GUIDELINE

Management of plant export registered establishments

Direction to staff
This document is instructional material for the Department of Agriculture (the department) under its Practice Statement Framework. All staff must comply with it.

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

Summary of main points
This document outlines the policy and process for managing plant export registered establishments. It includes:

- why establishments need to be registered
- types of establishments that can be registered
- types of registered operations and functions that establishments can perform
- operating requirements
- applying for registration
- auditing requirements
- variation, suspension and revocation of registrations.

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Purpose of this document

This guideline details the policy and process for the management of plant export registered establishments.

Definitions

The following table defines terms used in this document.

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Antechamber</td>
<td>A room attached to, and preceding, an insect-proof room that reduces the risk of pests entering the insect-proof room.</td>
</tr>
<tr>
<td>Authorised officer (AO)</td>
<td>A person appointed under section 20 of the Export Control Act 1982 to conduct export activities on behalf of the department.</td>
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<td></td>
<td><strong>Note:</strong> An AO can be departmental, that is, employed by the department, or external.</td>
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<tr>
<td>Certification</td>
<td>Official certificates, electronic or manual, issued by the department to endorse that plants and plant products for export are compliant with legislation and the importing country’s requirements.</td>
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<td></td>
<td><strong>Note:</strong> An export permit is a legislative requirement. All other export certification is a requirement of the importing country.</td>
</tr>
<tr>
<td>Consignment</td>
<td>A quantity of plants or plant products being moved from one country to another and covered, where required, by a single phytosanitary certificate. It may be composed of one or more commodities.</td>
</tr>
<tr>
<td>Container</td>
<td>A container for prescribed goods that is designed for use as a unit of cargo handling equipment in the export of the goods by aircraft or ship, including a shipping container and unit load device (ULD).</td>
</tr>
<tr>
<td>Contaminant</td>
<td>Any foreign matter (organic or inorganic) that is included in, on, or with prescribed goods, and can include soil, weed seeds, leaves, stems and extraneous material.</td>
</tr>
<tr>
<td>Delegate</td>
<td>An authorised officer who has been delegated a power or function of the Secretary under the Export Control Act 1982. The delegation must be in writing and be signed by the Secretary.</td>
</tr>
<tr>
<td>Documented system</td>
<td>A written process or procedure that defines the steps in a process and who is responsible for those steps. This may also include records that are used to confirm the process is being followed.</td>
</tr>
<tr>
<td>Exporter</td>
<td>The entity identified as the exporter in a Notice of Intention to export.</td>
</tr>
<tr>
<td>Export Compliant Goods Storage (ECGS)</td>
<td>An approved receptacle within a plant export registered establishment where export compliant goods are stored prior to export. These goods remain export compliant for 28 days after the date of inspection.</td>
</tr>
<tr>
<td>Export operations</td>
<td>Operations carried out in relation to prescribed goods for export including packing and inspecting different commodities.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------------</td>
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</tr>
<tr>
<td>Export functions</td>
<td>An activity carried out in relation to prescribed goods for export that has specific requirements that must be met.</td>
</tr>
<tr>
<td>Infestation</td>
<td>Presence of a living pest of the plant or plant product concerned. Infestation includes infection.</td>
</tr>
<tr>
<td>Insect-proof space</td>
<td>Any space with a permanent structure having a rigid framework, such as a container, cool room, or truck. <strong>Important:</strong> Insect-proof spaces must have insect-proof mesh covering all openings greater than 1.6 mm (including doors, windows, vents or ducts).</td>
</tr>
<tr>
<td>Knockdown area</td>
<td>A room in which an establishment applies a knockdown insecticide spray in order to eliminate any potential pests that may be present.</td>
</tr>
<tr>
<td>Manager</td>
<td>Persons listed by the occupier as being in management and control of a registered establishment, who are able to make decisions on behalf of the occupier.</td>
</tr>
<tr>
<td>Notice of Intention (NOI)</td>
<td>A form submitted by an exporter to the department, containing information about prescribed goods they intend to export. <strong>Note:</strong> For contingency purposes a manual NOI, called an EX28, can be used. An electronic NOI is called a Request for Permit (RFP) and is submitted through the department’s electronic documentation system EXDOC.</td>
</tr>
<tr>
<td>Occupier</td>
<td>The individual, person or other legal entity in whose name the establishment is registered, or for establishments that are not registered, the individual, corporation or legal entity that operates the business that prepares prescribed goods at the establishment.</td>
</tr>
<tr>
<td>Performance standards</td>
<td>A benchmark derived from legislation and departmental requirements against which actual performance of third parties is measured.</td>
</tr>
<tr>
<td>Pest</td>
<td>Any species, strain, or biotype of plant, animal or pathogenic agent, that is injurious to plants or plant products.</td>
</tr>
<tr>
<td>Pest Free Area (PFA)</td>
<td>An area in which a specific pest is absent as demonstrated by scientific evidence and in which this condition is being officially maintained.</td>
</tr>
<tr>
<td>Phytosanitary</td>
<td>Relates to the health of plants or plant products, especially with respect to the requirements of international trade.</td>
</tr>
<tr>
<td>Phytosanitary security</td>
<td>Maintenance of the integrity of goods in a consignment; that is no loss, addition or substitution, and prevention of its infestation and contamination by regulated pests.</td>
</tr>
<tr>
<td>Phytosanitary status</td>
<td>Status of the consignment confirming compliance or non-compliance with some or all phytosanitary requirements of the department and/or the importing country.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
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</tr>
<tr>
<td>Plant Export Operations Manual (PEOM)</td>
<td>Instructional material prepared by the department to provide information that directs and supports industry and AOs to understand their responsibilities and perform their roles relating to the export of plants and plant products from Australia.</td>
</tr>
<tr>
<td>Premises</td>
<td>Premises includes the following:</td>
</tr>
<tr>
<td></td>
<td>a) a building, aircraft, vehicle or ship</td>
</tr>
<tr>
<td></td>
<td>b) a place (whether enclosed, or built on, or not and whether on land, or in or on water, or not)</td>
</tr>
<tr>
<td></td>
<td>c) a part of a thing or place referred to in paragraph (a) or (b).</td>
</tr>
<tr>
<td>Preparation</td>
<td>Includes processing, packing, storage, treatment, handling or loading of prescribed goods.</td>
</tr>
<tr>
<td>Prescribed goods (goods)</td>
<td>Goods that are declared by the regulations to be prescribed goods for the purposes of the Export Control Act 1982. This includes:</td>
</tr>
<tr>
<td></td>
<td>a) prescribed grains</td>
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<tr>
<td></td>
<td>b) hay and straw</td>
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<tr>
<td></td>
<td>c) fresh fruit</td>
</tr>
<tr>
<td></td>
<td>d) fresh vegetables</td>
</tr>
<tr>
<td></td>
<td>e) plants or plant products for which a phytosanitary certificate or any other official certificate is required by an importing country authority.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> ‘Product’ and ‘commodity’ are used interchangeably with the term ‘goods’.</td>
</tr>
<tr>
<td>Protocol</td>
<td>A government-to-government document that specifies import requirements and is bilaterally agreed to by Australia and the importing country authority.</td>
</tr>
<tr>
<td>Protocol market</td>
<td>Countries with which Australia has an agreed protocol. For a list of protocol markets see the Reference: Table of horticulture protocol markets.</td>
</tr>
<tr>
<td>Quality system</td>
<td>An independently audited system that includes sampling and inspection procedures to control the quality of products.</td>
</tr>
<tr>
<td>Quality System Recognition (QSR)</td>
<td>The approval of an establishment that has an audited quality system that effectively manages phytosanitary risks of products prepared for export to meet departmental and importing country requirements.</td>
</tr>
<tr>
<td>Registered establishment</td>
<td>A premises registered under the Export Control Act 1982 to prepare prescribed goods for export.</td>
</tr>
<tr>
<td>Registered function</td>
<td>An activity carried out within a registered establishment in relation to prescribed goods for export that has specific requirements that must be met.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
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</tr>
<tr>
<td>Registered operation</td>
<td>Operations carried out within a registered establishment in relation to prescribed goods for export including packing and inspecting different commodities.</td>
</tr>
<tr>
<td>Secure packaging</td>
<td>Packaging that reduces the likelihood of infestation or contamination of the product.</td>
</tr>
<tr>
<td>Supporting documents</td>
<td>Documents provided by the exporter as evidence that the goods are compliant with departmental and importing country requirements. For example, grower declarations, area freedom statements and treatment records.</td>
</tr>
<tr>
<td>Traceability</td>
<td>The ability to follow the movement of goods through stages of production, processing and distribution.</td>
</tr>
<tr>
<td>Treatment</td>
<td>Official procedure for the killing, inactivation or removal of pests, or for rendering pests infertile or for devitalisation.</td>
</tr>
<tr>
<td>Treatment operator</td>
<td>The person responsible for conducting a phytosanitary treatment.</td>
</tr>
</tbody>
</table>

