



**Australian Government**

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**Australian Customs and  
Border Protection Service**

## **INTEGRATED CARGO SYSTEM**

# **BUSINESS CONTINUITY PLAN**

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**DOCUMENT REVISION HISTORY**

*This document has undergone the following revisions:*

Revision Date	Previous Revision Date	Version	Summary of Changes
1 December 2006	NA	1.2	Final version released publicly Dec 2006
2 May 2007	1 December	1.3	Incorporate the new Customs and Border Protection contingency release process including the alternate release options available to Industry when status in a clients system is not clear.
29 October 2008	2 may 2007	1.4	Reference made to IT Services Disaster Recovery Plan.
31 October 2008	29 October 2008	2.0	New version incorporating 1.3 and 1.4 for public release
1 March 2011	31 October 2008	2.1	Updated to reflect agency name change, new BCP Help Guides
9 March 2011	1 March 2011	3.0	New version incorporating 2.1 for public release

**APPROVALS**

*This document has been approved by:*

Name	Title	Signature	Date of Approval	Version
Jo Corcoran	National Manager – Industry Engagement & User Services		31 October 2008	2.0
Jagtej Singh	National Manager – Client Engagement and Cargo Systems		15 March 2011	3.0

**DISTRIBUTION**

*This document has been distributed to:*

Name	Title	Date of Issue	Version
Rodney Vaughan	Director CI&SC	10 March 2011	3.0

**RELATED DOCUMENTS**

Document Title	Purpose	Version
Cargo Clearance BCP	Internal Version of the ICS BCP	1.0
ICS BCP Help Attachment – All Transaction Types Electronic Lodgement of Contingency Data	Explains how clients can lodge documents for clearance during an outage	1.0
ICS BCP Regional Procedures - Electronic Lodgement of Contingency Data	Outlines regional responsibilities during an outage	1.0

IT Services Disaster Recovery Plan	Outlines Customs and Border Protection IT response in the event of an IT disaster	1.4
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## 1. Introduction

This document is the framework for the Integrated Cargo System (ICS) business continuity arrangements. This Business Continuity Plan (BCP) replaces the separate plans previously in place for exports and imports. Each step has been extensively discussed with a range of stakeholders including industry representatives, Customs and Border Protection and Australian Quarantine and Inspection Service (AQIS). Recognising the need to ensure a flexible and adaptable approach to these arrangements, the final plan may still be subject to amendment by ongoing consultation or subsequent review.

The framework is considered appropriate to meet all legitimate requirements for contingency – specifically:

- ICS slow response times;
- ICS unavailability;
- Urgent Customs Clearance when ICS is available; and
- Client system unavailability.

Contingency arrangements under the ICS are primarily governed by new sections 126E and 126F of the Customs Act. Section 126E stipulates that if an information system (namely the ICS) is inoperative a person who would otherwise communicate electronically with Customs and Border Protection may communicate either in another information system or by document. However if information is communicated while the ICS is inoperative that person must communicate the information electronically to Customs and Border Protection within 24 hours after notice has been given of ICS recovery.

This effectively means that all contingency reports must be submitted electronically after the ICS has become available.

Section 126F relates to the deferral of the payment of duty during an outage.

## 2. Business Continuity Principles

The following is an outline of the business continuity principles, which will guide the risk assessment, reporting and clearance process for the movement of cargo during any declared contingency period.

- Contingency data (as defined) will be submitted, processed and returned through electronic communications and through automation of risk assessment procedures wherever possible.
- Hardcopy (paper) transactions may also be submitted but clients are encouraged to use electronic communication as defined in the plan – that is, emailing contingency files.

- Contingency processes will be centralised nationally to the Customs Information & Support Centre (CI&SC) in Sydney.
- Customs and Border Protection will attempt not to impede the movement of low-risk cargo.
- Customs and Border Protection will ensure that adequate consideration is given to the quarantine, revenue and community protection risks when authorising cargo clearance.
- Customs and Border Protection may require additional undertakings or conditions in authorising the movement of higher risk goods.
- Customs and Border Protection may prioritise contingency transactions being processed in accordance with the manner in which the information is lodged, the type or mode of clearance required, and the nature of the goods involved. Specifically:
  - Contingency data lodged electronically (exports and imports) will receive high priority due to Customs and Border Protection's ability to automate processes;
  - Exports contingency data (hardcopy transactions) will receive priority over imports (hardcopy transactions) due to the time critical relationship of meeting vessel/flight departure times;
  - Import Air contingency data (hardcopy transactions) will receive priority over Import Sea contingency data (hardcopy transactions) in the first 24 hours of an outage.
- In accordance with the legislation governing contingency arrangements, Customs and Border Protection expects all parties in the import reporting chain to comply with their responsibilities. This includes the lodgement of appropriate documents electronically in the ICS within 24 hours of Customs and Border Protection giving notice of the recovery of the system, or in accordance with the advertised guidelines for recovery.
- Customs and Border Protection will generally not issue infringement notices or prosecute for circumstances outside the control of industry but nevertheless will expect industry to work collectively towards overcoming any problems.
- It is the responsibility of industry to have contingency plans in place for when their IT systems or their service provider are unavailable. Customs and Border Protection will however attempt to assist industry clients where client systems are unavailable and where contingency plans are not in place or not workable. However, this assistance is subject to competing priorities and hence resource availability within Customs and Border Protection. Requests for assistance are more likely to be met where the client can provide contingency data in the electronic form and through the processes described within this plan.

- Customs and Border Protection will provide an “Urgent Customs Clearance” service for cargo that requires urgent attention when the ICS is available or when the relevant phase of the BCP has not been invoked. The definition of urgent is:
  - The scheduled departure of cargo is endangered;
  - Relates to cargo that may perish as a result of delays; or
  - Concerns cargo that requires immediate delivery.
- Customs and Border Protection will provide a “Customs Override Release Status” (CORS) service where cargo has a ‘held’ status, even though all ICS clearance processes have been completed successfully.

## 2.1. Business Impact Statement

Customs and Border Protection acknowledges the reliance of a reliable system for the continuance of business. Customs and Border Protection has endeavoured to develop a BCP for import and export cargo that provides the ability to ensure that Customs and Border Protection facilitates the movement of cargo for industry when it is invoked.

The effective operation of this plan is reliant on industry submitting contingency data electronically to Customs and Border Protection in the formats and through the processes described in the BCP as follows:

- Customs Interactive clients – manually keying data into an excel spreadsheet in the file format specified in the plan and sending the file to Customs and Border Protection for processing via email. Reduced workload is envisaged over keying data into the Customs Interactive.
- EDI clients – the volumes of transactions may not allow for manual keying of data. Some industry clients currently have EDI functionality to download contingency data (in the file format specified in the plan) directly from their systems for sending to Customs and Border Protection via email. This functionality will meet the business needs of those clients that will have a requirement to submit large volumes of transactions during a contingency. EDI clients also have the ability to manually key data into an excel spreadsheet as per Customs Interactive users.

Customs and Border Protection will have the capability to receive contingency data electronically and to automate risk assessment of that data in a timely manner – refer Section 3.4 - Service Levels.

## 2.2. Scope

The BCP plan covers the following:

- Imports and Exports cargo;
- ICS slow response times;
- ICS unavailability;
- Client systems or communication provider unavailability;



- Data recovery;
- Testing of the BCP plan;
- Urgent Customs Clearance support; and
- Alternative release support.

The BCP plan does not cover the following:

- ICS system recovery procedures;
- ICS backup arrangements; and
- ICS disaster recovery arrangements.

These aspects are covered in the IT Services Disaster Recovery Plan.

In addition an internal Customs and Border Protection BCP has been developed which integrates with and supports this external plan.

### **3. Business Continuity Framework**

The BCP's major objective is to incorporate business practicality issues while maintaining Customs and Border Protection and AQIS border and revenue control responsibilities. The plan aims to achieve these objectives through a combination of electronic communications, automation and centralisation of processes, and flexibility in procedures that cover individual industry sector requirements.

The following pages outline the contingency cargo (imports and exports) reporting framework. When designing this framework, Customs and Border Protection has given priority to the importance of facilitating the movement of low risk cargo and to limiting the resource impact on Customs and Border Protection and industry at a critical time.

The following points should also be noted in relation to the BCP framework:

- Cargo normally subject to urgent clearance arrangements under Section 70 of the Customs Act such as perishable food and medical supplies will still have that avenue of clearance available, and will receive priority clearance. Requests for Section 70 clearance should be sought through the "Urgent Customs Clearance" support number – refer 3.1.3 "Contingency Management and Contacts".
- It is expected that during the initial period of a declared outage, sea cargo will be largely unaffected because of the 48-hour advance reporting provisions for sea cargo reports. Air Cargo Reports and Export Reports may therefore have initial priority for evaluation.
- ICS reports that are not immediately essential to the movement and clearance of cargo, such as outturns, are not to be submitted during the period of the outage. All reports however must be submitted once the system is again operational.

