



REFERENCE

Prescribed goods export preparation standard checklist

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Definitions

The following table defines terms used in this document.

Term	Definition
Adequate	(i) more than enough of something to meet a need (ii) satisfactorily or acceptable in quality or quantity.
Maintained	cause or enable (a condition or situation) to continue; to preserve from failure or decline.
Prescribed Goods	Goods (plants and plant products) that are declared by the regulations to be prescribed goods for the purposes of the <i>Export Control Act 1982</i> . This includes: a) prescribed grains b) hay and straw c) fresh fruit d) fresh vegetables e) plants or plant products for which a phytosanitary certificate or any other official certificate is required by an importing country authority.
Compliant goods	Goods that have been prepared (by clients/parties responsible for the goods) and determined compliant with: <ul style="list-style-type: none">• relevant importing country requirements• relevant conditions or restrictions prescribed under the <i>Export Control Act 2020</i>• departmental requirements prior to being presented to the AO for inspection. The clients/parties responsible for the goods must present goods that will meet the above requirements. Participants in the export supply chain involved in the preparation of prescribed goods (particularly the ERE) must knowingly present 'compliant goods' to the AO for inspection, as required under the <i>Export Control Act 2020</i> .

Introduction

The prescribed goods export preparation standard checklist (the checklist) outlines the key elements required by those handling and preparing prescribed goods for export.

This document outlines the minimum criteria the Australian Government Department of Agriculture, Water and the Environment (the department) requires the Australian export industry to meet when preparing prescribed goods for export.

Checklist items are considered relevant (to be adopted as required) throughout the supply chain and are a part of relevant industry/Export Registered Establishment (ERE) processes and practices for handling and preparing prescribed goods. The checklist encompasses ERE requirements in addition to activities carried out along the supply chain, including processes for review of quality and importing country/phytosanitary requirements.

Scope

It is recognised that destination country (and importing country requirements) may not always be fully known to industry at the time of consolidation—this may also depend on the stage of consolidation of goods in the export supply chain. However, all parties involved in the preparation of prescribed goods for export (including the sourcing, storage, handling, treatment, consolidation and presentation for export assessment), either directly or indirectly, have responsibilities under the *Export Control Act 2020*.

Participants in the export supply chain involved in the preparation of prescribed goods (and particularly the ERE) must comply with relevant phytosanitary requirements, and Australia's export legislation prior to presenting consignments to the Authorised Officer (AO) for inspection.

In addition to the broad definition of preparation in the *Export Control Act 2020*, preparation is considered to include but is not limited to:

- staff training/competency
- assessment of goods (sampling and testing) for quality and phytosanitary purposes
- pest control (adequate, is monitored)
- hygiene monitored and maintained
- sourcing, transport/suitability of supply chain infrastructure
- screening prior to outturn and export inspection
- rejection procedures clearly defined and followed
- record keeping and documentation of systems and processes
- traceability of goods (records of all for receivals, treatments, outturn, and operational processes)
- assessment of compliance

Purpose

The purpose of the checklist is not to duplicate or increase requirements on EREs, but to reiterate them; and is aimed to ensure preparation requirements are of greater and continuing focus. The checklist outlines key elements that EREs must meet during preparation of prescribed goods for export.

Ensuring all elements of the checklist are met, underpins and ensures that consignments prepared for export are free from pests and contaminants, or contain pests or contaminants at or below levels specified by the importing country and/or Australian export legislation. These conditions for export are required under the *Export Control Act 2020* and must be met prior to presenting goods for inspection by an AO.

Requirement for developing and submitting a prescribed goods export preparation standard checklist

- Products being prepared for export must be sourced from supplies that have been assessed for pest and contamination risks and are considered to meet the importing country and Australian export legislative requirements.
- An operator of an ERE is responsible for ensuring that only compliant goods are presented to an AO for export assessment/inspection.
- Requirement to complete the checklist are stated in the relevant commodity guideline on the department's [Plant Export Operations Manual](#).
- A checklist must be completed by the ERE **for each consignment** presented for export
 - the checklist must be completed by someone at the ERE who is able to make the declarations required on behalf of the ERE.

- To underpin the provision of the checklist for grain (or other plant products), an operator of an ERE as part of normal establishment operation must ensure they have suitable systems and procedures in place that are well maintained and documented. Key focus will be on the ERE; however, systems and procedures relating to the supply chain may also be subject to audit by the department as required
 - information that underpins the checklist does not have to be collated for each RFP/consignment, but it must be accessible if required by the department.
- The checklist must be completed and signed and included in the package of documents required when requesting consignment authorisation. It can be filled out manually and scanned or electronically with signature.

