



Australian Government
Department of Agriculture,
Water and the Environment

The Animal Export Company

Approved Arrangement for the export of live Animals

Mock example only

This document is a mock approved arrangement, intended as guidance for exporters of live animals writing an arrangement. It is not a template and is intended as an example only.

Part 1 - Governance

1. Corporate policy statement and objectives

The Animal Export Company (AEC) is committed to provide quality service supplying clients with premium livestock while meeting the requirements of:

- Australian Standards for the Export of Livestock (ASEL 3.0)
- the importing country
- relevant Australian Government legislative and other requirements
- this approved arrangement

The systems and procedures in this arrangement have been employed to achieve ongoing compliance and maintain good animal welfare outcomes.

AEC intends to service exports for:

- Indonesia, slaughter cattle by sea
- Indonesia, breeder cattle by air
- Jordan, slaughter sheep by sea
- Malaysia, breeder cattle by sea
- Malaysia, breeder cattle by air

R James

(signature)

R. James
Managing Director
The Animal Export Company

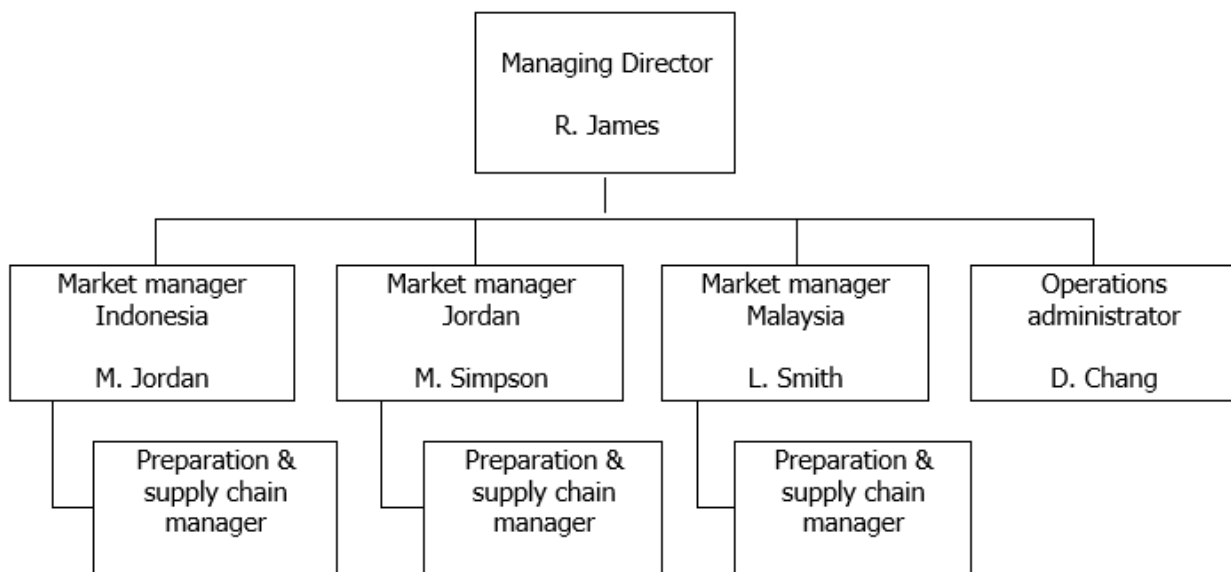
2. Organisational Structure

AEC is a small to medium sized business that aims to service clients with quality live animals. The operations and exports are from Perth only. The organisational structure comprises a number of employees to fulfil the requirements of each market AEC aims to service.

Where there are shortages or shortage of skills amongst employees, contractors are hired. These regularly include transport operators, livestock handlers and veterinarians.

However, during the peak period of the northern summer in Jordan, contractors are employed to manage the high volume of sheep to Jordan.

Organisational chart:



Persons in management and control, including relevant responsibilities:

Managing Director: R. James

- Overall manager of AEC
- Responsibility for ensuring compliance with the approved arrangement
- Responsibility for decision making for all markets
- Day-to-day control of key activities related to the approved arrangement
- Authority to amend or withdraw the approved arrangement
- Authority to amend, withdraw or halt a consignment

Market Manager – Indonesia: M. Jordan

- Day-to-day control of key activities related to the approved arrangement for exports to Indonesia
- Alternate person with responsibility for decision making
- Authority to amend, withdraw or halt a consignment

