Australian Government
Department of Agriculture, Fisheries and Forestry

REFERENCE

Authorised officer audit performance standards

In this document

This document contains the following topics.

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.

Authorised Officer Audit Performance Standards   Version no.: 2
Date published: 29/08/2022   1 of 8

Purpose of this document

This document:

- outlines the core activities and related performance standards authorised officers (AOs) must meet to maintain appointment
- must be read in conjunction with the Guideline: *Audit of plant export authorised officers*.

Definitions

The following table defines the terms used in this document.

Term	Definition
Act	*Export Control Act 2020.*
Activity categories	Groupings of like checklist items by activity.
Checklist item	Requirements under each activity category that have been grouped by function and assigned a non-compliance rating/s.
Corrective action request (CAR)	A formal notification from the department requesting the cause of non-conformance with requirements be eliminated, with the objective to prevent reoccurrence.
Documented system	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.
Non-compliance rating	Ratings of minor, major and critical applied to a non-compliance to indicate the degree of seriousness.
Performance standard	A benchmark derived from legislation and departmental requirements against which actual performance is measured.
Plant Rules	Export Control (Plants and Plant Products) Rules 2021.

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.

Authorised Officer Audit Performance Standards
Date published: 29/08/2022

Version no.: 2
2 of 8

Activity 1: Legislation

The following table outlines the checklist items and performance standards in the legislation activity.

Checklist items	Performance Standards – Legislation
1.1 Legislation, obligations, and instrument of appointment	• Has demonstrated knowledge of the powers and functions of the appointed job functions and has applied these powers and functions appropriately. • Has complied with the requirements of their instrument of appointment. • Has complied with departmental expectations of appointment set out in the terms and conditions of appointment and instructional material. • Has demonstrated knowledge of record keeping requirements.
1.2 Awareness of Work Health & Safety requirements	• Has demonstrated knowledge of Work Health & Safety practices at establishments or bulk vessels where their AO functions are performed.

Activity 2: Pre-inspection

The following table outlines the checklist items and performance standards in the pre-inspection activity.

Checklist items	Performance Standards – Pre-inspection
2.1 Initiate AO inspection	• Has demonstrated an understanding of the initiation process for an inspection. • Has demonstrated an understanding of information required to validate a Request For Permit (RFP) and supporting documentation. • Has demonstrated knowledge of pre-inspection documentation requirements and has demonstrated compliance with these requirements.
2.2 Importing country requirements	• Interprets importing country requirements from departmental resources or import permits. • Has demonstrated knowledge to ensure importing country requirements are met prior to inspection and has correctly applied this knowledge.
2.3 Supporting documentation	• Demonstrates awareness of supporting documentation that may be required pre-inspection. • Has demonstrated compliance with importing country requirements, as evidenced by supporting documentation.
2.4 Equipment	• Has knowledge of the inspection equipment required for different job functions and inspection types and is in possession of the inspection equipment.
2.5 Boarding vessel and pre-inspection interview	• Demonstrates knowledge of the procedures for conducting a bulk vessel pre-inspection interview.

Checklist items	Performance Standards – Pre-inspection
(BVI only)	• Understands certification requirements and complies with these requirements. • Understands marine surveyor and buddy qualification requirements and complies with certification requirements.
2.6 Instructional material	• Has demonstrated ability to access most current work instructions. • Has demonstrated ability to locate work instructions and guidelines on the Plant Export Operations Manual.

Activity 3: Inspection of plants and plant products

The following table outlines the checklist items and performance standards in the inspection of plants and plant products activity.

Checklist items	Performance Standards – Inspection of plants and plant products
3.1 Flow path/inspection area	• Has demonstrated knowledge of flow path inspection procedures or is able to identify them from instructional materials where inactive or unable to demonstrate. • Has demonstrated understanding of 'fit-for-purpose' inspection areas.
3.2 Sampling/presentation of goods	• Has demonstrated the correct usage of sampling techniques and rates or has knowledge of these techniques and rates. • Has demonstrated understanding and applies principles of random and representative sampling.
3.3 Commodity inspection	• Has demonstrated or described inspection techniques and correct use of equipment for the relevant commodity inspection. • Has knowledge of procedures to inspect for pests, diseases, and other contaminants. • Has knowledge of commodity/country tolerance levels or is able to identify them from reference materials.

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.

Authorised Officer Audit Performance Standards
Date published: 29/08/2022

Version no.: 2
4 of 8

Activity 4: Inspection of bulk vessels

The following table outlines the checklist items and performance standards in the inspection of bulk vessels activity.