**Legislative framework**

The following list outlines the legislation that applies to the registration and management of plant export establishments.

- *Export Control Act 1982*
- Export Control (Orders) Regulations 1982
- Export Control (Prescribed Goods - General) Order 2005
- Export Control (Plants and Plant Products) Order 2011
- Export Control (Fees) Orders 2015
- *Privacy Act 1988*
- *Public Service Act 1999*
- *Work Health and Safety Act 2011*
- Work Health and Safety Regulations 2011
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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</table>
| Accounts Receivable (AR)                       | • Managing client accounts and respond to general payment enquiries.  
• Checking for any outstanding debt owed to the Commonwealth for new registration applications.  
• Referring debtors to Business Systems Program, Plant Export Operations for suspension where attempts to recover debt have been unsuccessful.  
• Notifying Business Systems Program if a debtor makes payment on their account once a notice of intention to suspend or suspension is in process. |
| Audit and Assurance Group (AAG)                | • Reviewing occupier applications (EX26) for registrations, change in circumstances, change in documented systems, variations and suspensions.  
• Making determinations in relation to occupier applications (EX26) and notifying them of the outcome.  
• Auditing registered establishments against departmental performance standards and importing country requirements.  
• Notifying the occupier of a registered establishment of audit outcomes.  
• Making determinations in relation to suspensions under order 4.31 of the Export Control (Prescribed Goods – General) Order 2005 (General Orders), and notifying the occupier of outcomes.  
• Referring potential suspensions under order 4.25 of the General Orders or revocations of registration, initiated by the department, to Business Systems Program. |
| Enforcement and sanctions                     | Assessing applications from occupiers against fit and proper person criteria and provide advice to the Delegate on their assessment.          |
| Delegate (Assistant Secretary of the Plant Export Operations Branch) | For intentions to vary, suspend or revoke registrations, when initiated by Business Systems Program only:  
• Reviewing briefs for intention to vary, suspend or revoke registrations.  
• Making determinations in relation to variations, suspensions and revocations.  
• Reviewing occupier’s response to the intention to vary, suspend or revoke.  
• Notifying occupier of variations, suspensions and revocations. |

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.
### Role | Responsibility
--- | ---
**Occuier of the registered establishment** | • Submitting applications (EX26) for registrations, change in circumstances, change in documented systems, variations and suspensions.
• Meeting departmental performance standards and conditions of registration.
• Meeting importing country requirements.
• Ensuring staff are adequately trained.
• Maintaining records.
• Maintaining traceability and phytosanitary security.
• Rectifying non-compliance of operations and functions as identified by the occupier or when directed by the department.
• Surrendering the Certificate of Registration when directed by the department.

**Plant Export Operations Branch, Business Systems Program (BSP)** | • Reviewing audit results and evidence of compliance/non-compliance.
• Preparing briefs for, and making recommendations to, the Delegate regarding decisions to vary, suspend or revoke registrations.

**Meat Exports Branch, Documentation, Registration and Licensing** | • Approving establishment applications for registration.
• Entering/updating registered establishment details in the Establishment Registration database.
• Issuing Certificates of Registration to registered establishments.

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**Plant export registered establishments**

*Australian export laws* give the power to register establishments to prepare goods for export (subject to compliance) with defined requirements.

Different requirements apply to various types of establishments. The requirements are intended to manage the risks that different establishments pose to the integrity of the prescribed goods prepared at those establishments.

The requirements in this guideline define the responsibilities for the occupier of the establishment to maintain and operate the establishment in a manner to ensure they are not compromising the status of the prescribed goods.

### Why are establishments registered?

Prescribed goods intended for export must be prepared and inspected at an establishment registered by the department under *Australian export laws*.

The purpose of registering an establishment is to:

- ensure that the facilities available for the preparation and inspection of prescribed goods for export are fit for purpose
- ensure that appropriate hygiene and pest control measures are maintained
• define the responsibilities for the occupier of the establishment to maintain and operate the establishment in a manner that ensures they are not compromising the phytosanitary status of the prescribed goods
• provide an effective sanction where an establishment fails to meet the required standards, through suspension or revocation of registration or through suspension of registered operations and/or functions at an establishment.

Important: Registered establishments must not carry out an operation or function for which they are not approved.

The Guideline: Audit of plant export registered establishments and Reference: Performance standards – Plant export registered establishments detail the requirements that registered establishments must meet and are audited against.

What types of export establishments can be registered?
Types of establishments include, but are not limited to:
• bulk commodity terminal
• packing facilities
• processing facilities
• freight forwarders
• storage facilities
• treatment facilities
• inspection facilities.
Wharfs and airport terminals are excluded from requiring registration.

