

NUMBER

34D

SECURE EXPORTS SCHEME TRANSPORT OPERATORS – TRANSPORT & STORAGE OF SECURE EXPORT PACKAGES

Customs has developed the Secure Exports Scheme (SES) in response to the need for increased security surrounding goods for export.

This fact sheet explains the requirements of the SES security plan for Transport Operators involved in the Secure Exports transport and storage of ‘secure packages’.

What are the responsibilities of Secure Exports Partners?

Approved partners in the SES are required to:

- Document all their processes from the place of manufacture, and/or packing, to the port of shipment for export
- Apply a Customs-approved seal or marking at the final point of packing

This process records who has carried the goods, how that package is accounted for throughout the delivery process and confirmation that the package has been delivered to the Port/railhead for export.

How does the Secure Exports Scheme affect transport operators?

To ensure the security of the supply chain is maintained and to comply with the conditions of the Scheme it must be demonstrated that the Customs-approved seal or marking has remained intact throughout the transportation process. This places the responsibility on the transport operator to:

- monitor the integrity of the Customs-approved seal or marking
- maintain security around the secure package
- retain documentary evidence of the checks undertaken , during transport and at the time of delivery to the port or railhead.

What will be expected of transport operators?

Transport operators employed or contracted by SES partners will be asked by the SES partner to document, in the form Fact Sheet 34D V3 Final 20-1-2011

of a security plan, the standards that will be applied to maintain the integrity of Customs-approved sealed containers or secure packages during the transportation to port of loading or railhead.

Does the scheme only apply to sea containers?

No, it is for all goods exported out of New Zealand by approved SES partners that have a Customs-approved seal or marking applied to secure packages.

What does the seal/marketing used by a SES partner look like?

Your SES client will show you the Customs-approved seal or marking they have approval to use.

What if I notice the seal has been broken or tampered with?

- Immediately report all such incidences to the SES partner who will take further action
- Do not remove, replace or dispose of the seal yourself

Is the seal or marking important?

Yes, when the container or secure package is sealed or marked with the Customs approved seal or marking the goods are legally deemed to be under the control of Customs and any tampering, interference or unauthorised access may constitute an offence under the Customs & Excise Act 1996.

What do I do if I pick up goods from somewhere and see something suspicious?

Notify Customs on 0800 428786 (0800 4CUSTOMS) as soon as possible. The information you provide will be kept confidential.

Can transport operators join the Secure Exports Scheme?

No. The SES is for exporters only.

What happens if we fail to complete the agreed container seal secure package or marking checks for an exporter approved under SES?

The security status of the package and goods cannot be assured and this may result in the loss of the benefits applied to SES partners.

What do I need to document?

You need to supply a Security Plan that details your company's written and verifiable procedures that are in place to meet the minimum security standard criteria.

What if my transport company is also involved in the packing or storage of Customs-approved secure packages?

If, in addition to the cartage of secure packages, your company is involved with the overnight storage of secure packages on behalf of SES partners, your security plan will need to include the information set out in Part B of this Fact Sheet.

If your company is also involved in the packing of secure packages on behalf of SES partners, you will need to be approved as a secure site – Please refer to the requirements set out in Fact Sheet 34A Security Plan

GUIDE TO PREPARING YOUR SECURITY PLAN

*The following is a guide to assist with preparing a security plan, which should cover each of the security criteria headings detailed below. Where applicable, minimum requirements for a security plan are identified by a double asterisk i.e. ***

Administration

Include the following:

- Full company name (legal operating entity).
- Company address and all site addresses including your transport operator/s.
- Key contact details for the applicant, including a contact person, telephone numbers and email address.
- Short introductory comment on the company's history/activities
- Identification of the company on the first page, and each page containing the page number, date and version number.

Part A – Transport Only

Personnel security

Describe the company procedures that maintain assurance over the integrity of personnel in positions directly involved with storing or transportation of cargo

Include the following:

1. ** Detail the pre-employment checks conducted for all positions and ongoing procedures to maintain personnel integrity for key positions (ie. positive ID checks, reference checks and ongoing reviews for key positions).
2. **How company personnel are identified eg wearing branded overalls/clothing, ID tags, high viz safety wear with company logo.
3. ** Detail the procedures for cessation of employment for personnel (e.g. return of ID cards, company branded property, company uniforms, keys/codes/cards and removal of computer access).
4. Detail company code of conduct provisions that relate to integrity.
5. Describe any checklists used for new employee induction etc.

SES Security Training

Describe the ongoing communication of security policies and the awareness training provided to promote the identification of potential security risks.

