GUIDELINE

Supporting documents for plant exports

Direction to staff
You must comply with this instructional material under the Practice Statement Framework.

Direction to authorised officers
Authorised officers must exercise powers and perform functions in accordance with any lawful directions or instructions issued by the department.

Direction to industry
This guideline outlines the requirements for the inspection of horticulture for export. All parties with roles and responsibilities explicit in this guideline and legislation must comply with it.

Summary of main points
This document outlines the:
• requirements for supporting documents for plant exports
• process for validating supporting documents for plant exports.

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This is a CONTROLLED document. Any documents appearing in paper form are not controlled and should be checked against the IML version prior to use.
Legislative framework

The following list outlines the legislation that applies to supporting documents for plant exports:

- Export Control Act 2020
- Export Control (Plants and Plant Products) Rules 2020
  - Section 9-11 Reassessment after failed assessment
- Export Control (Fees) Rules 2021.

Roles and responsibilities

The following table outlines the roles and responsibilities undertaken in this guideline.

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
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| Clients                                 | - Ensuring supporting documents are valid before presenting to an inspection or documentation authorised officer during the process of exporting prescribed plants and plant products.  
  - Rectifying any issues with supporting documents and resubmitting supporting documentation prior to the issuance of certification.  
  - Selecting appropriately qualified treatment providers, marine surveyors or laboratories. |
| Documentation Assessment Officer (DAO)  | Validating supporting documents presented by a client during the process of exporting prescribed plants and plant products.                       |
| Inspection AO                           | Validating supporting documents presented by a client during the process of exporting prescribed plants and plant products.                       |

Work health and safety

Inspection AOs must comply with the Work Health Safety (WHS) policies outlined in the work instructions related to the inspection being undertaken, located on the Plant Export Operations Manual.

Documentation Assessment Officers must comply with all applicable Commonwealth, state and territory work health and safety legislation.

Clients should comply with the WHS policies of their organisation.
Supporting document requirements

Supporting documents have minimum requirements – additional information may be requested by the department.

All supporting documents must:

- align with the associated Notice of Intention (NOI) to export, or electronic Request For Permit (RFP)
- meet the general requirements for all supporting documents outlined in this guideline
- meet the specific requirements for the particular document outlined in this guideline.

Important: Certification will not be issued if invalid supporting documents are presented.

General requirements for all supporting documents

The following general requirements must be met for all supporting documents.

Language

All information provided must be in English. Where the information cannot be provided in English it must be accompanied by an English translation.

English translation requirements

English translations must be made by one of the following:

- a person who is a translator accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI)
  or
- a person with appropriate qualifications to make the translation, for example
  - a consulate representative
  - National Plant Protection Organisation or importing country authority representative
  - university language school representative
  - Australian government representative.

English translations must not be:

- provided by online automatic translation services
- made by a person who is employed by the exporter or exporter’s representative.

Complete and legible

All information required must be complete and legible.

Free from non-certified alterations

- White-out must not be used.
- Amendments must be crossed out neatly and endorsed by
  - a company stamp or seal signed by the company employee (including printed name)
  or
  - a government stamp or seal signed by a government employee (including printed name).

Important: The endorsement must be applied adjacent to the alteration.

Multiple page documents

Multi page documents must include:

- all pages
• all referenced attachments.

**Signature**

All documents must be signed—wet (by hand) or electronically—by a representative of the party issuing the document and include the representative’s full name and contact details.

**Date of issue**

The date of issue must be identified and include the day, month and year.

**Validity**

Documents with an expiration date must be submitted within the period of validity.

**Note:** Supporting documents will be rejected if any validity requirements have not been met.

**Consignment specific link**

All supporting documents must have a unique identifiable link to the consignment.

This link must be the RFP number. If the RFP number cannot be provided, the name of the product must be provided with one of the following:

• the lot number (if recorded on the inspection or treatment record)
• container number
• silo number
• bulk vessel number
• exporter reference number
• any other information available that can easily link the supporting document to the consignment

**Note:** Any additional information that is available to support the link to the consignment may also be included. A client reference number should not be used as they cannot be traced to the consignment in every case.