Market Manager – Jordan: M. Simpson

- Day-to-day control of key activities related to the approved arrangement for exports to Jordan
- Alternate person with responsibility for decision making
- Authority to amend, withdraw or halt a consignment

Market Manager – Malaysia: L. Smith

- Day-to-day control of key activities related to the approved arrangement for exports to Malaysia
- Alternate person with responsibility for decision making
- Authority to amend, withdraw or halt a consignment

Operations administrator: D. Chang

- Day-to-day control of key activities related to the approved arrangement, particularly for documents and recording keeping of key activities
- Responsible for all ESCAS related issues
- Alternate person with responsibility for decision making
- Authority to amend, withdraw or halt a consignment

3. Training

Purpose

Training procedures are in place to ensure all employees understand the responsibilities of their role, as outlined in their job description, and remain competent.

Scope

Training of all employees.

References

Job descriptions, staff training register, induction training, contractor booking notes.

Hiring of new employees:

- If a new employee is required, either through external hiring or internal transition, the role is advertised including a job description with the relevant roles and responsibilities of the position.
- Candidates will undergo an interview process to select the most suitable person for the position.
- A formal contract will be forwarded to the selected candidate to be completed and signed prior to commencement of employment.

Hiring of contractors:

- If a contractor is required, the most suitable person for the position, based on experience of the candidate, will be selected.
- A contract, which may be in form of a booking note, will be forwarded to the selected candidate to be completed and signed prior to commencement of employment.
- All duties and required instructions for the contractor to perform will be given to the contractor in place of induction training.

Induction training of new employees:

- All new employees undergo induction training to be completed within the first month of commencing employment with AEC, though length of induction training may vary depending on the role.
- The theory section of the induction training is to occur within a week of commencing employment. This section includes
 - overviews of company goals, strategic plans and policies
 - corporate procedures, including document and records management
 - operational procedures
 - the approved arrangement
 - Australian Standards for the Export of Livestock (ASEL 3.0)
 - The World Organisation for Animal Health (OIE) recommendations
 - Australian Animal Welfare Standards and Guidelines.
- At completion of the theory section of induction training, the employee will undergo job shadowing for practical training and will be paired with someone in a similar position or their immediate supervisor.
- During induction the employee will also work through all aspects of the consignment process to gain a solid foundation of AEC operations.

Ongoing training of employees

- Employees have (unlimited) access to their job descriptions, the approved arrangement and any reference material relevant to their role and training, including but not limited to:
 - Australian Standards for the Export of Livestock (ASEL 3.0)
 - the importing country requirements
 - relevant Australian Government legislative and other requirements
 - This AA
- Employees are encouraged to undertake refresher training where required and further training for both personal and skills development.
- External training options will be sourced if AEC cannot provide training internally.
- Employees are encouraged to participate in forums, meetings, field days and, where available, field trips to facilities relevant to the export process.
- Internal training is provided to all employees when changes occur to the approved arrangement. This may be due to changes in corporate or operational procedures, relevant standards or codes of practice, or any relevant legislative requirements.

Competency assessment

- All employees are assessed for competency against their job descriptions' during the internal audit of the 'Training' element.
- As corrective action, employees will undergo training if gaps in employee's knowledge of their roles and responsibilities are identified.
 - If the gaps identified are causing non-conformance with the approved arrangement, the employee(s) involved will be removed from that duty until training is successfully completed.

Training records

- All completed training records that are marked competent are filed for secure storage at the completion of the competency assessment.
 - All training of employees is recorded in the staff training register.
 - Hard copies of documents are scanned and returned to the employee. These are then transferred to electronic format and filed in the AEC electronic filing system for a period of 5 years,
 - It is the responsibility of every employee to ensure that their original hard copy training records are kept for a period of no less than 5 years.

4. Document control and records management

Purpose

Document control and records management procedures are in place to ensure all relevant required documents are of the most recent version available and records are fully maintained to demonstrate AA compliance.

Scope

All documents relating to the approved arrangement, including version control of the approved arrangement and related controlled documents and forms, supporting documents for procedures and evidence for consignment procedures.

References

Amendment and variation register.

