



Australian Government

Australian Quarantine and Inspection Service

SCHEDULE

**Automatic Entry Processing (AEP)
for Commodities Scheme**

Reference No. 0016

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Version 2

DEPARTMENT OF AGRICULTURE, FISHERIES, AND FORESTRY

1. PURPOSE

The purpose of this Schedule is to set out the requirements to be met by an Other Party when operating under the AQIS *Automatic Entry Processing (AEP) for Commodities Scheme* (the *Scheme*).

2. SCOPE

This Schedule is limited to the assessment of documentation for consignments of specific commodities approved by AQIS, that have commodity-related quarantine concerns, and the self-direction of these consignments.

This Schedule applies to Other Parties who receive documentation for commodities as defined in the Processes and Outcomes Document for the *Scheme* and subsequently lodge entries via the Customs Integrated Cargo System (ICS).

3. DEFINITIONS

This Schedule is to be read in conjunction with the AQIS Compliance Agreement Generic Glossary that may contain words and/or phrases that have special meaning within the context of the *Scheme* or the Compliance Agreement of which it forms a part. Further Scheme specific terms are defined below.

<i>Term</i>	<i>Meaning</i>
Accredited Person	A person employed or contracted by the Other Party who has successfully completed the Scheme training course and any subsequent training.
Customs System	ICS or any other system used by the Australian Customs Service.
ICS	The Australian Customs Service I ntegrated C argo S ystem.

4. APPLICABLE LEGISLATION

- 4.1 Landed Cargo in Quarantine: Section 44B of the *Quarantine Act 1908 (Cth)*.
- 4.2 Approvals for the purpose of goods ordered into quarantine: Section 46A of the *Quarantine Act 1908 (Cth)*.
- 4.3 Compliance Agreements: Section 66B of the *Quarantine Act 1908 (Cth)* and Quarantine Regulations 72-74.
- 4.4 Penalties for certain acts performed in contravention of the Act: section 67(6) of the *Quarantine Act 1908 (Cth)*.
- 4.5 Direction to move goods: Section 70D of the *Quarantine Act 1908 (Cth)*.

5. PRE-REQUISITES

- 5.1 The Other Party must have the ability to receive, open and read electronic mail messages (e-mail) with attached HTML documents.
- 5.2 The Other Party must employ or contract an Accredited Person to carry out the activities specifically designated to an Accredited Person within the Processes and Outcomes Document (POD) for the *Scheme*.
- 5.3 *FCL Consignments*
In order to process FCL consignments under the *Scheme*, the Other Party must be a signatory to and operate under the *Automatic Entry Processing (AEP) for FCL Scheme*.
- 5.4 *LCL Consignments*
In order to process LCL consignments under the *Scheme*, the Other Party must be a signatory to and operate under the *LCL Packing Scheme*.
- 5.5 *Other applicable schemes*
If there are any other applicable non-commodity schemes that may operate in conjunction with the *Scheme*, the Other Party must be a signatory to and operate under those non-commodity schemes.

6. REQUIREMENTS

- 6.1 *Mandatory Requirements*
The Other Party under this Schedule must comply with the following requirements:
- (i) The Other Party must ensure that Accredited Persons assess quarantine commodity documentation in accordance with the Processes and Outcomes Document (POD) for the *Scheme*.
 - (ii) The Other Party must ensure that the assessment of quarantine commodity documentation by Accredited Persons is accurately reported to AQIS through the use of AQIS Processing Types.
- 6.2 *Outcomes*
The Other Party must exercise care, skill and diligence in ensuring that any action taken in respect of the procedures as outlined in the POD for the *Scheme*, are in accordance with AQIS requirements.
- 6.3 *Compliance with Processes and Outcomes Documents (POD)*
The Other Party must implement and operate the system of procedures described in the POD relating to this Schedule (as listed in the Table of Schedules) to ensure that the specified outcomes are achieved.

6.4 *Specific critical procedural requirements*

- (i) The Other Party must co-operate with AQIS and provide relevant information as requested.
- (ii) The Other Party must ensure that only Accredited Persons undertake tasks within the POD specifically designated to Accredited Persons.
- (iii) The Other Party must comply with all Quarantine directions.

6.5 *Record keeping*

- (i) The Other Party must ensure that the following categories of records and documents, relating to the procedures for goods covered by this Schedule, are maintained and kept up-to-date:
 - (a) The Schedule; and
 - (b) The Processes and Outcomes Document (POD) (as listed in the Table of Schedules).
- (ii) The Other Party must ensure that the following categories of records and documents, relating to supervising, monitoring and testing compliance with the procedures for goods covered by the Schedule, are created, maintained and kept up-to-date:
 - (a) Register of Accredited Persons; and
 - (b) Records as prescribed in Section 6 of the Processes and Outcomes Document (POD) for the *Scheme*.
- (iii) The Other Party shall keep records and documents stated in sub-paragraphs (i) and (ii) above at the premises where the procedures authorised by the agreement are conducted. If the Other Party chooses to keep the above mentioned documents in a place other than at the premises where the procedures authorised by the agreement are conducted, the Other Party must provide the record and documents to a Quarantine Officer on request within 24 hours of such request.
- (iv) The Other Party must keep the records and documents mentioned in sub-paragraphs (i) and (ii) above for a minimum period of 18 months from the date the record was created.

6.6 *Examinations or services conducted by the Commonwealth for which a fee will be charged*

- (i) The Other Party acknowledges that failure to adhere to the requirements of the *Scheme* may compromise quarantine integrity. AQIS will monitor the Other Party's compliance with the agreement and performance against the POD using a specified audit regime and random surveillance activities. The types of audit that will be applicable to the *Scheme* and for which AQIS will charge fees under section 86E of the Act are:
- (a) Announced audits
 - (b) Unannounced audits
 - (c) Reinstatement audits.

For an explanation of each audit type, refer to Section 2 of the General Policies.

- (ii) The audit regime for this *Scheme* is based on review levels between which the Other Party will move in accordance with their performance against the POD. For the purpose of this *Scheme*, the Other Party will commence at review level 1 and will move between review levels in accordance with Section 4 of the General Policies. Each review level corresponds to a percentage rate that prescribes the number of entries under the *Scheme* that will be reviewed by AQIS during the specified review period.

For further guidance on review levels, refer to Section 4 of the General Policies.

- (iii) If a non-conformity occurs, the audit regime will ensure that additional action is taken to monitor performance, assist the Other Party to address matters of quarantine concern, and re-establish compliance. The two types of non-conformities for the *Scheme* are:
- (a) Critical non-conformity
 - (b) Major non-conformity.

For guidance on non-conformities, refer to Section 5 of the General Policies.

Note: The inclusion of the above requirements in relation to record keeping and examinations or services are in accordance with regulation 72(1) of the *Quarantine Regulations 2000*.

7. PERSON AUTHORISED TO GIVE CERTIFICATION OR ASSURANCE

- 7.1 Persons holding or occupying the following positions with the Other Party are authorised to provide a Quarantine officer with a certificate or assurance that all the processes/procedures to which this Schedule refers have been complied with in respect of the goods covered by this Schedule:

- (a) Accredited Persons.