What operations and functions can registered establishments perform?
Establishments can be registered to prepare and/or inspect more than one commodity group for export (including commodities other than plants and plant products). Once they have been approved for one or more registered operations, establishments can also apply to carry out additional functions for the commodities it is registered to handle (see list below).
The department must assess the establishment against all applicable requirements for each separate function.
The following is a list of the available registered operations:
• packing/inspecting cotton
• packing/inspecting fodder
• packing/inspecting forest products
• packing/inspection grain and seed
• packing/inspecting nuts
• packing/inspecting processed plant products
• inspecting dried fruit
• inspecting fresh fruit
• inspecting fresh vegetables
• inspecting cut flowers and nursery stock.
The following is a list of the available registered functions:
• treatment of fresh fruit and vegetables for protocol markets including
  o onshore cold treatment
• methyl bromide fumigation
• sulphur dioxide/carbon dioxide fumigation
• irradiation
• vapour heat treatment
• dimethoate dipping.

- handling of fruit fly Pest Free Area (PFA) horticulture products outside of a PFA
- Quality Systems Recognition (QSR)
- Export Compliant Goods Storage (ECGS)
- Mobile Bulk Loading
- Annual Ryegrass Toxicity (ARGT) testing (hay and straw only).

Notes:
• For more information, go to section: What are the requirements for registered functions?
• For the list of plant export registered operation and function codes go to Reference: Registered operation and function codes for plant export registered establishments.

What are the general design and construction requirements?
A registered establishment must be designed and constructed to allow all operations for which the establishment is registered, to be carried out effectively and hygienically.

The design and construction must:
• provide adequate lighting for inspection and other operations as required
• provide adequate ventilation in treatment areas
• include an impervious floor, such as concrete, where sheeted fumigation enclosures are used
• allow effective cleaning of floors and surrounds (including ground surfaces for outdoor log yards and woodchip storages) in the goods handling areas
• minimise entry points (except for outdoor log yards and woodchip storages) and harbourage for pests or diseases
• minimise the possibility of contamination or re-infestation of goods during preparation
• minimise the accumulation of dust and residues
• allow effective cleaning of equipment and machinery used in the preparation or handling of the goods
• provide for the disposal of all waste material, including liquids and solids in an efficient and hygienic manner
• provide adequate sampling, office, handwashing and toilet facilities.

Inspection bench
Where an establishment is registered to perform inspections, an inspection bench must be provided and:
• be fit for purpose, that is, of adequate size and nature to allow for the inspection.
• have adequate lighting, no less than 600 lux (the light can be natural or artificial).

Important: For establishments registered for horticulture inspections, the bench must be white. If using stainless steel, it must be covered with a suitable white material prior to each inspection.

Note: An inspection bench is not required at a log yard.
What are the general establishment management requirements?

It is the responsibility of the occupier to maintain the establishment in a hygienic condition and have documented systems to manage hygiene, pest control and waste, and to present goods and transport units that are fit for export.

Note: Importing countries may require additional hygiene measures from registered establishments.

Hygiene and pest control

- Registered establishments must
  - have a documented system for waste removal and cleaning
  - be cleaned regularly to ensure they are maintained in a hygienic manner
  - have a documented pest control system that includes preventative and protective measures against pests.

- All parts of the registered establishment, including surrounds, must be maintained and operated in a hygienic manner that does not allow for cross-contamination or the harbouring of pests. This includes, but is not limited to, freedom from
  - uncontrolled rubbish/waste
  - unmanaged commodity spillages
  - build-up of commodity residue or dust
  - weeds/weed seeds
  - infestable material
  - un-used machinery
  - abandoned crops
  - dunnage, timber and pallets
  - tyres, tarps and drums.

Note: Residues of commodities and dust found in or around structures can harbour pests and disease. Residues that are left undisturbed for periods of time may harbour infestations of insect eggs, pupae or larvae, and rodents.

Equipment and machinery

- Equipment and machinery must be thoroughly inspected and cleaned of any residues or debris before and after use.
- Handling equipment and machinery should have cleaning hatches or access points to allow for adequate cleaning of hard to reach places.

Waste

- Any substance or residue of prescribed goods that is likely to contaminate, harbour pests or provide a source of infestation must not be stored or handled in a building or area used for the preparation of prescribed goods for export, or stored in any area likely to create a source of contamination.
- Dust, debris, waste, screenings and any other residue (other than that put aside for further preparation) must be removed from areas where prescribed goods are prepared, and must be removed from the establishment on a regular basis.

Traceability

Registered establishments must:

- have a document system for traceability and product security through the establishment including receival and dispatch records
• keep export compliant goods and non-export compliant goods separate
• have systems in place to minimise the risk of substitution (switching of goods)
• complete transfer records for any incoming or dispatched horticulture goods with a phytosanitary status.

**Chemical storage**

• Toxic substances must not be stored in an area or a building where prescribed goods are handled or stored.
• Rodenticides, fumigants, fungicides, insecticides or other toxic substances must be stored in a manner that will prevent contamination of prescribed goods or anything that may come into contact with them.

**Phytosanitary security**

• Phytosanitary security must be maintained for all goods that are intended for export from the time the goods attain a phytosanitary status.
• Goods that have a phytosanitary status must be kept secure and identifiable at all times, that is, they must be adequately protected to prevent infestation or contamination, and labelled to prevent substitution.
• Horticulture establishments must meet the phytosanitary security requirements in the Guideline: *Maintenance of phytosanitary security for horticulture exports*.
• ECGS establishments must meet the requirements in *Volume 7A: Export compliant goods storage* and the Reference: *Export compliant goods storage*.

**What are the requirements for registered functions?**

Occupiers of registered establishments conducting or intending to conduct the following registered functions must meet additional requirements:

• treatment of horticulture goods for protocol markets
• handling fruit fly PFA product outside of a PFA
• ECGS
• QSR
• ARGT sampling.

**Treatment of horticulture products for protocol markets**

• Treatment facilities conducting the following treatments of fresh fruit and vegetables for *protocol markets only* must be a registered establishment
  o onshore cold treatment
  o methyl bromide fumigation
  o sulphur dioxide/carbon dioxide fumigation
  o irradiation
  o vapour heat treatment
  o dimethoate dipping.
• Phytosanitary treatments applied to prescribed goods at a registered establishment must be done by a method approved by the department.
• The method must be effective in killing, inactivating, rendering infertile, devitalising or removing the target pest or contaminant.
• Treatments applied to prescribed goods intended for export must be applied correctly.
• For chemical treatments, the chemical must be used in accordance with its registered label or permit for off-label use and acceptable to the importing country authority.
- Fumigators must hold the relevant State fumigation licence.

