



**Australian Government**

**Australian Customs and  
Border Protection Service**

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## **INSTRUCTIONS AND GUIDELINES**

### **QUALITY ASSURANCE REVIEW PLAN**

#### **PROGRAMMED CARGO EXAMINATIONS**

**1 June 2010**

**This Instruction & Guideline refers to Practice Statement:  
PS2008/27 & PS2008/28**

<b>Published date:</b>	25 June 2010
<b>Availability:</b>	INTERNAL AND EXTERNAL
<b>Subject:</b>	QUALITY ASSURANCE REVIEW PLAN – CARGO EXAMINATIONS
<b>Purpose:</b>	TO PROVIDE A COMPREHENSIVE PLAN TO MANAGE ALL QUALITY ASSURANCE REVIEW ACTIVITIES FOR CARGO EXAMINATIONS FUNCTIONS.
<b>Owner:</b>	NATIONAL DIRECTOR CARGO
<b>Category:</b>	OPERATIONAL PROCEDURES
<b>Contact:</b>	MANAGER CARGO EXAMINATIONS (NATIONAL LEAD) 03 9244 8244

***The electronic version published on the intranet is the current Instruction and Guideline.***

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#### **This I&G applies to staff in:**

- Cargo Examinations and officers from other Branches who undertake work on behalf of Cargo Examinations.

## **LIST OF ACRONYMS**

**CAR** - Corrective/Preventative Action Request

**IQA** - Individual Quality Assurance Review

**I&G** - Instructions and Guidelines

**LCQA** - Locally Conducted Quality Assurance Review

**NCQA** - Nationally Conducted Quality Assurance Review

**QAR** - Quality Assurance Review Program

# SECTION 1: INTRODUCTION

## 1.1 BACKGROUND

The intention of the Cargo Division Senior Executive is to have nationally consistent guidelines and instructions for the intervention of Cargo entering or leaving Australia through sea and air ports. In order for Cargo Examinations to perform work functions in a nationally consistent, professional and effective manner, a range of documentation has been completed including Practice Statements, Instructions and Guidelines [I&G] and associated documents.

Practice Statements are Chief Executive Officer endorsed national policies, which are supported by I&G and associated documents to provide direction to Customs and Border Protection employees in the conduct of their duties.

It is mandatory for all Customs and Border Protection employees to search for and comply with Practice Statements, related I&G and where applicable associated documents relevant to the tasks they are performing. The intranet has the latest version of these documents and can be located under resources/legislation and policy.

To ensure Cargo Examinations maintains both a contemporary and detailed suite of documents to direct staff in performing work functions, it is essential that a comprehensive Quality Assurance Review [QAR] Program is implemented to:

- Ensure all officers read, understand and comply with I&G and where applicable associated documents;
- Provide positive reinforcement when compliance with I&G is observed and reported on;
- Ensure a non confrontational learning and development environment exists when non-conformance with these documents is identified, reported on and remedial action taken;
- Enable the review, amendment or creation of I&G and where applicable associated documents;
- Instil a culture and create a mechanism for preventative action to be identified, reported on and action taken to avoid future non-conformance; and
- Provide a reporting mechanism to the Cargo Division Senior Executive.

## **1.2 PURPOSE**

The purpose of this Instruction and Guideline - Quality Assurance Review Plan is to provide Cargo Examinations with a comprehensive QAR Program that governs:

- The different levels of roles and responsibilities;
- A range of pro forma documents to be used during review activities and reporting;
- Scheduling for all QAR activities;
- Evaluation of the effectiveness of the program; and
- Areas where improvements can be achieved.

## **SECTION 2: MANAGEMENT STRUCTURE, ROLES AND RESPONSIBILITIES**

The Cargo Examinations QAR Program is managed on a number of different levels with each level having clearly defined roles and responsibilities. Figure 1 on page 8 describes the management structure.

### **2.1 EXECUTIVE MANAGEMENT**

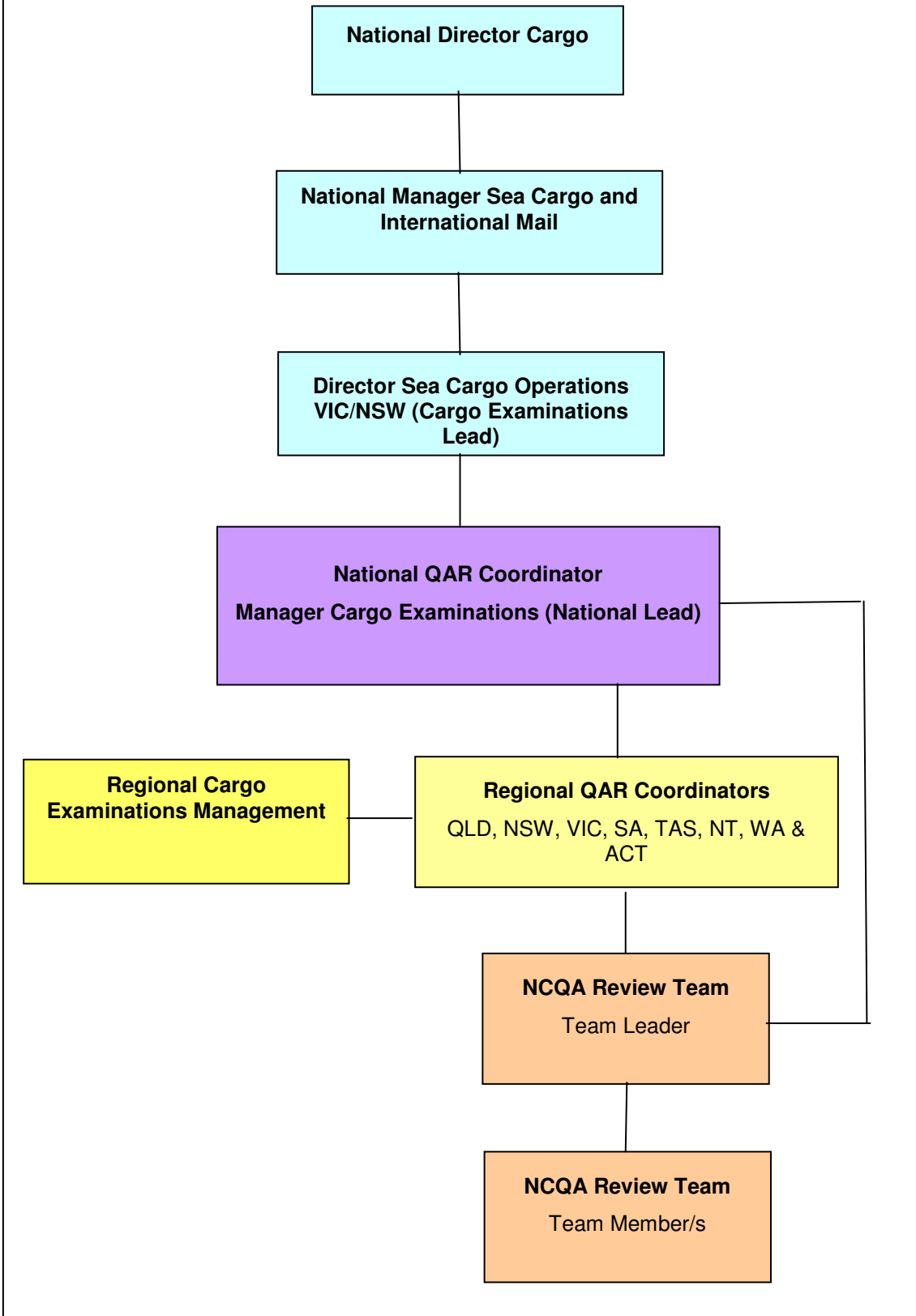
The Executive Management consists of:

- National Director Cargo;
- National Manager Sea Cargo and International Mail; and
- Director Sea Cargo Operations VIC/NSW (Cargo Examinations Lead)

The Executive Management will provide endorsement of the QAR Program and overall direction on review activities and any issues identified or recommendations put forward.

During QAR activities if agreement between the National QAR Coordinator, Regional Cargo Examinations Management and Regional QAR Coordinators can not be achieved, the matter is to be elevated through the Executive Management until a resolution is agreed to.

**Figure 1: Cargo Examinations QAR Program Reporting Structure**



## **2.2 NATIONAL QAR COORDINATOR**

The Cargo Examinations National QAR Program Coordinator is the Manager Cargo Examinations (National Lead) and has overall responsibility for:

1. Liaising with Regional QAR Coordinators;
2. Conducting National Video Conferences and meetings with Regional QAR Coordinators
3. Coordinating all Nationally Conducted Quality Assurance [NCQA] review activities which include:
  - Scheduling regions for review and notifying staff;
  - In consultation with regional management appointing a NCQA review team leader and team member, or as required performing the team leader role;
  - Assisting NCQA review teams as required;
  - Providing QAR pro forma documents to assist with all review activities; and
  - Ensuring any corrective/preventative action is actioned.
4. Ensuring Locally Conducted Quality Assurance [LCQA] activities are undertaken as scheduled, documentation completed and any Corrective/Preventative issues identified are actioned;
5. Meeting with and reporting to the Executive Management and Cargo Division National QAR Coordinator<sup>1</sup> on NCQA, LCQA and Individual Quality Assurance [IQA] review activities;
6. Undertaking Internal Client Feedback Surveys from internal tasking areas and addressing any areas in need of further attention; and
7. Ensuring the QAR Program is contemporary to the needs of Cargo Division.

## **2.3 REGIONAL CARGO EXAMINATIONS MANAGEMENT**

Regional Cargo Examinations Management is responsible for the following QAR appointment and activities for their region:

1. Nominating a Regional QAR Coordinator and providing assistance with LCQA reviews;
2. Identifying and nominating suitable staff to undertake NCQA review team leader and team member functions;

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<sup>1</sup> Manager Cargo Business Improvement Section

3. Meeting with and assisting NCQA review teams;
4. Providing assistance to the National and Regional QAR Coordinator as required;
5. Completing and submitting a QAR Evaluation Form (Attachment G) at the completion of a LCQA review; and
6. Review and endorsement of Corrective/Preventative action plans for regional issues and ensuring appropriate remedial action is implemented.

## **2.4 REGIONAL QAR COORDINATORS**

Regional QAR Coordinators will provide direct assistance to Regional Cargo Examinations Management and the National Cargo Examinations QAR Coordinator by:

1. Attending National Video Conferences and meetings;
2. Undertaking LCQA review activities;
3. Ensuring IQA Reviews are completed;
4. Reporting on the outcomes of LCQA and IQA reviews and actioning any Corrective/Preventative Action Request (CAR) Forms submitted. The timeframes for these activities and reporting is contained in Attachment J - QAR Programme Schedule;
5. Actioning any Cargo Examinations CAR Forms submitted within their region outside of NCQA, LCQA or IQA activities; and
6. Continually reviewing the QAR program to identify where improvements can be made.

The Regional QAR Coordinators will also provide direct assistance to the NCQA Review Team when undertaken in their region by:

1. Completing the Cargo Examinations Pre Review I&G Checklist;
2. Ensuring that prior to the NCQA Review Team arriving local staff have been briefed about the review, and organising building access and other logistical arrangements for the review team;
3. Accompanying the NCQA Review Team during activities, arranging meetings with local management and/or staff, access to documents, information, local databases and work areas; and providing any assistance and regional information as required;
4. Providing any documentation and information requested by the NCQA team prior to or during the review;
5. Attending the pre-review and post-review meetings;

6. Ensuring any regional Corrective/Preventative Action identified by the Review Team is actioned, with the outcomes reported back to Regional Cargo Examinations Management and the National Cargo Examinations QAR Coordinator; and
7. Completing and submitting a QAR Evaluation Form (Attachment G) at the completion of a NCQA review.

## **2.5 NCQA REVIEW TEAM LEADER**

The NCQA Team leader has responsibility for the professional conduct and activities undertaken during a NCQA review.

The NCQA Team leader will:

1. Liaise with the National Cargo Examinations QAR Coordinator prior to undertaking the review and complete a NCQA review plan;
2. Liaise with the Regional QAR Coordinator to obtain the completed Cargo Examinations Pre Review I&G checklist and associated documentation, and arrange for any other business records or relevant information to be provided prior to the review;
3. Meet with Regional Cargo Examinations Management and the Regional QAR Coordinator for a pre review meeting;
4. Undertake the NCQA review with the assistance of a NCQA team member/s and complete the relevant pro forma documents during the review;
5. At the conclusion of the review meet with the Regional Cargo Examinations Management and Regional QAR Coordinator for a post review debrief and provide them with a copy of the “Debrief with Regional QAR Coordinator and Regional Management / Staff Form”; and
6. If applicable, complete and submit to the Cargo Examinations Regional Management, National Cargo Examinations QAR Coordinator and Regional QAR Coordinator a copy of the “Cargo Examinations Corrective/Preventative Action Request (CAR) Form”.

