



GUIDELINE

Supporting documents for plant exports

Direction to staff

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

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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Purpose of this document

This document details the requirements for supporting documents for plant exports and the process for validating those documents.

Definitions

For definitions of terms used in this document see Reference: [Plant export certification and system terms and definitions](#).

Legislative framework

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

- *Export Control Act 1982*

- Export Control (Orders) Regulations 1982
- Export Control (Prescribed Goods – General) Order 2005
- Export Control (Plants and Plant Products) Order 2011
 - Section 7 – Secretary may determine required tests and certificates
 - Section 16.1 – Certificates of analysis
 - Section 20.2(b) – Resubmission of goods
 - Section 34 – Acceptance of marine surveyor’s certificate
 - Section 43.2 – Certificates and other information
 - Schedule 6, section 8.1 – Disinfestation or disinfection treatment
 - Schedule 6, section 9.1 – Additional declarations
- Export Control (Fees) Orders 2001.

Roles and responsibilities

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

Role	Responsibility
Clients	<ul style="list-style-type: none"> • 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 Authorised Officer (AO)	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 AOs 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.

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 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 *<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

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](#)

Note: Inspection AOs may apply a reduced sampling rate for containerised log consignments fumigated in accordance with the methyl bromide fumigation methodology and accompanied by a valid treatment certificate.

- [Sulfur Dioxide \(SO₂\) Carbon Dioxide \(CO₂\) 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
 - minimum commodity (consignment) temperature (degrees Celsius) that was maintained for the period of the treatment (where the MCoR Plants case or treatment schedule requires commodity temperature)
 - or
 - 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 'AUXXXMB', 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 MCoR 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 MCoR 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 MCoR 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 MCoR 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 MCoR 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 MICO 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:

- where the product was sourced from
- activities performed on-farm to meet the importing country's requirements during the preparation of plants or plant products for export.

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 MICO Plants case, or the associated work plan, on the grower declaration.

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.

Validating supporting documents

- an inspection AO must validate supporting documents as part of their plant export inspection activities
- a documentation AO 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.

Stage	What happens						
1.	The document type is determined.						
2.	<div><div>The document is checked to see that it meets the:<ul style="list-style-type: none">• the general requirements for all supporting documents• specific requirements for that particular document.</div><table><tr><th>When the requirements have...</th><th>Then...</th></tr><tr><td>not been met</td><td><ul style="list-style-type: none">• the requirements that have not been met are noted• continue to stage 3.</td></tr><tr><td>been met</td><td>go to stage 4.</td></tr></table></div>	When the requirements have...	Then...	not been met	<ul style="list-style-type: none">• the requirements that have not been met are noted• continue to stage 3.	been met	go to stage 4.
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not been met	<ul style="list-style-type: none">• the requirements that have not been met are noted• continue to stage 3.						
been met	go to stage 4.						

Stage	What happens								
3.	<p>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.</p> <table> <tr> <th>When the document is presented...</th><th>Then...</th></tr> <tr> <td>at the required stage</td><td> <p>the client is advised:</p> <ul style="list-style-type: none"> 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. </td></tr> <tr> <td>earlier than the required stage</td><td> <p>the client is advised:</p> <ul style="list-style-type: none"> 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. </td></tr> </table>	When the document is presented...	Then...	at the required stage	<p>the client is advised:</p> <ul style="list-style-type: none"> 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	<p>the client is advised:</p> <ul style="list-style-type: none"> 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. 		
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4.	Stages 1–3 are repeated for each piece of supporting documentation.								
5.	<p>Evidence is provided that the documents have been validated.</p> <table> <tr> <th>When...</th><th>Then....</th></tr> <tr> <td>a documentation or inspection AO is using PEMS</td><td> <ul style="list-style-type: none"> the supporting documents are uploaded to PEMS the validation outcome is recorded continue to stage 6. <p>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.</p> </td></tr> <tr> <td>a documentation AO is using manual records</td><td>continue to stage 6.</td></tr> <tr> <td>an inspection AO is using manual records</td><td> <ul style="list-style-type: none"> 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. </td></tr> </table>	When...	Then....	a documentation or inspection AO is using PEMS	<ul style="list-style-type: none"> the supporting documents are uploaded to PEMS the validation outcome is recorded continue to stage 6. <p>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.</p>	a documentation AO is using manual records	continue to stage 6.	an inspection AO is using manual records	<ul style="list-style-type: none"> 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.
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6.	<p>Determine the next steps.</p> <table> <tr> <th>If...</th><th>Then...</th></tr> <tr> <td>you are an inspection AO</td><td>the process ends here.</td></tr> <tr> <td>you are a documentation AO</td><td>go back to Work instruction: Issuing certification for plant exports, Section 3, step 3</td></tr> </table>	If...	Then...	you are an inspection AO	the process ends here.	you are a documentation AO	go back to Work instruction: Issuing certification for plant exports , Section 3, step 3		
If...	Then...								
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Record keeping

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

External AOs must retain all original completed records and any supporting documents for two years from the date of the inspection.

Related material

Instructional Material Library (IML)

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](#):

- 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

Plant Export Operations team site

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

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

Version	Date	Amendment details
1	5/06/2020	First publication of this guideline.