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Critical Infrastructure Asset Class Definition Guidance

The following document provides guidance on critical infrastructure asset classes. Definitive definitions of each class of critical infrastructure asset are provided in the <u>Security of Critical Infrastructure Act 2018</u> and the associated <u>legislative instruments</u>. Please also refer to these instruments when determining whether a critical infrastructure asset applies to you or your organisation.

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01

Asset Definition Guidance for Broadcasting

Are my asset(s) critical broadcasting asset(s)?

My asset(s) are located in Australia

Y

My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)

OR

- My asset(s) are <u>broadcasting transmission asset(s)</u> i.e.

 Radiocommunications transmitters
- Broadcasting transmission towers OR
- Associated transmission facilities
 Used or capable of being used in connection
 with the transmission of a:
- National broadcasting service
- Commercial radio broadcasting service OR
- Commercial television broadcasting service

A tower, pole, mast or similar structure used to supply a broadcasting service by means of radiocommunications using the broadcasting services bands or a datacasting service provider under and in accordance with the conditions of a datacasting licence (Schedule 4 of the Broadcasting Services Act 1992).

Defined in the *Broadcasting Services Act 1992*, <u>sections</u>

My broadcasting transmission asset(s) are owned or operated

There are no critical transmission sites for these purposes at current.

by the same entity and located

on a critical transmission site

My broadcasting transmission asset(s) are owned or operated by the same **entity** and located on at least 50 different sites and not **broadcasting re-transmission sites**

Radiocommunications transmitter, broadcasting transmission tower or associated transmission facility used in connection with the transmission of a service that does no more than re-transmit programs transmitted by a broadcasting service, which are exempt from the regulatory regime established by the Broadcasting Service Act 1992 (see s 212).

OR as

My broadcasting transmission asset(s) are owned or operated by an **entity** that has been prescribed as critical to the transmission of a broadcasting service – includes TX Australia Pty Ltd

If YES, your asset(s) are critical broadcasting asset(s) located in the Communications Sector.



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01

Asset Definition Guidance for Broadcasting (cont.)

Am I a reporting entity for critical broadcasting asset(s)?

I am the entity referred to in the applicable asset definition.

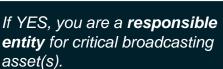
I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical broadcasting asset such that I am in a position to directly or indirectly control the asset.

E.g. Company A owns broadcasting transmission towers on at least 50 sites around Australia. Even if other companies are using them for broadcasting, Company A would be the responsible entity for the asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder





If YES, to either of these, you are a **direct interest holder** for critical broadcasting asset(s).

If NO, you are not a **reporting entity** for critical broadcasting asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program*	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	√	√	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×

^{*}Proposed Telecommunications Security and Risk Management Program.



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Asset Definition Guidance for Domain Name Systems

Are my asset(s) critical domain name systems asset(s)?

My asset(s) are located in Australia



My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise)



My asset(s) are managed by an entity that is critical to the administration of an Australian domain name system

.au Domain Administration Ltd is critical to the administration of an Australian domain name system

an entity that administers the .au ccTLD system (the system used in providing the '.au' country code Top Level Domain (ccTLD) internet service) is critical to the administration of an Australian domain name system



My asset(s) are used in connection with the administration of an Australian domain name system



My asset(s) are critical to the administration of an Australian domain name system

The following assets within the .au ccTLD system are critical to the administration of an Australian domain name system:

- registry database;
- public WHOIS service;
- '.au' top level authoritative DNS name servers
- the following second level authoritative DNS name servers:
 - .com.au .id.au
- .asn.au
- .net.au
- .edu.au .gov.au
- .org.au

A WHOIS service (https://whois.auda.org.au/) means a service or tool that provides domain information, including (any of) the following:

- domain registrar;
- DNS name servers;
- **DNSSEC** information;

- registrar contact information;
- IP addresses of DNS name servers;
- registrant information;

- domain name status;
- technical contact information;
- registrant contact information.



If YES, your asset(s) are critical domain name systems, within the Communications Sector.



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02

Asset Definition Guidance for Domain Name Systems (cont.)

Am I a reporting entity for critical domain name systems asset(s)?

I am the entity referred to in the applicable asset definition.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical domain name systems (DNS) asset such that I am in a position to <u>directly or</u> <u>indirectly control</u> the asset.

Currently only .au Domain
Administration Ltd is listed in the applicable asset definition.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.



If YES, you are a **responsible entity** for a critical domain name systems.

If YES, to either of these, you are a **direct interest holder** for a critical domain name systems.

If NO, you are not a reporting entity for critical domain name systems.

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program*	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	√	√	✓	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×

^{*}Proposed application



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03

Asset Definition Guidance for Telecommunications

Are my asset(s) critical telecommunications asset(s)?

My asset(s) are:

- · located in Australia; or
- include a satellite-based facility that is included in the Register of Space Objects kept under section 86 of the *Space* (*Launches and Returns*) *Act 2018*; or
- a submarine cable in Australian waters (as defined by section 2 of Schedule 3A to the Telecommunications Act).



My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)





My asset(s) are a telecommunications network

My asset(s) are any other asset used in connection with the supply of a *carriage service*.

Telecommunications network means a system, or series of systems, that carries, or is capable of carrying, communications by means of guided and/or unguided electromagnetic energy.

Carriage service means a service for carrying communications by means of guided and/or unguided electromagnetic energy.

My asset(s) are owned or operated by a carrier or a carriage service provider

Carriage service provider is a person who supplies or proposes to supply a listed carriage service to the public using a network unit owned by one or more carriers, or a network unit in relation to which a nominated carrier declaration is in force (s87 *Telecommunications Act 1997*).

Carrier means the holder of a carrier licence i.e. a licence granted under s56 of the *Telecommunications Act*

My asset(s) are used to supply a carriage service

Carriage service means a service for carrying communications by means of guided and/or unguided electromagnetic energy.

If YES, your asset(s) are critical telecommunications asset(s) located in the Communications Sector.