### **3.1. Roles and Responsibilities**

#### **3.1.1. Declaration of an Outage**

The declaration of an outage will be undertaken by Customs and Border Protection in accordance with section 126E of the Customs Act, where the CEO of Customs and Border Protection must cause notice of the occurrence to be given:

- On the website maintained by Customs and Border Protection on the internet; and
- Where practicable, by email to persons who communicate to Customs and Border Protection electronically.

Client Engagement and Cargo Systems (CE&CS) will undertake the notification process. Notification will be the primary mechanism for invoking the various phases of an outage.

When BCP is activated, an announcement will be promulgated by the CE&CS, stating:

- The reason for the outage (where known);
- The expected duration of the outage (where known);
- The various phases of the outage that have been invoked; and
- Actions available to industry during each phase invoked.

This announcement will be sent via e-mail to key registered ICS users and industry associations and posted on the Customs and Border Protection Internet/Intranet site.

When the system is again operational, an updated notification will be sent.

#### **3.1.2. Outage Phases**

There are 4 phases associated with an ICS outage:

- Phase 1
  - Processing of Export Departure Reports;
  - Clearance of Export Declarations and Consolidation Sub-Manifests due to be exported in the next 24 hours;
  - Processing of Import Impending and Actual Arrival Reports;
  - Notification of underbond moves of cargo between Customs licensed premises;
  - Deferral of the requirement to report sea cargo 48 hours from first port arrival to 24 hours or when the ICS becomes available; and
  - Processing of Import Declarations that meet the criteria for urgent Customs clearance.

- Phase 2
  - Processing of Import Cargo Reports.
- Phase 3
  - Processing of Import Declarations; and
  - Processing of Cargo List Reports (for empty containers).
- Phase 4
  - Reporting of sea cargo 24 hours from first port arrival.

### **3.1.3. Contingency Management and Contacts**

#### **3.1.3.1. Electronic Contingency Data**

All electronic contingency data will be submitted to, and processed by, the CI&SC.

Contact details for the CI&SC are:

- [cargosupport@customs.gov.au](mailto:cargosupport@customs.gov.au) - general support requests;
- [ICSBCP@customs.gov.au](mailto:ICSBCP@customs.gov.au) - for submitting contingency data;
- 1300 558 099 – general requests for support;
- 02-62756100 – requests for Urgent Customs Clearance.

#### **3.1.3.2. Hardcopy (paper) Contingency Data**

Hardcopy (paper) contingency data will continue to be accepted but it is noted that the success of the BCP is reliant on electronic communication of contingency data.

Forms can be located on the Customs and Border Protection website ([www.customs.gov.au](http://www.customs.gov.au)).

Hardcopy forms can only be lodged in person at Customs counters – refer Attachment A for locations of Customs counters in the regions. Faxed and mailed contingency data will not be accepted.

Contingency hardcopy (paper) transactions can generally be lodged at Customs counters between the hours of 0900 to 1700 (local port time) – Monday to Friday. Variations to these times will be advised through the ICS outage notification processes – refer Section 3.1.1.

Evidence of identity processes will apply before hardcopy contingency data is accepted. Refer Attachment B - Acceptance of Hardcopy (paper) Contingency Data.

Assistance can be sought from the CI&SC. Contact details for the CI&SC are:

- [cargosupport@customs.gov.au](mailto:cargosupport@customs.gov.au) - general support requests;
- 1300 558 099 – general requests for support;
- (02) 62756100 – Urgent Customs Clearance.

#### **3.1.4. Business Resumption**

The CI&SC will manage business resumption arrangements. Procedures will be in accordance with the business resumption arrangements detailed at Sections 17 and 18.

#### **3.1.5. Industry Responsibilities**

Cargo reporters are expected to conform to the reporting arrangements described in this document. Unavailability of the ICS does not relieve reporters of their obligations to meet the statutory reporting requirements of the Customs Act.

Importers and Customs brokers must make their own judgement as to whether to seek clearance of goods through the contingency declaration process or await system recovery when meeting contractual deadlines.

Reporters and cargo handlers must retain contingency information transmitted or given to them during a contingency period in accordance with the standard Customs and Border Protection document retention requirements.

Cargo must not be released at any time unless it is in accordance with the described BCP procedures. If a reporter has any concerns in relation to the bona fides of information or documents presented during a contingency period, it is expected they will immediately contact the CI&SC on 1300 558 099.

### **3.2. Transactions/Documents Required during Contingency**

#### **3.2.1. Export Transactions/Documents**

Transactions/documents to be lodged during a contingency period are:

- Export Declaration;
- Export Consolidation Sub-Manifest; and
- Departure Report.

#### **3.2.2. Import Transactions/Documents**

Transactions/documents to be lodged during a contingency period are:

- Impending Arrival Report;
- Actual Arrival Report;
- Underbond Move;
- Cargo Report;
- Import Declaration; and
- Cargo List Report (empty containers only).

### **3.3. Transactions/Documents Not Required During a Contingency**

#### **3.3.1. Export Transactions/Documents**

The following transactions/documents are not to be submitted during a contingency period:

- Export Main Manifest;
- Export Slot Sub-Manifest;
- Warehouse Release and Return Notices;
- Depot Receival and Release Notices;
- CTO Receival and Removal Notices; and
- Export Periodic Declaration.

Additionally, only some of these transactions will be required during recovery – refer Section 18.

#### **3.3.2. Import Transactions/Documents**

The following transactions/documents are not to be submitted during a contingency period:

- Progressive Discharge Report;
- Discharge Cargo Outturn report;
- Report of Stores/Prohibited Goods;
- Receipt Outturn Report;
- Cargo List Report (except for reporting empty containers);
- Discharge Cargo Outturn Reports; and
- Request For Cargo Release (Accredited Client Program)  
(May be lodged in manual format, as per the usual documentary form)

### **3.4. Service Levels**

Customs and Border Protection will review its service levels, in consultation with industry, following a contingency period operating under this plan and/or following full testing with industry. Anticipated service levels are as follows:

- Contingency data provided in electronic form through the procedures identified in the plan will receive high priority due to Customs and Border Protection ability to automate internal processes:
  - Arrival and Departure Reports – Generally, response within 5 minutes of lodging the request;
  - Export Declarations and Consolidation Sub-Manifests - Generally, response within 1 hour of lodging the reports;
  - Underbond Movement requests – Generally, response within 10 minutes of lodging the request;
  - Import Cargo Reports – Generally, response within 1 hour of lodging the report; and
  - Import Declarations - Generally, response within 1 hour of lodging the declaration.

- Requests received under “Urgent Customs Clearance” criteria in Phase 1 of an outage, response will generally be within 30 minutes.
- Hardcopy (paper) contingency data require significant resource commitments for both Customs and Border Protection and AQIS. Customs and Border Protection will process all hardcopy contingency data as soon as practicable. Customs and Border Protection is committed to providing reasonable service levels based on best endeavours.

#### 4. Lodgement of Contingency Transactions

##### 4.1. Electronic Files submitted through Email

The following process is to be followed for accessing and lodging electronic transactions to Customs and Border Protection via email. Additional comments are made under Sections 7 to 10 – Outage Phases 1 to 4, against the relevant transaction type.

