



TradeFIRST Self-Assessment Checklist 2017



**SINGAPORE
CUSTOMS**

We Make Trade Easy, Fair & Secure



21, 22 and 23 Feb 2017

Outline

- Background
- Scope of Review
- Significant Changes
- Step-by-Step Guide
- Concluding Remarks



Background

TradeFIRST

TradeFIRST

(Trade Facilitation & Integrated Risk-based System)

AIM

A holistic & consistent approach to facilitate trade

STRATEGY

Single contact point

Single set of assessment
criteria applied across all
schemes

Allows Singapore Customs to have a comprehensive
understanding of the company so as to better meet their needs



Background

- Previous Checklist implemented in 2014

Companies provided feedback:

- Long checklist with many required supporting documents
- Some criteria in the TradeFIRST checklist were not clear or easy to understand
- Lack clear information on the TradeFIRST criteria pertinent to each scheme/licence



Scope of Review

Reduce number of supporting documents required for submission

Provide easy access to clearer information

Review the criteria in the Checklist



Significant Changes

- From 5 categories to 6 categories

Previous Checklist	New Checklist
Company Profile	Company Profile
Inventory Management & Controls	Inventory Management
Procedures and Processes	Procedures & Processes
Security	Security
Compliance	Compliance
	Other Scheme-Specific Requirements



Significant Changes

- Streamlining of Criteria

Employee Identification

Do the staff identification cards include photographs?

Does the ID card show the identity of your company and employee?



Significant Changes

- Streamlining of Criteria

Criteria	Sub-Criteria	Explanatory Notes
C. Security		
11. Premises Security & Access Control		
K. Employee Identification	1) Does your company positively identify employees for access control purposes and while in restricted areas?	The employee passes should be worn at all times and should minimally display the photo and name of the employee.



Significant Changes

- Streamlining of Criteria

Business Continuity Plan

(a) Does your company have a documented business continuity plan?

(b)(i) Recovery plans for post terrorist attack

(ii) Recovery of IT system

(iii) Outbreak of communicable disease



Significant Changes

- Streamlining of Criteria

Criteria	Sub-Criteria	Explanatory Notes
C. Security		
7. Security Risk Assessment and Incident Management		
D. Business Continuity Plan (BCP)	1) Does your company have a documented BCP?	<p>An effective BCP ensures that critical business functions can continue during and after a crisis or disaster affecting the company or segments of the supply chains.</p> <p>Examples of scenarios may include but not limited to the following:</p> <ul style="list-style-type: none">- Recovery plans for post terrorist attack- Recovery of IT system and data- Outbreak of communicable disease



Significant Changes

- Removed redundant or obsolete criteria

Video Surveillance Cameras

- (e) Is the footage monitored real time?

Segregation of Duties

- (a) Does your company have documented SOP on the handing over of duties between employees?

System capability to flag out discrepancies

- (b) Does IT manager receives any alerts if there is any attempted improper access?



Significant Changes

- New Criteria for Excise Factory Schemes

Manufacturing and Reporting

- 1) Does your company have documented procedures to manufacture dutiable goods?
- 2) Does your company have documented procedures to demonstrate proper reporting to Customs?



Step-by-Step Guide



SINGAPORE CUSTOMS



ABOUT US

INDIVIDUALS

BUSINESSES

NEWS & MEDIA

ESERVICES

 Singapore Government
Integrity · Service · Excellence

 |  |  CAREERS | CONTACT US | FEEDBACK | SITEMAP

ASK CUSTOMS 

▼ Within Singapore Customs

Businesses

Registering to Trade

Guide to registration matters and other registration procedures

Importing Goods

Guide to importing goods and its procedures

Exporting Goods

Guide to exporting goods and its procedures

Transshipping Goods

Guide to transshipping goods and its procedures

Valuation, Duties, Taxes & Fees

Information on establishing the customs value, duties, taxes and other fees

Harmonized System (HS) Classification of Goods

Information on the HS structure, rules and process of classification of goods

Customs' Schemes, Licences & Framework

Information on the various schemes, licences and assessment framework by Singapore Customs