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03

Asset Definition Guidance for Telecommunications (cont.)

Am I a reporting entity for critical telecommunications asset(s)?

I am the carrier that owns or operates the asset.

I am the carriage service provider that uses the asset.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical telecommunications asset such that I am in a position to directly or indirectly control the asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.





If YES, you are a **responsible entity** for critical telecommunications asset(s).

If YES, to either of these, you are a **direct interest holder** for critical telecommunications asset(s).

If NO, you are not a **reporting entity** for critical telecommunications asset(s).

What are my obligations under the Act?

Type of reporting entity	Register your critical asset(s)	Meet Telecomm unications specific requireme nts in Part 2D	Have and maintain a Telecommunication s Security and Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Certain responsible entities	√	✓	√	√	✓	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	√	×	×	×	×	×

The information contained in this document is general in nature and does not constitute legal advice. Readers are encouraged to obtain legal advice that applies to their particular circumstances. The Commonwealth of Australia does not guarantee the accuracy, currency or completeness of any information in this document.



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04

Asset Definition Guidance for Data Storage or Processing

Are my asset(s) critical data storage or processing asset(s)?

My asset(s) are located in Australia

My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise)

My asset(s) are owned or operated by an entity that is a data storage or processing provider

A data storage or processing provider is an entity that provides a data storage or processing service

A data storage or processing service is a service that enables end-users to store or back-up data provided on a commercial basis, OR that involves the use of one or more computers provided on a commercial basis



Examples of these services include:

- Software-as-a-service (SaaS)
- Infrastructure-as-a-service (laaS)
- Platform-as-a-service (PaaS)

The asset(s) is used wholly or primarily to provide a data storage or processing service that relates to business critical data AND is provided by the entity to an end-user that is either:

Business critical data is:

- Personal information related to at least 20,000 individuals Information needed to operate a CI asset OR
- Information related to R&D regarding a CI asset
- Information related to any systems needed to operate a CI asset
- Information relating to risk management and business continuity (however described) of a CI asset

The Commonwealth, a State or a Territory, or a body corporate established by a law of the Commonwealth, a State or a Territory

The responsible entity for a critical infrastructure asset

See guidance for other asset classes here

My organisation knows that its asset(s) is being used in this way

If YES, and your asset does NOT fall under the definition of any other critical infrastructure asset, your asset(s) are critical data storage or processing asset(s), within the Data Storage or Processing Sector.



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04

Asset Definition Guidance for Data Storage or Processing (cont.)

Am I a reporting entity for critical data storage or processing asset(s)?

I am the entity referred to in the applicable asset definition.

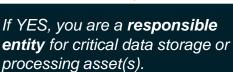
I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical data asset such that I am in a position to directly or indirectly control the asset.

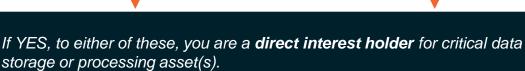
E.g. Company A owns a data centre that provides data management services for highly classified Government cloud workloads. Company A would be the responsible entity for the data centre which is a critical data storage and processing asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder







If NO, you are not a reporting entity for critical data storage or processing asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	√	✓	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×



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Asset Definition Guidance for Banking

Are my asset(s) critical banking asset(s)?

My asset(s) are located in Australia



My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise)



My asset(s) are owned or operated by a body corporate that is a related body corporate of an authorised deposit-taking institution.



My asset(s) are owned or operated by a body corporate that is a related body corporate of an authorised deposit-taking institution.

Authorised deposit-taking institution means a body corporate that has been granted an authority to carry on a banking business in Australia by APRA, in accordance with subsection 9(3) of the Banking Act 1959.



Related body corporate means a body corporate that is related to the first mentioned body (Corps Act 2001).



The authorised deposit-taking institution is critical to the security and reliability of the financial services and markets sector.

The body corporate is critical to the security and reliability of the financial services and markets sector.

An authorised deposit-taking institution or body corporate is deemed critical to the security and reliability of the financial services and markets sector if it has assets over \$50 billion.



The asset is used in connection with the carrying on of a banking business



A **banking business** is a business that consists of banking within the meaning of para 51(xiii) of the Constitution; or a business carried on by a corporation to which para 51(xiii) applies and that consists, to any extent, of both taking money on a deposit (otherwise than as part-payment for identified goods and services) and making advances of money; or other financial activities prescribed by the regulations for the purposes of this definition (Banking Act 1959).

If YES, your asset(s) are critical banking asset(s) located in the Financial Services and Markets Sector.



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05

Asset Definition Guidance for Banking (cont.)

Am I a reporting entity for critical banking asset(s)?

I am the authorised deposittaking institution or the body corporate mentioned above?

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical freight infrastructure asset such that I am in a position to <u>directly or indirectly control</u> the asset.

E.g. For an Australian Bank that has assets over \$50 billion, its asset(s) that are used in connection to its banking business would be the critical banking assets, and the Australian Bank would be the responsible entity.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.







If YES, you are a **responsible entity** for critical banking asset(s).

If YES, to either of these, you are a **direct interest holder** for critical banking asset(s).

If NO, you are not a reporting entity for critical banking asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	×	×	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	×	×	×	×	×



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06

Asset Definition Guidance for Financial Market Infrastructure

Are my asset(s) critical financial market infrastructure asset(s)?

My asset(s) are located in Australia

My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)

My asset(s) are owned or operated by an Australian body corporate that holds an Australian market licence OR owned or operated by an associated entity of an Australian body corporate that holds an Australian market licence.

My asset(s) are OR owned or operated by an Australian body corporate that holds an Australian CS facility licence **OR** owned or operated by an associated entity of an Australian body corporate that holds an Australian CS facility licence.

A clearing and settlement (CS) facility is a facility that clears and settles transactions in financial products.

My asset(s) are OR owned or operated by an Australian body corporate that holds a benchmark administrator licence OR owned or operated by an associated entity of an Australian body corporate that holds a benchmark administrator licence.

