



# REFERENCE

## Performance standards for plant export registered establishments

### In this document

This document contains the following topics.

Definitions.....	2
Purpose of this document.....	2
Performance standards.....	3
Record keeping .....	3
Plans and specifications .....	7
Hygiene .....	9
Pest control .....	12
Structural requirements.....	15
Related material.....	17
Contact information.....	17
Document information .....	18
Version history .....	18

## Definitions

The following table defines the terms used in this document.

Term	Definition
Act	<i>Export Control Act 2020.</i>
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.
Core registered establishment performance standards	Performance standards that apply across all plant export registered establishments regardless of whether the establishment holds any registered functions. These include record keeping, plans and specifications, hygiene, pest control and structural requirements.
GFSI	The Global Food Safety Initiative (GFSI) Scheme oversees global food safety. In Australia, the GFSI benchmarked fresh produce food safety schemes are GLOBALG.A.P., Freshcare, British Retail Consortium (BRC) and Safe Quality Food (SQF).

For all other definitions see the Reference: [Plant export operations instructional material glossary of terms](#).

## Purpose of this document

This document:

- outlines the core performance standards registered establishments must meet to gain and maintain registration for the preparation and inspection of prescribed goods for export
- sets the non-compliance ratings for those core performance standards  
**Note:** Where more than one non-compliance rating is provided, the auditor can choose the rating depending on the severity of the non-compliance.
- must be read in conjunction with the Guideline: [Management of plant export registered establishments](#) and Guideline: [Audit of plant export registered establishments](#).

**Note:** For the performance standards related to additional functions such as treatments for horticulture products to protocol markets **go to** the [related materials](#) section.

## Performance standards

### Record keeping

The following table outlines the performance standards and non-compliance ratings for record keeping at plant export registered establishments.

Recognition of GFSI benchmarked food safety certification for specific elements of the audit, only applies to inspecting **fresh fruit** and **vegetables**, and only if indicated in the 'Performance standards' column.

Current food safety certification is defined as holding a current valid certificate that has not expired, and that has been issued by a third-party, JAS-ANZ accredited audit certification body including GLOBALG.A.P., Freshcare, BRC, or SQF.

Checklist item	Performance standards – Record keeping	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
<b>1.1 Registration details</b>	The establishment is operating within its approved registered operations.  Registration details are up to date and correct in the Establishment Register database.	Act s 143  and s 145	Minor, Major, Critical								
<b>1.2 Hygiene program</b>	A documented hygiene program is in place and includes: <ul style="list-style-type: none"><li>• a cleaning schedule</li><li>• cleaning procedures</li><li>• methods of recording cleaning activities</li></ul> or	Plant Rules s 4-3(3) & s 4-7A(1), (2)(a) and (2)(b)	Major, Critical			Minor, Major, Critical					

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.

Checklist item	Performance standards – Record keeping	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
	<ul style="list-style-type: none"><li>recognition using current certification to a GFSI approved scheme.</li></ul>										
<b>1.3 Waste program</b>	A documented waste program is in place and includes: <ul style="list-style-type: none"><li>a waste treatment/disposal schedule</li><li>waste treatment/disposal procedures</li><li>methods of recording waste treatment/disposal activities</li></ul> or <ul style="list-style-type: none"><li>recognition using current certification to a GFSI approved scheme.</li></ul>	Plant Rules s 4-3(3) & s 4-7A(1) and (2)(d)	Major, Critical			Minor, Major, Critical					
<b>1.4 Pest control program</b>	A documented pest control program is in place and includes: <ul style="list-style-type: none"><li>specified intervals for pest control checks</li><li>locations of pest control stations or product treated</li><li>methods for recording pest control activities and corrective actions taken</li></ul>	Plant Rules s 4-3(3) & s 4-7A(1) and (2)(b)	Major, Critical			Minor, Major, Critical					

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.

Checklist item	Performance standards – Record keeping	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
	or <ul style="list-style-type: none"><li>recognition using current certification to a GFSI approved scheme.</li></ul>										
1.5 Hygiene, waste and pest control records	At least 2 years* of hygiene, waste and pest control records are available that include the: <ul style="list-style-type: none"><li>the date of action</li><li>the service provider, if relevant</li><li>the action that took place. For example, cleaning, waste removal, type of treatment or control used.</li></ul> Pest records must also include: <ul style="list-style-type: none"><li>the type of treatment or control; including the chemical, fumigant or other materials used</li><li>the reason pest treatments were required</li><li>records of additional checks to verify treatment was effective</li></ul> or	Plant Rules s 11-7	Minor, Major								

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.