<b>Step1</b>	<b>Log onto the Customs and Border Protection Website and download appropriate file.</b> <i>Note – for this step, EDI users with contingency functionality will only need to access the “Help – all transactions types” file identified in dot point 3 below.</i> <ul style="list-style-type: none"> <li>• Access the website through <a href="http://www.customs.gov.au">www.customs.gov.au</a></li> <li>• Navigate to the contingency CSV files and select the appropriate transaction specific file – for example, “Departure Report” or “Import Declaration”.</li> <li>• Download the transaction specific file. Also download the “Help Guide” specific to the transaction type that details requirements that must be met before the transaction specific file is lodged with Customs and Border Protection. These will include exceptions, mandatory fields, file naming conventions and email subject header requirements.</li> </ul>
<b>Step2</b>	<b>Complete the Contingency File</b> <ul style="list-style-type: none"> <li>• Complete all mandatory data fields required on the contingency file.</li> <li>• Save the file according to the naming convention specified for the transaction type in the Help Guide.</li> </ul>
<b>Step3</b>	<b>Lodge the Contingency File</b> <ul style="list-style-type: none"> <li>• Attach the completed file to an email with a subject heading specified for the transaction type.</li> <li>• If lodging Import Declarations, ensure that a revenue undertaking and community protection questions are also supplied as identified in the Help Guide.</li> <li>• Send to <a href="mailto:ICSBCP@customs.gov.au">ICSBCP@customs.gov.au</a>.</li> <li>• A return email will acknowledge receipt of the file.</li> </ul>
<b>Step4</b>	<b>Contingency File Processing</b> <ul style="list-style-type: none"> <li>• Customs and Border Protection will process the electronic contingency file submitted.</li> <li>• Status from that processing will be provided by return email to the client. Attached will be the original file submitted with each line having a status recorded. The provision of a contingency number or “Approved” status identifies that the action requested has been approved. As identified in the Help Guide, “Held” status requires the cargo in question to be kept at the current premises until secondary Customs and Border Protection/AQIS actions are conducted.</li> <li>• Where a release establishment is identified as a 1-stop client the CSV format will be replaced with an XML message. The XML message will be directed to 1-stop who will re-direct an enhanced XML message to the appropriate release establishment.</li> </ul>

	<ul style="list-style-type: none"> <li>• Status will also be provided directly to Customs and Border Protection and AQIS regional officers for any follow-up action required particularly in relation to held cargo.</li> <li>• For Import transactions, status will also be sent to “losing” and “gaining” establishments as appropriate to identify that cargo can be released and/or received or held.</li> <li>• Note that Customs and Border Protection and AQIS reserve the right to manually impede cargo in unusual circumstances despite any clearance given through the above processes.</li> </ul>
<b>Step5</b>	<b>Recovery Upon Customs and Border Protection System Resumption</b> – Refer Sections 17 and 18

## 4.2. Hardcopy (paper) Transactions

The following process is to be followed for accessing and lodging hardcopy (paper) transactions to Customs and Border Protection:

<b>1</b>	<b>Log onto the Customs and Border Protection website and obtain the appropriate Contingency Form</b> <ul style="list-style-type: none"> <li>• Access the website through <a href="http://www.customs.gov.au">www.customs.gov.au</a></li> <li>• Navigate to the contingency forms and select the appropriate transaction specific file – for example, “Departure Report” or “Import Declaration”.</li> <li>• Print the form that will include, as an attachment, requirements that must be met before the form is lodged with Customs and Border Protection.</li> </ul>
<b>2</b>	<b>Complete the Contingency Form</b> <ul style="list-style-type: none"> <li>• Complete all mandatory data fields on the contingency form.</li> </ul>
<b>3</b>	<b>Lodge the Contingency Form</b> <ul style="list-style-type: none"> <li>• Identify the closest Customs counter by selecting the Customs Counters menu from the Customs and Border Protection website, referring to Attachment A or contacting the CI&amp;SC – refer Section 3.1.3.1.</li> <li>• Hardcopy contingency transactions cannot be mailed or faxed. They must be presented in person at a Customs counter.</li> <li>• If you are not located near a Customs counter, contact the CI&amp;SC.</li> <li>• Evidence of Identity (EOI) processes must be completed at the Customs counter prior to contingency forms being accepted for processing by Customs and Border Protection – refer Attachment B for details of EOI processes and document requirements that are needed to satisfy this process.</li> </ul>
<b>4</b>	<b>Contingency Form Processing</b> <ul style="list-style-type: none"> <li>• Customs and Border Protection will process the contingency form.</li> <li>• Status from that processing will be provided to the client via email or fax as detailed in the “Help” attachment.</li> <li>• Status from that processing will also be provided electronically to Customs and Border Protection and AQIS regional officers.</li> <li>• For Import transactions, status will also be sent to “losing” and “gaining” establishments as appropriate to identify that cargo can be released and/or received or held.</li> <li>• Note that Customs and Border Protection and AQIS reserve the right to manually impede cargo in unusual circumstances despite any clearance given through the above processes.</li> </ul>
<b>5</b>	<b>Recovery Upon Customs and Border Protection System Resumption</b> – Refer Sections 17 and 18

## **5. Urgent Customs Clearance**

The “Urgent Customs Clearance” support number (02-62756100) is maintained by the CI&SC to meet requests by clients where:

- Cargo may miss it's carrier (export flights/vessels, truck booking system);
- Perishable goods will be damaged if subject to delay, or
- Cargo requires immediate delivery. For example, urgent medical supplies, hazardous materials and livestock.

This service is accessed by industry when the ICS is available or when the relevant phase of an ICS outage has not been invoked for cargo that meets one of the above criteria. This includes urgent clearance of Import Declarations identified in Phase 1 of an outage.

## **6. Customs Contingency Releases**

### **6.1. CORS Notice**

Refer Australian Customs Cargo Advice Notice 06/21.

Customs and Border Protection recognises that there may be a small number of exceptional circumstances where cargo has a ‘held’ status, even though all ICS clearance processes have been completed successfully. In these cases the CI&SC will investigate the cause of the continuing ‘held’ status in the system and issue a CORS advice notice via email to facilitate the release of the cargo.

The email attachment will provide authorisation to release the cargo and provide the necessary documentation for appropriate record keeping. The CORS will be sent to the nominated release premises and copied to the responsible party i.e. the importer, broker or freight forwarder.

### **Procedures**

The procedures for CORS are set out below:

1. Clients seeking clarification of the status of their cargo should contact the CI&SC on 1300 558 099 providing the details of the specific cargo requiring attention.
2. The CI&SC will investigate the status of the shipment. If the electronic status is not correct **and** it cannot be corrected in an appropriate timeframe, CI&SC will facilitate an override release.



3. An email will be sent to the responsible party seeking verification of the shipment details.
4. The responsible party will return the email, completing the relevant details
5. CI&SC will issue the CORS (via email) specifying the cargo to be released to the release premises with a copy to the responsible party.
6. Customs and Border Protection will retain a permanent record of the CORS issued.

## **Exclusions**

This override release process will not be available for cargo with 'clear' status in the ICS.

This override release process will not be available for cargo where any 'clear' status requirements or conditions have not been met.

This override release process will not be available for cargo that has a held status, which has been deliberately applied by Customs and Border Protection or AQIS.

This override release process will not be available for cargo where the mandatory screening period has not expired.

This override release process will not be available for cargo where the correct reporting procedures have not been undertaken (user error).

## **Implementation Date**

These procedures were implemented on September 20, 2006. From that date, the only override release documentation that is approved by Customs and Border Protection for invalid ICS "Hold" statuses will be the CORS.

To view an example of the CORS, click [here](#).

Further information about obtaining the electronic status of cargo is available through the Cargo Support link from the Customs and Border protection Home page at [www.customs.gov.au](http://www.customs.gov.au) or call 1300 558 099.

## **6.2. Replacement of ICS Hard Copy Print Releases**

Refer Australian Customs Cargo Advice Notice 07/03, 07/07 and 07/08.

Customs and Border Protection recognises that there may be instances where cargo approval and status messages from the ICS do not reach a clients system. This is where cargo is shown 'clear' in the ICS but is still 'held' in the clients

system. In these instances there are a number of options available to Industry to utilise when trying to collect cargo from a release point when the status is 'clear' in the ICS but still 'held' in the clients system. Clients who have access to the ICS Customs Interactive can release cargo by referring to the real time status. Those clients who do not have access to Customs Interactive should call the CI&SC who will facilitate the release of the cargo by giving a verbal, email or facsimile release.

The verbal (with quoted reference number), email attachment and facsimile will provide authorisation to release the cargo and provide the necessary documentation for appropriate record keeping. The email attachment/facsimile will be sent to the nominated release premises and copied to the responsible party i.e. the importer, broker or freight forwarder.

## **Procedures**

With the removal of Customs and Border Protection support for the use of ICS hard copy prints it is anticipated in the case of primary systems failure (excluding ICS BCP situations) that the majority of release points will utilise the ICS Customs Interactive, either directly or indirectly, which is the Customs and Border Protection preferred secondary release mechanism.

The following are the **Approved Alternative Release Options** that are acceptable means for obtaining status to release cargo:

### **1. ICS Customs Interactive**

The primary source of status information for cargo should be the ICS Customs Interactive. The vast majority of release points have access to the Customs Interactive or have committed to providing this facility to staff.

### **2. CI&SC on 1300 558 099 (Verbal Release, including reference number)**

Where Customs Interactive is not accessible, the CI&SC is able to provide verbal status advice. To obtain verbal confirmation of status, the client calls the CI&SC and obtains both the status and a reference number for the call. The caller is able to quote this reference number to verify cargo status if required.

### **3. CI&SC at [cargomovementcell@customs.gov.au](mailto:cargomovementcell@customs.gov.au) to communicate release to the delivery point by E-mail or Facsimile**

An alternative to verbal confirmation of release, may be requested from the CI&SC. Clients will call the CI&SC for status and will provide facsimile or email details so that Customs and Border Protection can send a screen shot displaying status.