My asset(s) are owned or operated by an Australian body corporate that holds an Australian derivative trade repository licence OR owned or operated by an associated entity of an Australian body corporate that holds an Australian derivative trade repository licence.

All licences listed have the same meaning as in Chapter 7 of the Corporations Act 2001. Further information on each of the four named financial licences can be found on the ASIC website.

My asset(s) are used in connection with the operation of a payment system that is critical to the security and reliability of the financial services and markets sector.

OR

includes
Mastercard,
Visa, EFTPOS
and the New
Payments
Platform. See
s10(5) of the
Rules.

This currently

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06

Asset Definition Guidance for Financial Market Infrastructure (cont.)

Are my asset(s) critical financial market infrastructure asset(s)?



My asset(s) are used in connection with the operation of a financial market that is critical to the security and reliability of the financial services and markets sector.



My asset(s) are used in connection with the operation of a clearing and settlement facility that is critical to the security and reliability of the financial services and markets sector.



My asset(s) are used in connection with the administration of a significant financial benchmark that is critical to the security and reliability of the financial services and markets sector.



My asset(s) are used in connection with the operation of a derivative trade repository that is critical to the security and reliability of the financial services and markets sector.

This requirement is met if the asset is operated by an entity that holds a Tier 1 market licence and meets the turnover threshold per \$10(1)(b) of the Rules.



If YES, to any of these, your asset(s) are critical financial market infrastructure asset(s) located in the Financial Services and Markets Sector.

Continue next page



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06

Asset Definition Guidance for Financial Market Infrastructure (cont.)

Am I a reporting entity for critical financial market infrastructure asset(s)?

I am a **body corporate** or **associated entity** as described above.

I, together with any associates, hold an interest of **at least 10%** in the <u>asset</u>, including any joint interests. I hold an interest in a critical financial market infrastructure asset such that I am in a position to directly or indirectly control the asset.

An entity is an associated entity if it fulfils a recognised corporate relationship. This include subsidiaries, holding companies, principals etc.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.



If YES, you are a **responsible entity** for critical financial market infrastructure asset(s).

If YES, to either of these, you are a **direct interest holder** for critical financial market infrastructure asset(s).

If NO, you are not a reporting entity for critical financial market infrastructure asset(s).

Payment Systems: What are my obligations under the Act?

*Proposed application

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program*	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	\checkmark	√	\checkmark	\checkmark	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×

Other Critical Financial Market Infrastructure: What are my obligations under the Act?

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program*	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	×	√	\checkmark	\checkmark	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	×	×	×	×	×



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07

Asset Definition Guidance for Insurance

Are my asset(s) critical insurance asset(s)?

My asset(s) are located in Australia

My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise)

My asset(s) are owned or operated by an entity that carries on an insurance business, OR owned or operated by a body corporate that is a related body corporate of an entity that carries on insurance business

Where a body corporate is a holding company, a subsidiary, or a subsidiary of a holding company of another body corporate, the first mentioned body and the other body are **related** to each other (s50 *Corps Act 2001*).

Insurance business means the business of undertaking liability, by way of insurance (including reinsurance), in respect of any loss or damage, including liability to pay damages or compensation, contingent upon the happening of a specified event. Includes any business incidental to insurance, but does not include exceptions listed under the definition in the Insurance Act 1973.

My asset(s) are owned or operated by an entity that carries on life insurance business, OR owned or operated by a body corporate that is a related body corporate of an entity that carries on life insurance business

Life insurance business means a business that consists of any of the following: the issuing of life policies, the issuing of sinking fund policies, the undertaking of liability under life policies, the undertaking of liability under sinking fund policies, any business related to this. See exceptions at s11 Life Insurance Act 1995.

My asset(s) are owned or operated by an entity that carries on health insurance business, OR owned or operated by a body corporate that is a related body corporate of an entity that carries on health insurance business

See the flow diagram outlined in \$115-10 of the Private Health Insurance Act 2007 to determine whether you are a health insurance business.

s13 of the Application Rules prescribes where an entity or body corporate is considered **critical** to the security and reliability of the sector.

The entity or body corporate is critical to the security and reliability of the financial services and markets sector

The asset is **used in connection with** the carrying on of the relevant insurance business (insurance, life insurance or health insurance)

If YES, your asset(s) are critical Insurance asset(s) located in the Financial Services and Markets Sector.



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07

Asset Definition Guidance for Insurance (cont.)

Am I a reporting entity for critical insurance asset(s)?

I am the entity referred to in the applicable asset definition above.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical insurance asset such that I am in a position to directly or indirectly control the asset.

E.g. life insurance Company A owns twelve shopfronts in Australia, an extensive IT database network and significant financial asset(s) including bonds, equities and real estate. The total value of these asset(s) is over \$5 billion. Company A is therefore a reporting entity, per the asset definitions and the Rules.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.







If YES, you are a **responsible entity** for critical insurance asset(s).

If YES, to either of these, you are a **direct interest holder** for critical insurance asset(s).

If NO, you are not a **reporting entity** for critical insurance asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	×	×	✓	✓	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	×	×	×	×	×



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08

Asset Definition Guidance for Superannuation

Are my asset(s) critical superannuation asset(s)?

My asset(s) are located in Australia



My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)



My asset(s) are owned or operated by an RSE licensee (as a trustee for a registerable superannuation entity) that has asset(s) over \$20 billion

RSE licensee means a constitutional corporation, body corporate or group of individual trustees that holds an RSE licence granted under 529D of the Superannuation Industry (Supervision) Act 1993.

Registerable superannuation entity **(RSE)** licenses are granted by the Australian Prudential Regulatory Authority to an eligible:

- regulated superannuation fund; or
- approved deposit fund; or
- pooled superannuation trust;

but not to self managed superannuation funds.

My asset(s) are used in connection with the operation of a superannuation fund

Must be materially connected to superannuation services or products. For example, equities in shares that are invested for the purposes of delivering a return on a superannuation account.