Version control

- The most current version of the approved arrangement is saved and in use. The date and version number will be in the footer of the approved arrangement. All employees have access to the AA.
 - Available electronically on the AEC electronic filing system (including previous versions with the amendment and variation register)
 - Available in hard copy in the AEC office
 - Available for internal and external audit purposes (including all associated documents)
- All amendments and variations to the approved arrangement including procedures, template documents and management documents (other than recordings) are recorded on the amendment and variations register.
 - The amendment and variations register contains all changes made to the approved arrangement and identifies the page number where the amendment has been made, date of amendment and version number of the approved arrangement.
 - Amendments and variations which have not yet been approved by the Department of Agriculture, Water and the Environment (the department) will state in the footer of the document 'pending departmental approval'
 - All previous amendments and variations of the approved arrangement are available in the amendments and variations register.
- Major variations to the approved arrangement will be submitted to the department by a person in management and control for approval with the amendment and variation register attached. Major variations include changes in the below and other major areas of the AA:
 - Market, species, class and/or mode of transport (SEPs and AAV instructions)
 - Management plans
 - Company name or associated Australian Business Number
 - Anything additional required by the department (through EAN's or other means)
- Minor amendments as outcomes of internal management reviews will be made by the Managing Director and presented to the auditor at the next scheduled external audit for approval.
 - Minor amendments include the following only:
 - removal of persons in management or control following approval from the department to vary the export licence (for any addition of persons in management or control in the organisational structure, or change in persons listed as in

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- management or control on the export licence, the variation to the export licence must be submitted to the department)
- contact details for employees
 - change to roles and responsibilities of persons not listed in management or control
 - change to storage location of records
 - change to commercial arrangements, such as transport providers or contracted stockperson(s).
- The approved arrangement will note the version number and the date the amendment is/was made by the managing director on the front page and in the footer of each page.
 - The header of each page will state 'pending departmental approval.
 - The changes will be outlined in the amendment and variation register and once approved by the auditor, a copy of the updated approved arrangement and amendment and variations register will then be provided to the department's Canberra Office at livestockexp@awe.gov.au to update records.

Records management

- All relevant documents and records are filed for storage at the completion of every consignment.
 - If hard copies of documents are received, these are transferred to electronic format and filed in the AEC electronic filing system.
 - It is the responsibility of every employee to ensure that company documents they are responsible for are recorded and stored appropriately for audit and verification purposes.
- All company documents and records are maintained for a minimum period of 5 years.
- After 5 years of retention, documents and records are archived electronically.
- All records and documents will be made available for audit purposes whether internal or externally, including audits conducted by the department's auditor.
- The most recent version of the AA, previous amended and varied versions which are in the amendment and variation register, legislation, relevant state and federal regulations, training materials and any other relevant information are all available to staff and stored as hard copies in the AEC office or on the AEC shared network drive.

Part 2 – Operations

5. Compliance with the importing country requirements

Purpose

This procedure is to ensure all consignments are prepared in accordance with importing country requirements.

Scope

All preparation of livestock for export.

References

MICoR, import permits, standard export plan (SEP), approved export plans (AEP).

- Requirements as listed on MICoR are addressed in the Standard Export Plan (SEP)
 - If conditions listed on MICoR differ to those listed on the SEP, the department will be contacted to agree the best course of action and any requirements that need to be addressed will be done so in the Consignment Specific Export Plan (CSEP).
 - For consignments where there is no agreed protocol, the SEP will be formed from information available, may it be import permits or previous health certificates from the competent authority of the importing country or a health certificate issued by the department previously, and the department will be contacted. If any requirements differ once the import permit is received, the CSEP will reflect this and the department will be contacted to notify of the requirements.
- On obtaining the import permit, all requirements listed on the import permit will be verified against the requirements listed on MICoR.
 - Where requirements on the import permit are different to those listed on MICoR, the department will be contacted to agree the best course of action and any requirements that need to be addressed will be done in the Consignment Specific Export Plan (CSEP).
 - Where a requirement cannot be certified by the department (e.g. Australia is free from bluetongue), and if required, AEC will attempt to obtain a dispensation from the importing country.
 - The CSEP will reflect any additional requirements in the import permit not covered in the SEP and the department will be notified of the requirements.
- Importing country requirements which are relevant to the AAV will be listed in the AEP land-based instructions. Consignment and market specific AEPs will be provided to the AAV.
- Any permits received in a language other than English will have a NAATI level 2/3 certified (or equivalent) translation uploaded to TRACE with the original permit. An endorsed English translation issued by the competent authority of the importing country is considered to be an equivalent translation.

6. Compliance with the Australian Standards for the Export of Livestock

Purpose

This procedure is to ensure all consignments are prepared in accordance with the Australian Standards for the Export of Livestock (ASEL 3.0).

Scope

All preparation of livestock for export.

References

The Australian Standards for the Export of Livestock (ASEL 3.0), standard export plans (SEP), approved export plan (AEP), ASEL standards register/ASEL operational procedures.