**Requirements for import permits and instruments in writing**

The following specific requirements must be met for import permits and instruments in writing.

**Importing country authority**

The import permit must be issued by the National Plant Protection Organisation (NPPO) of the importing country and must be valid at the time of inspection undertaken by the Inspection AO.

**Product**

The import permit must be issued for the product on the associated RFP.

**Quantity**

The quantity must be for an amount equal to or greater than that declared on the associated RFP.

**Important:** For bulk product, the client must request approval from the Grain and Seed Exports Program for the quantity of bulk product to exceed the quantity issued on the import permit by up to a maximum of 10%.

**End use**

If the import permit provides details of the product’s end use, the permit must be issued for the same end use on the associated RFP.
Importer
The import permit must be issued to the same importer as the consignee on the associated RFP.

Exporter
Exporter details stated on the import permit must be the same as on the RFP.

Note: If the exporter details provided on the import permit are for an overseas entity, an Australian entity may act on their behalf.

Validity
If the import permit has an expiration date, the import permit must be valid at the date of departure on the associated RFP.

MICoR Plants
The importing country’s requirements on the import permit must match the relevant MICoR Plants case.

Note: The MICoR Plants case can be updated if the importing country requirements are different on the import permit. This can be requested by sending the import permit to the MICoR Plants team.

Requirements for phytosanitary certificates from the country of origin for re-export consignments
Consignments for re-export must be accompanied by an original phytosanitary certificate/s or certified copy/ies from the country of origin.

The following requirements must be met:

Complete and legible
All information must be complete and legible.

Multiple page documents
Multi page documents must include:
  • all pages
  • all referenced attachments.

Certified true copy/ies
A certified copy of the original phytosanitary certificate must be validated by the NPPO with a stamp and signature indicating it is a true copy of the original phytosanitary certificate. It does not replace the original.

Requirements for marine surveyor certificates
The following specific requirements must be met for marine surveyor certificates.

Approved author
The name on the marine surveyor certificate must match the name of the marine surveyor on the written declaration provided by the vessel owner or owner’s agent.

Note: Inspection AOs are not required to ensure that marine surveyors are qualified. It is the vessel owner or their shipping agent’s responsibility to ensure and demonstrate the marine surveyor is qualified via a written declaration.
Vessel identity
- The name of the vessel and the International Maritime Organisation (IMO) number must be identified on the certificate.
- The vessel name on the certificate must align with the RFP.

Endorsements
To deem a vessel hold suitable to carry prescribed goods for consumption, a marine surveyor must endorse on the certificate:
- that the vessel has been surveyed and is free of conditions that could result in contaminating, wetting or imparting an odour on the prescribed goods for consumption
- the time and date the vessel passed the inspection
- that the vessel is suitable to carry the prescribed goods for consumption in holds \(<\text{list hold number/s}>\) and the time and date the vessel passed the inspection.

Requirements for treatment certificates
The following specific requirements must be met for treatment certificates.

Important: These requirements apply to all methods of treatment applied to containers, vessel holds and products for export.

Note: There are additional requirements for fumigation certificates.

Approved standards and methodologies
In addition to the requirements outlined in this guideline, records of treatments (including treatment certificates) must be made in accordance with the approved standards and methodologies:
- Australian phytosanitary treatment application standard for cold disinfestation treatment
- Australian phytosanitary treatment application standard for dimethoate dipping treatment
- Australian phytosanitary treatment application standard for irradiation treatment
- Methyl bromide fumigation methodology
- Sulfur Dioxide (SO\(_2\)) Carbon Dioxide (CO\(_2\)) fumigation methodology
- Australian phytosanitary treatment application standard for vapour heat treatment

Approved author
The treatment certificate must be issued by the treatment provider on the treatment provider’s letterhead.

Endorsements
- The treatment provider must endorse on the treatment certificate that the treatment has been applied to the container, vessel or product for export.
- The treatment provider must endorse that any required safety precautions/aeration/withholding periods have been met.