A **superannuation fund** means a fund that is an indefinitely continuing fund and is a provident, benefit, superannuation or retirement fund or a public sector superannuation scheme.



If YES to all of these, your asset(s) are critical superannuation asset(s) located in the Financial Services and Markets Sector.



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08

Asset Definition Guidance for Superannuation (cont.)

Am I a reporting entity for critical superannuation asset(s)?

I am the entity referred to in the applicable asset definition above (i.e. the RSE licensee).

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical superannuation asset such that I am in a position to directly or indirectly control the asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.

If YES, you are a **responsible entity** for critical superannuation asset(s).

If YES, to either of these, you are a **direct interest holder** for critical superannuation asset(s).

If NO, you are not a reporting entity for critical superannuation asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program*	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	×	×	√	\checkmark	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	×	×	×	×	×

^{*}Proposed application



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09

Asset Definition Guidance for Water

Are my asset(s) critical water asset(s)?

My asset(s) are located in Australia

Y

My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)



My asset(s) are one or more water or sewerage systems or networks that are managed by a single water utility

Water utility means an entity that holds a licence, approval or authorisation (however described), under a law of the Commonwealth, a State or a Territory, to provide water services or sewerage services, or both.

Asset(s) may be one or more water or sewerage systems or networks comprised of physical elements. Examples may include dams, pumps, metres, hydrants, reservoirs, water mains, pressure valves and any electronic asset(s) required for the ongoing function of such items.



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My asset(s) ultimately deliver services to at least 100,000 water **connections**

My asset(s) ultimately deliver services to at least 100,000 sewerage **connections**

The point of water or sewerage connection is where the service crosses the property boundary OR where the service joins the network within the property boundary.

If YES, your asset(s) are critical water asset(s) located in the Water and Sewerage Sector.



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09

Asset Definition Guidance for Water (cont.)

Am I a reporting entity for critical water asset(s)?

I am the water utility which holds the licence, approval or authorisation, under a State, Territory or Commonwealth law to operate the asset to provide the service to be delivered by the asset.

E.g. A NSW company that has a water access licence for the purpose of running irrigation works. If another entity is prescribed by the rules in

relation to the asset, that other entity is

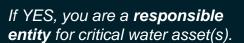
a responsible entity.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical water asset such that I am in a position to directly or indirectly control the asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.







If YES, to either of these, you are a **direct interest holder** for critical water asset(s).

If NO, you are not a **reporting entity** for critical water asset(s).

Water utilities are only required to provide one report and are not required to report on more than one system or network under their control if those individual systems or networks individually meet the 100,000 connections threshold.

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	√	√	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×



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10

Asset Definition Guidance for Defence Industry

Are my asset(s) critical defence industry asset(s)?

My asset(s) are located in Australia



My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)



My asset(s) are being, or will be, supplied by an **entity** to the **Defence Department**, or the Australian Defence Force, under a contract



Defence Department means the Department of State that deals with defence and that is administered by the Defence Minister.

My asset(s) consists of, or enables, a critical defence capability

A critical defence capability includes:

- materiel; and
- technology; and
- a platform; and
- a network; and
- a system; and
- a service

that is required in connection with the **defence of Australia** or **national security.** National security means Australia's defence, security or international relations.



If YES, your asset(s) are critical defence industry asset(s) located in the Defence Industry Sector.



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10

Asset Definition Guidance for Defence Industry (cont.)

Am I a reporting entity for critical defence industry asset(s)?

I am the **entity** referred to in the asset definition.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical defence industry asset such that I am in a position to directly or indirectly control the asset.

E.g. A submarine construction company has been contracted to supply submarines to the Australian Department of Defence. The responsible entity would be the submarine construction company.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.









If YES, you are a **responsible entity** for critical defence industry asset(s).

If YES, to either of these, you are a **direct interest holder** for critical defence industry asset(s).

If NO, you are not a **reporting entity** for critical defence industry asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program*	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	×	×	×	\checkmark	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	×	×	×	×	×