## **2.6 NCQA REVIEW TEAM MEMBER**

The NCQA Review Team member/s will provide direct assistance and support to the National QAR Coordinator and the NCQA Team Leader with all activities undertaken during the NCQA review.

## SECTION 3: QUALITY ASSURANCE REVIEW PROCESS

### 3.1 QUALITY ASSURANCE REVIEW ACTIVITIES

#### 3.1.1 Three Tier Model

The Cargo Examinations QAR Program has adopted a three tiered model for QAR activities, which enables all Cargo Examinations staff and officers from other work areas who perform Cargo Examinations functions to contribute to its overall effectiveness.

This will be achieved through Nationally Conducted Quality Assurance (NCQA) reviews, Locally Conducted Quality Assurance (LCQA) reviews and Individual Quality Assurance (IQA) reviews.

<b>FIGURE 2 - CARGO EXAMINATIONS QAR PROGRAM THREE TIER MODEL</b>
<b>TIER ONE</b> <b>Nationally Conducted Quality Assurance (NCQA) Review</b>
<b>TIER TWO</b> <b>Locally Conducted Quality Assurance (LCQA) Review</b>
<b>TIER THREE</b> <b>Individual Quality Assurance (IQA) Review</b>

All related documentation to be used during QAR activities can be located on the SharePoint site in the: Cargo / Sites / Programmed Exams folder.

[See link <http://acapp001/Cargo/ProgExams/default.aspx>]

#### 3.1.2 Tier One: NCQA Review

NCQA reviews will be undertaken by a NCQA Review Team on an annual basis with the results of the review reported in March each year. The Review Team will focus on the level of conformance of the work performed by Cargo Examinations in a designated region/s against nominated I&G, and if applicable associated documents. [See Attachment J for the QAR activity schedule].

The NCQA review team will comprise a team leader and at least one team member from regions other than the region/s being reviewed. The team will possess a combination of managerial and leadership skills, Cargo Examinations experience and personal attributes to positively represent and develop the QAR Program by reviewing, drawing conclusions and reporting in an ethical and impartial manner.

The NCQA review team will be made up of officers from different regions, which should provide the following benefits:

- Independence and objectivity;
- Transference of knowledge and experience; and
- Contribute to national consistency.

#### *NCQA review preparation*

The National QAR Coordinator will maintain a RIMS file each financial year for all NCQA reviews undertaken.

When a region/s has been identified for a NCQA review, the National QAR Coordinator will communicate with the relevant Regional Management and Regional QAR Coordinator/s to notify them of the review and when it is scheduled. The National QAR Coordinator in consultation with the relevant regional management will also establish a suitable NCQA review team to undertake the review.

Prior to undertaking the NCQA review, the National QAR Coordinator and NCQA review team will:

- Consider any previous NCQA, LCQA or IQA reviews conducted in the region, any findings and action taken; and
- Complete a Cargo Examinations QAR Program Review Plan and Pre Review Meeting Form and submit this to the Regional Management and Regional QAR Coordinator in the region being reviewed.

Prior to the NCQA review team travelling interstate to undertake a review it is essential that as much preparatory work as possible is done to facilitate the efficient use of time during the review. Therefore the NCQA review team may access records held in various databases and request business documents [e.g. EXAMS2, Examination Advice and supporting documents etc] from the Regional QAR Coordinator. To assist with this preparatory work, the Regional QAR Coordinator is to complete the Pre Review I&G Checklist form [see

Attachment A] and forward this to the National QAR Coordinator and Team Leader.

It is anticipated that the NCQA review team will spend up to one week in a region conducting the review, which should allow sufficient time for pre and post review meetings, the review to be undertaken and reporting to be completed.

### *NCQA Pre Review Meeting*

The NCQA review team upon arrival in a region will meet with Regional Cargo Examinations Management and the Regional QAR Coordinator to discuss the NCQA Review Plan and Pre Review Meeting form [see Attachment B].

### *Review Activities*

During the NCQA review, several tools and methodologies will be used to ensure that a comprehensive snapshot of examinations and cargo processes in that region is undertaken.

These tools and activities will comprise:

1. Attendance and observation of examinations being conducted at 77G depots, warehouses and importer premises to verify compliance with I&G/associated documents;
2. System database and documentation/file review;
3. I&G review. [Note: Officers are to access I&G from the intranet as they are the most current versions].
4. Discussion with internal clients, which may include a reference to any completed Cargo Examinations Internal Client Feedback Forms; and
5. Individual and group discussions with regional Cargo Examinations officers.

The NCQA review team will use Quality Assurance Review Assessment forms to assist with recording the level of compliance against I&G [see Attachment D for an example], and also make copies of any documents or records that assist in identifying any non-compliance or could be used to improve business processes nationally.

During NCQA reviews it is essential that the NCQA review team spend some time at the end of each day to review the activities and findings from that day.

This review process may identify the need to undertake additional activities or further discussion with local staff to verify or clarify issues in areas of uncertainty.

At the start of the second and any subsequent day of the review the NCQA review team will meet with the Regional QAR Coordinator to discuss briefly any issues or findings from the first day. This meeting provides an opportunity to clarify or correct any misunderstandings that may have arisen from the previous day and to make any adjustments to the planned activity for the current day.

#### *NCQA Review Debrief*

At the conclusion of the NCQA review the NCQA Team Leader with the assistance of the NCQA Team Member/s will meet with Regional Management and the Regional QAR Coordinator and provide a preliminary debrief [see Attachment F], which will cover:

1. The level of cooperation and assistance provided by the Regional QAR Coordinator and local staff;
2. A general overview of the QAR activities undertaken;
3. A summation of the strong points and areas of conformance;
4. A summation of any major areas of non-conformance requiring corrective action;
5. A summation of any minor areas of non-conformance requiring corrective action; and
6. Any other feedback.

#### *NCQA Review Reporting*

At the completion of a NCQA review the Team Leader will submit the following to the National QAR Coordinator for filing:

1. NCQA Review Plan and Pre Review Meeting form;
2. All completed Instruction and Guidelines Quality Assurance Review Assessment forms;
3. If applicable a Corrective/Preventative Action Request [CAR] form (Note: Regional Management and the Regional QAR Coordinator must also be given a copy);
4. Completed QAR Debrief Form; and

5. Copies of any documents or records that assist in identifying any non-compliance or that could be used to improve business processes nationally.