- The relevant appendix with the ASEL standards register/ASEL operational procedures outlines:
 - ASEL requirements relevant to the market, species, class and mode of transport (air or sea) for which AEC is licensed and, where relevant, the markets and class to which the approved arrangement applies
 - All operational procedures employed by AEC are set out to comply with ASEL
 - Alternative arrangements allowed by ASEL or any discretionary requirements (e.g. management plans such as that for *long horned livestock* or consignment by consignment approvals) must be approved by the department.
- The SEPs in the AA summarises how AEC will meet the relevant ASEL requirements for each specific market, species, class and mode of transport.
 - The SEPs may refer to the ASEL standards register/ASEL operational procedures for detail
 - Any ASEL requirements that need to be further addressed (e.g. load plans are required for every consignment) are done so through the relevant SEPs.
- The AEPs in the AA summarises how AEC will meet the relevant ASEL requirements for any AAV requirements from the corresponding SEP for each specific market, species, class and mode of transport.
- For any alternative arrangements allowed by ASEL to be applied as part of AEC's AA, AEC will seek the necessary approvals from the department by submitting a variation.

7. Other requirements

Purpose

This procedure is to ensure all consignments are prepared in accordance with all other requirements, including:

- Additional conditions under Australian Government and state and territory legislation, regulations, and policy
- Additional requirements as set out in EANs
- Status of registered premises/approved premises
- Status of accreditation of AAVs
- Status of accreditation of a competent pregnancy tester, for example a registered veterinarian who is accredited under the PREgCHECK (National Cattle Pregnancy Detection) Scheme.
- National Livestock Identification System (NLIS) requirements
- Land transport requirements

Scope

All preparation of livestock for export.

References

Licence conditions, EAN register, TRACE, NLIS database.

Additional conditions or requirements

- Any change in circumstance relevant to the AA due to additional conditions applied to AEC through licence conditions, conditions on the arrangement, or other direction by the Australian Government (such as through EANs or ASEL changes) will result in the amendment or variation of relevant procedures and update to the arrangement accordingly.
 - This may include a management plan attached as an appendix to the arrangement to demonstrate how AEC will meet the requirements of the condition.
- All EANs are noted in the EAN register to ensure the Managing Director has read them and where necessary distributes the information to employees.
- Core documents will be identified and presented in accordance with the AA core documents list. AEC will independently verify that information contained in the AA core documents list and MICoR is current.

Status of premises registration

- At the time of contracting a premise to hold live animals pre-export, the status of the premises will be verified by the premise manager with a copy of the current registration certificate proving registration will be covered for the planned period the animals will be in the premises. This will also be verified by entering the premise onto the department's website TRACE during submission of NOIs
- If an approved premises is to be used (for air consignments only), the premises will be noted in the NOI and the department's regional office will perform an inspection to approve the premises at least 10 business days prior to the animals are due to enter the premise.

Status of accreditation of AAVs

- At the time of contracting an AAV, the status of accreditation of the AAV will be verified through confirmation with LiveCorp. This will also be verified by entering the AAV onto the department's website TRACE during submission of NOIs

Status of accreditation of a competent pregnancy tester

- At the time of contracting a competent pregnancy tester, their membership with the Australian Cattle Veterinarians group and an accreditation under the PREgCheck (NCPD) Scheme will be verified.

National Livestock Identification System (NLIS) requirements

- All animals are required to meet NLIS requirements in accordance with the state and territory legislation. All members of the export chain have responsibility for ensuring these are met.
- AEC will ensure that during all stages livestock are correctly identified with NLIS devices.
- Instructional material and standard operating procedures state clearly who is responsible for NLIS transfers at each stage of the export chain.
- Transfers will be uploaded to the NLIS database within the required timeframes following movement as per state and territory legislation.
- NLIS records will be kept for a minimum of 5 years.

Land transport requirements

- The land transport of livestock must meet:
 - the Australian Animal Welfare Standards and Guidelines for the Land Transport of livestock published by Animal Health Australia (21 September 2012)
 - relevant animal health and welfare and road transport requirements under state and territory legislation
 - relevant requirements under national animal welfare standards and guidelines
 - model codes of practice
 - importing country requirements
 - ASEL
- AEC will ensure that instructions and the relevant importing country requirements are provided to transport operators for compliance with the above.
- All transport providers engaged by AEC will sign a contract to confirm responsibility of the livestock during land transport and to state that these requirements will be met.