Specification details
The treatment certificate must state the specification details of the treatment applied, including the requirements:
- of the importing country authority as stated in MICO Plants
- on the registered label
- recommended by the manufacturer.
Specification details will vary between different treatments but must include the following:

- cold or heat treatments—temperature, duration or exposure period, date
- vapour heat treatment—temperature, duration or exposure period, relative humidity, date
- chemical pesticide treatment—registered name of chemical (optional), active ingredient or constituent, rate of application, date
- irradiation treatment—radiation dose, date.

**Notice of Intention**

The following details on all treatment certificates must align with the corresponding NOI if they are listed:

- treatment type
- rate applied
- exposure period/duration
- temperature
- start and end date the treatment was applied
- treatment provider is registered, if required by the importing country
- the vessel name.

**Requirements for fumigation certificates**

In addition to the specific requirements for treatment certificates, the following requirements must also be met for fumigation certificates.

**Approved author**

The fumigation certificate must be issued by a licensed fumigator and include their licence number and contact details.

**Endorsements**

The fumigator must endorse on the fumigation certificate that:

- the treatment has been applied to the container, vessel or product for export
- any required safety precautions/aeration/withholding periods have been met.

**Note:** safety precaution/aeration/withholding period information may also be provided on a separate gas free certificate.

**Threshold limit values (TLVs)**

The fumigator must include and endorse a statement on the fumigation certificate that confirms:

- the fumigant concentration within the enclosure is equal to or below the final TLV
- the enclosure is gas free.

**Important:** While a TLV is required for each container when multiple containers are fumigated, fumigation certificates can be issued with one figure recorded provided the certificate states that all containers have TLVs equal to or below the value stated on the certificate and the recorded TLV is also aligned with the label requirements

**Note:** A TLV is not required for the fumigation of a stack or where permanent chamber fumigation is performed.

**Specification details**

The fumigation certificate must include the following details:
• active ingredient/constituent and the dosage rate applied
• exposure period
• temperature, expressed as the
  o minimum commodity (consignment) temperature (degrees Celsius) that was maintained for the period of the treatment (where the MICoR Plants case or treatment schedule requires commodity temperature)
  or
  o minimum ambient temperature in the fumigation enclosure during the period of treatment
     ▪ where the enclosure is subject to the ambient temperature of the surrounding environment, the forecast minimum temperature including the source of information is to be recorded
     ▪ where the temperature is performed in a controlled temperature environment, the temperature within the enclosure is to be monitored and recorded

   **Important:** Methyl bromide is not approved for use at ambient (and or commodity) temperatures under 10 degrees Celsius.

• fumigant monitoring times and readings (only where the methyl bromide fumigation was applied for logs)
• dates and time (start and end) that the treatment was applied.
• registered name of the chemical fumigant used in the statement.

**Horticulture requirements**

For horticulture, the certificate must include the following details:

• registered establishment number (horticulture protocol markets only)
• export methyl bromide fumigation accreditation number ‘AUXXXXMB’, where XXXX is the registered establishment where the treatment occurred (horticulture protocol markets methyl bromide only).

**Fumigation chamber**

The fumigation certificate must include the type of fumigation enclosure used and an identifying number for the enclosure (for example, container number, shed, silo number or chamber).

**Fumigation location**

The fumigation certificate must contain the address where the fumigation was undertaken for traceability.

**Exporter declaration**

If the fumigation certificate does not link the product treated to the consignment, the exporter must provide an exporter declaration to link the product treated to the relevant export consignment.

An exporter declaration may be presented in lieu of a fumigation certificate in the following scenarios only:

• treatment of product that is to be exported as a bulk vessel shipment or a bulk containerised shipment that is packed at a bulk terminal where multiple individual treatments of smaller parcels/lots within the consignment were undertaken
  
   **Note:** Copies of the original individual treatment certificates must be retained and made available on request by the department.
- phosphine fumigation treatment undertaken on farm by an individual other than a licensed fumigator in a state or territory where they are not legally required to hold a fumigation licence
- the Grain and Seed Exports Program has provided prior written approval for a client to issue an exporter declaration using a documentation software system.

**Validity**

- Fumigation must be performed within any timeframes set by the importing country authority.
  - **Important:** If the importing country has not set a timeframe for fumigation treatment, then a fumigation certificate is only valid for 120 days from the date of completion of the treatment.
- Fumigation treatment must only be endorsed on a phytosanitary certificate when a valid fumigation certificate is presented.

