export compliance due to technology glitches
- End to end service
  - Ozdocs provides Chamber with the application and all necessary components
  - Ozdocs provides help desk to ensure that all operations are un interrupted
- High Quality of Service - help-desk run by highly-trained staff
- Collaboration - ability to link with other applications in real-time
  - Internal applications like accounting systems, contact management etc.
  - Complete integration with third party applications through XML or PDF interfaces.
    - Ready XML specification for Certificate of Origin
    - Ready XML specification for Commercial Invoice, Packing List which is extensible to other trade document.
- Ability to re-use information to leverage on investments in external systems.
- In-house resources and development staff to deliver customised business solutions to suit your requirements.
- Guarantee Privacy of key strategic information - including pricing, volume and customer info
- No Hidden Costs

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TradeConnect

Electronic Certificate of Origin

Questions

Contact Details: **Peter Chamings**

Ozdocs International Pty Ltd

Unit 4, 7 Packard Avenue
Castle Hill, NSW Australia 2154
Tel +61 2 9899 2000 Fax +61 2 9659 5360

Email: info@ozdocs.com.au
Web: www.ozdocs.com.au

A.B.N. 89 095 021 622

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Australian Government
Australian Customs Service

Enhanced Trade Solutions

Developing future strategies in an uncertain world

Martin Fisk
National Manager Enhanced Trade Solutions
Australian Customs & Border Protection Service

protecting our borders

Australian Government
Australian Customs Service

Current environment

- Majority of electronic transactions and integration opportunities already managed by ICS (implemented 2005)
  - Cargo reporting and declarations
  - Profiling and risk assessment across all border risks
  - Full integration with quarantine, food safety, taxation and statistics agencies
- Customs activities are not a major impediment at the border
  - Industry confirmed reporting obligations not onerous
  - TRS confirmed port throughput efficient and world class
- Industry interactions are key factor in port throughput
  - Customs is only a relatively small player in both administration and logistics chains
  - These interactions largely are outside the control of government – industry do not want government to be an intermediary

protecting our borders

Australian Government
Australian Customs Service

Outline

- Vision for the future
- The current environment – results from baseline activities
- Additional pressures from the global economic crisis
- Our plans for the future

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…current environment

- Industry does not support major IT change at this time
- Adoption of paperless trading by industry is slower than anticipated
  - Significant barriers still remain especially in a global environment and with small to medium businesses (ie commercial invoice standards)
- Adoption of electronic interactions by government agencies is slower than expected
  - Most are still reliant on paper forms and manual processes, especially smaller agencies
- No 'one-size-fits-all' solutions
- Australia cannot mandate unilateral solutions
  - must adhere to global standards for both data *and business processes*

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Vision for the future

- **Vision for cargo processing into the future**
  - Informed by Customs Strategic Outlook 2015
  - Paperless trading and single window
  - Earlier, more comprehensive cargo reporting, including international data exchange
  - More comprehensive risk assessments, based on better information, leading to more targeted interventions
- **Step-by-step implementation roadmap**
  - Comprehensive assessment of current state (gap analysis) – extensive consultation and baseline activities
  - Recognising challenges and implications of our current environment
  - A cautious and pragmatic approach

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Additional pressures

- Global economic crisis makes prediction difficult – decision making more challenging
- Economic pressures expanding border risks, with government priorities shifting from "terrorism" to an "all hazards" focus
  - Transport and infrastructure security, bio-security, carbon emissions, product safety, counter proliferation, trans-national crime, revenue etc
- Reform must be justified in tight economic times
  - Industry focus is on survival not growth
  - Government spending priorities focused on economic stimulus
- While cargo volumes may fall, larger vessels and increasing consolidation will exacerbate congestion pressures in both air and sea
- Australia must respond to international developments
  - United States 100% screening