8. Export Plans

Purpose

The purpose of this procedure is to ensure that a Standard Export Plan (SEP) is developed for each market, species, class and mode of transport, and that for every consignment the relevant SEP is used to develop the Consignment Specific Export Plan (CSEP).

Scope

All preparation of livestock for export.

References

Standard export plans (SEP).

Standard Export Plans (SEP)

- A SEP is prepared for each market, species, class and mode of transport that AEC intends for export, as is listed in Element 1.
- Where the market requirements are similar, these SEPs may be combined.
- For consignments where there is no agreed protocol, the SEP will be formed from information available, may it be draft/example import permits or previous health certificates, and the department will be contacted.
 - If any requirements differ once the import permit is received, the CSEP will reflect this and the department will be contacted to notify of the requirements.
 - If the exporter intends to add, remove or change any SEPs, a variation to the AA must be approved by the department. This approval must occur prior to an NOI being submitted to the department for a consignment under the variation.

Approved Export Program (AEP)

- There is an AEP which includes land-based and shipboard (where relevant) instructions for each market, species and class.
- The version of the AEP in use is current and includes the departmental approval date.
- NOIs will not be approved by the department until an approved SEP and AEP for the respective market, species, class and mode of transport are available.
- The relevant AEP instructions are added to the CSEP for each consignment.
- The consignment and market specific AEP is provided to the AAV engaged for each consignment.

Consignment Specific Export Plans (CSEP)

- For every consignment, the relevant SEP is used as a template to develop the CSEP.
 - The Operations Administrator is in charge of preparing all CSEPs.
- The CSEP attests to each requirement as written in the approved SEP and identifies the specific documentation which addresses how importing country requirements, ASEL and other requirements for the specific consignment are met.
- This includes adding details specific to the consignment including, but not limited to (as requirements may vary between markets):
 - LNC number and SCN number (if relevant)
 - specifying date ranges and scheduling for treatments to occur
 - noting whether discretionary requirements under ASEL will be invoked
 - nominating the AAVs, premises to be used, transport operators

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- indicating the vessel and proposed route
- references the travel and load plans developed for each consignment
- nominating whether any management plans will be invoked for the consignment
- The CSEP for each consignment will be distributed to relevant employees and service providers.
 - Service providers includes, but is not limited to, the AAV, approved/registered premises operators and transport operators.
- On completion of the relevant duty the employee or service provider will provide relevant evidence to ensure all duties are completed.
 - The relevant evidence required is listed in the SEP and the AEP
- The CSEP and any associated documents will be provided upon request if required during audit.

Mock example only

Part 3 - Quality Assurance

9. Corrective action

Purpose

The purpose of this procedure is to ensure that any non-conformances identified, either through audit or general day-to-day business, are rectified through corrective action.

Scope

Non-conformance for any element of, or procedure relevant to, the approved arrangement. The corrective action register will address all corrective actions, including from internal audit and departmental audit.

References

Corrective action register.

Non-conformances may be identified through day-to-day oversight of procedures, internal audit, or departmental audit.

Regular audits will be conducted to ensure sub-contractors and service providers are following the SEPs, AEPs, CSEPs and other instructions to ensure conformance.

When a non-conformance is identified the following procedure is applied:

- Identify where and during which procedure(s) the non-conformance is occurring.
- Identify the risk associated with the specific procedure(s)
 - Assess the cause and likelihood of identified risk
 - Assess consequences of identified risk
 - Classify the identified risk as high, medium, or low
 - Record in the non-conformance report.
- Identify corrective action to eliminate or reduce likelihood of the risk
 - Nominate a person in management and control to complete corrective action
 - Nominate date by which the corrective action must be completed
 - Nominate date by which the effectiveness of the corrective action will be reviewed
 - Implement corrective action
 - Review effectiveness of corrective action (and implement alternative corrective action if necessary)
 - Record in corrective action register.

10. Internal audit

Purpose

Internal audits are used to assess whether all procedures in the approved arrangement continue to meet the required outcomes, demonstrate how AEC conducts its business, are up-to-date and that procedures are followed by employees.

Scope

All elements of and procedures relevant to the approved arrangement.

References

Audit checklist, audit summary, consignment file checklist.