**Registration of treatment facilities**

**Audits**
- Registered establishments must be audited for any new treatment functions being added to the establishment.

  **Note:** The department may approve a request to add a commodity or market without the need to audit where there is no additional requirements for the new commodity and/or market compared to what the establishment is already approved for.
- Audits must include a demonstration of the treatment being carried out.
- New treatment functions will be audited by the department within 3 months after initial approval to ensure compliance.
- Audits must be conducted as per Guideline: *Audit of plant export registered establishments*.

**Designated roles**

Treatment facilities must designate the following responsibilities to staff:
- receivals
- treatment
- storage
- load-out.

**Training**
- Treatment facilities must ensure staff are appropriately trained in the department’s relevant treatment standard/s and any protocol requirements where it relates to their role.
- All methyl bromide fumigation facilities for protocol markets must engage a treatment operator who has completed the department’s (Compliance Division) methyl bromide fumigation training and assessment.

  **Note:** For information or to register for the methyl bromide fumigation training and assessment please contact the Horticulture Exports Program.

**Treatment operators**
- Treatment facilities must nominate the treatment operator/s who will be responsible for the application of the phytosanitary treatment.
- The approved treatment operator must comply with the performance standards or methodology relevant to the application of the relevant treatment.
- Details of the nominated treatment operator must be recorded in the establishment’s standard operating procedures and be verified at audit.
- Fumigators for horticulture export protocol markets only must record a unique code on their treatment certificates. This code will be AU for Australia, followed by the 4 digit registered establishment number and then MB for methyl bromide, **AUXXXXMB**.

**Applying the treatment**

Treatments must be carried out as per the following standards, in addition to any specific importing country requirements:
- [Australian phytosanitary treatment application standard for cold disinfestation treatment](#)
- [Methyl bromide fumigation methodology and Guide to performing QPS fumigation with methyl bromide](#)
- [Sulphur dioxide/carbon dioxide fumigation methodology](#)
• Australian phytosanitary treatment application standard for irradiation
• Australian phytosanitary treatment application standard for vapour heat treatment
• Australian phytosanitary treatment application standard for dimethoate dipping treatment.

Traceability

Treatment facilities must:
• maintain traceability for specific treatment lots, where treatment has been applied
• provide traceability information to the receiving establishment
• keep receival/loading records of product from farms and/or packhouses
• label product as ‘treated’ once the treatment is complete.

Post-treatment security

Treatment facilities must maintain phytosanitary security of the treated product as per the Guideline: *Maintenance of phytosanitary security for horticulture exports*.

Documented systems

Export registered establishments must have documented systems as per the individual treatment performance standards:
• Reference: *Performance standards – onshore cold treatment – horticulture exports*
• Reference: *Performance standards – methyl bromide fumigation – horticulture exports*
• Reference: *Performance standards – sulfur dioxide/carbon dioxide fumigation – horticulture exports*
• Reference: *Performance standards – irradiation treatment – horticulture exports*
• Reference: *Performance standards – vapour heat treatment – horticulture exports*
• Reference: *Performance standards – dimethoate dipping – horticulture exports*.

Changes to documented systems

The department must be notified in writing, to Audit and Assurance Group of a change in documented systems for conducting a treatment before the change is implemented.

The following table outlines the process for applying for changes to documented systems on conducting a treatment.

<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
</table>
| 1.    | An email notifying of changes to an establishment’s documented system for conducting a treatment is sent to the Audit and Assurance Group. **Important:** The application must include:  
  • the documented system with the changes identified  
  • date the change is to take effect. | Establishment occupier |
<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>It is decided whether an on-site audit is required to assess the changes.</td>
<td>AAG</td>
</tr>
<tr>
<td></td>
<td><strong>When an audit is...</strong></td>
<td><strong>Then...</strong></td>
</tr>
<tr>
<td></td>
<td>not required</td>
<td>continue to Stage 3.</td>
</tr>
</tbody>
</table>
|       | required     | • an on-site audit is conducted.  
                     • go to Stage 3. | |
| 3.    | A determination is made whether to accept the changes to the documented system. | AAG |
|       | **When the changes are...** | **Then...** | |
|       | not accepted | continue to Stage 4. | |
|       | accepted     | go to Stage 5. | |
| 4.    | • The establishment occupier is notified of the department’s decision not to accept the changes, including the reasons for the decision. | AAG |
|       | **Note:** Applicants have a right to appeal the department’s decision as per the appeals policy in the Guideline: *Audit of plant export registered establishments*. | |
|       | • The process ends here. | |
| 5.    | • The establishment occupier receives written notification of the department’s decision to accept the changes to the documented system and the date it takes effect. | AAG |
|       | • The process ends here. | |

**Handling fruit fly PFA product outside of a PFA**

- Registered establishments wanting to deconsolidate, pack, inspect or further treat horticultural product from fruit fly PFAs, that are located outside the PFA the product has come from, must be approved by the department.
- These establishments must comply with the product security and movement requirements in the Guideline: *Maintenance of phytosanitary security for horticulture exports*.
- If also applying to treat fruit fly PFA product outside of a PFA, the registered establishment must be approved for the relevant treatment function and must be able to demonstrate that the fruit fly free status of the product can be maintained.

**Documented systems**

The facility must have a documented system on how fruit fly PFA product is handled at all stages relevant to the function being applied for within the registered establishment, which may include:

- receival
- storage
- deconsolidation
packing
inspection
treatment
load-out
outgoing transport.

Structural requirements

- The establishment must have a fully secure insect-proof space where the product can be deconsolidated, packed, inspected or treated and re-secured before being loaded into an air-can or shipping container.
- The doors of the insect-proof space must be suitably designed to reduce the entry of pests. This may include the use of an antechamber, knockdown area, airlock, double doors, automatic doors, rubber curtains, air curtains or other mechanism.
  
  Note: An antechamber should be designed with attributes that discourage or eliminate pests entering, for example, painted black so as not to attract insects, containing insect traps, or be regularly sprayed with an insecticide.

Export Compliant Goods Storage

Export Compliant Goods Storage (ECGS) is an approved receptacle within a registered establishment where export compliant goods are stored prior to export. This allows exporters of bulk plants and plant products (excluding horticulture) to have prescribed goods inspected for export compliance at an earlier stage in the supply chain and securely stored for up to 28 days before export.

ECGS establishments must comply with the requirements in Volume 7A: Export compliant goods storage and the Reference guide: Export Compliant Goods Storage (ECGS)

Quality Systems Recognition

Quality Systems Recognition (QSR) allows for the recognition of audited quality systems to streamline phytosanitary approval. QSR is designed for securely packaged goods that are highly processed, where the processing of the product mitigates phytosanitary risks.

QSR establishments must comply with the Guideline: Quality system recognition of highly processed plant products for export.

Annual Ryegrass Toxicity sampling

Export registered establishments that process cereal (oat, barley and wheaten) hay or straw for export must arrange for sampling and laboratory testing of the goods to ensure that the Annual Ryegrass Toxicity (ARGT) is not present.