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Roadmap for the future

- Balancing the investment focus between trade facilitation and border protection responsibilities
  - Most remaining facilitation opportunities will require significant investment in change programs by industry
  - Border protection can be enhanced through more effective and efficient risk assessment processes and systems
  - Improved risk assessment can also benefit trade through greater focus on high risk activities and organisations
- Pragmatic and cautious approach to change
  - Small steps with tangible (short term) cost benefit
  - Limit the risk of major change programs
  - Supported by both industry and government

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Thank you

Questions and discussion

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…roadmap for the future

- Implement paper-free environment as an interim step
  - Convert last remaining paper docs to PDF scans, given challenges in totally paperless global supply chains (esp SME)
- Improve risk assessment practices through more effective use of business intelligence (data mining, behavioural analysis)
  - Leveraging existing data sources and not imposing additional reporting or regulatory burdens on industry
- Phased approach to integrating remaining permit-issuing authorities (case by case basis)
- Continuing research and international engagement
- Support for industry initiatives to cost and congestion issues
  - i.e. port community systems, IATA eFreight, inter-modal hubs

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Lessons learned

- Focus on “80-20” rule to maximise cost-benefit returns
- Manage scope carefully: the larger the single window, the greater the integration and management complexity
- For most economies, it is extremely difficult to change global business practices
  - APEC can play a significant influencing role
- Understand linkages and dependencies, especially in the global environment

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EXPORT DECLARATION

Or Application Under Subsection 162A(6A)

Approved Form for Customs Act Sections 114(3)(c) & 162AA(3)(a) – B957

NOTICE – we require this information under the Customs Act 1901, so we can ensure that your goods are properly cleared for export. The information you provide will be given to the Australian Bureau of Statistics and the Australian Taxation Office. If you are required to hold a permit to export these goods, the permit details will also be given to the relevant permit issuing agency.

TIME SAVER

If this form was completed by a business with fewer than 20 employees, please provide an estimate of the time taken to complete this form.

☐ Hours ☐ Minutes

EDN Customs to provide		1. Reference: *Customs Use Only*	2. Reporting Party Type ☐ Owner ☐ Agent
3. Your Reference		4. Reporting Party ID	
5. Intended Date of Export / /	6. Unique Consignment Reference No.	7. Customable/Excisable Indicator ☐ Yes ☐ No	8. Prescribed Goods Indicator ☐ Yes ☐ No
9. Warehouse Est. ID		10. Goods Owner Party ID (ABN/CCID)	11. Branch ID: Confirming export only
12. Confirming Exporter Type (N,Y,C)		13. Export Goods Type ☐ST ☐PO ☐SP ☐AB ☐OP ☐OT	
14. Consignee Name			
15. Consignee City		16. Port of Loading	17. First Port of Discharge
18. Final Destination Country Code		19. Mode of Transport ☐ Air ☐ Sea	20. Vessel ID/Flight No.
21. Voyage No	22. Cargo Type ☐C ☐CO ☐N ☐B	23. Total No. Packages	24. Total No. Containers
25. Invoice Currency		26. FOB Currency	27. Total FOB Value

LINE DETAILS

28A. Line No. (Use a separate B957a supplementary page for each additional export commodity (each line))		28. Commodity Classification Code (AHECC)
29. Goods Description		
30. Goods Origin Code	31. Goods Origin Country Code(s)	32. Temporary Import No.
33. Net Quantity a.) Amount		b.) Unit
34. Gross Weight a.) Amount		b.) Unit
35. Line FOB Value		
36. Permit Prefix	Permit Header	

DECLARATION

I, the undersigned, make this export declaration (comprising a B957 Header Page and ____ B957(a) Supplementary Page(s) (not including "notes" pages)) and hereby declare I am the (please tick)

☐ Owner/authorised Principal exporter (including) an employee of the Principal)

☐ Authorised agent of the Ower

and that the information provided is complete and correct.