Strategic Goods Control

Permit and registration requirements for trade in strategic goods and related technology

Chemical Weapons Convention (CWC)

Permit, licensing and declaration requirements for trade in CWC controlled chemicals

United Nations Security Council Sanctions

Prohibitions on the movement of goods

Compliance

Information on best practices for compliance with Customs' laws and regulations

Resources

Courses and events, e-learning guide, product code search engine and more



We Make Trade Easy, Fair & Secure

Step-by-Step Guide

TradeFIRST Assessment

There are 6 sections under the TradeFIRST assessment framework:

1) Company Profile

- Corporate policies
- Financial background

2) Procedures and Processes

- Management of information and records
- Management of personnel, including training

3) Security

- Business partnering and customer screening
- Security risk assessment and incident management
- Business continuity
- Security of cargo, containers and conveyance
- Premises security and access control

4) Inventory Management

- Capability of inventory system to track and trace movement of goods, and to flag out discrepancies

5) Other Scheme-Specific Requirements

- Specific requirements applicable to applicants of certain Customs schemes, such as the Strategic Trade Scheme Bulk Permit

6) Compliance

- Company's compliance records



To view the entire TradeFIRST assessment criteria, you may download the checklist [here](#).



Step-by-Step Guide

A

1

2 **Please take note of the following when completing the checklist:**


3 1. All information/documentation provided is to be accurate, complete and current at the time of submitting this form.

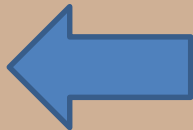
4 2. Under the "Remarks" column of the checklist, companies should indicate clearly the title and provide a brief description of the supporting documents. Companies should also briefly state the measures put in place to meet the criteria.


5 3. Companies which are renewing existing schemes will have to resubmit documents that have been updated from the previous submission. In cases where the documents have not been updated, please indicate clearly in the Remarks column that there are no updates to the documents submitted for the previous validation.

6 4. The checklist should be completed by an authorized personnel within the company.

7 5. With effect from 2 June 2015, instead of submitting all the supporting documents to the Account Manager before the on-site assessment, companies are now allowed to submit only supporting documents relating to the scheme specific mandatory criteria. The remaining documents relating to the non-mandatory criteria can be provided to Customs during the on-site assessment. The mandatory criteria are listed in this link:

8  Dictionary

9 

10  Annex


11

12

13

14

15 7. For all personnel listed in the ACRA Bizfile, please complete the Declaration of Criminal Records downloadable at the below link:

16  Document

17

18

19

Instructions Checklist +



Step-by-Step Guide

TradeFIRST Dictionary 2017

List of Schemes and Abbreviations

APP	Authorised Piers and Places	EFS	Excise Factory Scheme for the manufacturing of liquor, tobacco and motor vehicles.
BTS	Bonded Truck Scheme	LW	Licensed Warehouse (for liquor, tobacco and motor vehicles)
CNG	Compressed Natural Gas manufacturers	MB	Microbreweries (subset of EFS)
CDS	Company Declaration Scheme	Petroleum	Petroleum Licences (Licensed Warehouse for Petroleum, Bonded Warehouse for Petroleum and Refinery Petroleum)
CFW	Container Freight Warehouse	STP-Plus	Secure Trade Partnership-Plus
DFS	Duty Free Shop	ZGS	Zero GST Warehouse Scheme



Criteria		Sub-Criteria	Explanatory Notes	Examples of Evidence	- <u>Prev</u> TF Mapping - Mandatory Criteria
A. Company Profile					
1. Corporate Policy					
A	Security Policy Statement	1) Does your company have a Security Policy Statement?	The policy is a statement of the company's commitment to develop, document, implement, maintain and review its supply chain security measures and practices. It should come from the senior management of the company.	Poster, plaque, intranet, internet	- Previous TF:1.1.1(a) - Mandatory criteria for: STP-Plus
		2) Does your company communicate this statement internally to all employees?		The policy statement can be communicated internally e.g. email, notification letter/memo, circular, acknowledgement by employees, induction training.	- Previous TF:1.1.1(b)(i) - Mandatory criteria for: STP-Plus
		3) Is this statement communicated externally to business partners, clients and subcontractors?		The policy statement can be communicated externally via e.g. email, notification letter/memo, circular, acknowledgement by external parties, induction training, and business contract.	- Previous TF:1.1.1(b)(ii) - Mandatory criteria for: STP-Plus
B	Trade Compliance Policy Statement	1) Does your company have a Trade Compliance Policy Statement stating the company's commitment to comply with the terms and conditions and applicable regulations of the scheme?	For companies who are dealing with strategic goods, the policy is a statement of the company's commitment to comply with the Strategic Goods Control Act (SGCA) and its regulations and other related domestic legislations.	A policy statement which is visible within the company e.g. poster, plaque, intranet, internet.	- Previous TF:1.1.1(c) - Mandatory criteria for: STS