Customs and Border Protection will provide services 2 and 3 between 0600 and 2100 Monday to Friday and 0700 to 1900 on Saturday and Sunday. The Urgent

Customs Clearances number (02 6275 6100) may be used for urgent clearances outside these hours. Please refer to section 5 of this document for details about the Urgent Customs Clearance criteria.

### **Implementation Date**

Customs and Border Protection withdrawal for support for use of ICS hard copy prints to release cargo was effective from 23 April 2007 nationally. From that date, the approved alternate release options outlined above should be utilised.

## **7. Outage Phase 1**

To be invoked through the outage notification procedures within **1 hour** of the identification of client problems with the ICS. The problem does not have to affect all users for the phase to be invoked. It may relate to Customs Interactive users or EDI users or some, not all, users within those categories.

Phase 1 relates to:

- Processing of arrival and departure reports.
- Clearance of export cargo due for departure within the next 24 hours.
- The underbond move of cargo between Customs licensed premises.
- Late clearance of import declarations that meet the definition of urgent.
- The deferral of the requirement to report sea cargo 48 hours from first port arrival to 24 hours or when the ICS becomes available – refer Phase 4.

### **7.1. Exports - Departure Reports**

During a declared outage Contingency Departure Reports are required. These will be accepted and processed by Customs and Border Protection for all vessels and aircraft departing Australia within the next 24-hours. Industry clients are responsible for prioritising the submission of these documents.

A separate CSV departure file or hardcopy (paper) form is not necessarily required for each vessel or aircraft departure.

### **7.2. Exports – Export Declarations**

During a declared outage Contingency Export Declarations will only be accepted and processed by Customs and Border Protection for cargo due to be delivered to cargo or container terminals during the next 24 hours. Industry Clients are responsible for prioritising the submission of these documents.

Multiple entries can be made on the same CSV export declaration file or hardcopy (paper) form where those exports are being delivered to the same establishment – that is, the same “Port of Loading”.

### **7.3. Exports - Consolidation Sub-Manifests**

Contingency Export Consolidation Sub-Manifests will only be accepted for consolidations of cargo for which an ICS or contingency authority has been obtained and must include the report of exempt cargo included in the consolidation.

During a declared outage Contingency Export Consolidation Sub-Manifests will only be accepted and processed by Customs and Border Protection for cargo due to be delivered to cargo or container terminals during the next 24 hours. Industry clients are responsible for prioritising the submission of these documents. This process is not required for sea freight Export Slot Sub-Manifests.

Multiple entries can be made on the same CSV export consolidation sub-manifest file or hardcopy (paper) form where those exports are being delivered to the same establishment – that is, the same “Port of Loading”.

### **7.4. Imports - Arrival Reports**

#### **7.4.1. Impending Arrival Report**

An Impending Arrival Report must be submitted in accordance with legislative provisions.

A separate CSV impending arrival file or hardcopy (paper) form is not required for each impending vessel or aircraft arrival.

#### **7.4.2. Actual Arrival Report**

An Actual Arrival Report must be submitted in accordance with legislative provisions.

A separate CSV actual arrival file or hardcopy (paper) form is not required for each actual vessel or aircraft arrival.

### **7.5. Imports – Underbond Moves**

In the early part of an ICS outage, the priority for Imports is to move cargo away from Cargo Terminal Operators and Stevedores underbond to licensed premises. Historically, ICS outages are short in duration and this action allows cargo to move without generating significant workload for industry on data recovery actions required when the ICS becomes available.

Multiple underbond moves can be made on the same CSV underbond file or hardcopy (paper) form where those underbonds are moving from the same losing establishment and to the same gaining establishment.

## **7.6. Imports – Import Declarations (Urgent Clearance)**

Phase 3 of an ICS outage is when the processing of Import Declarations will formally be invoked. However Customs and Border Protection acknowledges that when the ICS becomes unavailable, there are situations where flights and voyages have only been part processed in respect of import declarations – that is, cargo reports have been processed in the ICS but there are outstanding import declarations still to be finalised. In most cases, outstanding actions on these import declarations usually relate to lodging payment.

With the ICS unavailable, status is unavailable. Additionally, Customs and Border Protection cannot access previously reported and processed cargo reports as they have been lodged in the ICS. To overcome this problem, Customs and Border Protection will process these Import Declarations without reference to the Cargo Report. The data fields required for a Contingency Import Declaration have been developed to meet this requirement.

During Phase 1 of an outage, Customs and Border Protection will receive and process Import Declarations that meet the requirements detailed under Urgent Customs Clearance – that is:

- Cargo may miss it's carrier (export flights/vessels, truck booking system);
- Perishable goods will be damaged if subject to delay, or
- Cargo requires immediate delivery. For example, urgent medical supplies, hazardous materials and livestock.

Industry clients that have Import Declarations that meet the above requirements must ring the Urgent Customs Clearance number (02-62756100) to identify the need and arrange for lodgement of the CSV import declaration file or hardcopy (paper) form.

Multiple entries can be made on the same CSV Import Declaration file or hardcopy (paper) form where those import declarations apply to goods that are to be released by the same establishment.

Each Contingency Import Declaration lodgement should quote the same sender's reference that will be used in the recovered version of the declaration, to assist in reconciliation.

### **7.6.1. Revenue Undertakings**

Payment of duty and Goods and Services Tax (GST) will generally be deferred until the ICS is restored after an outage, provided an undertaking is given for the duty to be paid within 24 hours of system recovery. No limit is set in this plan for the maximum length of time revenue undertakings will be accepted before revenue collection occurs during a prolonged ICS outage. Customs and Border Protection will investigate this aspect further and discuss with industry maximum periods and contingency methods for collecting revenue.

If the revenue risk is considered too high, full duty and GST payment may be required to be lodged before clearance.

To provide the revenue undertaking, industry clients need to calculate the duty and GST liability for the clearance of goods and provide details as part of a revenue undertaking.

The revenue undertaking is given by:

Hardcopy (paper) import declaration form

- Signing the form that includes the revenue undertaking as part of the conditions. Part 2 of the contingency declaration form is required to be completed to identify the duty and GST liability.

CSV import declaration file

- Providing the revenue undertaking as part of the email that submits the CSV file to Customs and Border Protection. Duty and GST liability are mandatory fields within the file. The following wording must be included in the body of the email:

*If clearance is granted to take the goods identified in the attached contingency import declaration file into home consumption or for warehousing I undertake to give Customs and Border Protection a declaration, in any case not later than 24 hours after the CEO declares that the ICS is operative, providing all particulars in accordance with section 71L in respect of the goods, and pay any duty, pay or defer GST/WET/LCT or any other charge owing at the rate applicable at the time the clearance is granted and to comply with any condition to which this clearance is subject. Failure to comply with any of the conditions may result in penalty action being undertaken.*

Import Declarations lodged without the revenue undertaking cannot be processed and will be returned to the client with a request to complete that requirement.

#### **7.6.2. Community Protection**

Relevant community protection questions for Import Declarations must be answered and supplied as part of the contingency lodgement of those transactions. These questions can vary subject to the nature of the cargo.

Customs and Border Protection will investigate better solutions for identifying and meeting community protection requirements during a contingency and will consult with industry at the appropriate time.

The following interim processes must be followed when lodging an import declaration:

Hardcopy (paper) import declaration form

- A copy of the relevant community protection questions will be provided by Customs and Border Protection when lodging the import declaration at a Customs counter. These need to be completed before the import declaration will be accepted.

Import Declaration file – EDI users

- Answers to relevant community protection questions normally accompanying the lodgement of an EDI import declaration should be attached to the email if available. This should be cross-referenced to the relevant import declaration in the import declaration file by quoting the relevant senders reference for each set of questions attached.
- If the community protection questions are not available, and community protection questions are to be satisfied before clearance, Customs and Border Protection will send a return email with the relevant questions attached. Clients need to complete the questions, quote the senders reference, attach the CSV file and send to Customs and Border Protection as a new lodgement.

Import Declaration file – Customs Interactive users

- Community protection questions can be submitted with the import declaration file, where known, and cross-referenced to the import declaration file by quoting the relevant senders reference. If community protection questions are to be satisfied before clearance and are not attached, Customs and Border Protection will send a return email with the relevant questions attached.
- Clients need to complete the questions, quote the senders reference, attach the CSV file and send to Customs and Border Protection as a new lodgement.

**7.7. Sea Cargo Reports – Deferred to 24 Hours**  
(From first port arrival)

The requirement to lodge a sea cargo report for a vessel 48 hours out from first port arrival is deferred to:

- 24 hours out from first port arrival (refer Phase 4 – Outage Section); or
- The ICS becoming available (whichever comes first).