**Requirements for laboratory analysis certificates**

The following specific requirements must be met for laboratory analysis certificates.

**Note:** There are additional requirements for annual ryegrass toxicity test certificates.

**Approved author**

The laboratory analysis certificate must be issued by a laboratory that is capable of undertaking the required testing or analysis.

**Endorsements**

The laboratory must endorse on the certificate:

- that a sample of the product was analysed
- the analysis details required, as stated in the MICoR Plants case.

**Notice of Intention**

The following information on the certificate must align with the NOI:

- NOI number
- product type
- source location.

**Requirements for annual rye grass toxicity test certificates**

The following specific requirements must be met for annual ryegrass toxicity (ARGT) test certificates.

**Important:** ARGT certificates and any associated exporter declaration must be kept by the export registered establishment and is only required to be presented at an export registered establishment audit.

**Endorsements**

The laboratory analyst must endorse on the ARGT test certificate that one of the following methods were used:

- the samples were tested for the bacterium *Rathayibacter toxicus* using the Western Australian Department of Agriculture and Food enzyme-linked immunosorbent assay (ELISA) test
- the samples were tested for corynetoxin using the Commonwealth Scientific and Industrial Research Organisation (CSIRO) ELISA test.

**ARGT test certificate details**

The ARGT testing certificate must include the:
• name and contact details for the person or organisation that submitted the samples to the approved laboratory
• sample number/s
• date the sample was received
• date the sample was tested
• a statement on whether the bacterium or corynetoxin test was positive/detected or negative/not detected.

**Exporter declaration**

If the ARGT test certificate does not link the samples tested to the consignment, the exporter must provide all ARGT test certificates and an exporter declaration to link the samples tested to the relevant export consignment.

**Requirements for pest free status declarations**

**Crop inspection certificate**

The following specific requirements must be met for crop inspection certificates.

**Approved author**

The crop inspection certificate must be issued by the:

• relevant state or territory government agency
  
or

• grower’s crop monitor, or a third-party crop monitor.

**Endorsements**

The issuer must endorse the pest free status of the product by including the pest free declaration, as required in the MICoR Plants case, on the certificate.

**Validity**

The crop inspection certificate is only valid for the growing season of the crop.

**Note:** The validity may be void if there is evidence of recent pest detections or outbreaks in the area.

**Notice of Intention**

The following information on the crop inspection certificate must align with the NOI:

• product type
• source region.

**Area freedom certificate**

The following specific requirements must be met for area freedom certificates:

**Note:** Area freedom certificates may be issued for all pests other than fruit flies.

**Approved author**

The area freedom certificate must be issued by the relevant state or territory government agency.

**Note:** Official area freedom advice published on the relevant state or territory government agency website may be accepted in lieu of an area freedom certificate in the form of a printed screen shot or website link.
Endorsements
The relevant agency must endorse the area, region, state or territory is free from a specific pest, by including the area freedom declaration required in the MICoR Plants case on the area freedom certificate.

Validity
The area freedom certificate is only valid for 12 months.

Note: The validity may be void if there is evidence of recent pest detections or outbreaks in the area.

Notice of Intention
The following information on the area freedom certificate must align with the NOI:
- product type
- source region.

Fruit fly area freedom certificate
The following specific requirements must be met for fruit fly area freedom certificates.

Approved author
The fruit fly area freedom certificate must be issued by the relevant state or territory government agency.

Note: Official fruit fly area freedom advice published on the relevant state or territory government agency website may be accepted in lieu of a fruit fly area freedom certificate.

Endorsements
The relevant agency must endorse that a crop, area, region, state or territory is free from a particular species of fruit fly.

The endorsement must:
- include grower details
- include the address of the property where the fruit was sourced
- include the packhouse details
- be dated after any recent fruit fly outbreaks in the area.

Note: Recent outbreaks can be checked on state or territory government agency websites.

Grower details
The grower details on the fruit fly area freedom certificate must match the grower details if listed on the inspection record, in the Establishment Register and on any transfer certificates.

Validity
The fruit fly area freedom certificate is valid for six months.