Step-by-Step Guide

1

2 **Please take note of the following when completing the checklist:**

3 1. All information/documentation provided is to be accurate, complete and current at the time of submitting this form.

4 2. Under the "Remarks" column of the checklist, companies should indicate clearly the title and provide a brief description of the supporting documents. Companies should also briefly state the measures put in place to meet the criteria.

5 3. Companies which are renewing existing schemes will have to resubmit documents that have been updated from the previous submission. In cases where the documents have not been updated, please indicate clearly in the Remarks column that there are no updates to the documents submitted for the previous validation.

6 4. The checklist should be completed by an authorized personnel within the company.

7 5. With effect from 2 June 2015, instead of submitting all the supporting documents to the Account Manager before the on-site assessment, companies are now allowed to submit only supporting documents relating to the scheme specific mandatory criteria. The remaining documents relating to the non-mandatory criteria can be provided to Customs during the on-site assessment. The mandatory criteria are listed in this link:

8

9

10

11

12

13

14

15 7. For all personnel listed in the ACRA Bizfile, please complete the Declaration of Criminal Records downloadable at the below link:

16

17

18

19

Dictionary

Annex

Document

Instructions Checklist +



Step-by-Step Guide

A

1

2 **Please take note of the following when completing the checklist:**

3 1. All information/documentation provided is to be accurate, complete and current at the time of submitting this form.

4 2. Under the "Remarks" column of the checklist, companies should indicate clearly the title and provide a brief description of the supporting documents. Companies should also briefly state the measures put in place to meet the criteria.


5 3. Companies which are renewing existing schemes will have to resubmit documents that have been updated from the previous submission. In cases where the documents have not been updated, please indicate clearly in the Remarks column that there are no updates to the documents submitted for the previous validation.

6 4. The checklist should be completed by an authorized personnel within the company.


7 5. With effect from 2 June 2015, instead of submitting all the supporting documents to the Account Manager before the on-site assessment, companies are now allowed to submit only supporting documents relating to the scheme specific mandatory criteria. The remaining documents relating to the non-mandatory criteria can be provided to Customs during the on-site assessment. The mandatory criteria are listed in this link:

8

9

10  Dictionary


11

12  Annex

13

14

15 7. For all personnel listed in the ACRA Bizfile, please complete the Declaration of Criminal Records downloadable at the below link:

16  Document

17

18

19

Instructions Checklist +



Step-by-Step Guide

Declaration of Criminal Records

Name:

Designation:

I declare that:

Please tick (√) accordingly.

() I do not have any existing criminal record in Singapore or overseas;

or

() I have existing criminal record(s)¹ in Singapore and/or overseas.

Offence(s) [Country convicted in]

Date

Signature:

Date:



Step-by-Step Guide

H	BREACH OF LAWS, REGULATIONS AND CONDITIONS
1	<p>The Licensee and connected parties of the licensee shall conform in all respects with the provisions of all laws of the Republic of Singapore.</p> <p>The Licensee and connected parties of the Licensee shall inform Singapore Customs if the Licensee or connected parties of the Licensee is convicted of a criminal offence in Singapore or in a foreign jurisdiction during the Licence period.</p> <p>For the purposes of this Part H, the term “connected parties” shall refer to natural persons having executive authority over an entity, including directors, partners, or managers (as the case may be).</p>