## **8. Outage – Phase 2**

To be invoked through the outage notification procedures within **2 hours** of the identification of client problems with the ICS. The problem does not have to affect all users for the phase to be invoked. It may relate to Customs Interactive users or EDI users or some, not all, users within those categories.

Phase 2 relates to:

- Phase 1 actions already invoked; and
- Screening of Import Cargo Reports

### **8.1. Screening of Import Cargo Reports**

The Cargo Report is the primary risk-evaluation document for Customs and Border Protection. During contingency, this report will be temporarily substituted by a contingency cargo report containing a reduced number of agreed mandatory fields of information.

## **9. Outage – Phase 3**

To be invoked through the outage notification procedures within **4 hours** of the identification of client problems with the ICS. The problem does not have to affect all users for the phase to be invoked. It may relate to Customs Interactive users or EDI users or some, not all, users within those categories.

Phase 3 relates to:

- Phase 1 actions already invoked;
- Phase 2 actions already invoked;
- Screening of Import Declarations; and
- Submitting the Cargo List Report (empty containers only).

### **9.1. Imports – Import Declarations**

Phase 3 of an ICS outage is when the processing of Import Declarations will formally be invoked.

Multiple entries can be made on the same CSV Import Declaration file or hardcopy (paper) form where those import declarations apply to goods located at the same establishment.

Each Contingency Import Declaration lodgement should quote the same sender's reference that will be used in the recovered version of the declaration, to assist in reconciliation.



Nature 20 declarations for goods being entered for warehousing may be made in the same manner as described in this section. No duty or GST calculations are, of course, required.

Contingency declarations will only be accepted during a declared contingency period for cargo requiring clearance within 24 hours of lodgement

#### **9.1.1. Revenue Undertakings**

Requirements and procedures are as identified in Section 7.6.1.

#### **9.1.2. Community Protection**

Requirements and procedures are as identified in Section 7.6.2.

#### **9.1.3. Postal Declarations and Clearances**

##### **9.1.3.1. Imports**

A large number of postal Import Declarations are manually submitted at Customs counters, and many of these are from one-time or occasional importers.

During a declared outage, Customs and Border Protection will not be able to input hardcopy (paper) Import Declarations on a “while-you-wait” basis. Clients will be informed that these entries will be accepted and subsequently input on resumption of the system. As the final duty and GST liability cannot be confirmed before input, payment cannot be accepted at this time. It is not feasible to release goods on an undertaking to this group of clients.

When the declaration has been input into the system following recovery, notification of the payment options will be forwarded to the client, as well as the collection options available.

It is important to note that Customs and Border Protection existing service standard for manual entries is already set at finalisation by the close of the next working day, provided complete and accurate details have been provided.

Customs and Border Protection will enter the details of the tariff classification and origin into the contingency database at the time of accepting the lodgement, to ensure that all community protection questions and issues have been satisfied before the client leaves the premises.

Declarations for postal goods from brokers will be processed in accordance with the rules for other Import Declarations.

**9.1.3.2. Exports**

Postal Export Declarations will continue to be processed to existing service standards during a contingency – that is, finalisation by the close of the next working day, provided complete and accurate details have been provided.

Where an exporter requires Urgent Customs Clearance, they should contact the CI&SC – refer Section 3.1.3.

**9.2. Cargo List Report**

The Cargo List report has been provided to allow shipping companies the ability to report the movement of empty containers. Other functions normally provided by this report are not required during an outage.

**10. Outage – Phase 4**

To be invoked through the outage notification procedures **24 hours** after the identification of client problems with the ICS. The problem does not have to affect all users for the phase to be invoked

Phase 3 relates to:

- Phase 1 actions already invoked;
- Phase 2 actions already invoked;
- Phase 3 actions already invoked; and
- Requirement to report sea cargo 24 hours from first port arrival.

**10.1. Cargo Reports (Sea) 24 hours from First Port Arrival**

The requirement to provide Cargo Reports for vessels 48 hours from first port arrival was deferred in Phase 1 to 24 hours from first port arrival. Procedures for reporting are identical to those identified in Phase 2 – Screening of Import Cargo Reports.

Contingency reports submitted and processed will apply for all ports that the vessel will berth in Australia. When the ICS becomes available, contingency reports processed will cease to apply for the next port visited that is greater than 24 hours away for that vessel.

**11. Cargo Reported pre-ICS Outage - No Status or Not Yet Finalised**

The procedure for all transactions that have been lodged with the ICS prior to an outage, but have yet to receive a response or have not been finalised, will be treated the same as those not yet lodged.

If the subsequent electronic status of the cargo differs from that received under the contingency evaluation process after the system has again become operational, the contingency screening status takes precedence and cargo may

continue to move unless the reporter is contacted by Customs and Border Protection in relation to specific consignments. Note that this only applies if the contingency number is still valid – refer Section 18.3 – Lag Time for Contingency Numbers.

## **12. Requirements by Transaction Type Not Identified in the Outage Phases**

The following transaction types are not specifically identified in the transaction types identified in Phases 1 to 4 above – see Sections 7 to 10.

### **12.1. Self Assessed Clearances**

Cargo Report Self Assessed Clearances (SACs) will be screened at the time of the lodgement of the Cargo Report and when clear, will be granted a Contingency Screening Number (CSN). Provided goods have clearly been identified as SAC goods, and all AQIS requirements have been met, the issuing of the CSN is sufficient for the delivery of the goods. SAC goods are only expected to be identified at the lowest bill level, generally from deconsolidated cargo.

SACs for alcohol or tobacco are not to be released by this method. A Contingency Import Declaration form should be submitted identifying these goods and clearance obtained before releasing these goods. Full declaration format SACs will require the same procedure as Import Declarations.

### **12.2. Transhipments**

Transhipments may be moved between Customs licensed premises through the underbond movement process (refer Phase 1).

Transhipments that are required to be exported prior to the ICS becoming available must be reported through the same underbond movement process using the gaining establishment code of 'Overseas'.

When the system has been recovered, the transhipment number generated by the ICS must be quoted on the outward manifest of the exporting flight for reconciliation. The Customs Act allows the outward manifest to be lodged up to 3 days post export.

### **12.3. In-Transit Reports**

The reporting of In-Transit goods is not required to be submitted during a contingency, but must be submitted on recovery of the system. Nevertheless, Customs and Border Protection and AQIS will monitor and may impede high risk in transit cargo during a contingency.

## **12.4. Securities**

If an entry being cleared under contingency is subject to a requirement to lodge a security, the security or equivalent undertaking must also be presented with the application for contingency clearance.

## **12.5. Refunds & Drawbacks**

It is expected that refunds and drawback processing will largely be suspended during a contingency period. However it is acknowledged that specific legislative timeframes apply to these applications, and so may be applied for during an outage. If the new electronic drawback lodgement facility is unavailable and an urgent lodgement is necessary, a manual entry may be lodged over the counter to be time stamped in accordance with established procedure.

If a case can be made to Customs and Border Protection for an immediate need to obtain a refund, a one-off payment disbursement through the financial system could be considered. Manual applications may still be received and will be accepted and recorded as being lodged for legislative deadline purposes, but cannot be processed until the system has recovered.

## **12.6. Warehoused Goods:**

Warehoused goods requiring urgent clearance should be subject to the same arrangements as those detailed for Import Declarations (urgent clearance) in Phase 1 of an outage – refer Section 7.6.

Goods that are being cleared routinely on weekly settlement permissions may continue to be moved during a contingency period. Electronic returns falling due within the contingency period should be compiled, and lodged immediately upon resumption of the ICS.

## **12.7. Unaccompanied Personal Effects**

Processes for moving and processing Unaccompanied Personal effects (UPEs) initially follow the same processes for other transaction types:

- Underbond moves are submitted and approved for UPEs to move between Customs licensed premises (Phase 1 of an outage); and
- Cargo Reports are submitted for UPEs and processed with status returned to the reporting party (Phase 2 of an outage).

Current Customs and Border Protection manual procedures then apply:

- Documentation is submitted at a Customs counter for assessment;
- Customs and Border Protection will process the documentation and provide manual clearance.

- Manual clearance will include the caveat “Subject to Quarantine clearance”.
- Informal clearance will be actioned by Customs and Border Protection in the ICS when it becomes available.

Current AQIS procedures apply:

- AQIS will assess all UPEs and then risk assess items for further inspection/action.
- Those shipments either not requiring AQIS action or the AQIS action has been completed will receive a manual clearance which will be presented to the HVSO.