Checklist item	Performance standards – Record keeping	Reference to relevant legislation	Establishment Type							
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse
	<ul style="list-style-type: none"><li>recognition using current certification to a GFSI approved scheme.</li></ul>									
1.6 Product traceability	<p>A system is in place at the establishment that demonstrates, through record keeping, the traceability of goods:</p> <ul style="list-style-type: none"><li>from receipt, through the registered establishment</li><li>to the premises which they are transferred to.</li></ul>	Plant Rules s 4-3(3) and s 4-7B	Major, Critical							
1.7 Product traceability records	<ul style="list-style-type: none"><li>At least 2 years* of receipt and dispatch records are available.</li><li>At least 2 years* of rejected product records are available.</li></ul>	Plant Rules s 4-7B and s 11-7	Minor, Major							

\*For registered establishments operating less than 2 years, records for the whole operating period are required.

## Plans and specifications

The following table outlines the performance standards and non-compliance ratings for the plans and specifications of plant export registered establishments.

Checklist items	Performance standards – Plans and specifications	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
<b>2.1 Locality map/site plan</b>	<ul style="list-style-type: none"> <li>Has a map showing the site in relation to the local area.</li> <li>Has a site plan showing all important features of the site and important features of adjoining sites.</li> <li>Map showing actual area being registered if it is a sub-section of the establishment</li> <li>Elevations of all buildings of the establishment.</li> </ul>	Plant Rules s 4-6	Minor								
<b>2.2 Layout/floor plan</b>	Has a floorplan showing processing areas, all permanent fixtures, and layout of equipment.	Plant Rules s 4-6 s 4-8 & s 4-7B	Minor								
<b>2.3 Layout/floor plan alterations, extension or rearrangements</b>	Notices of alterations, extensions and rearrangements to the registered establishment that may result in residual infestation problems, or affect sampling and inspection of prescribed goods, have been submitted to the department.	Act s 121 and s 122	Minor, Major								

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.

Checklist items	Performance standards – Plans and specifications	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
<b>2.4 Product flow chart</b>	Has a product flow chart demonstrating the movement of goods through the registered establishment.	Plant Rules s 4-3(3) s 4-7B & s 4-8	Minor								

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.



## Hygiene

The following table outlines the performance standards and non-compliance ratings for the hygiene of plant export registered establishments.

Checklist items	Performance standards - Hygiene	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
<b>3.1 High risk areas</b>	<p>All areas of the registered establishment where product is stored, transported, handled, packed, processed, treated, inspected; including, but not limited to:</p> <ul style="list-style-type: none"> <li>raw product storage</li> <li>processing/packing area</li> <li>inspection area</li> <li>export compliant goods storage</li> <li>product and export flow path</li> </ul> <p>are maintained in a hygienic condition in order to control pests and disease, and prevent cross-contamination of prescribed goods.</p>	<p>Plant Rules s 4-3(3) &amp; s 4-7A(1), (2)(a) and (2)(b)</p> <p>Management guidelines</p> <p>Page 11</p>	Major, Critical		Minor, Major, Critical						

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.

Checklist items	Performance standards - Hygiene	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
3.2 Low risk areas	<p>All areas of the registered establishment not in direct contact with product; including, but not limited to:</p> <ul style="list-style-type: none"><li>• surrounds</li><li>• general storage areas</li><li>• waste storage areas (not in product flow path)</li></ul> <p>are maintained in a hygienic condition in order to control pests and disease, and prevent cross-contamination of prescribed goods.</p>	<p>Plant Rules s 4-3(3) &amp; s 4-7A(1), (2)(a), (2)(b) and (2)(d)</p>	Major, Critical	Minor, Major, Critical	Minor, Major						
3.3 Chemical storage	<p>Toxic substances (such as rodenticides, fumigants, fungicides, and insecticides) and other contaminants are stored and utilised in a way that ensures they do not:</p> <ul style="list-style-type: none"><li>• contaminate prescribed goods</li><li>• contaminate areas used for the preparation or storage of prescribed goods.</li></ul>	<p>Plant Rules s 4-3(3) &amp; s 4-7A(1) and (2)(c)</p>	Major, Critical	Minor, Major, Critical	Minor, Major						

Checklist items	Performance standards - Hygiene	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
3.4 Facilities maintenance	Hand washing and toilet facilities are kept in a clean and sanitary condition.	Plant Rules s 4-2(3) s 4-3(3) & s 4-7A(1) and (2)(a)	Minor								

**Note:** Unhygienic conditions may be evidenced by the build-up of unmanaged waste, residues, dirt, dust, weeds, uncontrolled pooling of water, or other contaminants on machinery and equipment, supporting structures, floors, walls, storage racks and similar areas.