Hay and straw establishments must comply with the Standard for Minimising the Risk of Corynetoxin Contamination of Hay and Straw for Export.

What are the general application requirements?

Premises wishing to apply to become a plant export registered establishment must submit an Application for Registration or Notification to the Secretary of Change of Details of an Establishment (EX26) to the department.

Important: An application for registration or request to add operations or functions must not be submitted unless the establishment is currently meeting the requirements and is ready for audit.

The following information must also be provided in, or attached to, the application form:

- a locality map showing the site in relation to the local area and the external boundary of the premises, including all the important features of the site and adjoining sites
plan or diagrams giving the general structural and operational layout of the establishment including
  o all major dimensions, the scale and details of inspection facilities and any required amenities
  o elevations of all buildings of the establishment
  o a general floor plan
  o the actual area being registered if it is a sub-section of the establishment
  o a floor plan of processing areas, showing all permanent fixtures and the layout of equipment
a product flow chart and main features of product flow and details of the type of products to be handled
a documented hygiene and waste management program
a documented pest control program.

Note: The records associated with each of the above listed programs are not required at the time of application.

What are the application requirements for registered functions?

Premises wishing to apply for additional registered functions must be a plant export registered establishment.

The table below outlines the process to follow when the occupier of a registered establishment wishes to apply for additional export functions.

<table>
<thead>
<tr>
<th>When the occupier of a registered establishment wishes to apply...</th>
<th>Then they must apply to the department using...</th>
</tr>
</thead>
<tbody>
<tr>
<td>to treat fresh fruit and vegetables for protocol markets</td>
<td>Reference: Application for registration as a horticulture export treatment facility.</td>
</tr>
<tr>
<td>handle fruit fly PFA product outside of a PFA</td>
<td>Reference: Application to handle fruit fly pest free area products outside a pest free area.</td>
</tr>
<tr>
<td>to use ECGS receptacles in the export pathway</td>
<td>Reference: Application for approval of export compliance goods storage and complete the Reference: Export compliant goods storage (ECGS) hazard identification and mitigation survey.</td>
</tr>
<tr>
<td>to use QSR</td>
<td>Reference: Application for approval for quality system recognition.</td>
</tr>
</tbody>
</table>

What is a fit and proper person test?

The department will conduct an assessment of whether a person or company is likely to properly conduct their business.

The persons nominated as management and control of the establishment on the application form will undergo a ‘fit and proper person test’ in accordance with the Export Control (Prescribed Goods – General) Order 2005.

What are the audit requirements?

Registered establishments will be audited in accordance with the Guideline: Audit of plant export registered establishments.

What is the registration process?

The following table outlines the process for registering an establishment.
<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>The application form is submitted along with all supporting documents to the <a href="#">Audit and Assurance Group</a>.</td>
<td>Establishment occupier</td>
</tr>
<tr>
<td></td>
<td><strong>Important</strong>: If applying to register an export function that has additional requirements, use the relevant application form in addition to the EX26 application form.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>The application is checked for completeness.</td>
<td>AAG</td>
</tr>
<tr>
<td></td>
<td><strong>When the application form is...</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Then...</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>filled out correctly with all associated supporting documentation attached</td>
<td>continue to Stage 3.</td>
</tr>
<tr>
<td></td>
<td>not filled out correctly and/or does not have all associated supporting documentation attached</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• advise the occupier of the establishment that the form must be filled out correctly and/or the missing information must be provided</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• return to Stage 1.</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>The occupier/s are assessed against fit and proper person criteria and advice is provided to AAG on the findings of the test.</td>
<td>Enforcement and Sanctions</td>
</tr>
<tr>
<td>4.</td>
<td>The occupier/s are checked for any outstanding debt owed to the Commonwealth and advice is provided to AAG on the findings.</td>
<td>Accounts Receivable</td>
</tr>
<tr>
<td>5.</td>
<td>The application is checked for compliance with the requirements.</td>
<td>AAG</td>
</tr>
<tr>
<td></td>
<td><strong>When the application form is...</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Then...</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>compliant</td>
<td>continue to Stage 6.</td>
</tr>
<tr>
<td></td>
<td>non-compliant</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• advise the occupier of the establishment the reasons why the application cannot be accepted</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Note</strong>: The establishment occupier is able to re-apply for registration once action has been taken to meet the requirements.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• process ends here.</td>
<td></td>
</tr>
<tr>
<td>Stage</td>
<td>What happens</td>
<td>Responsible party</td>
</tr>
<tr>
<td>-------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>6.</td>
<td>An initial audit is scheduled and occurs at the establishment seeking registration.</td>
<td>AAG</td>
</tr>
<tr>
<td></td>
<td><strong>When the establishment...</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Then...</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>passes the audit</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• the application form is endorsed and sent to Documentation, Registration and Licensing in Canberra</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• <strong>go to Stage 8.</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>is unable to meet the requirements</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• the application form is not endorsed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• evidence that the requirements have not been met is provided to the delegate</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• <strong>continue to Stage 7.</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Note:** Audits are conducted as per the Guideline: *Audit of plant export registered establishments.*
<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.</td>
<td>A Notice of Intention to refuse the registered establishment application is provided to the applicant.</td>
<td>Delegate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>If the establishment...</th>
<th>Then...</th>
</tr>
</thead>
</table>
| provides evidence as to why their application should not be refused and the delegate accepts this evidence | • the application form is endorsed and sent to Documentation, Registration and Licensing in Canberra  
• continue to Stage 8. |
| provides evidence as to why their application should not be refused but the delegate does not accept this evidence | • the occupier of the establishment is advised that the establishment cannot be registered and the reasons why  
• Note: Applicants have a right to appeal the department’s decision as per the appeals policy in the Guideline: Audit of plant export registered establishments.  
• process ends here. |
| does not respond to the Notice of Intention to refuse the application | • the occupier of the establishment is advised that the establishment cannot be registered and the reasons why  
• Note: Applicants have a right to appeal the department’s decision as per the appeals policy in the Guideline: Audit of plant export registered establishments.  
• process ends here. |

<table>
<thead>
<tr>
<th>8.</th>
<th>The application is approved and the form is lodged within the Export Registration database.</th>
<th>Documentation, Registration and Licensing</th>
</tr>
</thead>
</table>
| 9.    | The establishment is registered and a Certificate of Registration is sent to the occupier.  
**Note:** The Certificate of Registration will detail the approved operations and functions as well as any conditions and/or restrictions applying to the registration. | Documentation, Registration and Licensing |
Renewal of registrations

Unless an expiry date is specified on the Certificate of Registration, renewal of registration is not required. Registration is not time-limited. Registration will remain valid until revoked or varied by the department, or until voluntary revocation is requested by the occupier.

Cancellation of registration by the occupier

Occupiers of registered establishments that do not wish to continue their registration must provide written notification to the department at Audit and Assurance Group.