### **13. Backup Procedures – Contingency Systems**

All attempts have been made to provide electronic systems for communication of contingency data to provide an effective and timely service to industry when contingency movement or release is required.

The primary tool, to communicate electronic contingency data to the CI&SC is email through the [ICSBCP@customs.gov.au](mailto:ICSBCP@customs.gov.au) email address, as documented in the BCP. When the email functionality is unavailable, the following arrangements will apply:

#### **13.1. First Backup**

For CI&SC email:

Should the CI&SC email be unavailable:

- The [ICSBCP@customs.gov.au](mailto:ICSBCP@customs.gov.au) email would be redirected to another region.
- No impact on industry clients.

#### **13.2. Second Backup**

For national email:

If all email communications with Customs and Border Protection is unavailable:

- Industry clients present completed contingency files on compact disks (Read/Write) at Customs counters nationally – refer Attachment A for location details.
- Evidence of Identity checks would not be required.
- Customs and Border Protection would process the contingency file, update the file with status and provide a copy to the client on the same disk as originally presented.

### 13.3. Third Backup

Customs and Border Protection is unable to process electronic files:

Customs and Border Protection maintains the ability to process electronic contingency files in capital cities nationally over separate standalone PCs, as required. Processes can even be met through notebooks operating on batteries for limited periods should power failures occur. However, should a situation arise that Customs and Border Protection is unable to process electronic contingency files, the final backup is the reversion to hardcopy (paper) transactions. The following process would apply:

- Evidence of Identity processes for hardcopy (paper) transactions would be suspended.
- Transactions would be accepted at Customs counters (refer Attachment A).
- Movement and release of cargo would be through contingency forms endorsed and stamped by Customs and Border Protection and presented by clients to appropriate establishments.
- Customs and Border Protection and AQIS would resource key establishments and manually intervene in cargo movements, as required.
- Service standards would be based on best endeavours and prioritisation of transactions as stated previously in the plan.

## 14. Electronic File Specifications

### 14.1. Notes on CSV File Formats and Outputs

- Cargo Report. Once the file is processed **2 additional fields**: (a) **Customs Status** of 'Held' or 'Screening No', and (b) **AQIS status** of 'Held' or 'Clear' will be added and sent back to client.
- Export Declaration. Once the file is processed **1 additional field**: **Customs Status** of 'Held' or 'Screening No' will be added and sent back to client.
- Export Sub - Manifest. Once the file is processed **1 additional field**: **Customs Status** of 'Held' or 'Screening No' will be added and sent back to client.
- Import Declaration. Once the file is processed **1 additional field**: **Customs Status** of 'Held' or 'Screening No' will be added and sent back to client.
- Underbond Movement. Once the file is processed **1 additional field**: 'Screening No' or 'Not Approved' will be added and sent back to client.
- Cargo List Report. An email message stating 'Approved' or 'Not Approved' will be sent back to client.
- Impending Arrival Report - Sea. An email message stating 'Approved' or 'Not Approved' will be sent back to client.

- Impending Arrival Report - Air. An email message stating 'Approved' or 'Not Approved' will be sent back to client.
- Actual Arrival Report - Sea. An email message stating 'Approved' or 'Not Approved' will be sent back to client.
- Actual Arrival Report - Air. An email message stating 'Approved' or 'Not Approved' will be sent back to client.
- Departure Report. An email message stating 'Approved' or 'Not Approved' will be sent back to client.
- The final specifications for all the transaction types are in 'green' - one file specification is provided for all transaction types. As a result, it may be necessary for "blanks" separated by commas to be included where that field is not relevant to the particular industry client.
- Also included (at the right of the file specifications) are definitions from the 'Software Developer's Guide' as a guide to field size used.
- The Naming convention for file names and subject heading for emails are also included in the attached file.
- The CSV files must not include any commas, inverted commas, brackets or slashes within the data provided against any field.

## 14.2. File Specifications and Naming Conventions



- Please note that the file specifications may have been altered. Up-to-date file specifications are maintained on the Customs website ([www.customs.gov.au](http://www.customs.gov.au))

## 15. Specific Export Issues

### 15.1. Cargo Terminal Operators (CTOs)

#### 15.1.1. Slow Response Times – Air CTOs

It is recognised that there may be periods where the Customs and Border Protection systems have not provided a response to exports transactions within the normal standards and there is a potential delay between resolution of these performance incidents and the declaring of a formal ICS outage.

It is recognised that Air CTO reporting for exports has unique time pressures and some cargo consignments may need to be loaded urgently.

Under such circumstances, Customs and Border Protection will allow the following procedure for **Air CTO Receivals only**:

If the Air CTO is in possession of a valid CAN they may load cargo **only when all of the following have been satisfied**:

- A response has not been received from the ICS 15 minutes after an EDI transaction has been transmitted.
- The current delay is not within a traditional period of high activity, and the delayed response time is in line with the expected level of performance for this period.
- Customs and Border Protection has been notified through the CI&SC (refer Section 3.1.3 - Contingency Management and Contacts) that the CTO has either not received an EDI response to the transaction immediately after the 15 minute period or that the ICS has failed to process the document.
- The scheduled departure of the aircraft requires cargo to be loaded urgently, and
- Customs and Border Protection has granted approval for the loading to continue, subject to any conditions imposed.

Under these circumstances, both parties must conduct an investigation to determine where the delay is occurring. Receipt of any delayed responses indicating a “do not load” status must be communicated to Customs and Border Protection. The CTO must make every reasonable effort to retrieve cargo that has been received under these circumstances and not yet loaded, where a subsequent “do not load” status is provided.

Customs Interactive provides a facility to check the document status of individual consignments. If EDI transactions are not responding, and Customs Interactive is operational, a check of the document status of the consignment should be also undertaken. Only goods having a clear document status should be loaded.

#### **15.1.2. Use of Contingency Numbers during and after a declared outage**

It is the responsibility of Exporters and Freight Forwarders to ensure that contingency numbers used to deliver cargo to Cargo Terminal Operators (CTOs) are valid and clear.

CTOs may load cargo delivered under a CAN or C-CAN during a declared outage or when the ICS is available:

- C-CANs received during normal operations must be cited on the following electronic Export messages: CTO Receipt / Removal notices, Sub-Manifests and Main Manifests and may be loaded when authority has been given by Customs and Border Protection;
- Cargo, delivered under a CAN that has been reported by the CTO immediately prior to a declared outage and for which a movement status has not been received, may be loaded until the resumption of the ICS.
- C-CANs or CANs received during an ICS outage can be loaded once the validity of the C-CAN or CAN is confirmed.



## 15.2. EXDOC Outages

In the event of EXDOC being unavailable for processing of AQIS permits or access to the ICS, AQIS will provide an alternative arrangement for the processing of EXDOC permit applications. EXDOC clients should direct enquiries regarding EXDOC Business Continuity Plans to the AQIS EXDOC Help Desk.

If EXDOC is unavailable:

- AQIS will issue manual export permits and provide information to clients.
- Exporters or their agents will provide documentation directly to Customs and Border Protection.
- AQIS will consider further submissions for assistance from exporters on a case-by-case basis.

AQIS actively encourage clients to have the following contingency arrangements in place:

- Clients have obtained digital certificates and are registered users in the ICS.
- Have an option to use 3rd parties to lodge contingency export documents on their behalf.

## 16. Client Systems Unavailability

It is the responsibility of industry to have contingency plans in place for when their IT systems or their service provider are unavailable.

Customs and Border Protection will however attempt to assist industry clients where client systems are unavailable and where contingency plans are not in place or not workable. However, this assistance is subject to competing priorities, time limits and hence resource availability within Customs and Border Protection.

Requests for assistance are more likely to be met where the client can provide contingency data in an electronic form and through the processes described within this plan.

Clients that have IT system or communication problems should:

- Notify the CI&SC immediately the problem occurs through the “Urgent Customs Clearance” number (02-62756100).
- Identify what actions are being taken to rectify the problem;
- Identify urgent transactions that need to be processed;
- Identify if they can lodge the Underbond Movement, Cargo Report and/or Import/Export Declaration through the electronic processes outlined in this paper under the various phases.

Customs and Border Protection will:

- Assist the client with rectifying problems where able through escalation of the issue to internal technical support areas.
- Provide contingency release for urgent transactions through the processes under the various phases particularly where data can be provided in the electronic form prescribed.
- Assess the down stream impact on clients of contingency transactions processed and take appropriate communication and procedural action. For example, if the client is a cargo reporter, the clearance of Import Declarations related to those reports will need to be monitored with appropriate action taken if the clients system is not readily fixed.
- If clients are not able to provide transactions in electronic form, the CI&SC will assess what resources are available to manually clear the transactions. No guarantees can be given that the required resources will be available in the timeframe requested by the client.