Include the following:

1. ** Describe the security induction and basic awareness training delivered to company personnel on the Secure Exports Scheme relating to the transportation process and within your SES partner sites.
2. **Detail procedures for staff to challenge visitors/contractors found in areas where they do not require access.
- 3.. Describe the documentation that records any employee education/training that has been undertaken/completed

4. How any new Customs information would be communicated to company personnel, contractors and owner drivers.

Other Transport Operators – Subcontractors – Owner drivers

1. ** List transport operators subcontracted to the company or other operators (including owner operators) if applicable
2. **Describe the contractual arrangements with SES partners and SES secure sites for owner drivers of secure packages (if applicable)
3. Sub-contractors will be required to lodge their own Security Plan through the SES partner to the NZ Customs Service.
Note: Owner drivers are covered by the Security Plan lodged by the Transport Operator.

Preload Inspection of empty containers (where applicable)

1. ** Describe any preload structural container inspections (7pt/8pt container check) that are completed on behalf of your client, prior to uplift and the documentation used to record the inspection and handed to the SES partner. *Note: The elements of the 7/8 point container inspection are; front wall, left side, right side, inside/outside doors, floor, ceiling/roof and outside/undercarriage, motor area (refrigerated containers only). All or part of this inspection can be completed by a transport operator or third party operator prior to loading provided it is documented, signed off by each party and handed to the site on delivery.*

Collection of loaded secure packages and conveyance security

Procedural

1. ** Describe the process and documentation regularly received for notification that a loaded container or other secure package is available for uplift and delivery to a port, railhead or loading site.
2. **Describe the procedures for the collection of loaded containers including documentation and checks i.e. container, seal number and physical checks that the seal device is intact. The driver must sign document to confirm checks completed and hand to the SES partner or site operator. *Note: The physical check may include twisting the bolt to ensure the barrel and lock mechanisms are securely engaged and pulling on the cable to ensure it is captured by the locking device.*
2. **Describe the procedures for maintaining security on transfers of made up packages eg masterpacks between secure sites including partial loads i.e. multiple site load pick ups. *Note: commonly referred to as a 'milk run'.*
3. Describe any other procedural controls

Conveyance Security

1. ** Describe the procedures for checking export packages during short transport breaks and the container checks (both documentation and physical) used for handover to other road transport operators if applicable
2. **Describe the checks that are undertaken on the vehicle at the start/end of each day eg keys secured, vehicle immobilizer engaged, vehicle checks
3. **Identify the document used to record the time of delivery of the sealed secure package and the visual seal check on delivery to the port of loading/railhead. Document must be signed by the transport operator and retained.
4. Describe any other controls eg the quality control measures, conveyance tracking procedures

Documented Business Practices

1. ** Describe the quality assurance measures used to verify compliance with documentation, conveyance and tracking

procedures including owner drivers comply with your security plan.

2. **List the accreditations held with organisations and other Government agencies that may contribute to security e.g. BRC, NZFSA

Reporting Procedures & Contingency Planning

Reporting Procedures

1. ** Describe the procedures in place for reporting anomalies, suspicious incidents and security breaches during transportation to the SES partner and to NZ Customs. Include any process for notification of delays incurred during delivery of freight.
2. **Describe the process that is in place for reporting breaches of security or suspicious activity on site to SES Partner and/or to NZ Customs where appropriate.

Contingency Planning

1. **Describe the company contingency plans in place for incidents/emergency/security situations e.g. measures to maintain security of cargo during vehicle breakdowns, accidents, unexpected delays etc
2. Describe your plan that details the business continuity response in the event of border closure in New Zealand prior to delivery to wharf/railhead. eg who would you notify and where would the freight be retained

Part B – Overnight Storage

The following information is only required if your business is involved in the overnight storage of Customs approved export packages on behalf of SES clients.

Physical & Access Controls

Physical Site Security

1. **Describe the controls that restrict access to the site eg electronic gates, barrier arms, keypad access systems
2. ** A site plan will be required , please refer Fact Sheet 34C.
3. **List all sites, other than your own, where you may store SES partner's freight.
4. Describe any other physical security controls eg Security company patrols around perimeter

Site Access Controls

1. **Describe the site access controls for staff and where secure packages are stored including after business hours
2. **Describe how the allocation of access keys/codes/cards is specifically controlled by management or security personnel and a record is kept and protected.
3. **Describe the procedures and documentation completed for checking the seals on secure packages that have been stored onsite overnight. Note: *Must be completed on at least a daily basis recorded and retained.*
4. **Describe the restrictions on staff parking vehicles within areas where export freight is stored.
5. Describe any other controls eg internal investigation procedures for security breaches, etc

Visitors/Contractors

1. **Describe the access controls including sign in/out procedures, positive identification and monitoring while on site
2. **Describe the controls for the parking of visitors and contractor vehicles on site.
4. Any other controls relating to visitors and or contractors working on site.

For further information, contact your nearest office of the New Zealand Customs Service or visit the Customs website www.customs.govt.nz or Call Customs on 0800 428786.