Internal audit of the approved arrangement

- Internal audit of all elements of the approved arrangement are to be conducted every 12 months.
- One element assessed each month for 11 months of the year.
- At the twelfth month, an annual management review will be held unless outcome of an internal audit triggers additional interim management reviews.
- The internal audit schedule for the following year will be agreed by the Managing Director and Operations Administrator at the annual management review.
 - A person in management and control will be nominated to conduct the audit for each element.
- The internal audit for the element will be conducted against the performance criteria indicators of the Approved Arrangement Guidelines as listed in the checklist and an audit summary will be provided for the Managing Director to approve and sign.
- Any non-conformance during the internal audit will have a corrective action applied as per the corrective action procedure identified in element 9.
- A record of all audit summaries, non-conformance reports, corrective actions, observations and summary reports will be scanned into the AEC electronic system and kept for a period of 5 years before being archived.

Internal audit of the consignment file

- Within one week of the receipt of End of Journey or End of Voyage report, the respective Market Manager to that consignment will perform an audit of the consignment file.
- The Market Manager will use the consignment file checklist to ensure all supporting documents and evidence to that consignment is filed correctly, the procedure for which is described in element 4.

11. Management review

Purpose

The purpose of the management review process is to ensure the approved arrangement is fit-for-purpose, there is conformance with the approved arrangement and the expected outputs have been met.

Scope

All elements of and procedures relevant to the approved arrangement.

References

Management review agenda, management review minutes.

Scheduling of management reviews

- Management reviews will be held at a minimum of once annually to ensure the AA meets ASEL (3.0) requirements, importing country requirements, Australian Government and state and territory legislation and other requirements.
- As described in 'Element 10. Internal audit' internal audit and management reviews will occur on a yearly cycle.
 - Internal audit will occur on an element each month for 11 months to ensure all elements are covered
 - An annual management review will be held in the twelfth month, once internal audit of all elements is complete
 - At the completion of the internal audit of all elements, the Operations Administrator will schedule a date and time for the review to occur in the following month and set agenda items
 - The schedule for the following year will be determined at the management review meeting.
 - This process will ensure the AA reflects business practices and achieves prescribed outcomes without deviation from the AA.
- Interim management reviews will be held during the year if triggered by a risk identified as requiring a corrective action.

Consideration of the management review:

- outcomes of both internal and external audits
- results of risk assessments
- status and effectiveness of corrective actions
- feedback from the department
- efficiency of livestock preparation
- employee performance reviews
- service provider performance reviews
- outcomes of previous reviews
- recommendations for improvement.

Outputs of the management review

- All actions and outcomes of the management review will be recorded and signed by the Managing Director at the conclusion of the meeting, including:
 - improvement of the effectiveness of the approved arrangement and its procedures
 - improvement of preparation of livestock related to legislative and importing country requirements
 - identification of resource needs
 - proposed implementation of any identified improvements.

Management Review Process

- At the beginning and completion of the management review process the Managing Director will:
 - Sign all records and implementation procedures
 - Ensure effective implementation of required changes and corrective actions by conducting a final review at the end of the prescribed implementation period
 - Ensure records of management reviews and implemented procedures are retained and stored in the AEC filing system for a period of 5 years before being archived.

Mock example only

Staff training register

Training title	Description of training	Employees who attended	Completion date
<i>E.g. Cattle handling training.</i>	<i>Training on appropriate handling of cattle to ensure adequate cattle health and welfare practices by employees who regularly handle cattle.</i>	<i>R. James</i>	<i>17/08/19</i>

Amendments and variations register

Version number	Type	Description of amendment	Element and page number of amendment or variation	Approval Date
<i>E.g. 1.1</i>	<i>Minor amendment</i>	<i>Change of internal audit occurrences from all elements audited once annually to an element audited once a month for a period of 11 months.</i>	<i>9, page</i>	<i>30/12/19</i>
2	Major variation	Addition of M. Jordan to position Market Manager – Indonesia and as a person in management and control	2, page	18/07/19