Name of Person making the Entry	Contact Address	
Contact Phone No.	Contact Email	
Contact Fax No.	Company Name	
Signature	Position in Company	Date / /

B957 (FEB 2005)

Notes for Completing an Export Declaration

1. **Customs File Reference**
Customs Use. Leave Blank.

2. **Reporting Party Type (mandatory)**
Tick either the Owner or Agent box to identify the Reporting Party Type.

3. **Your Reference (mandatory)**
This reference must be unique and be used for both your files and to differentiate between consignments.

4. **Reporting Party ID (mandatory)**
The Customs identifier of the party lodging the declaration. The identifier must be either an Australian Business Number (ABN) or Customs Client Identifier (CCID).

5. **Intended Date of Export (mandatory)**
Expressed as DD/MM/YYYY.

6. **Unique Consignment Reference No. (Optional)**
For use as an alternative release process, where a Contingency Customs Authority Number (C-CAN) is quoted to Customs.

7. **Customable/Excisable Indicator (mandatory)**
Show whether or not the goods would be subject to Customs Excise duty if they were to be delivered into home consumption rather than being exported.
Tick Y for 'Yes'.
Tick N for 'No'.

8. **Prescribed Goods Indicator (mandatory)**
The code indicating whether or not goods covered by the declaration are prescribed goods under section 102A of the Customs Act 1901 (the Act):
Tick Y for 'Yes'
Tick N for 'No'

9. **Warehouse Establishment ID (mandatory if Customable / Excisable Indicator is Yes)**
Establishment code of the warehouse or excise place from which the goods are to be removed.

10. **Goods Owner Party ID (mandatory)**
The Customs Owner Party ID of the common law owner of the goods. This must be either an Australian Business Number (ABN) or a Customs Client Identifier (CCID). If Reporting Party Type is 'Agent', the ABN or CCID for this item cannot be the same as Reporting Party ID.

11. **Branch ID**
An identifier that is linked to the Goods Owner Party ID, used to further identify the party within that organisation.

12. **Confirming Exporter Type (mandatory)**
A code indicating whether the exporter has confirming export status and proposes to rely on that status in relation to goods in this declaration.
Confirming: Y
Non Confirming: N
Confirmed: C

13. **Export Goods Type (mandatory)**
Please tick the appropriate box.
Stores: ST
Postal: PO
Spares: SP
Accompanied Baggage: AB
Own Power: OP
Other: OT

14. **Consignee Name (mandatory)**
The name of the person/organisation taking physical possession of the goods. This should be the principal, not a bank, freight forwarder, etc.

15. **Consignee City (mandatory)**
The city/town in which the person/organisation who takes final physical possession of the goods is located.

16. **Port of Loading (mandatory)**
The port in Australia where the goods are loaded on board a vessel to begin their international voyage.

17. **First Port of Discharge (mandatory)**
The name of the first port of discharge overseas.

18. **Final Destination Country Code (mandatory)**
The name of the country that is to be the final destination of the goods.

19. **Mode of Transport (mandatory unless Export Goods Type is PO, then leave blank)**
Tick the appropriate box

20. **Vessel ID/Flight No (mandatory if Export Goods is 'ST', 'SP' or 'AB')**
The Lloyd's identity number, registration number of the aircraft, or Customs identifier.

21. **Voyage No (mandatory if Vessel Id/Flight No. requires a Vessel ID)** A unique voyage number of the vessel carrying the goods.

22. **Cargo Type**
Please tick the appropriate box.
Containerised: C
Co-Combination: CO
Non-Containerised: N
Bulk: B

23. **Total No Packages (mandatory if Mode of Transport is air or if Mode of Transport is sea and Cargo Type is 'N' or 'CO')**

24. **Total No Containers (mandatory if Mode of Transport is 'S' and Cargo Type is 'C' or 'CO")**
"Containers" refers to the Sea Cargo Containers.

25. **Invoice Currency (mandatory)**

26. **FOB Currency (mandatory)**
i/e. Australian dollars, etc.