The Regional QAR Coordinator will also raise a RIMS file and store any documents provided during the NCQA review conducted in their region.

### **3.1.3 Tier Two: LCQA Review**

A Locally Conducted Quality Assurance (LCQA) review will be conducted annually in each region by the Regional QAR coordinator or another person nominated by them in their respective regions. The LCQA will review the level of conformance of the work performed by Cargo Examinations against I&G, and if applicable associated documents. [See Attachment J for the QAR activity schedule].

The Regional QAR coordinator may seek assistance from other Cargo Examination officers within the region to ensure that a combination of managerial and leadership skills, Cargo Examinations experience and personal attributes exist to positively represent and develop the QAR Program by reviewing, drawing conclusions and reporting in an ethical and impartial manner. However, overall responsibility and the conduct of the LCQA rest with the Regional QAR coordinator.

The Regional QAR coordinator and any Cargo Examinations officers assisting should conduct themselves in such a way as to provide the following benefits:

- Independence and objectivity;
- Transference of knowledge and experience; and
- Contribute to national consistency.

Regional QAR Coordinators will undertake LCQA reviews using the same documents, tools and methodologies as detailed under Tier One: NCQA Reviews.

Regional QAR Coordinators are required to maintain a RIMS file each financial year for the LCQA review undertaken in their region. If a NCQA is conducted in a region during the financial year the same regional RIMS file can be used.

### **3.1.4 Tier Three: IQA Review**

All Cargo Examinations staff and officers from other areas that perform work on behalf of Cargo Examinations are responsible for reading, understanding and following I&G relevant to Cargo Examinations functions.

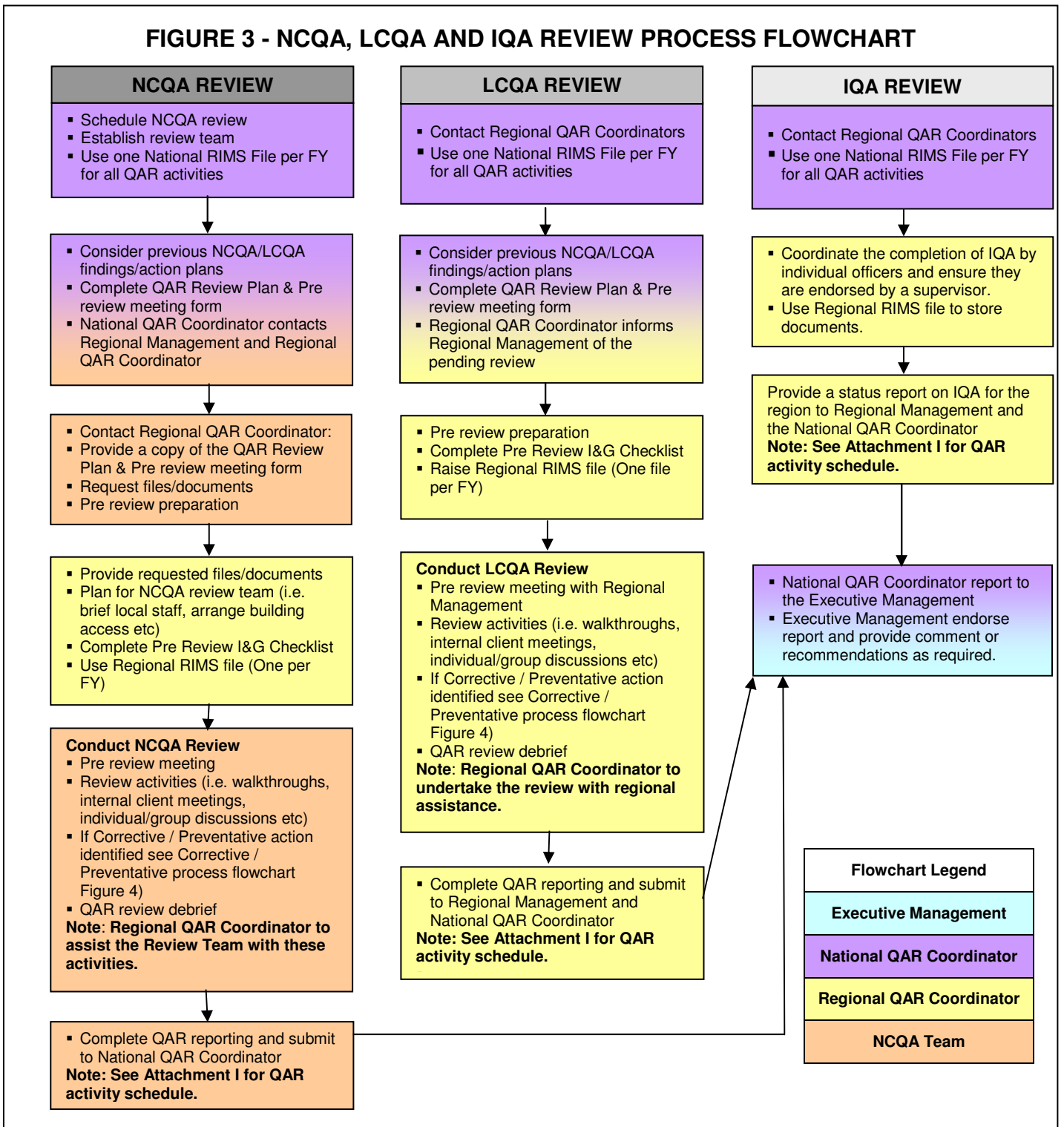
To ensure this is being achieved officers undertaking Cargo Examinations functions will be required to complete an Individual Quality Assurance [IQA] Review form, after reading all of the nominated I&G [see Attachment C].

The IQA process also provides another level of review as officers may identify I&G that require amendment or the need for a new I&G. If during the ICQ review officers consider that an I&G needs amendment, a Corrective/Preventative Action Request (CAR) form should be completed and submitted to their Regional QAR Coordinator.

Regional QAR Coordinators will be responsible for ensuring officers complete the IQA forms annually, that the IQA forms are endorsed by the officers' supervisor and then filed on the Regional QAR RIMS file.

The Regional QAR Coordinator is required to report to Regional Management and the Cargo Examinations National QAR Coordinator on the status of IQA Reviews biannually. [See Attachment J for the QAR activity schedule].