^{*} Part 2 applies to Naval Shipbuilding precinct

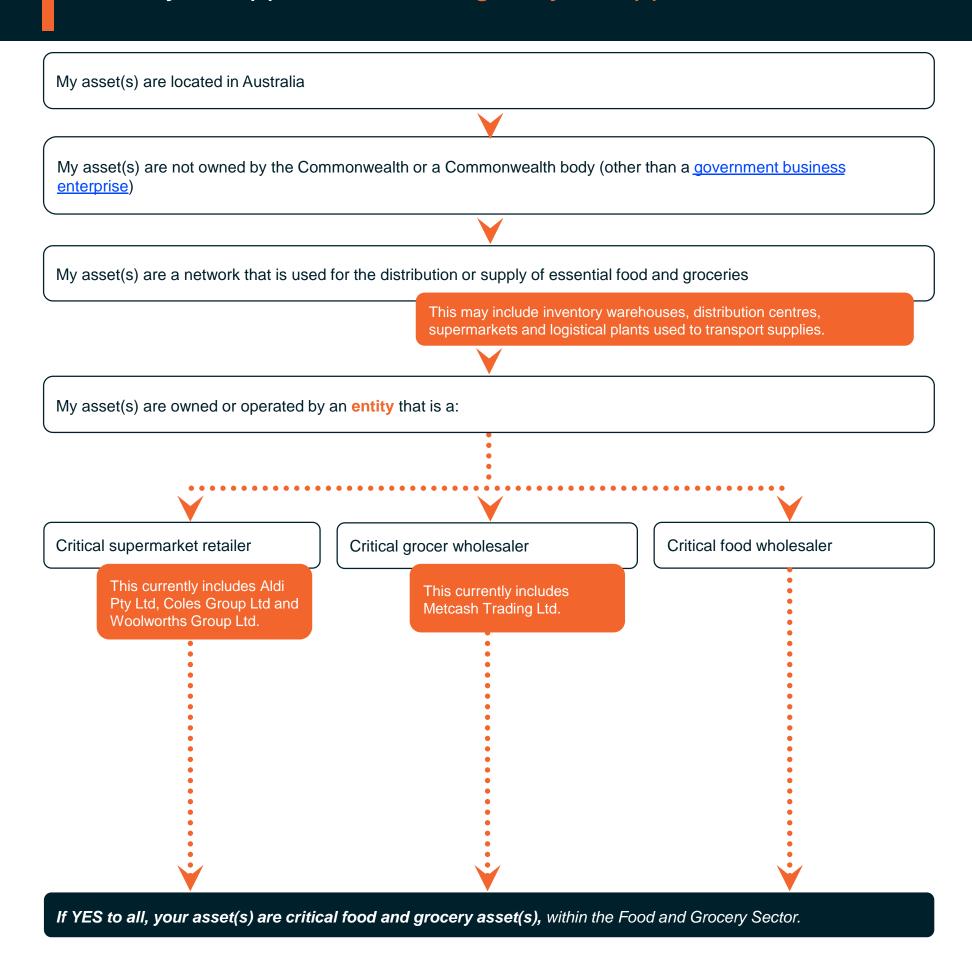


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11

Asset Definition Guidance for Food and Grocery

Are my asset(s) critical food and grocery asset(s)?





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11

Asset Definition Guidance for Food and Grocery (cont.)

Am I a reporting entity for critical food and grocery asset(s)?

I am the entity that is the critical supermarket retailer, critical grocery wholesaler or critical food wholesaler that owns or operates the asset(s) in question. I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical data asset such that I am in a position to directly or indirectly control the asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.



If YES, to either of these, you are a **direct interest holder** for critical food and grocery asset(s).

If NO, you are not a reporting entity for critical food and grocery asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	✓	√	√	✓	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	✓	×	×	×	×

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12

Asset Definition Guidance for Electricity

Are my asset(s) critical electricity asset(s)?

My asset(s) are located in Australia My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise) If YES to both, do my asset(s) meet any of the below definitions? A network, system, or interconnector, An electricity generation station critical to ensuring the security and reliability of that transmits or distributes electricity to electricity networks or electricity systems in a state or territory: \geq 100,000 customers. An electricity generator in the State or Owned or operated by an entity that is OR Territory that has an installed capacity ≥ contracted to provide a system restart 30 megawatts and connected to a ancillary service in the State or wholesale electricity market. Territory. A system restart ancillary **service** is provided if it can start without an external power supply and connect and provide energy to an electrical network or an electricity system for the transmission or distribution of electricity. If YES, your asset(s) are critical electricity asset(s) located in the Energy Sector.



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12

Asset Definition Guidance for Electricity (cont.)

Am I a reporting entity for critical electricity asset(s)?

Which definition below best describes your relationship with the critical electricity asset?

I am the entity which holds the licence, approval or authorisation to operate the critical electricity asset and provide the services to be delivered.

I, together with associates, hold an interest of ≥ 10% in the critical electricity asset, including any joint interests.

I hold an interest in the critical electricity asset such that I am in a position to <u>directly or indirectly</u> <u>control</u> the asset.

E.g. X Energy holds the licence to operate an 2500 MW power station and provide the electricity generated to the grid. X Energy would be the responsible entity for the critical electricity asset (the power station).

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.







If YES, you are a **responsible entity** for critical electricity asset(s).

If YES to either of these, you are a **Direct Interest Holder** for critical electricity asset(s).

If NO, you are not a **reporting entity** for critical electricity asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	√ **	√	√ **	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×

^{**} Except for Invicta Sugar Mill, Pioneer Sugar Mill, Racecourse Sugar Mill and South Johnstone Sugar Mill and their responsible entities.



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13

Asset Definition Guidance for Energy Market Operator

Are my asset(s) critical energy market operator asset(s)?

My asset(s) are located in Australia My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise) My asset(s) are owned or My asset(s) are owned or OR My asset(s) are owned or My asset(s) are owned or operated by Australian operated by Power and operated by Regional operated by Electricity **Energy Market Operator** Water Corporation **Power Corporation Networks Corporation** (AEMO) My asset(s) are used in connection with the operation of an energy market or system My asset(s) are critical to ensuring the security and reliability of an energy market or system My asset(s) are NOT a critical electricity asset, critical gas asset, or critical liquid fuel asset If YES to all, your asset(s) are critical energy market operator asset(s) located in the Energy Sector.



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13

Asset Definition Guidance for Energy Market Operator (cont.)

Am I a reporting entity for critical energy market operator asset(s)?

I am the entity: AEMO; Power and Water Corporation; Regional Power Corporation; or Electricity Network Corporation.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical energy market operator asset such that I am in a position to <u>directly or indirectly control</u> the asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.

If YES, you are the responsible entity for the respected asset(s) owned or operated by your organisation.





If YES to either of these, you are a **Direct Interest Holder** for critical energy market operator asset(s).

If NO to all of these, you are not a reporting entity for critical energy market operator asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	✓	√	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	✓	×	×	×	×



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14

Asset Definition Guidance for Gas

Are my asset(s) considered critical gas asset(s)?

My asset(s) are located in Australia

My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)

My gas asset(s) meet any of the below definitions

OR

A gas storage facility that has a maximum daily withdrawal capacity of ≥ 75 terajoules (TJ) per day.

A gas processing facility that has a capacity of ≥ 300 TJ per day.

A network or system for the distribution of gas to ultimately service ≥ 100,000 customers.

A control room, or any other asset, that is required to operate a critical gas transmission pipeline.

A gas transmission pipeline that is specified or required to be critical to ensuring the security and reliability of a gas market.

The receipt and delivery of gas to and from a notional point occurs within a pipeline and can be made from steel or plastic tubes.