27. **Total FOB Value (mandatory)**
The total free on board (FOB) value of the goods, including all costs incidental to the sale and delivery of the goods on to the exporting vessel/aircraft. No discount given is to be deducted from the true value of the goods. The FOB value should be expressed to the nearest dollar. It should be noted that FOB does not include overseas freight and insurance. The FOB values of samples must be shown as the market value of the goods as if they were for sale.

28A. **Line No (mandatory)**
A supplementary page must be completed for each separate commodity as identified by the AHECC code (see Commodity Classification). If the goods to be exported are minerals requiring an assay, use the B957a supplementary page.

28. **Commodity Classification (mandatory)**
Australian Harmonized Export Commodity Classification (AHECC) code is statistical classification for the particular commodity being exported. This code may be obtained from Customs.

29. **Goods Description (mandatory)**
A description of the goods.

30. **Goods Origin Code (mandatory)**
The code used to identify the Australian (or foreign) state of origin of goods, as listed below:
NSW: AU-NS
TAS: AU – TS
VIC: AU-VI
NT: AU-NT
QLD: AU-QL
ACT: AU-CT
SA: AU-SA
WA: AU-WA
FOREIGN: YY-FO

31. **Goods Origin Country Code (mandatory if Goods Origin Code is "Foreign")**
The name of the primary country where the goods were manufactured or produced.

32. **Temporary Import No (mandatory if the AHECC is for the export of goods originally imported on a temporary basis)**
A number identifying the export of goods which are temporarily imported under section 162 or 162A of the Customs Act 1901.

33. **Net Quantity (mandatory)**
The net quantity of goods is described in terms of the units prescribed in the AHECC, (e.g. KG, T, NO). If the unit prescribed by the AHECC is 'NR', the quantity details are not required, but NR must be sown in the units box. Net quantity should not include the weight of any additional packaging.

34. **Gross Weight (mandatory)**
The gross weight is, in effect, the shipping weight of the goods. It should include the weight of any immediate packaging but not the weight of the container. Show weight in grams (G), Kilograms (KG) or tonnes (T).

35. **Line FOB Value**
The FOB value of the goods quoted on this export declaration line, (see Item 25). The FOB value should be expressed to the nearest dollar. (Also see Line FOB Value of the B957a supplementary page).

36. **Permit Details (prefix/Permit No)**
A wide range of goods are prohibited from exportation unless an export permit is obtained from the appropriate agency. Details of export restrictions are contained in various Commonwealth laws. Further advice can be obtained from your legal adviser, agent, etc, or Customs. Input the permit number given by the relevant permit issuing authority. Each permit issuing authority has its own permit prefix. The correct prefix must be included for all permits.

Australian Government
Australian Customs Service

EXPORT DECLARATION

SUPPLEMENTARY PAGE

Approved Form for Customs Act Sections 114(3)(c) & 162AA(3)(a) – Export Declaration – B957a

Complete one of these pages for each commodity

TIME SAVER

If this form was completed by a business with fewer than 20 employees, please provide an estimate of the time taken to complete this form.

☐ Hours ☐ Minutes

Page _____ of _____ Pages

1. Line No.	3. Commodity Classification Code (AHECC)	
2. Your Reference		
3. Goods Description		
5. Goods Origin Code	6. Temporary Import No.	
7. Goods Origin Country Code		
8. Net Quantity	a.) Amount	b.) Unit
9. Gross Weight	a.) Amount	b.) Unit
10. Line FOB Value		

11. Permit Details

12. Assay Details a.) Assay Element	b.) Assay Concentration	c.) Assay Unit

Signature	Date / /

B957a (FEB 2005)

Notes for Completing an Export Declaration Supplementary Page

1. Line No (mandatory)
A supplementary page must be completed for each separate commodity as identified by the AHECC code (see Item 3).