**FIGURE 3 - NCQA, LCQA AND IQA REVIEW PROCESS FLOWCHART**



## SECTION 4: REPORTING AND RESOLUTION

### 4.1 CORRECTIVE / PREVENTATIVE REPORTING

Corrective action reporting and resolution is an important part of the Cargo Examinations Quality Assurance Review Program to ensure any issues raised are addressed in a timely manner, and to also enable continuous improvement of the work area.

During NCQA, LCQA and IQA review activities officers may identify findings or issues where corrective action is required to eliminate the cause(s) of existing nonconformities and to prevent recurrence.

However this does not represent the entire improvement process as officers may also identify areas where preventative action is required to eliminate the cause(s) of potential nonconformities to prevent any occurrence.

Outside of the structured review activities all Cargo Examination officers are encouraged to complete CAR forms when they identify non-conformance or potential for non-conformance

If findings or issues are identified a Corrective/Preventative Action Request (CAR) form is to be completed [see Attachment E] and submitted to the Regional QAR Coordinator. When completing the form, it is essential to provide analysis of any findings in order to segregate the actual problem identified and any symptoms of the problem.

EXAMPLE: It may be identified that the problem is that a carnet has not been endorsed correctly, with the underlying cause of the problem being a lack of training.
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Once a Regional QAR Coordinator receives a CAR, they are to complete and submit a corrective action plan proposal as soon as possible, (within 10 working days). Regional Management and/or the National QAR Coordinator should then respond within 5 working days of receipt of the CAR.

## **4.2 CORRECTIVE / PREVENTATIVE RESOLUTION**

When corrective and/or preventative action is required the following may form part of the action plan:

1. Providing information to staff via email or team meeting;
2. Internal or external training;
3. On the job training and/or mentoring;
4. New equipment;
5. Amendments to current I&G's/associated documents or the development of new ones; and
6. Discussion with the National QAR Coordinator in relation to any trends or systemic issues that may have national implications.

### *Corrective / Preventative Action Log*

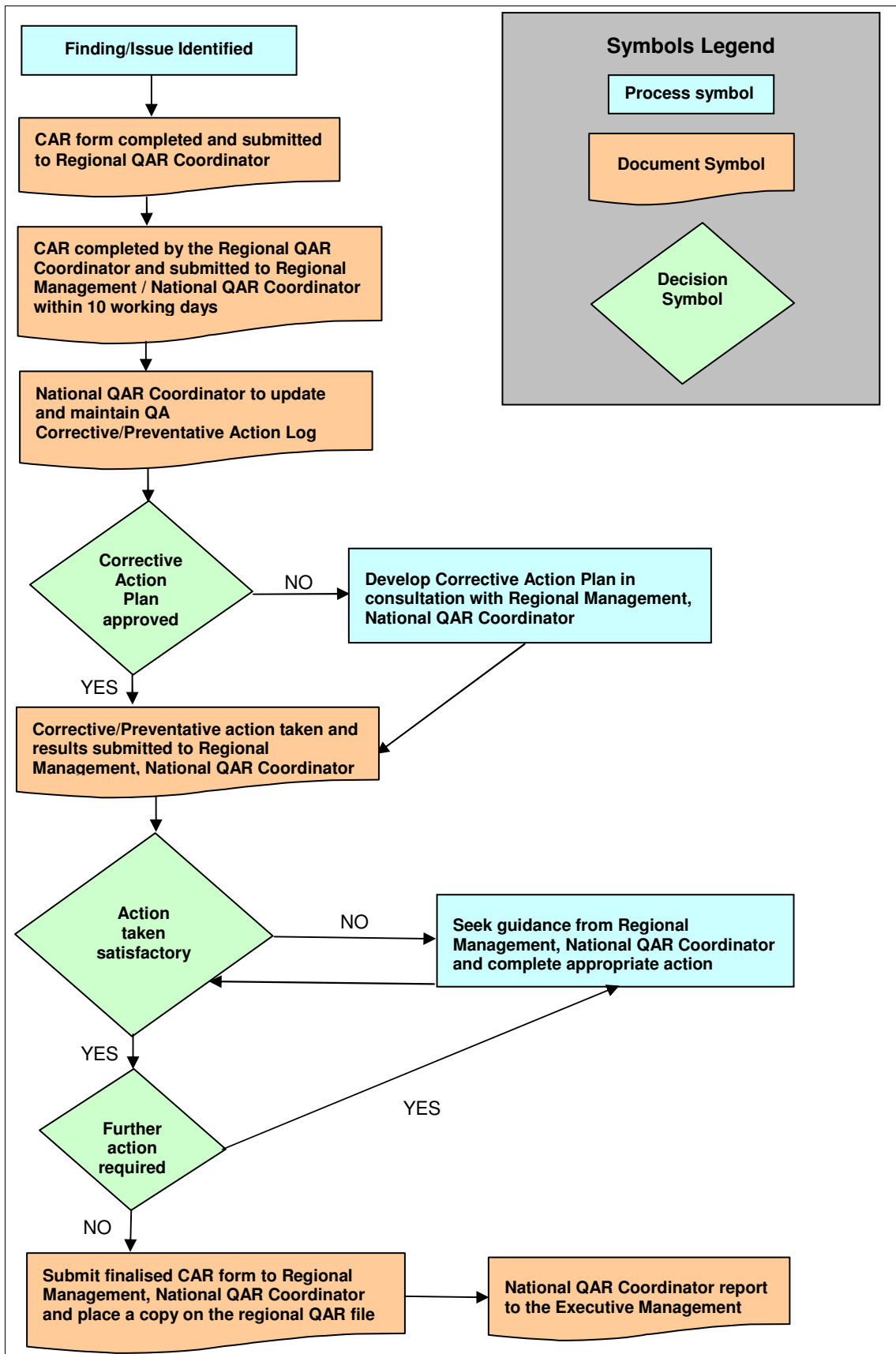
To assist with tracking findings or issues raised during NCQA, LCQA and IQA review activities the National QAR Coordinator will maintain a National Corrective / Preventative Action Log [see Attachment I].

## **4.3 QUALITY ASSURANCE EXECUTIVE REPORTING**

The National QAR Coordinator will report to the Executive Management biannually on the results of NCQA reviews and as required LCQA and IQA reviews. The documents contained in Attachments K and L will form part of this reporting process.

The Quality Assurance corrective/preventative reporting and resolution process is described at Figure 4 - Corrective/Preventative Reporting and Resolution Flowchart on page 21.