Note: The validity may be void if there is evidence of recent pest detections or outbreaks in the area.

Notice of Intention
The following information on the fruit fly area freedom certificate must align with the NOI:
- product type
- source region.

Requirements for manufacturer declarations
The following specific requirements must be met for manufacturer declarations.
Approved author
The manufacturer declaration must be made by the company or party that manufactured or processed the products.

Endorsements
The manufacturer or processor must endorse the materials or ingredients that the product is made from, and the process that the product has undergone prior to export, by including the manufacturer declaration required in the MICoR Plants case.

Requirements for exporter declarations
An exporter declaration must be provided for:

- treated product being exported as a bulk vessel shipment, where multiple individual treatments of smaller parcels within the consignment were undertaken

  **Important:** Copies of the original individual treatment certificates must be retained and made available on request.

- product treated by phosphine fumigation, undertaken on farm by an individual other than a licensed fumigator in a state or territory where they are not legally required to hold a fumigation licence

- activities performed to meet the importing country’s requirements during the preparation of products for export, excluding
  - laboratory analysis
  - manufacturing process
  - pest free status declarations
  - treatments other than permitted requirements in Section: Exporter Declaration

- activities as detailed in protocol agreements and MICoR Plants cases.

Specific requirements for exporter declarations
The following specific requirements must be met for exporter declarations (declarations).

**Important:** For the above treatments, the declaration must also meet the requirements for treatment certificates.

Approved author
The exporter declaration must be made by the exporter or exporter’s representative.

Endorsements
The exporter or exporter’s representative must include and endorse the statement required in the MICoR Plants case, on the exporter declaration.

Notice of Intention
The following information on the certificate must align with the NOI:

- product type
- NOI number
- lot codes.

Requirements for grower declarations
What must a grower declaration include?

A grower declaration must provide evidence of:
Specific requirements
The following specific requirements must be met for grower declarations (declarations).

Approved author
The grower declaration must be issued by the party responsible for the product during active growth.

Endorsements
The issuer must include and endorse the statement required in the MICoR Plants case, or the associated work plan, on the grower declaration.

Requirements for the prescribed goods export preparation standard checklist (checklist)
A checklist is required for all mobile bulk loading consignments.

What must the checklist include?
All tick boxes in the preparation checklist must be checked, indication that all preparation elements and associated activities have been met.

Approved author
The checklist must be issued by a representative of the registered establishment.

Requirements for spray diaries
What must spray diaries include?
Spray diaries must include the following information:

- date/s the treatment was applied
- registered name of chemical
- active ingredient or constituent
- concentration rate
- description of the treated blocks.

Important: The block names must correlate to farm maps that have been provided to the department at the start of the season.

Specific requirements
The following specific requirements must be met for spray diaries.

Approved author
Spray diaries must be maintained by the party responsible for the on-farm treatment. This may include the grower, crop monitor or treatment provider.

Endorsements
The party responsible must endorse the evidence of the on-farm treatment of a product during the growing season included in the spray diaries.

Requirements for crop monitor records
The following specific requirements must be met for crop monitor records.
**Approved author**

A crop monitor record must be issued by the party responsible for monitoring activities. This may include the grower or a third party registered crop monitor.

**Note:** For some markets the crop monitor must be approved by the department.

**Endorsements**

The issuer must endorse the monitoring activities by including the following information on the crop monitor record:

- dates the monitoring was performed
- a list of the specific pests that monitoring was mandatory for, and the findings for each pest
- the results of any trap checks
- recommended treatments.

**Requirements for transfer records (horticulture)**

A transfer record must provide evidence that the phytosanitary status of goods is maintained during transit from one farm recognised as a pest free place of production or in a pest free area, accredited property or registered establishment to another.

Industry may use the departmental transfer record template or create their own, however it must contain the minimum information outlined below.

**Name, street address and accreditation/registered establishment number of the dispatching property**

The street address must include the suburb, town or city, the state or territory and the postcode.

**Note:** Properties in a Pest Free Area (PFA) or recognised as a pest free place of production (PFPP) issuing a transfer record for goods to move outside the PFA or PFPP for packing, handling, treatment or inspection may not have an accreditation or registration number.