Step-by-Step Guide

TradeFIRST Self-Assessment Checklist			
CRITERIA	Sub-Criteria	Applicant's Answers	Remarks (Please (i) indicate the title and description of the supporting documents and (ii) briefly state the measures put in place in your company to meet the criteria)
A. Company Profile			
1. Corporate Policy			
A. Security Policy Statement	1) Does your company have a Security Policy Statement?		
	2) Does your company communicate this statement internally to all employees?	Yes No N.A.	
	3) Is this statement communicated externally to business partners, clients and subcontractors?		
B. Trade Compliance Policy Statement	1) Does your company have a Trade Compliance Policy Statement stating the company's commitment to comply with the terms and conditions and applicable regulations of the scheme?		
	2) Does your company communicate this statement internally to all employees?		
	3) Is the statement communicated externally to business partners, clients and subcontractors?		
C. Review of TradeFIRST	1) Does the company carry out the TradeFIRST self-assessment annually?		
B. Procedures and Processes			
2. Information Management			
A. Information Management	1) Does your company have documented procedures to control the access to IT information related to Customs matters?		
	2) Does your company have documented procedures for data backup, storage and recovery?		
	3) Is the data backed up at least once every month?		
	4) Is the data stored offsite?		



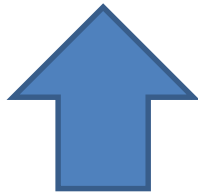
Step-by-Step Guide

TradeFIRST Dictionary 2017

List of Schemes and Abbreviations

APP	Authorised Piers and Places	EFS	Excise Factory Scheme for the manufacturing of liquor, tobacco and motor vehicles.
ASB	Air Store Bond	LW	Licensed Warehouse (for liquor, tobacco and motor vehicles)
BTS	Bonded Truck Scheme	MB	Microbreweries (subset of EFS)
CNG	Compressed Natural Gas manufacturers	Petroleum	Petroleum Licences (Licensed Warehouse for Petroleum, Bonded Warehouse for Petroleum and Refinery Petroleum)
CDS	Company Declaration Scheme	STP-Plus	Secure Trade Partnership-Plus
CFW	Container Freight Warehouse	STS	Strategic Trade Scheme
DFS	Duty Free Shop	ZGS	Zero GST Warehouse Scheme



Criteria	Sub-Criteria	Explanatory Notes	Examples of Evidence	- Prev TF Mapping - Mandatory Criteria		
A. Company Profile						
1. Corporate Policy						
A	Security Policy Statement	1) Does your company have a Security Policy Statement?	<p>The policy is a statement of the company's commitment to develop, document, implement, maintain and review its supply chain security measures and practices. It should come from the senior management of the company.</p> 	<p>Poster, plaque, intranet, internet</p>	- Previous TF: 1.1.1(a) - Mandatory criteria for: STP-Plus	
		2) Does your company communicate this statement internally to all employees?			The policy statement can be communicated internally e.g. email, notification letter/memo, circular, acknowledgement by employees, induction training.	- Previous TF: 1.1.1(b)(i) - Mandatory criteria for: STP-Plus
		3) Is this statement communicated externally to business partners, clients and subcontractors?			The policy statement can be communicated externally via e.g. email, notification letter/memo, circular, acknowledgement by external parties, induction training, and business contract.	- Previous TF: 1.1.1(b)(ii) - Mandatory criteria for: STP-Plus



Step-by-Step Guide

The policy is a statement of the company's commitment to develop, document, implement, maintain and review its supply chain security measures and practices. It should come from the senior management of the company. |



Step-by-Step Guide

TradeFIRST Dictionary 2017

List of Schemes and Abbreviations

APP	Authorised Piers and Places	EFS	Excise Factory Scheme for the manufacturing of liquor, tobacco and motor vehicles.
ASB	Air Store Bond	LW	Licensed Warehouse (for liquor, tobacco and motor vehicles)
BTS	Bonded Truck Scheme	MB	Microbreweries (subset of EFS)
CNG	Compressed Natural Gas manufacturers	Petroleum	Petroleum Licences (Licensed Warehouse for Petroleum, Bonded Warehouse for Petroleum and Refinery Petroleum)
CDS	Company Declaration Scheme	STP-Plus	Secure Trade Partnership-Plus
CFW	Container Freight Warehouse	STS	Strategic Trade Scheme
DFS	Duty Free Shop	ZGS	Zero GST Warehouse Scheme