2. Your Reference
This reference must be the same as the Export Declaration header page (the B957 page, Item 3).

3. Commodity Classification (mandatory)
Australian Harmonized Export Commodity Classification (AHECC) code is a statistical classification for the particular commodity being exported. This code may be obtained from Customs.

4. Goods Description
Invoice or commercial description of the goods.

5. Goods Origin Code (mandatory)
The code used to identify the Australian state of origin (or foreign) of goods, as listed below:
NSW: AU-NS
TAS: AU-TS
VIC:AU-VI
NT:AU-NT
QLD: AU-QL
ACT: AU-CT
SA: AU-SA
WA: AU-WA
FOREIGN: YY-FO

6. Temporary Import No (Mandatory if the AHECC is for the export of goods originally imported on a temporary basis)

A number or code that identifies goods described by section 68(1)(j) of the Customs Act 1901.

7. Goods Origin Country Code (mandatory if item 5 is "Foreign")
The name of the primary country where the goods were manufactured.

8. Net Quantity
The net quantity of goods is described in terms of the units prescribed in the AHECC, (e.g. KG, T, NO). If the unit prescribed by the AHECC is 'NR', the quantity details are not required, but 'NR' must be shown in the units box. Net quantity should not include the weight of any additional packaging.

9. Gross Weight
The gross weight is, in effect, the shipping weight of the goods. It should include the weight of any immediate packaging but not the weight of the container. Show weight in grams (G), kilograms (KG) or tonnes (T).

10. Line FOB Value
The free on board (FOB) value of the goods quoted on this export declaration line, including all costs incidental to the sale and delivery of the goods on to the exporting vessel/aircraft.
No discount given is to be deducted from the true value of the goods. The FOB value should be expressed to the nearest dollar. It should be noted that FOB does not include overseas freight and insurance.
The FOB values of samples must be shown as the market value of the goods as if they were for sale.
The combined FOB value of the lines must equal the total FOB value on the header page (B957)

11. Permit Details (Prefix/Permit No)
A wide range of goods is prohibited from exportation unless an export permit is obtained from the appropriate agency. Details of export restrictions are contained in various Commonwealth laws and are outlined in the Australian Customs Service Manual Volume 12. Further advice can be obtained from your legal adviser, Customs Agent, etc. or the Australian Customs Service. Input the permit number given by the relevant permit issuing authority. Each permit issuing authority has its own permit prefix. The correct prefix must be included for all permits.

12. Assay Details (Element/Concentration/Unit)
A chemical test to determine the content of a particular element. Only input details if goods are minerals requiring an assay. Please see the AHECC for more information regarding this item.

Element	Symbol	Unit Description
Gold	AU	GPT (Grams per Tonne)
Silver	AG	GPT (Grams per Tonne)
Copper	CU	PER (Percentage)
Lead	PB	PER (Percentage)
Platinum	PT	PER (Percentage)
Nickel	NI	PER (Percentage)
Tin	SN	PER (Percentage)
Tungsten	WO	PER (Percentage)
Zinc	ZN	PER (Percentage)

Declaration
Declarations at the bottom of both header and supplementary pages must be completed fully and correctly, signed and dated.

ITEMS & : ADDITIONAL SPACES **Continuation of Goods Page No._____.**

11. Permit Details	Permit Number

12. Assay Details a) Assay Element	b.) Assay Concentration	c.) Assay Unit

Signature	Date / /

Australian Government
Australian Customs Service

Import Declaration (N10)

Approved Form Section 71K of the *Customs Act 1901*

NOTICE: *The Privacy Act 1988 says we must tell you why we are collecting this information, how we will use it, and whether you have to give it to us. We require this information under the Customs Act 1901, so we can ensure that your goods are properly cleared for delivery into home consumption. The information you provide will be given to the Australian Bureau of Statistics and the Australian Taxation Office. If you are required to hold a permit to import these goods, the permit details will also be given to the relevant permit issuing agency.*

TIME SAVER

If this form was completed by a business with fewer than 20 employees, please provide an estimate of the time taken to complete this form.

