



GUIDELINE

Supporting documents for plant exports

Direction to staff

You must comply with this instructional material under the Practice Statement Framework.

Direction to authorised officers

Authorised officers must exercise powers and perform functions in accordance with any lawful directions or instructions issued by the department.

Direction to industry

This guideline outlines the requirements for supporting documents for plant exports. All parties with roles and responsibilities explicit in this guideline and legislation must comply with it.

Summary of main points

This document outlines the:

- requirements for supporting documents for plant exports
- process for validating supporting documents for plant exports.

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Legislative framework

The following list outlines the legislation that applies to supporting documents for plant exports:

- *Export Control Act 2020*
- Export Control (Plants and Plant Products) Rules 2021
 - Section 9-11 Reassessment after failed assessment
- Export Control (Fees) Rules 2021.

Roles and responsibilities

The following table outlines the roles and responsibilities undertaken in this guideline.

Role	Responsibility
Client	<ul style="list-style-type: none"> • Ensuring supporting documents are valid before presenting to an Authorised Officer or a Documentation Assessment Officer during the process of exporting prescribed plants and plant products. • Rectifying any issues with supporting documents and resubmitting supporting documentation prior to the issuance of certification. • Selecting appropriately qualified treatment providers, marine surveyors or laboratories.
Documentation Assessment Officer (DAO)	Validating supporting documents presented by a client during the process of exporting prescribed plants and plant products.
Authorised Officer (AO)	Validating supporting documents presented by a client during the process of exporting prescribed plants and plant products.

Work health and safety

Authorised Officers (AO) must comply with the Work Health Safety (WHS) policies outlined in the work instructions related to the inspection being undertaken, located on the [Plant Export Operations Manual](#).

Documentation Assessment Officers (DAO) must comply with all applicable Commonwealth, state and territory work health and safety legislation.

Clients should comply with the WHS policies of their organisation.

Supporting document requirements

Supporting documents have minimum requirements – additional information may be requested by the department.

All supporting documents must:

- align with the associated Notice of Intention (NOI) to export, or electronic Request for Permit (RFP)
- meet the [general requirements](#) for all supporting documents outlined in this guideline
- meet the [specific requirements](#) for the particular document outlined in this guideline.

Important: Certification will not be issued if invalid supporting documents are presented.

General requirements for all supporting documents

The following general requirements must be met for all supporting documents.

Language

All information provided must be in English. Where the information cannot be provided in English it must be accompanied by an English translation.

English translation requirements

English translations must be made by one of the following:

- a person who is a translator accredited by the National Accreditation Authority for Translators and Interpreters Ltd (NAATI)
or
- a person with appropriate qualifications to make the translation, for example
 - a consulate representative
 - National Plant Protection Organisation or importing country authority representative
 - university language school representative
 - Australian government representative.

English translations must not be:

- provided by online automatic translation services
- made by a person who is employed by the exporter or exporter's representative.

Complete and legible

All information required must be complete and legible.

Free from non-certified alterations

- White-out must not be used.
- Amendments must be crossed out neatly and endorsed by

- a company stamp or seal signed by the company employee (including printed name)
or
- a government stamp or seal signed by a government employee (including printed name).

Important: The endorsement must be applied adjacent to the alteration.

Multiple page documents

Multi page documents must include:

- all pages
- all referenced attachments.

Signature

All documents must be signed—wet (by hand) or electronically—by a representative of the party issuing the document and include the representative’s full name and contact details.

Date of issue

The date of issue must be identified and include the day, month and year.

Validity

Documents with an expiration date must be submitted within the period of validity.

Note: Supporting documents will be rejected if any validity requirements have not been met.

Consignment specific link

All supporting documents must have a unique identifiable link to the consignment.

This link must be the RFP number. If the RFP number cannot be provided, the name of the product must be provided with one of the following:

- the lot number (if recorded on the inspection or treatment record)
- container number
- silo number
- bulk vessel number
- exporter reference number
- any other information available that can easily link the supporting document to the consignment

Note: Any additional information that is available to support the link to the consignment may also be included. A client reference number should not be used as they cannot be traced to the consignment in every case.