ASEL standards register

Standard	Requirement	Persons responsible	Procedure (prompts)	Verification evidence (prompts)
S1.7.4	<i>Sheep must only be sourced for export when they have been assessed by a competent stock handler and have a body condition score of 2-4 (inclusive) based on S1.7.4 Table 4.</i>	<ul style="list-style-type: none"> • <i>Competent stock handler</i> • <i>Agents sourcing sheep</i> 	<ul style="list-style-type: none"> • <i>Buyers instructions which will include a copy of ASEL 3.0 Table 4 and request animals only with a body condition score of 2-4 (inclusive) to be sourced.</i> • <i>Prior to export, a competent stock handler will assess sheep and ensure that only animals with a body score condition of 2-4(inclusive) will be included in the shipment.</i> • <i>The competent stock handler will ensure that any sheep that do not comply with this standard will not be consigned for export.</i> 	<ul style="list-style-type: none"> • <i>Sourcing Agent's Instructions</i> • <i>Competent Stock Handler's Instructions</i>
S1.7.7	<p><i>Sheep with horns must only be exported if the horns:</i></p> <ul style="list-style-type: none"> <i>(a) Would not cause damage to the head or eyes of the animal or other animals; and</i> <i>(b) Would not endanger other animals during transport; and</i> <i>(c) Would not restrict access to feed or water during transport; and</i> <i>(d) Are no more than 1 full curl.</i> 	<ul style="list-style-type: none"> • <i>Managing Director</i> • <i>Agents Sourcing sheep</i> • <i>Competent stock handler</i> 	<ul style="list-style-type: none"> • <i>Sourcing specifications are met by buyer notes which are then returned signed copy to AEC.</i> • <i>AEC will have a long horned livestock management plan in place for sheep with horns that exceed 1 full curl as approved by the department. Animals will be managed according to that management plan.</i> 	<ul style="list-style-type: none"> • <i>Buyers note</i> • <i>Long horned livestock management plan</i>

EAN register

EAN number	Title	Person to receive	Signature
<i>2018-09</i>	<i>Implementation of new export permit templates</i>	<i>Managing director</i>	<i>R. James</i>
<i>2018-10</i>	<i>Revised charging for the live animal export independent observers</i>	<i>Managing director</i>	<i>R. James</i>
<i>2018-11</i>	<i>Revised daily reporting for sheep exports by sea</i>	<i>Managing director</i>	<i>R. James</i>
<i>2018-12</i>	<i>Changes to conditions for the export of sheep to the Middle East from 1 November 2018</i>	<i>Managing director</i>	<i>R. James</i>

Mock example only

Audit checklist

Element	Nominated person to complete	Performance criteria indicators	Compliant?	Summary	Completion date
1. Corporate policy statement and objectives	R. James	<p><i>Element 1.1: The corporate policy is signed by a person in management and control and describes the commitment to exporting livestock in accordance with:</i></p> <ul style="list-style-type: none"> – ASEL requirements – importing country requirements – relevant Australian Government legislation and other requirements – its approved arrangement. 	Yes	One observation, will be addressed in corrective action register.	09/06/2020
		<p><i>Element 1.2: The corporate policy statement lists the markets where the exporter will export, including the species, class (breeder, feeder or slaughter) and mode of transport (exported by sea or air) intended for those markets.</i></p>	No, updated list required as new SEPs added		
2. Organisational Structure	R. James	<p><i>Element 2.1: An outline of the business structure of the livestock export business including a description of the operations and its resources. An organisational chart or list describing the positions.</i></p>			
		<p><i>Element 2.2: The roles and responsibilities of each position in management and control are described, and identify:</i></p> <ul style="list-style-type: none"> – the person(s) in the business with overall responsibility for ensuring compliance with the approved arrangement – the person(s) in the business responsible for the day-to-day control of key activities related to the approved arrangement – alternate person(s) with responsibility for decision making – other key personnel involved in the management and control of the business. 			
		<p><i>Element 2.3: A table of persons in management and control, listing their positions within the business.</i></p> <ul style="list-style-type: none"> – The person(s) in management and control with the authority to amend or withdraw the approved arrangement (in consultation with the department). – The person(s) in management and control with the authority to amend, withdraw or halt a consignment (in consultation with the department). 			

Corrective action register

Non-conformance	Identified	Description of corrective action to be completed	Nominated person to complete	Completion due date	Actual completion date
<i>E.g. Update list for 1.2</i>	<i>Internal audit 30/01/2019</i>	<i>Updated list required as new SEPs added to appendix 1</i>	<i>Operations Administrator</i>	<i>10/02/2019</i>	<i>04/02/19</i>