A gas transmission pipeline is critical if it has ≥ the nameplate rating for the relevant gas market:

- **Eastern:** 200 TJ per day
- Northern: 80 TJ per day
- Western: 150 TJ per day

The Tasmanian Gas Pipeline and Carpentaria Gas Pipeline are considered critical gas asset(s).

facility is principally used to meet load variations, but can also be used to balance the flow in pipeline systems.

A gas storage

If YES, your asset(s) are critical gas asset(s) located in the Energy Sector.



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14

Asset Definition Guidance for Gas (cont.)

Am I a reporting entity for critical gas asset(s)?

Which definition below best describes your relationship with the critical gas asset(s)?

I am the entity which holds the licence, approval or authorisation to operate the critical gas asset and provide the services to be delivered.

I, together with associates, hold an interest of ≥ 10% in the critical gas asset, including any joint interests.

I hold an interest in the critical gas asset such that I am in a position to directly or indirectly control the asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.





If YES, you are a **responsible entity** for critical gas asset(s).

If YES to either of these, you are a **Direct Interest Holder** for critical gas asset(s).

If NO, you are not a reporting entity for critical gas asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	√	✓	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×



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15

Asset Definition Guidance for Liquid Fuel

Are my asset(s) critical liquid fuel asset(s)?

My asset(s) are located in Australia My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise) My asset(s) are a liquid fuel refinery My asset(s) are a liquid fuel storage My asset(s) are a liquid fuel pipeline OR OR located in Corio, Victoria and Lytton, that is critical to ensuring the facility with a capacity of > 50 Queensland security and reliability of a liquid fuel megalitres of liquid fuel market **Liquid fuel refineries** located in Corio, Victoria and Lytton, The following liquid fuel pipelines are considered Queensland are considered critical to ensuring the critical to the sector. security and reliability of a liquid fuel market: Sydney Metropolitan Pipeline Gore Bay Pipeline Westernport Altona **Geelong Pipeline** Longford (Dutson) to **Hastings Pipeline** Melbourne Airport Jet Fuel **Pipelines** • Jet Fuel Pipeline (Kurnell to Sydney Airport) • Brisbane Airport Jet Fuel **Pipeline** Perth Airport Jet Fuel **Pipeline**

If YES to any of these, your asset(s) are critical liquid fuel asset(s) located in the Energy Sector.



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Asset Definition Guidance for Liquid Fuel (cont.)

Am I a reporting entity for critical liquid fuel asset(s)?

Which definition below best describes your relationship with the critical liquid fuel asset(s)?

I operate a liquid fuel refinery, liquid fuel pipeline or liquid fuel storage facility, that is critical to ensuring the security and reliability of a liquid fuel market.

I, together with any associates, hold an interest of ≥ 10% in the asset, including any joint interests.

I hold an interest in a critical liquid fuel asset such that I am in a position to directly or indirectly control the asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder





If YES, you are a responsible entity for critical liquid fuel asset(s). If YES to either of these, you are a **Direct Interest Holder** for critical liquid fuel

If NO to any of these, you are not a reporting entity for critical liquid fuel asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	√	√	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×



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16

Asset Definition Guidance for Hospital

Are my asset(s) critical hospital asset(s)?

My asset(s) are located in Australia



My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)



This exclusion does not extend to State and Territory owned enterprises.

My asset(s) are a hospital that has a general intensive care unit

Hospital has the same meaning as in the *Private Health Insurance Act 2007:* s121(5). A hospital is a facility for which a declaration under subsection (6) is in force i.e. the Minister has declared in writing that a facility is a hospital. See list of declared hospitals here.

General intensive care unit means an area within a hospital that is equipped and staffed so that it is capable of providing to a patient mechanical ventilation for a period of several days and invasive cardiovascular monitoring, and is supported by:

- during normal working hours—at least one specialist, or consultant physician, in the specialty of intensive care, who is immediately available, and exclusively rostered, to that area; and
- at all times—at least one medical practitioner who is present in the hospital and immediately available to that area; and
- at least 18 hours each day—at least one nurse.

If YES to all, your asset(s) are critical hospital asset(s) located in the Health Care and Medical Sector.

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16

Asset Definition Guidance for Hospital (cont.)

Am I a reporting entity for critical hospital(s)?

My critical hospital is a **public hospital**

As specified in the Ministerial declaration of the hospital.

Is your organisation the **local hospital network** that operates the hospital?

E.g. Y Health Services operates a number of hospitals in the region with ICUs. They would be the responsible entity for these hospitals. See list of LHNs here.

My critical hospital is a **private hospital**

Is your organisation the entity that holds the license, approval or authorisation under a law of a State or a Territory to operate the hospital?

E.g. X Mission Health
Care are a private
hospital operator that
operate numerous
hospitals with ICUs
across Australia. They
would be the
responsible entity for
these hospitals.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

I hold an interest in a critical hospital asset such that I am in a position to directly or indirectly control the asset.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.

If YES to either, you are a **responsible entity** for critical hospital(s).

If YES to either, you are a **direct interest holder** for critical hospital(s).

If NO, you are not a reporting entity for critical hospital(s).

What are my obligations under the Act?

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	√	× *	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	✓	×	×	×	×

*Responsible entities of designated hospitals, which are outlined in Schedule 1 of the <u>Security of Critical Infrastructure</u> (<u>Critical Infrastructure Risk Management Program</u>) Rules, have the same obligations as critical hospitals, as well as the obligation to have and maintain a Risk Management Program

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17

Asset Definition Guidance for Education

Are my asset(s) critical education asset(s)?

My asset(s) are located in Australia

V

My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise)

Asset(s) may include physical education infrastructure, computers and associated hardware, research instruments located in facilities associated with a university, materials used by a tertiary training centre for education purposes etc.



OR

My asset(s) are owned or operated by an **entity** that is registered in the Australian university category of the **National Register of Higher Education Providers**

The **National Register** is administered by the Tertiary Education Quality Standards Agency. To search for registered entities, visit **this page**.