**Date and time of dispatch**

The date must include the day, month and year. The time must indicate am or pm.

**Description of the goods to be transported**

This must include:

- Grower name
- Accreditation number of the farm (if applicable)
- Commodity type, including variety
- Quantity (specified as number of packages).
- Country of final destination (importing country) (if known)
- RPP number (if known)

**Vehicle type**

The mode of transport (for example plane, truck or train) and vehicle description must be recorded. For example, where a truck is used, details on the type of truck should be included, such as Pantech or taut liner. Other relevant details can be included, for example, refrigeration or transport units, AKEs for planes or containers for trains.
Vehicle identification number
The identification of the vehicle can include the registration of the truck, the container number, train/carriage details, or flight number.

Pantech/container seal number (if applicable)
Where a truck or container has been used as the method of security without carton or pallet level security in place, the number of the tamper evident seal placed on the truck or container doors must be noted.

Where the phytosanitary status of the goods was attained?
Record at what stages a phytosanitary status was attained:
- Pest-free area
- After harvest (free of specific pest)
- After harvest (in-field controls)
- On completion of treatment
- After export inspection

Detail any conditions that apply to the goods
Identify phytosanitary requirements; for example, endorsement number for importing country if known, or reason for transfer record.

What is the phytosanitary security method used during transport
The security method used to protect the goods from cross contamination must be described:
- Secure packaging (carton level)
- Secure packaging (pallet level)
- Isolation by physical barrier
- Insect-proof space.

Approved author

Dispatch
A transfer record must be issued by the person responsible for dispatch of the goods. This person must print their name, sign and record the date and time they signed the record.

Note: An electronic signature is acceptable.

Receival
A transfer record must be completed by the person responsible for receival of the goods. This person must print their name, sign and record the date and time they signed the record.

Note: An electronic signature is acceptable.

Name, street address and accreditation/registered establishment number of the receiving property

Date and time of receival
The date must include day, month and year. The time must be in 24 hour time.
Declaration

The receiving property or establishment must make a statement that the same amount of goods, with the phytosanitary security method in place as described in Part A of the transfer record by the dispatching property, has been received.

If not, the receiving property or establishment must record when the amount received was different or when different, nil or compromised security was in place.

Requirements for New Zealand industry inspection records

New Zealand industry inspection records are completed by persons approved under the New Zealand industry inspection function for registered establishments or accredited properties – packhouses. The New Zealand industry inspection record template is available in the Plant Export Operations Manual. The record must be completed as per Attachment 2 of the Work Instruction: Inspecting horticulture for New Zealand using industry inspectors. The document is used to record the results of phytosanitary inspections on individual farm lots within horticulture export consignments for New Zealand.

What must New Zealand industry inspection records include?

- RFP number, if known
- Industry inspector name
- Registered establishment or accredited property number
- Registered establishment or accredited property name
- Exporter name, if known
- Inspection type (end-point or in-line)
- Inspection start date and time
- Inspection end date and time
- If it is a farm lot re-inspection
- Date of failed inspection, if it is a re-inspection
- Flowpath result (pass or fail)
- Flowpath result date and time
- RFP line number, if known
- Line identification such as grower name or farm lot identification number
- Commodity name
- Number of packages in the farm lot
- Type of packaging (for example, tray, carton, bag or bin)
- Target number of units to be sampled
- Sampled number (actual number sampled)
- Inspection result (pass or fail)
- Remarks that includes any general comments, if required
- Comments that include reference to any supporting evidence sighted
- Industry inspector’s signature
- Date

Validating supporting documents

- an inspection AO must validate supporting documents as part of their plant export inspection activities
• a documentation assessment officer must validate supporting documents as part of the Work Instruction: **Issuing certification for plant exports.**

**How are supporting documents validated?**

The following table outlines the process for validating supporting documents.