Guide for checklist elements

Export Registered Establishment

Must be an export registered establishment (ERE) with the appropriate registered operations to perform the operation about to occur.

Meets all ERE requirements as outlined in the Guideline: [Management of plant export registered establishments](#); for example, good hygiene, well maintained pest control program, documented processes and procedures, ensuring the product presented for export meets the Australian legislative and importing country's phytosanitary requirements and the like.

Staff are trained and competent in their roles and understand what they need to do and why.

Quality checks

Commercial requirements—meets the contractual requirements of the client(s); for example, exporter, importer (if known).

Australian legislative requirements—for example, ergots, rodents and rodent droppings, insect, commodity stated to be exported.

Phytosanitary requirements—meets the importing country requirements; for example, for quarantine weed seeds, pests (including snails, disease/s, nematodes).

Supply chain

Documented evidence of the origin of the product delivered to the ERE.

Tracking of the product through the ERE and into export package (for example, bag, container, bulk vessel), including records of all receivals, treatments, outturn and other relevant operational processes.

Meets export/legislative requirements

Understand the destination (importing country's) requirements—for example, assessed MCoR and have obtained an import permit from the destination country (where applicable); exporters direction (that is, RFP, commercial information and the like).

Representatively sampled, inspected and assessed for importing country requirements (for example, how was it done, can refer to relevant documents).

Flow path to export maintained in a phytosanitary condition (that is, pest free and no cross contamination issues).

Product screened for larger contaminants (for example, wet grain, foreign objects and the like) before presenting to an AO for inspection.

Product has maintained its phytosanitary status (as compliant goods) before and after AO inspection and is 'passed as export compliant' (for example, meets requirements, maintained storage integrity).

Preparation checklist

RFP No.:			
Element	Activity	Tick boxes	Comments
Export Registered Establishment	1. Registered for commodity and activity/operation	<input type="checkbox"/>	
	2. Hygiene, waste and pest control meet requirements	<input type="checkbox"/>	
	3. Knowingly presenting export compliant goods to the AO for inspection	<input type="checkbox"/>	
	4. Staff are trained and competent in their roles	<input type="checkbox"/>	
Quality	1. Commercial/contractual obligations met	<input type="checkbox"/>	
	2. Export compliant with legislated contaminants (as per MCoR, import permits, Australian legislation etc)	<input type="checkbox"/>	
Supply chain	1. Evidence of origin of the commodity	<input type="checkbox"/>	
	2. Commodity traceable to the export package (i.e. bag, container, vessel)	<input type="checkbox"/>	
	3. Documentation/records for all receivals, treatments, outturn and operational processes	<input type="checkbox"/>	
Meets export requirements	1. ERE knows the destination requirements	<input type="checkbox"/>	
	2. Product screened for large contaminants	<input type="checkbox"/>	
	3. Product has maintained its phytosanitary status	<input type="checkbox"/>	
	4. Cross contamination risk around the facility and on the loading equipment managed	<input type="checkbox"/>	
	5. Commodity sampled, assessed and found to meet the destination requirements by AO	<input type="checkbox"/>	
Issued by:		Signature:	Date:

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.

Related material

The following related material is available on the department's website:

- Manual of Importing Country Requirements (Micor).
- Micor Plants (importing country requirements, protocols and work plans)
- Protocols, work plans
- [Plant Export Operations Manual](#)
 - Guideline: *Mobile bulk loading of prescribed goods for export*
 - Guideline: *Management of plant export registered establishments*
 - Guideline: *Audit of plant export registered establishments*
 - Guideline: *Inspection of prescribed grain and plant products for export*
 - Guideline: *Inspection of forest products for export*
 - Work Instruction: *Inspecting prescribed grain and plant products*
 - Work Instruction: *Inspecting forest products for export*
 - Reference: *Grain and plant product inspection record*
 - Reference: *Bulk into ships hold inspection record*
 - Reference: *Bulk vessel loading running record*
 - Reference: *Table of authorised officer job functions*

Contact information

- Audit and Assurance Group: AuditServices@awe.gov.au
- Authorised Officer Hotline: 1800 851 305
- Authorised Officer Program: PlantExportTraining@awe.gov.au
- Grain and Seed Exports Program: Grain.Export@awe.gov.au
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Document information

The following table contains administrative metadata.

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Version history

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

Version	Date	Amendment details
1	10/08/2020	First publication of this reference.
2	28/03/2021	Updates for the commencement of the <i>Export Control Act 2020</i> and associated Export Control (Plants and Plant Products) Rules 2021.