## Pest control

The following table outlines the performance standards and non-compliance ratings for pest control at plant export registered establishments.

Recognition of GFSI benchmarked food safety certification for specific elements of the audit, only applies to inspecting **fresh fruit** and **vegetables**, and only if indicated in the 'Performance standards' column.

Current food safety certification is defined as holding a current valid certificate that has not expired, and that has been issued by a third-party, JAS-ANZ accredited audit certification body including GLOBALG.A.P., Freshcare, BRC, or SQF.

Checklist items	Performance standards – Pest control	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
4.1 High risk areas	<p>All areas of the registered establishment where product is stored, transported, handled packed, processed, treated, inspected; including, but not limited to:</p> <ul style="list-style-type: none"><li>• raw product storage</li><li>• processing/packing area</li><li>• inspection area</li><li>• export compliant goods storage</li><li>• product and export flow path</li></ul> <p>are free of:</p> <ul style="list-style-type: none"><li>• pests (including weeds, insect infestations, and animals such as rodents and birds)</li><li>• evidence of pest activity (including weeds) such as seeds, carcasses or animal droppings</li></ul>	<p>Plant Rules s 4-3(3) &amp; s 4-7A(1) and (2)(b)</p>	Major, Critical			Minor, Major, Critical					

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.

Checklist items	Performance standards – Pest control	Reference to relevant legislation	Establishment Type							
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse
4.1 High risk areas Continued...	<ul style="list-style-type: none"><li>infested/infestible materials and equipment, such as waste products, old dunnage, or old equipment.</li></ul>	Plant Rules s 4-3(3) & s 4-7A(1) and (2)(b)	Major, Critical			Minor, Major, Critical				
4.2 Low risk areas	<p>All areas of the registered establishment not in direct contact with product; including, but not limited to:</p> <ul style="list-style-type: none"><li>surrounds</li><li>general storage areas</li><li>waste storage areas (not in product flow path)</li></ul> <p>are free of:</p> <ul style="list-style-type: none"><li>pests (including weeds, insect infestations, and animals such as rodents and birds)</li><li>evidence of pest activity (including weeds), such as seeds, carcasses or animal droppings</li><li>infested/infestible materials and equipment such as waste products, old dunnage, or old equipment.</li></ul>	Plant Rules s 4-3(3) & s 4-7A(1) and (2)(b)	Minor, Major, Critical		Minor, Major					

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.

Checklist items	Performance standards – Pest control	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
<b>4.3 Bait stations and traps</b>	Bait stations and traps are: <ul style="list-style-type: none"> <li>• fit for purpose</li> <li>• in working order</li> <li>• managed as per the registered establishment's documented pest control program.</li> <li>• located/placed in line with the pest control program</li> </ul> or <ul style="list-style-type: none"> <li>• Recognition using current certification to a GFSI approved scheme.</li> </ul>	Plant Rules s 4-3(3) & s 4-7A(1) and (2)(b)	Minor, Major, Critical								

## Structural requirements

The following table outlines the performance standards and non-compliance ratings for the structural requirements of plant export registered establishments.

Checklist items	Performance standards – Structural requirements	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
<b>5.1 Design and construction</b>	<ul style="list-style-type: none"> <li>The design and construction provides adequate ventilation where treatments are carried out.</li> <li>The design and construction of product handling areas minimise the contamination of goods during preparation.</li> <li>The design and construction of product handling areas minimise entry points and harbourage for pests and diseases.</li> <li>The design and construction of product handling areas allow for the effective cleaning of the floors and surrounds.</li> <li>The registered establishment provides for the disposal of all waste material, including solids and liquids, in an efficient and hygienic manner.</li> </ul>	Plant Rules s 4-2(4) and s 4-6	Major, Minor, Critical								
<b>5.2 Adequate lighting</b>	There is adequate lighting for the operations being conducted.	Plant Rules s 4-2(4)(a)(ii) and s 4-6	Minor, Major								

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.