Changes in circumstance

The department must be notified in writing, to Audit and Assurance Group of a change in circumstance of the registered establishment including:

- a change in management
- a change in control of an establishment or occupier name
- any other circumstances as required under export legislation, such as those outlined in Division 4.4 of the Export Control (Prescribed Goods – General) Order 2005.

The following table outlines the process for applying for changes to the registered establishment.

<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>An application to make changes to the registered establishment is made in writing, on a new EX26 application form, and sent to Audit and Assurance Group.</td>
<td>Establishment occupier</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> The application should be made prior to the change occurring. If this is unachievable, notification must be given within 7 days of the change occurring.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>A determination is made whether to approve the changes.</td>
<td>AAG</td>
</tr>
<tr>
<td></td>
<td><strong>When the changes are...</strong></td>
<td><strong>Then...</strong></td>
</tr>
<tr>
<td></td>
<td>not approved</td>
<td>continue to Stage 3.</td>
</tr>
<tr>
<td></td>
<td>approved</td>
<td>go to Stage 4.</td>
</tr>
<tr>
<td>3.</td>
<td>The establishment occupier is notified of the department’s decision not to approve the change, including the reasons for the decision.</td>
<td>AAG</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> Applicants have a right to appeal as per the appeals policy in the Guideline: Audit of plant export registered establishments.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Process ends here.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>The application form is lodged within the Export Registration database.</td>
<td>Documentation, Registration and Licensing</td>
</tr>
<tr>
<td>Stage</td>
<td>What happens</td>
<td>Responsible party</td>
</tr>
<tr>
<td>-------</td>
<td>--------------</td>
<td>------------------</td>
</tr>
<tr>
<td>5.</td>
<td>The establishment details are updated and a <em>Certificate of Registration</em> sent to the occupier. <strong>Note:</strong> The <em>Certificate of Registration</em> will detail the approved operations and functions as well as any conditions and/or restrictions applying to the registration.</td>
<td>Documentation, Registration and Licensing</td>
</tr>
</tbody>
</table>

**Variations, suspension and revocation of registration, operations or functions**

**Types of variations**

**Alterations or additions**

- Alterations or additions must not be made to a registered establishment unless they have been applied for and approved by the department.
- The occupier must provide copies of the plans to demonstrate the alteration or addition.

**Notes:**

- An unauthorised alteration of, or addition to a registered establishment, may provide grounds for revocation of registration.
- Minor alterations or additions that do not make the establishment unhygienic or affect the manner in which prescribed goods can be inspected may be acceptable without application, however it is preferred that the department is consulted before changes are made.

**Registered operations and functions**

The occupier of a registered establishment may apply to vary their registration if they wish to add or remove a registered operation or function.

The department may vary the registration if the:

- occupier ceases to be a fit and proper person
- condition of an establishment has changed
- equipment in an establishment has changed
- suitability of the establishment for the operations or functions for which it is registered has changed.

The department may vary the registration by:

- imposing, adding or substituting a condition of registration
- removing certain operations or functions from the registration.

**Types of suspension**

The occupier of a registered establishment may make a request to the department to suspend operations or functions at the establishment for a period of time.

The department may suspend a registration if the requirements according to legislation are not being met in relation to the:

- condition of a registered establishment
- carrying out of operations in a registered establishment
- export of prescribed goods that have been prepared in a registered establishment.

The department may also suspend a registration:
where there are grounds to revoke the registration of an establishment (go to section: Types of revocations for a list of these grounds)

- for non-payment of debt owed to the Commonwealth.

**Suspension of registered operations and functions**

The department may suspend one or more of the registered establishment’s operations or functions if:

- prescribed goods are not being prepared at a registered establishment under hygienic conditions or in a hygienic manner
- the proper inspection of prescribed goods at an establishment is not possible
- the establishment and operations being carried out in the establishment have ceased to comply with any Export Control Order that applies to them
- prescribed goods, other than the prescribed goods that the establishment is registered for, are prepared at the establishment
- the occupier ceases to be a fit and proper person
- there are grounds for revocation (go to section: Types of revocations).

**Period of suspension**

- The period of suspension will be determined by the time needed to ensure that
  - prescribed goods can be prepared at the establishment hygienically or
  - the proper inspection of prescribed goods at the establishment is again possible.
- The period of suspension must not exceed 28 days or any longer period (not being longer than 2 months) determined by the Secretary of the department in writing.
- The suspension must remain in force for the period stated in the suspension notice.

**Suspension of registration under section 4.25 of the Export Control (Prescribed Goods - General) Order 2005**

The period of suspension must not exceed 28 days or any longer period (not being longer than 2 months) determined by the Secretary of the department in writing.

The suspension will remain in force for the period stated in the suspension notice.

**Immediate suspension of operations under section 4.31 of the Export Control (Prescribed Goods - General) Order 2005**

An immediate suspension of operations must be issued if there are reasonable grounds to believe goods are being prepared in an unhygienic manner or the proper inspection of goods is not possible.

Immediate suspensions can be advised verbally and has effect for up to 2 hours.

**Important:**

- For a suspension period longer than 2 hours, notice in writing must be given as soon as possible to the occupier or manager of the registered establishment, giving the reasons for the suspension.
- The suspension will be lifted when the occupier can demonstrate, via audit that the
  - prescribed goods can be hygienically prepared at the registered establishment
  - proper inspection of prescribed goods at the registered establishment is again possible.
- When registration of an establishment is suspended, in respect to one or more of the operations for which the establishment is registered, this means that prescribed goods prepared at the establishment during the period of suspension are no longer eligible for export.
Types of revocation

The department may revoke an establishment’s registration if:

- the registered establishment (structure or operations) has ceased to comply with any Export Control Order that applies to it
- alterations or additions have been made to the registered establishment, or to its equipment, that are not in accordance with any Export Control Order
- the equipment in the registered establishment is no longer adequate to ensure efficient and hygienic operations
- operations are being carried out in a manner that may affect the hygienic preparation of prescribed goods
- prescribed goods, other than those for which the establishment is registered, are prepared at the establishment
- the occupier of the registered establishment has failed to comply with
  - a provision of the Export Control Act 1982 or any Export Control Order that applies to them
  - a condition of the registration
  - a requirement to notify the department of changes to the corporation or partnership, or of other events that could affect the integrity of the corporation or partnership (Export Control (Prescribed Goods – General) Order 2005)
  - a notice of suspension
  - a notice requiring the occupier to cease operations in relation to suspension of operations related to hygiene, inspection and the like.
  - an instruction about preparing prescribed goods, issued by an Authorised Officer (AO) in the course of their duties
- any of the following persons is not, or ceases to be, a fit and proper person
  - a corporation— the occupier or a person who manages or controls the operations carried on at the registered establishment
  - a partnership—a member of the partnership
  - in any other case—the occupier of the registered establishment
- the occupier, or the person who manages or controls the operation, is convicted of a serious offence as per the Export Control (Prescribed Goods – General) Order 2005
- an AO has been prevented, by the use of force, obstruction or intimidation, from performing their duties at the registered establishment
- the registration of an establishment has been suspended due to non-payment of debts owed to the Commonwealth and the amount payable has not been paid within 90 days of the suspension.