+

Criteria	Sub-Criteria	Explanatory Notes	Examples of Evidence	- Prev TF Mapping - Mandatory Criteria
A. Company Profile				
1. Corporate Policy				
A	Security Policy Statement	1) Does your company have a Security Policy Statement?	The policy is a statement of the company's commitment to develop, document, implement and maintain its supply chain security measures. The policy should come from the senior management of the company.	Poster, plaque, intranet, internet - Previous TF: 1.1.1(a) - Mandatory criteria for: STP-Plus
		2) Does your company communicate this statement internally to all employees?		The policy statement can be communicated internally e.g. email, notification letter/memo, circular, acknowledgement by employees, induction training. - Previous TF: 1.1.1(b)(i) - Mandatory criteria for: STP-Plus
		3) Is this statement communicated externally to business partners, clients and subcontractors?		The policy statement can be communicated externally via e.g. email, notification letter/memo, circular, acknowledgement by external parties, induction training, and business contract. - Previous TF: 1.1.1(b)(ii) - Mandatory criteria for: STP-Plus



Step-by-Step Guide

Poster, plaque, intranet,
internet



Step-by-Step Guide

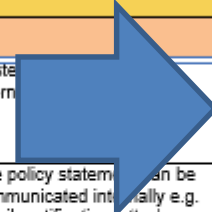
TradeFIRST Dictionary 2017

List of Schemes and Abbreviations

APP	Authorised Piers and Places	EFS	Excise Factory Scheme for the manufacturing of liquor, tobacco and motor vehicles.
ASB	Air Store Bond	LW	Licensed Warehouse (for liquor, tobacco and motor vehicles)
BTS	Bonded Truck Scheme	MB	Microbreweries (subset of EFS)
CNG	Compressed Natural Gas manufacturers	Petroleum	Petroleum Licences (Licensed Warehouse for Petroleum, Bonded Warehouse for Petroleum and Refinery Petroleum)
CDS	Company Declaration Scheme	STP-Plus	Secure Trade Partnership-Plus
CFW	Container Freight Warehouse	STS	Strategic Trade Scheme
DFS	Duty Free Shop	ZGS	Zero GST Warehouse Scheme

+

Criteria	Sub-Criteria	Explanatory Notes	Examples of Evidence	- Prev TF Mapping - Mandatory Criteria
A. Company Profile				
1. Corporate Policy				
A	Security Policy Statement	1) Does your company have a Security Policy Statement?	The policy is a statement of the company's commitment to develop, document, implement, maintain and review its supply chain security measures and practices. It should come from the senior management of the company.	Posterior internal
		2) Does your company communicate this statement internally to all employees?	The policy statement can be communicated internally e.g. email, notification letter/memo, circular, acknowledgement by employees, induction training.	- Previous TF: 1.1.1(a) - Mandatory criteria for: STP-Plus
		3) Is this statement communicated externally to business partners, clients and subcontractors?	The policy statement can be communicated externally via e.g. email, notification letter/memo, circular, acknowledgement by external parties, induction training, and business contract.	- Previous TF: 1.1.1(b)(i) - Mandatory criteria for: STP-Plus
				- Previous TF: 1.1.1(b)(ii) - Mandatory criteria for: STP-Plus