Checklist items	Performance standards – Structural requirements	Reference to relevant legislation	Establishment Type								
			Bulk terminal	Hay and straw	Container packing	Baled cotton	Forest products	Treatment facility	Nursery	Packhouse	Freight forwarder
5.3 Inspection areas (including sampling points)	Inspection facilities, such as benches, sampling equipment, and sampling points are fit for the effective inspection of prescribed goods.	Plant Rules s 4-2(4)(a)(i) s 4-2(4)(f) & s 4-6	Minor, Major, Critical		Minor, Major						
5.4 Hygiene facilities	The registered establishment must provide adequate hand washing, hand-drying and toilet facilities.	Plant Rules s 4-2(3) and s 4-6	Minor								
5.5 Machinery and equipment for prescribed goods	The design and construction of the registered establishment allows for the effective cleaning of machinery and equipment used in the preparation or handling of prescribed goods.	Plant Rules s 4-2(4)(b) and s 4-6	Minor, Major, Critical		Minor, Major						
5.6 Machinery and equipment for treatments	Equipment provided for the fumigation or treatment of prescribed goods must be constructed, tested, maintained and operated in accordance with applicable local government, State, Territory and Commonwealth regulations.	Plant Rules s 4-3(3) s 4-7 & s 4-8A	<ul style="list-style-type: none"><li>Refer to the relevant treatment performance standard for horticulture products to protocol markets in the <a href="#">related materials</a> section.</li></ul>								



## Related material

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

- Guideline: *Audit of plant export operations*
- Guideline: *Management of plant export registered establishments*
- Guideline: *Audit of plant export registered establishments*
- Reference: *Performance standards – dimethoate dipping treatment – horticulture exports*
- Reference: *Performance standards – irradiation treatment – horticulture exports*
- Reference: *Performance standards – onshore cold treatment – horticulture exports*
- Reference: *Performance standards – vapour heat treatment – horticulture exports*
- Reference: *Performance standards – methyl bromide fumigation – horticulture exports*
- Reference: *Performance standards – sulphur dioxide carbon dioxide fumigation – horticulture exports*
- Reference: *Performance standards – handling fruit fly pest free area (PFA) product outside of a PFA – horticulture exports*
- Reference: *Plant export operations instructional material glossary of terms*
- Reference: *Table of plant export protocol markets*

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

- Reference: *Audit checklist for plant export registered establishments*
- Reference: *Audit checklist – onshore cold treatment – horticulture exports*
- Reference: *Audit checklist – dimethoate dipping treatment – horticulture exports*
- Reference: *Audit checklist – irradiation treatment – horticulture exports*
- Reference: *Audit checklist – vapour heat treatment – horticulture exports*
- Reference: *Audit checklist – sulphur dioxide carbon dioxide fumigation – horticulture exports*
- Reference: *Audit checklist – methyl bromide fumigation*
- Reference: *Audit checklist – handling fruit fly pest free area (PFA) product outside of a PFA*

## Contact information

- Audit and Assurance Group: [AuditServices@agriculture.gov.au](mailto:AuditServices@agriculture.gov.au)
- Business Systems Program: [RegEstPlant@agriculture.gov.au](mailto:RegEstPlant@agriculture.gov.au)
- Grain and Seed Exports Program: [Grain.Export@agriculture.gov.au](mailto:Grain.Export@agriculture.gov.au)
- Horticulture Exports Program: [HorticultureExports@agriculture.gov.au](mailto:HorticultureExports@agriculture.gov.au)

## Document information

The following table contains administrative metadata.

Instructional Material Library document ID	Instructional material owner
IMLS-9-5927	Director, Business Systems Program, Plant Export Operations Branch

## Version history

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

Version	Date	Amendment details
1	16/12/2019	First publication of this reference.
2	1/07/2020	Definition added for core registered establishment performance standards and branding update.
3	28/03/2021	Alignment with the <i>Export Control Act 2020</i> and subordinate legislation.
4	1/01/2022	Alignment with updates to the Export Control (Plants and Plant Products) Rules 2021.
5	1/10/2022	Definition added for Global Food Safety Initiative (GFSI) Scheme and updated department branding.