Checklist items	Performance Standards – Inspection of bulk vessels
4.1 Inspection of the vessel and other areas	• Has demonstrated knowledge of the procedures for inspection requirements of areas of the vessel as defined in the *Guideline: Inspection of empty bulk vessels for export.* • Has demonstrated an understanding of inspecting bulk vessels with contained chemicals.
4.2 Inspection of empty vessel holds	• Has demonstrated knowledge of the process for inspecting an empty bulk vessel hold. • Has demonstrated or described inspection techniques and correct use of equipment. • Has demonstrated an understanding of infestations, residues, structural damage, and other contaminants. • Understands bulk vessel inspection instructional materials and where to locate them.
4.3 Inspection of loaded vessel holds	• Has demonstrated understanding of the procedures for inspecting a loaded bulk vessel hold.
4.4 Inspection of the stores and general gallery areas	• Has demonstrated understanding of the process and procedures for inspecting stores and general gallery areas of a bulk vessel.

Activity 5: Post-inspection

The following table outlines the checklist items and performance standards in the post-inspection activity.

Checklist items	Performance Standards – Post-inspection
5.1 Documentation completion	• Has demonstrated the ability to correctly complete inspection records (this includes records for pass/failed consignments, reinspection and recording flow path inspection results). • Demonstrates knowledge of the submission procedures for documentation.
5.2 Documentation storage	• Provides at least 2 years of export documentation where applicable (this includes inspection records, RFPs and all supporting documents used to make declarations).
5.3 Consignment rejection procedures	• Has knowledge of procedures to inspect for pests, diseases, or other contaminants. • Has knowledge of rejection procedures as per the relevant instructional materials.

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.

Authorised Officer Audit Performance Standards
Date published: 29/08/2022

Version no.: 2
5 of 8

Activity 6: Horticulture export treatments

The following table outlines the checklist items and performance standards in the activity relating to treatments.

Checklist items	Performance Standards – Horticulture export protocol treatments
6.1 Cold treatment preparation for supervision	• Demonstrates access to the current Work Instructions. • Demonstrates access to protocols and work plans through Micor and can locate each one for different protocol markets.
6.2 In-transit cold treatment (ITCT)	• Demonstrates knowledge of the process to initiate an in-transit cold treatment. • Demonstrates knowledge of the process in inspecting and approving the container to be loaded. • Demonstrates knowledge of the process in verifying the pre-cooling of product. • Demonstrates knowledge of the process in supervising the calibration of temperature sensors. • Demonstrates knowledge of the process in verifying the previous sensor calibration if already conducted. • Demonstrates knowledge in supervising the loading of a container and supervising the temperature sensor placement. • Demonstrates knowledge in supervising a treatment re-start. • Demonstrates knowledge in supervising a sensor replacement, recalibration, or container change.
6.3 On-Shore Cold treatment (OSCT)	• Demonstrates knowledge of the process in preparing for an onshore cold treatment. • Demonstrates knowledge of the process in supervising the calibration (pre-treatment) and re-calibration of the temperature sensors (Post treatment). • Demonstrates knowledge of the process in verifying the procedure for pre-cooling of product. • Demonstrates knowledge of the process in checking the placement of the temperature sensors and supervising the treatment commencement. • Demonstrates knowledge in verifying the treatment. • Demonstrates knowledge of the process in inspecting the container prior to loading and supervising the loading of the container/s.
6.4 Cold treatment rejection process	• Explains the process for failing an onshore cold treatment and/or in-transit cold treatment.
6.5 Vapour heat treatment preparation for supervision	• Demonstrates access to protocols and work plans through Micor and can locate each one for different protocol markets. • Demonstrates access to the current Work Instructions.
6.6 Vapour heat treatment sensor calibration	• Demonstrates knowledge of the process in verifying the previous sensor calibration if already conducted.

Checklist items	Performance Standards – Horticulture export protocol treatments
	• Demonstrates knowledge of the process in supervising the calibration of sensors if this has not already taken place. • Explains when a calibration fails and rejection procedure.
6.7 Vapour heat treatment sensor placement, chamber loading and treatment commencement	• Demonstrates knowledge of the process in verifying that the treatment chamber is sealed. • Demonstrates knowledge of the process in checking the placement of the sensors and supervising the treatment commencement.
6.8 Vapour heat treatment	• Correctly verifies a vapour heat treatment.
6.9 Vapour heat treatment rejection process	• Explains the procedure for failing a treatment.

Related material

The following related material is available in the [Plant Export Operations Manual](#) (PEOM) on the department's website:

- Guideline: *Audit of plant export operations*
- Guideline: *Audit of plant export authorised officers.*

Contact information

- Audit and Assurance Group: AuditServices@agriculture.gov.au

Document information

The following table contains administrative metadata.

Instructional Material Library document ID	Instructional material owner
IMLS-9-7667	Director, Business Systems Program

Version history

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

Version	Date	Amendment details
1	28/03/2021	First publication of this reference.
2	29/08/2022	Updated wording regarding bulk vessels.