My education asset(s) are used in connection with undertaking a program of research that is critical to a critical infrastructure sector (other than higher education and research)

To be **critical** it must be relevant to the other critical <u>infrastructure</u> sector.

My education asset(s) are used in connection with undertaking a program of research that is critical to the defence of Australia

E.g. University facilities where defence training / education is developed or delivered, or specific facilities required by navy engineering graduate students.

My education asset(s) are used in connection with undertaking a program of research that is critical to national security

National security means Australia's defence, security or international relations.

E.g. A university with an associated National Security research institute with a program or course dedicated to investigating emerging immigration technologies.

An asset owned or operated by **the Australian National University** used in connection with undertaking a program of research meeting any of the adjacent definitions is a critical infrastructure asset, with the Australian **National University** as the responsible entity. Rules relating to the **Australian National University** can be found here.



If YES, your asset(s) are critical education asset(s) located in the Higher Education and Research Sector.



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17

Asset Definition Guidance for Education (cont.)

Am I a reporting entity for critical education asset(s)?

I am the **entity** referred to in the critical education definition above.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical education asset such that I am in a position to directly or indirectly control the asset.

E.g. A tertiary training provider undertaking a program of research to improve water quality in remote communities.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.





If YES, to either of these, you are a **direct interest holder** for critical education asset(s).

If YES, you are a **responsible entity** for critical education asset(s).

If NO, you are not a **reporting entity** for critical education asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	×	×	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	×	×	×	×	×



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18

Asset Definition Guidance for Aviation

Are my asset(s) critical aviation asset(s)?

My asset(s) are located in Australia My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise) My asset(s) are used in connection with the provision of My asset(s) are used by an airport operator in an air service connection with the operation of an airport Air service means a service Airport operator means the operator of an providing air transportation of people airport. or goods, or both (Aviation Transport An airport is an area of land or water Security Act 2004). (including any buildings, installations or equipment situated in the area) intended for use either wholly or partly in connection with the arrival, departure or movement of aircraft. It also includes any area that is controlled by the airport operator that is contiguous with an area of land or water. My asset(s) are owned or My asset(s) are owned or operated by an aircraft operated by a regulated air operator cargo agent Regulated air cargo Aircraft operator agent means a person means a person who designated in conducts, or offers to accordance with conduct, an air service. regulations made under <u>s44C</u> of the Aviation Transport Security Act 2004. If YES, your asset(s) are critical aviation asset(s) located in the Transport Sector.



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18

Asset Definition Guidance for Aviation (cont.)

Am I a reporting entity for critical aviation asset(s)?

I am the entity operating an asset which comes under the definition for an aircraft operator and regulated cargo agent or an airport operator. I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical aviation asset such that I am in a position to directly or indirectly control the asset.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.





If YES, you are a **responsible entity** for critical aviation asset(s).

If YES, to either of these, you are a **direct interest holder** for critical aviation asset(s).

If NO, you are not a **reporting entity** for critical aviation asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	×	×	** for certain entities specified in s5(2) of the Application Rules	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	×	×	×	×	×

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Asset Definition Guidance for Freight Infrastructure

Are my asset(s) critical freight infrastructure asset(s)?

My asset(s) are located in Australia



My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)



My asset(s) are a road network, rail network or an **intermodal transfer facility** that is critical to the transportation of goods between:

- 2 States; or
- A State and a Territory; or
- 2 Territories; or
- 2 regional centres.

The Department's position is an **intermodal facility** is any site or facility along the supply chain that contributes to an intermodal movement by providing efficient transfer of goods from one mode of transport to another (refer to the **Report** issued by the House Standing Committee on Transport and Regional Services in 2007).

Business transporting goods by road or rail may be captured by the definition of critical freight services asset.

A **regional centre** is a city, or a town that has a population of \geq 10,000 people.

The Intermodal transfer facilities listed are:

- Chullora, NSW
- Parkes, NSW
- Altona, Vic
- Barnawartha, Vic
- Dynon-North, Vic
- Dynon-South, Vic
- Acacia Ridge, Qld
- Bromelton, Qld

- Townsville, Qld
- Islington, SA
- Penfield, SA
- Forrestfield, WA
- Kewdale-Welshpool, WA
- Brighton Transport Hub, Tas

If YES, your asset(s) are critical freight infrastructure asset(s) located in the Transport Sector.



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19

Asset Definition Guidance for Freight Infrastructure (cont.)

Am I a reporting entity for critical freight infrastructure asset(s)?

I am the Commonwealth, State or Territory Government responsible for management of the asset. I am a body established by a law of the Commonwealth, State or Territory governments responsible for the management of the asset. Where these are not applicable, I am the responsible entity prescribed by the rules in relation to that asset for managing (i.e. listed in Schedule 1).

E.g. Float Ltd. was established by the X state government to manage intermodal facility A. Float Ltd. is the responsible entity for intermodal facility A

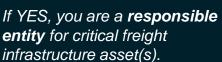
I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

I hold an interest in a critical freight infrastructure asset such that I am in a position to <u>directly or indirectly</u> <u>control</u> the asset.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.









If YES, to either of these, you are a **direct interest holder** for critical freight infrastructure asset(s).

If NO, you are not a **reporting entity** for critical freight infrastructure asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	√	√	√	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×



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Asset Definition Guidance for Freight Services

Are my asset(s) critical freight services asset(s)?

My asset(s) are located in Australia

My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a government business enterprise)

My asset(s) are a network that is used by an **entity** carrying on a business that is critical to the transportation of goods by road, rail, **inland waters** and/or sea?



Inland waters refers to any non-tidal body of water.