☐ Hours ☐ Minutes

☐ **Import Declaration (s71A)** **OR** ☐ ***Return in relation to special clearance goods (S70(7))***

Customs Use Only:
Declaration ID

IMPORTANT! Please complete sections A, B and C of this form

SECTION A

Owner Details: Owner Name	Owner ID (ABN, ABN/CAC or CCID):	Owner Reference:	**AQIS Inspection Location:**
Contact Details: Owner Phone Home: ( ) Work: ( ) Mobile:		Owner Fax: ( )	Owner Email:
Destination Port Code:	Invoice Term Type:	Valuation Date: / /	Header Valuation Advice No:
EFT Payment Indicator: *(Please tick one only)* ☐ YES ☐ NO			

Valuation Elements Type:

		Amount	Currency
a.	Invoice Total		
b.	Overseas Freight		
c.	Overseas Insurance		
d.	Packing Costs		
e.	Foreign Inland Freight		
f.	Landing Charges		
g.	Transport & Insurance		
Free on Board			
Cost Insurance & Freight			

☐ **PAID UNDER PROTEST INDICATOR** You MUST attach a statement of the reason/s for protesting the payment of duty.

☐ **AMBER STATEMENT/REASON:** If you are uncertain about information included in the declaration, or omission of information from that declaration, and consider that as a result the declaration may be false or misleading in a material particular, you must specify the reason/s for that uncertainty.
(Must be included as an attachment)

DECLARATION:

I, _____ *the owner of the goods/agent

of the owner hereby acknowledge that this import declaration of_____ pages is true and correct.

Signature of *the owner of the goods/agent of the owner _____

*(*Delete which is not applicable)*

Date: / /

B650 (NOV 2005)

附件一 第120頁

Import Declaration (N10) - Transport Details

SECTION B Please complete the section relevant to the mode of transport for your goods along with the Delivery Address details.

AIR

Mode of Transport: AIR	Airline Code:	Loading Port:	First Arrival Port:
Discharge Port:	First Arrival Date: / /	Gross Weight:	Gross Weight Unit:

Line Details

Line No:	Master Air Waybill No:	House Air Waybill No:	No. of Packages:	Marks & Numbers Description:

OR

SEA

Mode of Transport: SEA	Vessel Name:	Vessel ID:	Voyage No:	Loading Port:
First Arrival Port:	Discharge Port:	First Arrival Date: / /	Gross Weight	Gross Weight Unit:

Line Details

Line No:	Cargo Type:	Container No:	Ocean Bill of Lading No:	House Bill of Lading No:	No. of Packages:	Marks & Numbers Description:

OR

POST

Mode of Transport: POST	Loading Port:	First Arrival Port:	Discharge Port:	First Arrival Date: / /
Parcel Post Card No(s):		Gross Weight:	Gross Weight Unit:	Number of Packages:
Marks & Numbers Description:				

OR

OTHER

Mode of Transport: OTHER	Customs Receipt for Goods No.:	No. of Packages:	Loading Port:	First Arrival Port:
Discharge Port:	First Arrival Date: / /	Gross Weight:	Gross Weight Unit:	

DELIVERY ADDRESS:

IMPORTANT! Please complete de-livery address details

Name:		Address:		
Locality:	State:	Postcode:	Country: AUSTRALIA	Contact Phone No:

附件一第121頁

Import Declaration (N10) - Tariff Details

SECTION C

Line No.:	Supplier ID:			Supplier Name:	
Tariff Classification No:	Stat. Code:	Related Transaction Indicator: *(Please tick)* ☐	Valuation Basis Type:	Treatment Code:	GST Exempt Code:
Goods Description:				Quantity:	Unit:

Valuation Elements:	Type	Amount	Currency
	Price		

Origin and Preference	Origin Country:	Preference Origin Country:	Preference Scheme Type:	Preference Rule Type:
Treatment Instruments	Instrument Type:		Instrument Number:	
Tariff Classification Instruments	Instrument Type:		Instrument Number:	

Additional Information:	AQIS Producer Code:

Line No.:	Supplier ID:			Supplier Name:	
Tariff Classification No:	Stat. Code:	Related Transaction Indicator: *(Please tick)* ☐	Valuation Basis Type:	Treatment Code:	GST Exempt Code:
Goods Description:				Quantity:	Unit:

Valuation Elements:	Type	Amount	Currency
	Price		

Origin and Preference	Origin Country:	Preference Origin Country:	Preference Scheme Type:	Preference Rule Type:
Treatment Instruments	Instrument Type:		Instrument Number:	
Tariff Classification Instruments	Instrument Type:		Instrument Number:	

Additional Information:	AQIS Producer Code:

Approved Form
Customs Act 1901
Section 64AB
Form 1

Australian Government
Australian Customs Service

Ship's Inward Cargo Report

(in triplicate)

* *(to be completed by relevant party where information is available)*
** *(delete whichever is inapplicable)*

State of _____ Port of _____

Report of cargo intended for discharge at Port of _____ for the ship _____

Voyage No. _____ of Country of Registry _____ for this present voyage

from _____ (list ports of call), _____

Estimated time and date of arrival at the port of discharge is

_____ hours on the _____ day of Month _____ Year _____

Part 1 - Container Discharge Report by shipping company or other person required to report (include empty containers and restowage containers) (attach list as required)

Container Number (in Alpha/Numerical Order if possible	Seal No.*	Person Container is being carried for*	Status of Each Container (FCL/LCL etc*)	Port of Loading*	Port of Discharge*	Destination Port*

Part 2 - Cargo Report of all required information by shipping company or other person required to report (attach list as required)

No. of Line	Container No.	Seal No.	Names and Addresses of Consignor and/or Shipper	Place where Loaded	Marks and Numbers	No. of Packages	Description of Goods	Gross Weight of the Goods	Names, addresses and telephone no.s of consignees and notify parties

Part 3 - Information about cargo by persons not possessing all details required at Part 2 (attach list as required)

No. of Line*	Container No.	Names of person (Slot Charterer, Freight Forwarder or similar) able to provide complete Part 2 report	Place where Loaded*	Marks and Numbers*	No. of Packages*	Description of Goods*	Gross Weight of the Goods*

At what station ship is expected to be located at _____

Declarant's Name and Address

. . . . . .

I declare that the particulars of these reports are true and complete to the best of my knowledge

. . . . . .
*** Master, Owner or other person required to report*

Signed and declared **in the presence of** Collector

. . . . . .

this _____ day of Month _____ Year _____

Form 1 (DEC/99)

Australian Government
Australian Customs Service

If this form was completed by a business with fewer than 20 employees, please provide an estimate of the time taken to complete this form.

Hours Minutes

AIRCRAFT INWARDS CARGO REPORT

We require this information under subsection 64AB(3) of the Customs Act 1901 in order to risk assess cargo that is intended to be discharged in Australia. The information you give may be disclosed to the Australian Quarantine and Inspection Service (AQIS) and the Department of Transport and Regional Services (DoTaRS).

*Owner/Operator

Marks of Nationality and Registration | Flight No. | Date

Point of Lading (Place) | Point of Unlading (Place)

First Australian port of call and estimated time and date of arrival

Port | hours | on the day | of Month | Year

All Australian airports at which reportable cargo will be discharged (in order of arrival)

Air Waybill Number	Number of Packages	Nature of goods	From To

I declare that all statements and particulars contained in the above report, and in any attached manifests are complete and contain, to the best of my knowledge and belief, an exact and true account of all cargo on board the aircraft.

Signature

..... / /

*Pilot/owner of aircraft

*Strikeout whichever inapplicable

FORM 8 (01/05)