Application to vary or suspend registration, operations or functions initiated by the occupier

- Registered establishments that wish to voluntarily vary or suspend their registration, operations or functions must provide written notice to the department.
- When voluntary suspensions are lifted an audit must be conducted by the department within 3 months of the date of reinstatement.

The following table outlines the process for applying for a voluntary variation or suspension of registration or operations.
<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
</table>
| 1.    | An application to vary or suspend a registration, operation or function is made in writing, using an EX26 application form or other approved form for registered functions, and is sent to the Audit and Assurance Group. **Important:** The application must include:  
- details of the variation, and  
- date the variation is to take effect or  
- period of suspension. | Establishment occupier |
| 2.    | A determination is made whether to support the variation or suspension.  
|       | **When the variation or suspension is...** | **Then...** | AAG |
|       | not supported | continue to Stage 3. |
|       | supported     | go to Stage 4. |
| 3.    | • The establishment occupier is notified of the department’s decision not to vary or suspend the registration or operation; including the reasons for the decision.  
**Note:** Applicants have a right to appeal the department’s decision as per the appeals policy in the Guideline: *Audit of plant export registered establishments*.  
• The process ends here. | AAG |
| 4.    | The establishment occupier as well as the Documentation, Registration and Licensing team receives written notification of the department’s decision to vary or suspend the registration and the date it takes effect. | AAG |
| 5.    | The registration information is updated in the Establishment Registration database. | Documentation, Registration and Licensing |
| 6.    | A new *Certificate of Registration* is sent to the occupier of the registered establishment.  
**Note:** The *Certificate of Registration* will detail any conditions and/or restrictions applying to the registration. | Documentation, Registration and Licensing |

**Variation, suspension or revocation for non-compliance with legislative obligations**

The following table outlines the process for a variation, suspension or revocation of registration or operations for non-compliance of legislative obligations.
<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Audit results and evidence are submitted to <strong>BSP</strong>.</td>
<td>AAG</td>
</tr>
</tbody>
</table>
| 2.    | • Audit results and evidence are reviewed.  
• Additional evidence is collected.  
• A brief with recommendation/s is prepared and submitted to the Delegate. | **BSP** |
| 3.    | The brief is reviewed and decision made on the intention to vary, suspend or revoke the registration. | **Delegate** |
|       | **When the intention to vary, suspend or revoke is...** | **Then...** |
|       | made | **continue to Stage 4.** |
|       | not made | • the next steps are determined in consultation with **BSP**  
• **process ends here.** |
<p>| 4.    | The occupier of the registered establishment is provided written notification of the department’s intention to vary, suspend or revoke the registration. | <strong>Delegate</strong> |
|       | <strong>When the occupier...</strong> | <strong>Then...</strong> |
|       | accepts the grounds for variation, suspension or revocation | <strong>go to Stage 8.</strong> |
|       | does not accept the grounds for variation, suspension or revocation | <strong>continue to Stage 5.</strong> |
| 5.    | A written submission demonstrating reasons why the proposed variation, suspension or revocation should not occur is provided to the Delegate within 14 days of the notice. | <strong>Establishment occupier</strong> |
| 6.    | A determination is made whether to accept the occupier of the registered establishment’s submission. | <strong>Delegate</strong> |
|       | <strong>When the submission is...</strong> | <strong>Then...</strong> |
|       | accepted | <strong>continue to Stage 7.</strong> |
|       | not accepted | <strong>go to Stage 8.</strong> |</p>
<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.</td>
<td>The occupier of the registered establishment is provided written notification of the department’s decision not to proceed with the proposed variation, suspension or revocation. This notice may include any additional and/or ongoing compliance requirements (for example, increased audit rate).&lt;br&gt;<strong>The process ends here.</strong></td>
<td>Delegate</td>
</tr>
<tr>
<td>8.</td>
<td>The occupier of the registered establishment is notified of the department’s decision to vary, suspend or revoke the registration; including the reasons for the decision and the date it takes effect. This notice may include any additional and/or ongoing compliance requirements (for example, increased audit rate).&lt;br&gt;Note: Applicants have a right to appeal as per the appeals policy in the Guideline: <em>Audit of plant export registered establishments</em>.</td>
<td>Delegate</td>
</tr>
<tr>
<td>9.</td>
<td>The Documentation, Registration and Licensing section in Canberra is notified of the Delegate’s decision.</td>
<td>BSP</td>
</tr>
<tr>
<td>10.</td>
<td>The registration information is updated in the Establishment Registration database.</td>
<td>Documentation, Registration and Licensing</td>
</tr>
<tr>
<td>11.</td>
<td>A determination is made about the Certificate of Registration.&lt;br&gt;**</td>
<td>Documentation, Registration and Licensing</td>
</tr>
<tr>
<td></td>
<td><strong>When the change is a...</strong></td>
<td><strong>Then...</strong></td>
</tr>
<tr>
<td></td>
<td>revocation</td>
<td>continue to Stage 12.</td>
</tr>
<tr>
<td></td>
<td>variation or suspension</td>
<td>go to Stage 13.</td>
</tr>
<tr>
<td>12.</td>
<td>The Certificate of Registration is surrendered to AAG, in person or by mail, within 7 working days of the notice being received.&lt;br&gt;<strong>The process ends here.</strong></td>
<td>Establishment occupier</td>
</tr>
<tr>
<td>13.</td>
<td>A new Certificate of Registration is sent to the occupier of the registered establishment.&lt;br&gt;Note: The Certificate of Registration will detail any conditions and/or restrictions applying to the registration.</td>
<td>Documentation, Registration and Licensing</td>
</tr>
</tbody>
</table>

### Suspension for non-payment of commonwealth debts

The following table outlines the process for immediate suspension of operations initiated by the department.