## **17. Business Resumption Arrangements – Message Recovery Rate**

While the Customs legislation requires that information must be recovered within 24 hours of the Customs and Border Protection system becoming operational again, reports for goods already cleared through the contingency process are not required to be submitted immediately. Customs and Border Protection expects that reports for cargo transactions that are held over in industry systems from an outage, that need to be submitted to Customs and Border Protection, will be submitted in accordance with the following guidelines.

### **17.1. Industry Communicator System Outages**

In the event that a communicator's system experiences an outage, and during that outage 1500 or more business messages<sup>1</sup> will be generated that will need to be sent to the ICS on resumption of normal operation, the communicator should contact the CI&SC – refer Section 3.1.3. The communicator should notify the CI&SC of the outage, and the expected recovery time. This will allow Customs and Border Protection to consider any impacts of the outage or the anticipated recovery. Prior to the system's recovery the communicator should organise an agreed time for the backlog of messages to be sent to Customs and Border Protection with the CI&SC.

If a communicator has a backlog of 1500 or more business messages and is unable to resume operations without sending the backlog to Customs and Border Protection immediately the communicator should contact the CI&SC to organize an agreed time for their system to resume operation before recommencing the sending of messages to Customs and Border Protection. If a communicator is able to resume normal operations and only send messages generated for Cargo

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<sup>1</sup> Not including control messages.

operations taking place after the system has been restored, the sending of those messages can recommence at the communicator's convenience.

During a communicator's system recovery and the sending of any backlog, the ICS will be processing regular business, an objective of the recovery is to have minimal impact on the processing of regular business. The following guidelines are in support of that objective. A communicator processing a backlog of messages should do so at a rate no greater than 1000 messages being sent to Customs and Border Protection in any 15-minute period unless otherwise agreed with Customs and Border Protection. Any capability of communicator's system to resend messages that are not responded to by the ICS in a specific period of time (i.e. 30 minutes) should be disabled during the processing of message backlogs.

If a communicator has generated less than 1500 business messages due to operations conducted during the outage that needs to be sent to the ICS after the normal operations are resumed, the communicator should send these messages to the ICS between the hours of 6pm and 9am of any day. A maximum rate of 1000 business messages for any 15-minute period and the disabling of and resend capability should also be observed in this case. If there are any special requirements the communicator should contact the CI&SC.

## **17.2. ICS Outages**

In the event that the ICS experiences an extended outage of three hours or greater guidelines for the management of the outage and the recovery to normal processing will be as follows.

All communicators should cease to send messages to the ICS as soon as an extended outage is declared. Messages sent to the Customs system during and unscheduled outage may not be able to be received or processed by the system on recovery, due the activities that may be necessary as a part of the recovery process.

When the ICS has been recovered the CI&SC will issue a notice indicating that normal business processing can be resumed.

Customs and Border Protection may at its discretion issue specific instructions regarding when or how communicators need to send message backlogs to Customs and Border Protection that have been held over in industry systems during the outage. If Customs and Border Protection does not indicate any specific information regarding the sending of message backlogs the following guidelines will apply.

If a communicator has generated 1500 or more business messages related to cargo operations conducted during the outage, that need to be sent to the ICS after the normal operations are resumed, the communicator should contact the

CI&SC to organize an agreed time for the backlog to be sent to Customs and Border Protection.

If a communicator has a backlog of 1500 or more business messages and is unable to resume operations without sending the backlog to Customs and Border Protection immediately the communicator should contact the CI&SC to organize an agreed time for their system to resume operation before recommencing the sending of messages to Customs and Border Protection. If a communicator is able to resume normal operations and only send messages generated for Cargo operations taking place after the system has been restored, the sending of those messages can recommence at the communicator's convenience.

After the ICS has been recovered and during the submission of any backlog by industry communicators the ICS will also be processing regular business, an objective of the recovery will be to have minimal impact on the processing of regular business. The following guidelines are in support of that objective. A communicator processing a backlog of messages should do so at a rate no greater than 1000 messages being sent to Customs and Border Protection in any 15-minute period unless otherwise agreed with Customs and Border Protection. Any capability of communicator's system to resend messages that are not responded to by the Customs system in a specific period of time (i.e. 30 minutes) should be disabled during the processing of message backlogs.

If a communicator has generated less than 1500 business messages due to operations conducted during the outage that needs to be sent to the Customs system after the normal operations are resumed, the communicator should send these messages to the ICS between the hours of 6pm and 9am of any day. A maximum rate of 1000 business messages for any 15-minute period and the disabling of the resend capability should also be observed in this case. If there are any special requirements the communicator should contact the CI&SC – refer Section 3.1.3.

## **18. Business Resumption Arrangements – Specific Requirements**

Customs legislation requires that goods declared during an ICS outage be reported in the ICS upon resumption of system operation. In accordance with Section 126E of the Customs Act 1901, recovery reports must be submitted to the ICS within 24 hours of the CEO of Customs and Border Protection causing notice to be given that the system has become operative. Under circumstances where a declared outage is greater than 24 hours, Customs and Border Protection will take a reasonable approach to the issuing of infringement notices for late recovery reporting and will take into account both the volume of data to be recovered and the duration of the outage.

## 18.1. Exports

The following documents must be lodged upon recovery of the ICS:

- Export Declarations
- Export Consolidation Sub-Manifests
- Export Main Manifests
- Export Periodic Declarations
- Departure Reports
- Export Declarations, which would normally be processed manually at Customs counters, will continue to be processed during a declared outage and recovered by Customs and Border Protection.
- CTO notices stored in a CTO system during an outage will also need to be lodged by CTOs following recovery of the ICS.

### 18.1.1. Recovery of Export Declarations

Recovery Export Declarations submitted to the ICS must adhere to the following process in order for industry clients to avoid follow up action by Customs and Border Protection.

1	<p>Input the Export Declaration into the ICS (Via EDI or Customs Interactive)            Complete the mandatory fields required for an Export Declaration.            Quote the C-EDN used to export the goods in the Unique Consignment Reference field.            Quote the date of lodgement in the intended date of export field (rather than the actual proposed date of export), as the ICS will not accept a date in the past. Customs and Border Protection and other relevant bodies including the ABS will access the actual date of export via the manifest information.            Set the Goods Export Type to "Postal" so that the export declaration will self-acquit.            If the goods are prescribed Warehouse goods, include the Establishment Id of the Warehouse the goods are being taken from and set the Customable/Excisable<sup>2</sup> indicator to "YES".</p>
2	<p>Obtain an ICS Response Message</p> <p>The ICS will generate an Export Declaration Number (EDN) and will acquit the Export Declaration automatically.            The C-EDN will be used to reconcile Customs and Border Protection own records with documents received and processed during a declared outage and Customs and Border Protection will conduct compliance activity where required.            Exporters who receive subsequent self-acquitting EDNs are to retain them with the information that was used to obtain the C-EDN for those goods.</p>

### 18.1.2. Recovery of Export Consolidation Sub-Manifests

Consolidations exported during a declared outage will most likely comprise CANs (for Export Declarations lodged prior to the outage), ACEANs and C-CANs. All CANs and ACEANs are to be reported as normal in the line details of the Sub-Manifest. Goods covered by a C-CAN are to be reported as such.

1	<p>Input the Export Consolidation Sub-Manifest into the ICS (EDI or Customs Interactive)</p> <p>Complete the mandatory fields required for an Export Consolidation Sub-Manifest.</p> <p>The first line of an ESM lodged in recovery must cite the C-CRN under which the consolidation was exported by citing the exempt code "EXCC" and quoting the C-CRN in the "C-CAN" field (CI) or appropriate RFF segment (EDI).</p> <p>Consolidations that contain goods covered by C-EDN must report each line by citing the exempt code "EXCC" and quoting the C-EDNs in the "C-CAN" field (CI) or appropriate RFF segment (EDI).</p> <p>Quote the date of lodgement in the date of departure field.</p>
2	<p>Obtain an ICS Response Message</p> <p>The ICS will generate a Consolidation Reference Number (CRN).</p> <p>C-CANs, EDNs and other CRNs listed as lines on Sub-Manifest will be used by Customs and Border Protection to reconcile with documents received and processed during a declared outage and Customs and Border Protection will conduct compliance activity where required. Where C-CRNs have been provided under contingency for an outward manifest, <u>the lodgement of the manifest should be delayed until either the legislated threshold for lodgement has been reached (three days), or the recovered CRNs from the ICS have been provided.</u> Under some circumstances, particularly in the sea environment where some shipping systems require a load status before manifesting can be undertaken, Customs and Border Protection may acquit the recovery information against the main manifest</p>

Clients recovering consols will obtain ICS generated CRNs. If those CRNs form part of larger consols they should be reported to the party responsible for lodging that consol. That party should amend their consol to include the recovered CRNs.