<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>The document type is determined.</td>
</tr>
</tbody>
</table>
| 2.    | The document is checked to see that it meets the:  
  • the general requirements for all supporting documents  
  • specific requirements for that particular document.  
  **When the requirements have...** | **Then...**  
  not been met | • the requirements that have not been met are noted  
  • **continue to stage 3.**  
  been met | **go to stage 4.**  
| 3.    | The Reference: **Plant exports document and treatments checklist** is checked to determine whether the supporting document is required before inspection or at the time of certification.  
  **When the document is presented...** | **Then...**  
  at the required stage | the client is advised:  
  • that the document is not valid  
  • of which requirements have not been met  
  • that the export certification process will not continue until all documentation issues have been rectified.  
  earlier than the required stage | the client is advised:  
  • that the document is not valid  
  • of which requirements have not been met  
  • that the export certification process may continue however all documentation issues will have to be rectified by the time of certification.  
| 4.    | Stages 1–3 are repeated for each piece of supporting documentation. |
### Stage 5: Evidence is provided that the documents have been validated.

<table>
<thead>
<tr>
<th>When...</th>
<th>Then...</th>
</tr>
</thead>
</table>
| a documentation or inspection AO is using PEMS | • the supporting documents are uploaded to PEMS  
• the validation outcome is recorded  
• continue to stage 6.  |
| a DAO is using manual records | continue to stage 6. |
| an inspection AO is using manual records | • the inspection AO records the validation outcomes in the comments section of the ECR  
• a copy of each supporting document is emailed to the Assessment Services Group  
• continue to stage 6. |

**Note:** For information on how to use PEMS see the Reference: [Plant Export Management System authorised officer user guide](#) or the Reference: [Assessment Services Group officer user guide](#).

### Stage 6: Determine the next steps.

<table>
<thead>
<tr>
<th>If...</th>
<th>Then...</th>
</tr>
</thead>
<tbody>
<tr>
<td>you are an inspection AO</td>
<td>the process ends here.</td>
</tr>
<tr>
<td>you are a DAO</td>
<td>go back to Work instruction: <a href="#">Issuing certification for plant exports</a>, Section 3, step 3</td>
</tr>
</tbody>
</table>

### Record Keeping

Staff must keep official files in accordance with the department’s record keeping policy and your regions procedures.

Where documents are not available in PEMS, external AOs must retain all original completed records and any supporting documents for a period of two years from the date of the inspection or the day the record comes into the AO’s possession.

### Related Material

The following related material is available on the [Instructional Material Library](#):

- Guideline: [Issuing Certification for Plant Exports](#)
- Work Instruction: [Issuing Certification for Plant Exports](#)
- Reference: [Plant export certification terms and definitions](#)
- Reference: [Plant exports document and treatments checklist](#)

The following related material is available on the [Plant Export Operations Manual](#):

- Work instruction: [Inspecting horticulture for New Zealand using industry inspectors](#)
- Reference: [New Zealand industry inspection record](#)
- Reference: [Plant Export Management System authorised officer user guide](#)
- Australian phytosanitary treatment application standard for cold disinfestation treatment
- Australian phytosanitary treatment application standard for dimethoate dipping treatment
- Australian phytosanitary treatment application standard for irradiation treatment
- Methyl bromide fumigation methodology
- Sulfur Dioxide (SO₂) Carbon Dioxide (CO₂) fumigation methodology
- Australian phytosanitary treatment application standard for vapour heat treatment

The following related material is available on the [Plant Exports Operations Team Site](#):

- Reference: [Assessment Services Group officer user guide](#)

**Contact information**

- Assessment Services Group: PlantExportsNDH@awe.gov.au
- MICoR Plants: MicorPlants@awe.gov.au
- Grain and Seed Export Program: Grain.export@awe.gov.au
- Horticulture Exports Program: Horticultureexports@awe.gov.au

**Document information**

The following table contains administrative metadata.

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<thead>
<tr>
<th>Instructional Material Library document ID</th>
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**Version history**

The following table details the published date and amendment details for this document.

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<td>1</td>
<td>1/07/2020</td>
<td>First publication of this guideline.</td>
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<td>2</td>
<td>10/08/2020</td>
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<td></td>
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<td>• requirements for the prescribed goods export preparation standard checklist (checklist).</td>
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<td></td>
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<td>• requirements for transfer records (horticulture)</td>
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<td>3</td>
<td>28/03/2021</td>
<td>Amendments for introduction of the Export Control Act 2020 and associated Plant Rules</td>
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