SEP – Jordan, slaughter sheep by Sea

Consignment details					
LNC-		Type (m/f)	Male	Castrated	Female
Departure details: e.g. Vessel name / Transit route: e.g. Fremantle to Jordan		Number			
Transport operator:		AAV:			
Importing Country Requirements		Procedure		Supporting documentation	
An import permit is issued by the importing country.		Importing country requirements are reviewed by AEC and verified as up to date. Original and NAATI certified translated import permits will be obtained and uploaded to TRACE.		Original and translated import permit	
1. Australia is free from sheep and goat pox, foot and mouth disease, peste des petits ruminants (PPR), Rift Valley fever, sheep scab and Brucella melitensis.		The Department of Agriculture issues certification for country freedom based on notification by the Australian Chief Veterinary Officer to the World Organisation for Animal Health (OIE).		Health Certificate	
2. Anthrax is a notifiable disease in Australia. The sheep showed no clinical signs of anthrax on the day of export and the animals either: (i) Originated from a property or properties free from anthrax for twenty (20) days prior to export or (ii) were vaccinated against anthrax not less than twenty (20) days and not more than six (6) months prior to export.		Property of origin (POO) certificate will be sought from the relevant State or Territory Government veterinary Authority. Refer to AEP Jordan Land based AAV instructions which are provided to the AAV.		Property of origin (POO) certificate Vaccination declaration AAV inspection declaration	
3. The sheep were examined during the 48 hours prior to loading for export, and found to be free from clinical signs of infectious and contagious diseases (including clinical evidence of clostridial disease) and external parasites and fit to travel.		Refer to AEP Jordan Land based AAV instructions which are provided to the AAV.		AAV inspection declaration	
4. The sheep have been kept since birth or at least 60 days prior to export in the Australian bluetongue virus free zone.		Property of origin (POO) certificate will be sought from the relevant State or Territory Government veterinary Authority. National vendor declaration (NVD) or vendor declaration sought to verify animals have been on the property for at least 60 days prior to export.		Property of origin (POO) certificate National vendor declaration (NVD) Vendor declaration	
5. The vessel has been cleaned prior to commencement of loading.		Declaration from the Master sought stating that the vessel has been cleaned and disinfected.		Masters declaration	

6. The vessel has not been used to carry sheep with the following diseases: bluetongue, sheep and goat pox, foot and mouth disease, peste des petits ruminants (PPR) and Rift Valley fever in the previous three (3) months.	Declaration from the Master sought stating that the vessel has not carried any sheep with the below diseases in the past 3 months: bluetongue, sheep and goat pox, foot and mouth disease, peste des petits ruminants (PPR) and Rift Valley fever.	Masters declaration
ASEL Requirements	Procedure	Supporting documentation
Standard 1 – Sourcing and preparation of livestock for export by sea 1.1.2 – 1.1.9, 1.7.1 – 1.7.5, 1.7.7	Procedures for complying with ASEL sourcing and preparation of livestock for sea requirements are outlined in ASEL operational procedures in the approved arrangement.	Buyers instructions, Property of origin (POO) certificate, National vendor declaration (NVD), Vendor declaration, Pregnancy declaration
Standard 2 – Land transport of livestock 2.1.1 – 2.1.3	Procedures for complying with ASEL land transport of livestock requirements are outlined in ASEL operational procedures in the approved arrangement.	Transport contract, Instructions to the transport operator, Transporters declaration, Travel plan, Rejection record
Standard 3 – Management of livestock in registered premises 3.1.1 – 3.1.20, 3.7.1 – 3.7.9, 3.8.1 – 3.8.3	Procedures for complying with ASEL management of livestock in registered premises requirements are outlined in ASEL operational procedures in the approved arrangement.	Booking note, Instructions to the registered premise operator, Registered premises declaration, Isolation declaration, Rejection record
Standard 4 – Vessel preparation and general management for export by sea 4.1.1 – 4.1.19	Procedures for complying with ASEL vessel preparation and general management for export by sea requirements are outlined in ASEL operational procedures in the approved arrangement.	Booking note, ACCL certificate, Load plan, Biosecurity clearance and AMSA approval, AAV/stockperson contract, Feed and water calculations, Masters declaration, Voyage instructions, AEP shipboard AAV instructions
Standard 5 – Loading and onboard management requirements 5.1.1 – 5.1.20, 5.5.1 – 5.5.4, 5.6.1 – 5.6.8	Procedures for complying with ASEL loading and onboard management requirements are outlined in ASEL operational procedures in the approved arrangement.	Voyage instructions, AEP shipboard AAV instructions, Contingency plan, Daily voyage reports, End of voyage reports
Special/Additional conditions	Procedure	Supporting documentation
1. The consignment must come directly from an Australian Port to Aqaba Port. Consignments that have stopped at other Ports will be rejected. 2. Jordan will not accept consignments that have been rejected by another country.	The NOI submitted to TRACE will show the consignment route and whether there are any transit countries.	NOI on TRACE Transit permit (if the consignment requires) Dispensation (if the consignment requires)