#### 18.1.3. Recovery of Export Main Manifests

Main manifests are required to be reported within 3 days of date of departure. However, consideration should be given to the fact that they may include CANs (for Export Declarations lodged prior to the outage), ACEANs, C-CANs and CRNs ('consolidations' and 'slots') reported before and after a declared outage.

1	<p>Input the Export Main Manifest into the ICS (EDI or Customs Interactive)</p> <p>Complete the mandatory fields required for an Export Main Manifest.</p> <p>Goods covered by C-CAN are to be reported at line level by citing the exempt code "EXCC" and quoting the C-CANs in the "C-CAN" field (CI) or appropriate RFF segment (EDI).</p> <p>Goods covered by a CRN are to be reported as normal.</p> <p>Quote the actual date of departure in the date of departure field.</p>
2	<p>Obtain an ICS Response Message</p> <p>The ICS will generate a Main Manifest Number (MMN).</p> <p>C-CANs and CRNs listed as lines on the main manifest will be used to reconcile Customs and Border Protection own records with documents received and processed during a declared outage and Customs and Border Protection will conduct compliance activity where required. Under some circumstances, Customs and Border Protection may acquit the recovery information against the main manifest.</p>

#### 18.1.4. Recovery of Export Periodic Declarations

Upon recovery of Customs systems, all Periodic Declarations that were due to be reported during the declared outage should be reported to Customs and Border Protection. This report should only include a list of valid ACEANs, as all goods covered by a C-CAN will be self-acquitting and recovered under the process outlined to Export Declarations under section 10.1.

### 18.1.5. Recovery of Departure Reports

<b>1</b>	<b>Input the Departure Report into the ICS (EDI or Customs Interactive)</b> Complete the mandatory fields required for a Departure Report quoting the actual date and time of departure.
<b>2</b>	<b>Obtain an ICS Response Message</b>
	The ICS will generate clear response message.

### 18.2. Imports

The following documents must be lodged upon recovery of the ICS:

- Impending Arrival Report;
- Actual Arrival Report;
- Underbond Moves;
- Cargo Report;
- Import Declarations;
- In-Transit Reports;
- Progressive Discharge Report;
- Discharge cargo outturn reports;
- Report of stores and prohibited goods;
- Receipt outturn reports; and
- Cargo List Report.

Unlike exports transactions/documents, there are no identifiers to be added (including contingency numbers) as part of the data recovery process. This will be a task for future development by Customs and Border Protection.

### 18.3. Lag Time for Contingency Numbers

If a contingency number for risk assessment, movement or entry has been issued; it will remain a valid number for a period not exceeding 24 hours following notification that the ICS is again available. The exception is Cargo Terminal Operators – refer Section 15.1.2.

## 19. BCP Review

Regardless of any agreement between Customs and Border Protection, AQIS and Industry, any part of the BCP process may be subject to review, particularly if a subsequent outage reveals inadequate arrangements in any part of the process.

If a declared outage extends beyond 24 hours, Customs and Border Protection will closely monitor the contingency processes. An update will be provided through the advertised notification channels regularly, including any variations to the listed procedures, to ensure that the movement of cargo is not unnecessarily impeded.

### **19.1. Testing**

Customs and Border Protection will undertake internal and external testing of the BCP procedures, and will continue to routinely test the arrangements each year.

Individual companies may wish to test their own reporting files and BCP processes as they are developed. These tests should be arranged through the CI&SC on 1300 558 099.

### **19.2. Comments & Feedback**

Any comments or feedback in relation to this paper should be directed to Rodney Vaughan, Director Customs Information and Support Centre at [rodney.vaughan@customs.gov.au](mailto:rodney.vaughan@customs.gov.au)



## Attachment A Customs Counter Locations

Contingency hardcopy (paper) transactions can generally be lodged at Customs counters between the hours of 0900 to 1700 (local port time) – Monday to Friday. Variations to these times will be advised through the ICS outage notification processes – refer Section 3.1.1.

Contingency data cannot be faxed or mailed.

Evidence of identity processes will be applied before contingency data is accepted by Customs and Border Protection – refer Attachment B for details of EOI processes and document requirements that are needed to satisfy this process.

Region	Location	Customs Counters
NSW	Sydney	Customs House, Ground floor, 10 Cooks River Drive, Sydney International Airport
	Newcastle	Customs House 28 Honeysuckle Drive
	Wollongong	Customs House 23 Ellen Street
	Coffs Harbour	Customs House Marina Drive
	Eden	Customs House 253 Imlay Street
	Richmond RAAF Base	Australian Customs and Border Protection Service Air Terminal Building RAAF Base Percival Street
	Lord Howe Island	Lord Howe Island Police Station T.C.Douglas Drive
VIC	Melbourne	Customs House 1010 LaTrobe St Melbourne  Level 1 Cnr Grants and Service Rd Melbourne Airport
	Portland	1 Cliff Street
	Geelong	Customs House Corio Quay West Corio Quay Rd North Shore VIC 3214
QLD	Brisbane	Customs House 20-22 The Circuit Brisbane Airport Ground Floor, Brisbane Intl Terminal, Brisbane Airport

	Coolangatta	Customs House Coolangatta Airport
	Bundaberg	1/5 Targo Street
	Gladstone	31 Lord St
	Mackay	Customs House Mulherin Dr
	Cairns	1 <sup>st</sup> Floor AAC Building, International Airport Cairns International Terminal Building, Airport Drive, Cairns
	Thursday Island	Victoria Parade
	Weipa	Customs House Evans Landing
	Townsville	5 <sup>th</sup> floor 61-73 Sturt Street
<b>WA</b>	Fremantle	Customs House, 2 Henry St
	Esperance	1 Port Beach Place
	Albany	Lot 49 Bolt Terrace
	Bunbury	Inner Harbour Rd,
	Geraldton	7 Francis St,
	Carnarvon	Lot 2 Harbour Rd,
	Dampier	Customs House Nielsen Place
	Port Hedland	Cnr The Esplanade/ Richardson St
	Broome	397 Port Dve
	Christmas Island	Police Station, Gaze Rd,
<b>SA</b>	Adelaide	Customs House 220 Commercial Road Port Adelaide
<b>NT</b>	Darwin	Customs House Ground Floor 21 Lindsay Street
<b>TAS</b>	Hobart	Hobart Office L1, 25 Argyle Street
	Burnie	Burnie District Office 24 Wilmot Street
	Launceston	89 The Esplanade
<b>ACT</b>	Canberra	Ground floor, Customs House, 5 Constitution Ave Canberra City.

## Attachment B      Acceptance of Hardcopy (paper) Contingency Data

Customs and Border Protection will accept hardcopy (paper) contingency data though the success of the current BCP plan relies heavily on industry, in the main, submitting electronic contingency data.

Customs and Border Protection will not accept faxed or mailed contingency data.

Hardcopy contingency data must be submitted in person at a Customs counter – refer Attachment A for a list of Customs counters.

Clients will be required to provide evidence of identity (EOI) prior to contingency data being accepted.

### Documents to Support EOI Checks

Documents supporting evidence of identity, with their points value, are detailed below.

- Total points to be provided must total 100.
- At least one document presented as evidence of identity must be a **primary document**.
- If a **current photograph** is not provided by the primary document, then it must be provided as part of a secondary document.
- If the **name** shown on the primary document differs from the name shown in the secondary documents, proof of the reason for that name change must be provided. This proof does not count towards the 100 point check.

Document type	
Points	
<b>Primary documents</b>	<b>70</b>
<ul style="list-style-type: none"> <li>• a full birth certificate</li> <li>• an Australian Citizenship Certificate</li> <li>• an International Travel Document: <ul style="list-style-type: none"> <li>○ Passport - current</li> <li>○ Passport - expired within last 2 years, but not cancelled</li> <li>○ Other document of identity having the same characteristics as a passport</li> </ul> </li> </ul>	
<b>Secondary documents</b> - including photograph or signature of client	<b>40</b>
<ul style="list-style-type: none"> <li>• a licence or permit issued under a law of the Commonwealth, a State or Territory (for example, an Australian driver's licence or an Australian shooter's permit)</li> </ul>	

**Document type**

- a public service employee identity card
- an identification card issued to a student at tertiary education institute
- an identification card issued by the Commonwealth, a State or Territory as evidence of a person's entitlement to a financial benefit

**Other documents**

- Mortgage documents
- a letter from employer (current or within last two years)
- a rating notice (e.g. land rates)
- a marriage certificate (for maiden name)
- a credit or debit card
- a council rates notice
- a Medicare card
- a foreign driver's licence

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