Step-by-Step Guide

-
- Previous TF:1.1.1(a)
 - Mandatory criteria for:
STP-Plus



Step-by-Step Guide

TradeFIRST Self-Assessment Checklist				
1	CRITERIA	Sub-Criteria	Applicant's Answers	Remarks (Please (i) indicate the title and description of the supporting documents and (ii) briefly state the measures put in place in your company to meet the criteria)
2	A. Company Profile			
3	1. Corporate Policy			
4	A. Security Policy Statement	1) Does your company have a Security Policy Statement?	Yes	On company intranet and posters on the walls
5		2) Does your company communicate this statement internally to all employees?	Yes	On company intranet and posters on the walls
6		3) Is this statement communicated externally to business partners, clients and subcontractors?	Yes	Written in the contract to business partners, clients and subcontractors
7	B. Trade Compliance Policy Statement	1) Does your company have a Trade Compliance Policy Statement stating the company's commitment to comply with the terms and conditions and applicable regulations of the scheme?	Yes	On company intranet and posters on the walls
8		2) Does your company communicate this statement internally to all employees?	Yes	On company intranet and posters on the walls
9		3) Is the statement communicated externally to business partners, clients and subcontractors?	Yes	Written in the contract to business partners, clients and subcontractors
10	C. Review of TradeFIRST	1) Does the company carry out the TradeFIRST self-assessment annually?		
11				



Step-by-Step Guide

TradeFIRST Dictionary 2017

List of Schemes and Abbreviations

APP	Authorised Piers and Places	EFS	Excise Factory Scheme for the manufacturing of liquor, tobacco and motor vehicles.
ASB	Air Store Bond	LW	Licensed Warehouse (for liquor, tobacco and motor vehicles)
BTS	Bonded Truck Scheme	MB	Microbreweries (subset of EFS)
CNG	Compressed Natural Gas manufacturers	Petroleum	Petroleum Licences (Licensed Warehouse for Petroleum, Bonded Warehouse for Petroleum and Refinery Petroleum)
CDS	Company Declaration Scheme	STP-Plus	Secure Trade Partnership-Plus
CFW	Container Freight Warehouse	STS	Strategic Trade Scheme
DFS	Duty Free Shop	ZGS	Zero GST Warehouse Scheme



Criteria	Sub-Criteria	Explanatory Notes	Examples of Evidence	- Prev TF Mapping - Mandatory Criteria
A. Company Profile				
1. Corporate Policy				
A	Security Policy Statement	1) Does your company have a Security Policy Statement?	The policy is a statement of the company's commitment to develop, document, implement, maintain and review its supply chain security measures and practices. It should come from the senior management of the company.	- Previous TF:1.1.1(a) - Mandatory criteria for: STP-Plus
		2) Does your company communicate this statement internally to all employees?	The policy statement can be communicated internally via e.g. email, notification letter/memo, circular, acknowledgement by employees, induction training.	- Previous TF:1.1.1(b)(i) - Mandatory criteria for: STP-Plus
		3) Is this statement communicated externally to business partners, clients and subcontractors?	The policy statement can be communicated externally via e.g. email, notification letter/memo, circular, acknowledgement by external parties, induction training, and business contract.	- Previous TF:1.1.1(b)(ii) - Mandatory criteria for: STP-Plus



Step-by-Step Guide

-
- Previous TF:1.1.1(a)
 - Mandatory criteria for:
STP-Plus



Step-by-Step Guide

C	Security Awareness Training	1) Does your company provide security awareness training for all employees at least once a year?
---	-----------------------------	--

- Previous TF:
3.1.6(a)/(b)/(e)
- Mandatory criteria for:
STP-Plus

- Previous TF:
3.1.6(a)/(b)/(e)
- Mandatory criteria for:
STP-Plus

(3.1.6) Security awareness training programme

- (a) Does your company have a documented security awareness training program that comprises
 - (i) Recognizing potential security risks (e.g. bomb threats, office theft)?
 - (ii) Maintaining cargo integrity (contents remain unchanged from origin to destination)
 - (iii) Protecting access controls to your company's premises and information?
- (b) Does your company conduct security awareness training for all staff?
- (e) Are employees required to be retrained on security awareness at least once every year?