**Figure 4 - Corrective/Preventative Action and Resolution Flowchart**



## **SECTION 5: QUALITY ASSURANCE SCHEDULE**

The National QAR Coordinator will maintain a schedule for all NCQA, LCQA and IQA review activities and reporting conducted over a financial year.

[See Attachment J]

## **SECTION 6: QUALITY ASSURANCE REVIEW TRAINING**

It is proposed that the National QAR Coordinator, Regional QAR Coordinators and NCQA Review team leaders and members will undertake external training in conducting QAR in line with the Container Examination Facility International Organisation for Standardisation ISO 9001:2008 quality management systems.

## **SECTION 7: REVIEW OF QUALITY ASSURANCE ACTIVITIES**

The most important measure of the Cargo Examinations QAR program is analysing the overall program effectiveness to determine the following:

1. The level of compliance with I&G's/associated documents;
2. The degree to which planned corrective actions are effective the first time, and
3. The degree to which preventative action is identified, action taken and non-conformance reduced or avoided.

The National QAR Coordinator will hold regular meetings with the Regional QAR Coordinators, which will provide a forum to discuss:

- The QAR Program, its effectiveness and any areas for improvement;
- Levels of compliance Nationally;
- Areas of non-conformance and any remedial action taken; and
- Areas where preventative action was required and the action taken.

To further assist with the review of the QAR Program a Cargo Examinations QAR Evaluation Form [see Attachment G] is to be completed and submitted to the National QAR Coordinator within 10 working days:

- By the Regional QAR Coordinator in consultation with regional management and Cargo Exams officers when a NCQA review is undertaken; and
- By Regional Management when a LCQA review is undertaken.

Cargo Examinations officers are also encouraged to complete and submit a QAR Evaluation Form to the National QAR Coordinator whenever a NCQA or LCQA review is undertaken.

Cargo Examinations Internal Client Feedback Forms [Attachment H] will be used for NCQA reviews and also the National QAR Coordinator will use these forms to conduct an annual national survey of internal clients. Comments will be sought on the relationship with and work undertaken by Cargo Examinations for these internal clients.

Internal clients are also encouraged to complete and submit these forms at any time.

A comprehensive review and analysis of the Cargo Examinations QAR Program will be conducted annually by the National QAR Coordinator and Regional Coordinators with the results of this work reported to the Cargo Division National QAR Coordinator. For the timings of these reviews and reporting refer to the Cargo Examinations QAR Program Schedule at Attachment J.

### **Related Policies and References**

#### **Practice Statements:**

- Programmed Cargo Examinations (Imports)
- Programmed Cargo Examinations (Exports)

#### **Other Instructions & Guidelines**

- Managing the Quality Management System Container Examination Facility  
September 2008
- Control of Non Conforming Product Container Examination Facility  
September 2008
- Auditing and Monitoring Container Examination Facility September 2008
- Document Control and Record Management Container Examination Facility  
September 2008

### **Key Roles and Responsibilities**

#### **Consultation**

##### **Internal**

The following internal stakeholders have been consulted in the development of these Instructions and Guidelines.

- Cargo Examinations Nationally
- Cargo Business Improvement
- Enforcement Operations (Tasmania)

#### **Approval**

<b>Approved on</b>	10 June 2010	
<b>By</b>	Robyn Miller A/g ND Cargo	
<b>Review Period</b>	Annually	



## Attachment A Cargo Examinations Pre Review I&G Checklist

<b>Instructions and Guidelines</b>	<b>EXAMS Number/s</b>	<b>File Number/s (if applicable)</b>	<b>Comments</b> Please type in the grey boxes
Collecting Firearms from Licensed Premises			
Conducting a General Cargo Examination			
Clearing Carnets			
Conducting an Auto Parts Examination			
Conducting an Examination at Clients Request			
Conducting Commerce Marks Examination			
Detection of Suspected Explosives			
Detection and Transfer of Narcotics			
Drawing Of Samples Asbestos			
Examining UPE			
Managing Unidentified Substances			
Prohibited Imports / Exports			
Significant Find Reporting Requirements			

Prepared by:

Date:



## Attachment B QAR Program Review Plan & Pre Review Meeting Form

National QAR Coordinator:

Regional QAR Coordinator:

Please Select Team Leader:

Please Select Team Member:

### QAR Review Plan

Please type in the grey boxes

<b>Review Scope/Limit</b>	<b>Background:</b>  <b>Activities:</b>  <b>Scope:</b>
<b>Review Objectives:</b>	<b>Comments:</b>

# Attachment B

(Continued)

<b>Roles &amp; Responsibilities</b>	<b>National QAR Coordinator:</b>
	<b>Regional Management:</b>
	<b>Regional QAR Coordinator:</b>
	<b>Please Select Team Leader:</b>
	<b>Please Select Team Member/s:</b>
	<b>Comments:</b>
<b>Regional Management and other staff present at pre review meeting:</b>	
<b>Comments:</b>	
<b>Date:</b>	<b>Location:</b>

**Note:**

- For NCQA, the team leader is to submit this form to both Regional Management, Regional QAR Coordinator and the National QAR Coordinator
- For LCQA, the Regional QAR Coordinator is to submit this form to both Regional Management and the National QAR Coordinator



## Attachment C Cargo Examinations Individual Quality Assurance Review

Instructions and Guidelines	Date Completed	Amendments required Please select	Comments Please type in the grey boxes	Sign I have read and understood this document.
Collecting Firearms from Licensed Premises		--		-- Please select then sign
Conducting a General Cargo Examination		--		-- Please select then sign
Clearing Carnets		--		-- Please select then sign
Conducting an Auto Parts Examination		--		-- Please select then sign
Conducting an Examination at Clients Request		--		-- Please select then sign
Conducting Commerce Marks Examination		--		-- Please select then sign
Detection of Suspected Explosives		--		-- Please select then sign
Detection and Transfer of Narcotics		--		-- Please select then sign
Drawing Of Samples Asbestos		--		-- Please select then sign
Examining UPE		--		-- Please select then sign
Managing Unidentified Substances		--		-- Please select then sign
Prohibited Imports / Exports		--		-- Please select then sign

# Attachment C

(Continued)

Significant Find Reporting Requirements		--		-- Please select then sign
Official Notebooks		--		-- Please select then sign
Procedures for Recording Finds and Outcomes in EXAMS		--		-- Please select then sign

**\*NOTE: Please complete a Corrective/Preventative Action Request (CAR) Form**

## Employee Information

Name:

Position Number:

Level: -- Select

Region: -- Select

## Supervisor Sign Off Please type in the grey boxes

Signature:

Date:

Name:

Position Number:

# Attachment D

# Quality Assurance I&G Report

<b>QUALITY ASSURANCE REPORT</b>			
<b>INSTRUCTIONS AND GUIDELINES</b>			
Collecting Firearms from Licensed Premises			
<b>Cargo Examinations</b>	<b>Location/ Area:</b>		
<b>Prepared by:</b>	<b>Date Completed:</b>	<b>Manager Sign Off:</b>	<b>Dated:</b>

*Note: this QAR does not incorporate assessment of detection of firearms. The focus is on collection only. It is considered likely that various scenarios will lead to the need for firearms collection by officers who were not associated with the initial detection.*

The checking officer should document processes and steps undertaken to complete this QA on the QA work sheet and attach to this report.