My business has an annual revenue of at least \$150 million

My business provides a freight service that is a road freight transport service, a freight forwarding service, a rail freight transport service or a water freight service

The freight service provided by my business involves the transport or storage of **any** of the following:

Food and groceries, where transported to or from a critical supermarket retailer or a critical grocery wholesaler (found at s15 Definitions

Rules)

Therapeutic goods registered on the Australian Register of Therapeutic Goods moved to or from premises storing such goods

The supply of medicines listed under Schedules 2, 3 4 or 8 of Part 4 of the current Poisons Standard, where transported to or from a premises at which the manufacture of the medicine is permitted under law of a State or Territory

Liquid fuel, where transported to or from a critical liquid fuel asset Essential goods and supplies required for water treatment facilities e.g. chlorine.

Any other good critical for the operation, maintenance or management of a critical infrastructure asset

If YES, your asset(s) are critical freight services asset(s) located in the Transport Sector.



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20

Asset Definition Guidance for Freight Services (cont.)

Am I a reporting entity for critical freight services asset(s)?

I am the entity referred to in the applicable asset definition.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical freight services asset such that I am in a position to directly or indirectly control the asset.

E.g. X Transport is a business with \$200m annual turnover that transports food and groceries to and from Aldi Supermarkets via road. X Transport would be the responsible entity for critical freight services asset(s)

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.







If YES, you are a **responsible entity** for critical freight services asset(s).

If YES, to either of these, you are a **direct interest holder** for critical freight services asset(s).

If NO, you are not a **reporting entity** for critical freight services asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	✓	√	√	✓	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×



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Asset Definition Guidance for Port

Are my asset(s) critical port(s)?

Is my asset land that forms part of:

- Broome Port
- Port of Adelaide
- Port of Brisbane
- · Port of Cairns
- · Port of Christmas Island
- Port of Dampier
- Port of Darwin
- Port of Eden

- Port of Freemantle
- · Port of Geelong
- Port of Gladstone
- Port of Hay Point
- Port of Hobart
- Port of Melbourne
- · Port of Newcastle
- Port of Port Botany

- Port of Port Hedland
- · Port of Rockhampton
- Port of Sydney Harbour, or
- · Port of Townsville.

Of the ports listed, **Christmas Island** is the only port located outside mainland Australia or Tasmania. Christmas Island is categorised as an Australian Territory.

Consideration may also need to be given to Australian ports in any of Australia's nine other territories including Antarctica.

A **port** is defined in the *Maritime Transport and Offshore Facilities Security Act 2003 (Cth) s12* as an area of water, or land and water (including any buildings, installations or equipment situated in or on that land or water) intended for use either wholly or partly in connection with the movement, loading, unloading, maintenance or provisioning of ships.

This definition includes:

- Areas of water, between the land of the port and the open waters outside the port, intended for use by ships to gain access to loading, unloading or other land-based facilities;
- Areas of open water intended for anchoring or otherwise holding ships before they enter areas of water described above; and
- areas of open water between the areas of water described above.

If YES, your asset(s) are critical port asset(s) located in the Transport Sector.



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21

Asset Definition Guidance for Port (cont.)

Am I a reporting entity for critical port(s)?

I am the **port operator** of the port i.e. designated by the Secretary as the port operator for the port.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical port asset such that I am in a position to directly or indirectly control the asset.

See <u>\$14</u> of the *Maritime Transport and Offshore Facilities Security Act 2003* for further details.

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.







If YES, you are a **responsible entity** for critical port asset(s).

If YES, to either of these, you are a **direct interest holder** for critical port asset(s).

If NO, you are not a **reporting entity** for critical port asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	✓	×	√	✓	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	\checkmark	×	×	×	×



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22

Asset Definition Guidance for Public Transport

Are my asset(s) critical public transport asset(s)?

My asset(s) are located in Australia



My asset(s) are not owned by the Commonwealth or a Commonwealth body (other than a <u>government business</u> <u>enterprise</u>)



This exclusion does not extend to State and Territory owned enterprises.

My asset(s) are a public transport network or system managed by a single entity

May include rail networks, bus networks, monorail or light rail networks or ferry networks .



My asset(s) are capable of handling at least 5 million passenger journeys per month



My asset(s) are not a critical aviation asset

A **critical aviation asset** means an asset that is used in connection with the provision of an air service and is owned or operated by an aircraft operator;

or

an asset that is used in connection with the provision of an air service and is owned or operated by a regulated air cargo agent;

or

an asset that is used by an airport operator in connection with the operation of an airport.

If YES, your asset(s) are critical public transport asset(s) located in the Transport Sector.



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22

Asset Definition Guidance for Public Transport (cont.)

Am I a reporting entity for critical public transport asset(s)?

I am the entity referred to in the asset definition.

I, together with any associates, hold an interest of **at least 10%** in the asset, including any joint interests. I hold an interest in a critical public transport asset such that I am in a position to directly or indirectly control the asset.

E.g. X Transport is a private company that operates a large bus network on behalf of a state government. Though they work in partnership with the state government to provide bus services, they manage their own asset(s) so would be considered the responsible entity for their buses and other network asset(s).

E.g. Entity A holds a 5% interest in the critical asset. Entity A carries on a business in partnership with Entity B, which also holds a 5% interest in the asset. Entity A and Entity B are considered associates and together hold an interest of at least 10% in the asset. Entity A and Entity B are direct interest holders.

E.g. Entity A is the holding company of a trust which has an 8% financial stake in a critical infrastructure asset. Whilst less than the legislative threshold of 10%, Entity A is still considered a direct interest holder as their stake allows them to appoint several board members to the governing body of the critical infrastructure asset. This gives Entity A the power to directly influence the asset's operations, meaning they are considered a direct interest holder.







If YES, you are a **responsible entity** for critical transport asset(s).

If YES, to either of these, you are a **direct interest holder** for critical public transport asset(s) asset(s).

If NO, you are not a **reporting entity** for critical public transport asset(s).

Type of reporting entity	Register your critical asset(s)	Have and maintain a Risk Management Program	Mandatory cyber security incident reporting	Obligation to notify data service providers	Subject to enhanced cyber security obligations
Responsible entities	✓	×	✓	√	Only if you have been notified your asset(s) are Systems of National Significance
Direct interest holders	√	×	×	×	×