<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>BSP is notified that attempts to recover debt from the occupier of the registered establishment have been unsuccessful.</td>
<td>Accounts Receivable</td>
</tr>
<tr>
<td>Stage</td>
<td>What happens</td>
<td>Responsible party</td>
</tr>
<tr>
<td>-------</td>
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</tr>
</tbody>
</table>
| 2.    | • A notice of payment due (NOPD) and Notice of Intention to suspend letter is drafted, outlining the outstanding charges.  
• A brief with recommendation/s is prepared and submitted to the Delegate. | BSP |
| 3.    | The brief is reviewed and a decision made on the intention to suspend registration.  
| **When the intention to suspend is...** | **Then...** |
| made  | continue to Stage 4. | Delegate |
| not made  | • the next steps are determined in consultation with BSP  
• process ends here. | |
| 4.    | The occupier of the registered establishment is provided with the NOPD and Notice of Intention to suspend letter.  
| **When the occupier...** | **Then...** |
| prepares a written submission, within 14 days of the notice, demonstrating reasons why the proposed suspension should not occur | continue to Stage 5. |
| pays the outstanding debts | go to Stage 6. |
| • hasn’t paid their outstanding debts to the satisfaction of the delegate and  
• has not prepared a written submission, within 14 days of the notice, demonstrating reasons why the proposed suspension should not occur | go to Stage 7. |

**Important:** Payment of outstanding debts, to the satisfaction of the delegate, must be made within 8 days of receiving the NOPD (plus three working days if NOPD served by post) to avoid establishment suspension.
### Immediate suspension of operations initiated by the department

The following table outlines the process for immediate suspension of operations initiated by the department.

<table>
<thead>
<tr>
<th>Stage</th>
<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Grounds for immediate suspension are identified.</td>
<td>AAG</td>
</tr>
<tr>
<td></td>
<td><strong>When the suspension period is...</strong></td>
<td><strong>Then...</strong></td>
</tr>
<tr>
<td></td>
<td>under 2 hours</td>
<td>continue to Stage 2.</td>
</tr>
<tr>
<td></td>
<td>over 2 hours</td>
<td>go to Stage 3.</td>
</tr>
</tbody>
</table>

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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.
<table>
<thead>
<tr>
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<th>What happens</th>
<th>Responsible party</th>
</tr>
</thead>
</table>
| 2.    | • The occupier of the registered establishment is provided verbal notification regarding the immediate suspension, including the grounds for suspension.  
• Go to Stage 4. | AAG |
| 3.    | The occupier of the registered establishment and Documentation, Registration and Licencing are provided written notification regarding the department’s proposed immediate suspension, including the grounds for suspension. | AAG |
| 4.    | The ER database is updated to reflect the suspension and a revised Certificate of Registration is issued. | Documentation, Registration and Licencing |
| 5.    | The occupier determines whether action can be taken to rectify the non-compliance.  
| When action is... | Then... |
| taken | • Evidence is provided to AAG that a correction has been performed to rectify the non-compliance  
• continue to Stage 6. |
| not taken | process ends here.  
Note: Failure to comply may be grounds for revocation. |
| 6.    | A determination is made about whether the occupier of the registered establishment has addressed the non-compliance effectively.  
| When the correction... | Then... |
| does not address the non-compliance | • the occupier of the registered establishment is notified that the correction does not effectively address the non-compliance and the suspension remains in place.  
• process ends here.  
Note: Failure to comply may be grounds for revocation. |
| effectively addresses the non-compliance | • the client and Documentation, Registration and Licencing are advised that the suspension is lifted.  
• continue to Stage 7. |
| 7.    | The ER database is updated and a revised Certificate of Registration is sent to the occupier of the establishment. | Documentation, Registration and Licencing |
Record keeping

The maintenance of records are required to assist the department in monitoring the effectiveness of the establishment’s registered operations and functions.

- Registered establishments must retain documentation in relation to applications, registrations, renewals, suspension, revocations and audits for a period of at least 2 years.
- Records must meet the requirements outlined in the Work instruction: Validating supporting documents for plant exports and be supplied to the department when requested.
- Registered establishments must maintain records of
  - registration details
  - plans and specifications
  - hygiene systems
  - cleaning activities
  - waste management systems and activities
  - pest control systems and activities
  - traceability
  - treatments (horticulture protocol markets only)
  - training of staff in relation to treatment procedures and product security (horticulture protocol markets only).

Note: For more guidance about record keeping go to Reference: Performance standards for plant export registered establishments.

Related material

The following related material can be accessed via the Plant Export Operations Manual (PEOM) on the department’s website:

- Volume 7A: Export compliant goods storage
- Volume 17: Audit policy
- Guideline: Audit of plant export registered establishments
- Guideline: Maintenance of phytosanitary security for horticulture exports
- Guideline: Quality System Recognition of highly processed plant products for export
- Work Instruction: Registering establishments and renewing registrations for the preparation of prescribed goods – plant exports
- Work Instruction: Suspending and revoking registered establishments for the preparation and presentation of prescribed goods
- Work Instruction: Validating supporting documents for plant exports
- Reference: Application for approval of Export Compliance Goods Storage
- Reference: Application for approval of Quality System Recognition
- Reference: Application for registration as a horticulture export treatment facility
- Reference: Application to handle fruit fly pest free area horticulture product outside of a pest free area
- Reference: Export compliant goods storage
- Reference: Export compliant goods storage (ECGS) hazard identification and mitigation survey
- Reference: Performance standards for plant export registered establishments
- Reference: Registered operation and function codes for plant export registered establishments
- Reference: Table of horticulture protocol markets
• Australian phytosanitary treatment application standard for cold disinfestation treatment
• Australian phytosanitary treatment application standard for dimethoate dipping treatment
• Australian phytosanitary treatment application standard for vapour heat treatment
• Australian phytosanitary treatment application standard for irradiation
• Sulfur dioxide/carbon dioxide fumigation methodology
• Methyl bromide fumigation methodology
• Guide to performing QPS fumigation with methyl bromide
• Reference: Performance standards – onshore cold treatment – horticulture exports
• Reference: Performance standards – methyl bromide fumigation – horticulture exports
• Reference: Performance standards – sulfur dioxide/carbon dioxide fumigation – horticulture exports
• Reference: Performance standards – irradiation treatment – horticulture exports
• Reference: Performance standards – vapour heat treatment – horticulture exports
• Reference: Performance standards – dimethoate dipping – horticulture exports
• Reference: Performance standards – handling fruit fly pest free area (PFA) product outside of a PFA
• Application for registration or notification to the Secretary of change of details of an establishment (EX26)
• Standard for Minimising the Risk of Corynetoxin Contamination of Hay and Straw for Export

The following related material is available online:
• Australian export laws

Contact information
• Audit and Assurance Group: AuditServices@agriculture.gov.au
• Business Systems Program: RegEstPlant@agriculture.gov.au
• Documentation, Registration and Licensing: ExportEstablishment@agriculture.gov.au
• Grain Exports Program: Grain.Export@agriculture.gov.au
• Horticulture Exports Program: HorticultureExports@agriculture.gov.au

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The following table contains administrative metadata.

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<tr>
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<td>Director, Business Systems Program, Plant Export Operations Branch</td>
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</tbody>
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Version history
The following table details the published date and amendment details for this document.

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<thead>
<tr>
<th>Version</th>
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<tr>
<td>1.0</td>
<td>16/12/2019</td>
<td>First publication of this guideline.</td>
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