A 1 Task: Firearms Collection (Preparation)							
Type of testing	Method	Sample size	Regularity		Compliant (Y/N)	Date & sign off	Comments
At the point of collection but prior to transportation, firearms and ammunition must be rendered safe. Where possible, observe the safety examination.							
1.	On commencement of collection, was the firearm treated as loaded?				Yes <input type="checkbox"/> No <input type="checkbox"/>		
2.	Were 'safe direction' practices used?				Yes <input type="checkbox"/> No <input type="checkbox"/>		
3.	Were firearms 'made safe' in accordance with the <i>Custodial Firearms and Safe Handling Procedures</i> ? (Note: not necessary for new firearms)				Yes <input type="checkbox"/> No <input type="checkbox"/>		

# Attachment D

(Continued)

A 1 Task: Firearms Collection (Preparation)							
	still in intact manufacturers packaging)						
4.	Was ammunition removed from any magazines?			Yes <input type="checkbox"/>	No <input type="checkbox"/>		
5.	Did the completed B390 "Receipt for Goods" include sufficient description to match the firearm/ammunition to the receipt? (including make, model type & serial number)			Yes <input type="checkbox"/>	No <input type="checkbox"/>		
6.	Was the owner/representative provided with the white copy of the B390?			Yes <input type="checkbox"/>	No <input type="checkbox"/>		
7.	Were the Examination Officers aware of the transport requirements for more than 10 firearms or where the firearms are 'high risk'? (In accordance with the <i>Customs National Security Policy – Secure Storage and Transport of Firearms and Ammunition</i> )			Yes <input type="checkbox"/>	No <input type="checkbox"/>		
8.	Were the Examination Officers aware of the Minimum Security Requirements for transport of firearms? (Refer to the <i>Customs National Security Policy – Secure Storage and Transport of Firearms and Ammunition</i> )			Yes <input type="checkbox"/>	No <input type="checkbox"/>		
QA 2 Task: Firearms Collection (Transportation)							
Type of testing	Method	Sample size	Regularity	Compliant (Y/N)		Date & sign off	Comments
1.	Was ammunition (if any) contained in a manner to avoid excess movement (includes leaving in manufacturers packaging)?			Yes <input type="checkbox"/>	No <input type="checkbox"/>		
2.	Were firearms/ammunition packed into a Type 1 Container (Customs Gun Case)? (Noting that ammunition and firearms cannot be transported in the same vehicle).			Yes <input type="checkbox"/>	No <input type="checkbox"/>		
3.	Were the gun cases locked prior to transportation and keys removed			Yes <input type="checkbox"/>	No <input type="checkbox"/>		

# Attachment D

(Continued)

A 1 Task: Firearms Collection (Preparation)						
	from lock?					
4.	Were the gun cases secured in a locked compartment of a vehicle and unidentifiable as firearms from outside the vehicle?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
5.	Was either a C&BP issued mobile phone or radio communications being carried by the officer/s while transporting the firearms?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
6.	Were the firearms transported to an Approved Storage Facility (including DGM Store) by a direct route?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
7.	While transporting the firearms did the vehicle leave a public road or did any officer leave the vehicle during the journey?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
8.	Were the Examination officers aware that if, while having custody of firearms, they identified a security related incident or breach of the Customs National Security policy re transport and security of firearms, the breach or incident must be reported (not necessarily by them) to the Customs Incident Reporting Centre (CIRC)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
QA 3 Task: Firearms Collection (Post Transport)						
Type of test	Method	Sample Size	Regularity	Compliant (Y/N)	Date & sign off	Comments
1.	Was the "Goods Transferred to" section of the B390 completed by a Detained Goods Store officer?			Yes <input type="checkbox"/>	No <input type="checkbox"/>	
2.	Was a record for the firearms/ammunition created/amended in the DGMS?			Yes <input type="checkbox"/>	No <input type="checkbox"/>	
3.	Was EXAMS2 & local database updated in a timely manner?			Yes <input type="checkbox"/>	No <input type="checkbox"/>	

# Attachment D

(Continued)

A 1 Task: Firearms Collection (Preparation)						
4.	Was the ICS hold lifted for goods not detained in a timely manner?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
5.	Was a file created by Examination Officer?	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
QA 4 Task: Firearms Collection (Programmer)						
Type of testing	Method	Sample size	Regularity	Compliant (Y/N)	Date & sign off	Comments
1.	Was the Programmer aware that in the event of a breach of or security incident related to the Customs National Security policy re transport and security of firearms, the CIRC must be notified?			Yes <input type="checkbox"/>	No <input type="checkbox"/>	
2.	Was the Programmer aware of the Minimum Security Requirements for transport of firearms? (As set out in the <i>Customs National Security Policy – Secure Storage and Transport of Firearms and Ammunition</i> )?			Yes <input type="checkbox"/>	No <input type="checkbox"/>	
3.	Is the Programmer aware of how many Examination Officers to assign to collecting firearms dependant on the type of firearms?			Yes <input type="checkbox"/>	No <input type="checkbox"/>	
4.	Is the Programmer aware of the competency and currency required for officers handling firearms?			Yes <input type="checkbox"/>	No <input type="checkbox"/>	



# Attachment E Cargo Examinations Corrective / Preventative Action Request (CAR) Form

**Reporting officer to complete:**

**Name:**

**Contact Number:**

**Date:**

**Source:** -- Please select

**Region:** -- Select

**Background Information:**

<b>Findings/Issues:</b>	<b>Cause/Comment:</b>	<b>Action or suggested corrective/preventative action</b>	<b>Comment:</b>
1.			
2.			
3.			
4.			
5.			
6.			
7.			