On-Site Assessment

◇ Submissions

- Schedule date
- Agenda

◇ On-Site Assessment

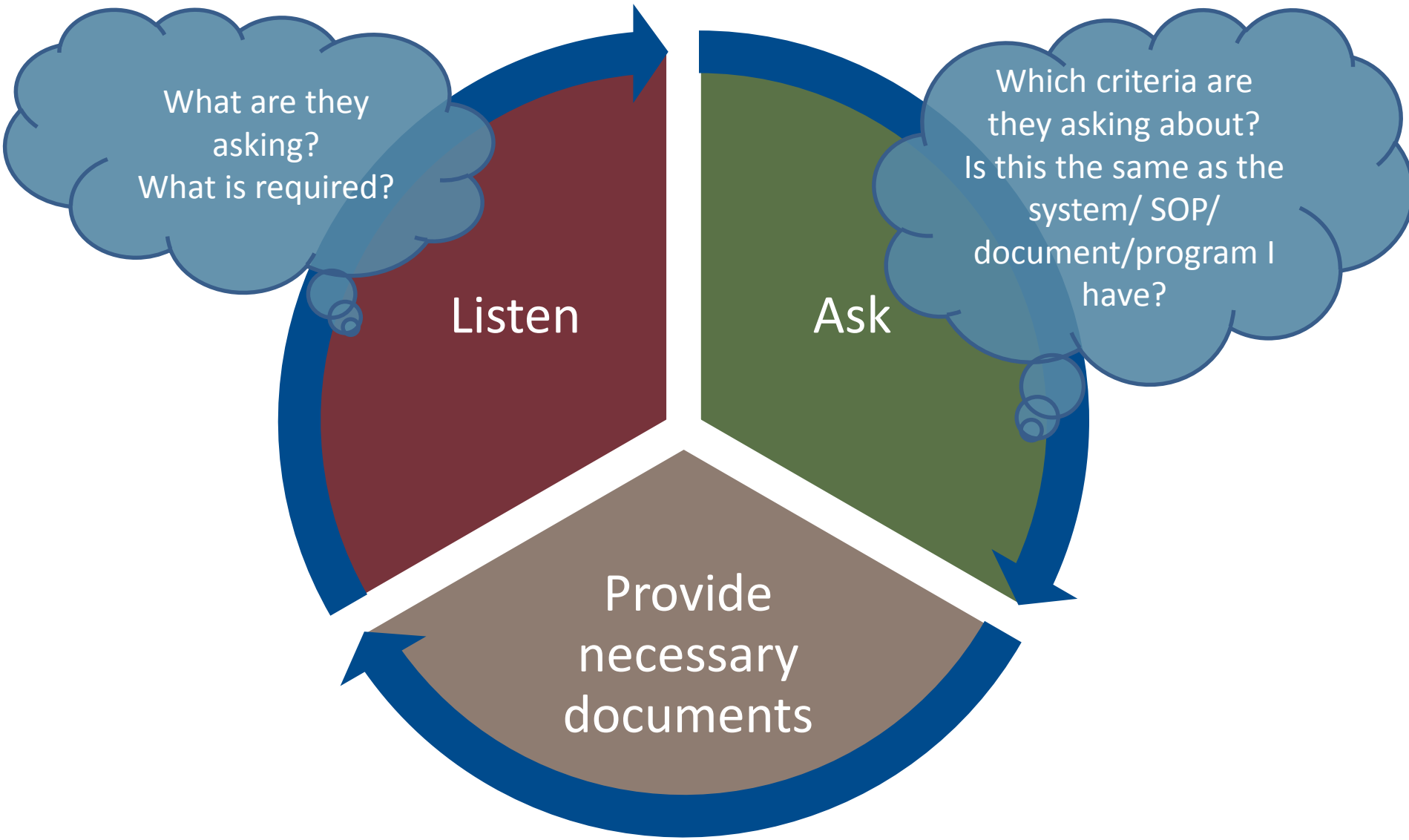
- SOPs
- Evidence

◇ Post On-Site Assessment

- Submit outstanding documents
- Reply to follow-up queries



On-Site Assessment



On-Site Assessment



Premises Walkabout

- Premises Security
- CCTV Inspection
- Fence Check

Surprise Interview for Staff

- Prepare all staff before on-site assessment



Concluding Remarks

- New checklist is effective from 31 Jan 2017
- Old checklist with all supporting documents must be submitted to your Account Manager by 31 May 2017 for assessment
- Companies will be assessed based on whichever checklist is submitted



Thank You



**SINGAPORE
CUSTOMS**

We Make Trade Easy, Fair & Secure