**CAR submitted to Regional QAR Coordinator:**

**Date:**

**Regional QAR Coordinator and Regional Management / National QAR Coordinator to complete:**

<b>-- Finding/Issue:</b> Please select	<b>Comment:</b>
<b>Corrective/Preventative Action Plan Proposal:</b> (e.g. Training, mentoring, amendment/creation – I&G, associated documents etc)	<b>Comment:</b>
<b>-- review of proposed Action Plan:</b> --	<b>Comment:</b> <b>Date:</b> <b>Completed by:</b> <b>Person/s Responsible:</b>
<b>Corrective/Preventative Action Taken:</b>	<b>Comment:</b> <b>Date:</b>
<b>-- review of action taken:</b> Please select -- Please select	<b>Comment:</b> <b>Date:</b> <b>Completed by:</b>
<b>Further action required: --</b> Please select	<b>Comment:</b> <b>Person/s Responsible:</b>
<b>Date Finalised:</b>	<b>File Number:</b>

**Note:**

- **NCQA:** team leader to submit this form to **Cargo Examinations: Regional Management, Regional QAR Coordinator and the National QAR Coordinator**
- **LCQA:** Regional QAR Coordinator to submit this form to both **Regional Management and the National QAR Coordinator**

**BCS CLASSIFICATION: \*TDFC Reporting\***



## Attachment F Cargo Examinations QAR Program Debrief Form

### Team information

Please type in the grey boxes

-- Team Leader: Contact Number/s:

-- Team Member/s: Contact Number/s:

Regional QAR  
Coordinator: Contact Number/s:

Regional Management and  
other staff present: Date:

### Assistance provided

Comments:

### Conformance

Comments:

### Major Areas requiring corrective action

Comments:

### Minor Areas requiring corrective action

Comments:

### Summation of Final Reporting process

Comments:

### Other/Feedback

Comments:

#### Note:

- NCQA: team leader to submit this form to Cargo Examinations: Regional Management, Regional QAR Coordinator and the National QAR Coordinator
- LCQA: Regional QAR Coordinator to submit this form to both Regional Management and the National QAR Coordinator



## Attachment G Cargo Examinations QAR Evaluation Form

### Employee Information

Name (optional):	Level (Optional):	-- Select level
Branch (optional):	Region (Optional):	-- Select Region
Date of the QAR	Reviewing officer name/s	

### Evaluation questions

Select  
Y/N

Please provide comments in the grey box.

1. Were you aware in advance that there was going to be a QAR undertaken? --  
 Comments:
2. Were you given sufficient information and direction by the QAR team prior to the review? --  
 Comments:
3. Were you given sufficient time to provide the QAR team with pre review documents/material? --  
 Comments:
4. Did the opening meeting provide sufficient information on the purpose, schedule, and plan of the review? --  
 Comments:
5. Did the QAR team conduct themselves in a professional manner? --  
 Comments:
6. Did the closing meeting provide sufficient information on any conformance, non-conformance, findings and reporting processes? --  
 Comments:
7. Do you have any additional comments on the QAR that has been undertaken? --  
 Comments:
8. Do you have any suggestions on how the QAR Program could be improved? --  
 Comments:

Date form completed:

**Please either email to [cargoexams.national@customs.gov.au](mailto:cargoexams.national@customs.gov.au) or send the completed form to: Attention Manager Cargo Examinations (National Lead) CH Melbourne Docklands VIC 3008**



## Attachment H Cargo Examinations Internal Client Feedback Form

Cargo Examinations welcomes feedback on the level of service it provides to Internal Clients. Any comments or additional information may be directed to the point of contact at the bottom of the page.

Feedback provided by: (Optional)			
Name:		Level:	-- Select level
Branch:		Region:	-- Select Region
Today's Date:			

Feedback:	
Please respond to the following statements by selecting a number from 1 to 5	Strongly disagree (1) ← - → Strongly agree (5) Please check box (double click square)
1. Are you satisfied overall with the standard of examinations conducted?	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5
2. Are you satisfied overall with the timeliness examinations are conducted in?	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5
3. Are you satisfied overall with the standard of information provided on the results of examinations?	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5
4. Are you satisfied overall with the timeliness information is provided on the results of examinations?	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5
5. Are you satisfied overall with the level of communication between Cargo Examinations and your work area?	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5
6. Do you consider Cargo Examinations is provided with sufficient information in the tasking to complete the examination to the standard you are satisfied with?	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5
7. Do Cargo Examinations officers interact with officers from your work area in a professional and courteous manner?	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5

### Comments:

Thank you for taking the time to complete this feedback form 😊

Would you like the Manager Cargo Examinations (National Lead to contact you about your feedback? -- Please select

Have you previously requested a response to feedback and not received one? -- Please select

If yes, please provide details:

<p><b>Completed feedback forms should be forwarded to:</b></p> <p><b>Internal Mail:</b> Attn: Manager Cargo Examinations (National Lead)          1010 La Trobe Street, Docklands VIC 3008; or via</p> <p><b>Email:</b> <a href="mailto:cargoexams.national@customs.gov.au">cargoexams.national@customs.gov.au</a></p>
--



**Attachment I**

**Cargo Examinations National QAR Coordinator - Corrective/Preventative Action Log**

Status:  Completed  On track  Requires attention to keep on track  No significant progress / significant issues

Region, Regional QAR Coordinator and Status:	Source: NCQA LCQA Officer initiated Other	Date CAR submitted:	Date Action Plan: Approved, Not Approved, Amended.	Corrective / Preventative Action Taken	Date of review of action and status: Satisfactory, Unsatisfactory, Implemented and Effective.	Further Action Required: Yes / No / Comment.	Date Finalised and File Number.



**Attachment J Cargo Examinations QAR Program Schedule**

TOPIC	ACTIVITY	ACT	NSW	NT	QLD	SA	TAS	VIC	WA	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	
<b>NCQA</b>	1. Pre review planning and communication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	2. Conduct review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	3. Review team QA reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	4. Corrective / Preventative Action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	5. Executive management reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	6. QAR program and I&G Review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	7. Cargo Division National QA Coordinator Reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
<b>LCQA</b>	1. Pre review planning and communication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	2. Conduct review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	3. Review team QA reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	4. Corrective / Preventative Action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	5. Executive management reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	6. LCQA program Review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
<b>IQA</b>	1. IQA review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
	2. Regional QAR Coordinator status report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													
<b>OTHER</b>	1. Nationally conducted Internal Client Feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>													