Requirements for import permits and instruments in writing

The following specific requirements must be met for import permits and instruments in writing.

Importing country authority

The import permit must be issued by the National Plant Protection Organisation (NPPO) of the importing country.

Product

The import permit must be issued for the product on the associated RFP.

Quantity

The quantity must be for an amount equal to or greater than that declared on the associated RFP.

Important: For bulk product, the client must request approval from the [Grain and Seed Exports Program](#) for the quantity of bulk product to exceed the quantity issued on the import permit by up to a maximum of 10%.

End use

If the import permit provides details of the product's end use, the permit must be issued for the same end use on the associated RFP.

Importer

The import permit should be issued to the same importer as the consignee on the associated RFP.

Note: The consignee details on the import permit may differ to the consignee details on the phytosanitary certificate, if permitted by the NPPO of the importing country, and the exporter accepts any associated risks.

Exporter

Exporter details stated on the import permit should be the same as on the associated RFP.

The exporter accepts any associated risk where there is no field for exporter details on the import permit or the import permit states 'N/A', 'various' or 'multiple'.

Note: If the exporter details provided on the import permit are for an overseas entity, an Australian entity may act on their behalf. The exporter must provide a written statement attesting to the arrangement for the AO to validate at the time of inspection and upload the statement to PEMS.

Validity

If the import permit has an expiration date, the import permit must be valid at the date of departure on the associated RFP.

Micor Plants

The importing country's requirements on the import permit must match the relevant Micor Plants case.

Note: The Micor Plants case can be updated if the importing country requirements are different on the import permit. This can be requested by sending the import permit to the [Micor Plants team](#).

Requirements for phytosanitary certificates from the country of origin for re-export consignments

Consignments for re-export must be accompanied by an original phytosanitary certificate/s or certified copy/ies from the country of origin.

The following requirements must be met:

Complete and legible

All information must be complete and legible.

Multiple page documents

Multi page documents must include:

- all pages
- all referenced attachments.

Certified true copy/ies

A certified copy of the original phytosanitary certificate must be validated by the NPPO with a stamp and signature indicating it is a true copy of the original phytosanitary certificate. It does not replace the original.

Requirements for marine surveyor certificates

The following specific requirements must be met for marine surveyor certificates.

Approved author

The name or other distinguishing mark on the marine surveyor certificate must match the name or other distinguishing mark of the marine surveyor on the written declaration provided by the vessel owner or owner's agent.

Note: Bulk vessel inspection (BVI) AOs must ensure that the marine surveyor who surveyed the vessel was accredited under the AGSA scheme at the time the survey was conducted by checking the marine surveyor's name on the AIMS website, before accepting the marine surveyor certificate (or fitness to load certificate).

Vessel identity

- The name of the vessel and the International Maritime Organisation (IMO) number must be identified on the certificate.
- The vessel name on the certificate must align with the RFP.

Endorsements

To deem a vessel hold suitable to carry prescribed goods for consumption, a marine surveyor must endorse on the certificate:

- that the vessel has been surveyed and is free of conditions that could result in contaminating, wetting or imparting an odour on the prescribed goods for consumption
- the time and date the vessel passed the inspection
- that the vessel is suitable to carry the prescribed goods for consumption in holds <list hold number/s> and the time and date the vessel passed the inspection.

Requirements for treatment certificates

The following specific requirements must be met for treatment certificates.

Important: These requirements apply to all methods of treatment applied to containers, vessel holds and products for export.

Note: There are additional [requirements for fumigation certificates](#).

Approved standards and methodologies

In addition to the requirements outlined in this guideline, records of treatments (including treatment certificates) must be made in accordance with the approved standards and methodologies:

- [Australian phytosanitary treatment application standard for cold disinfestation treatment](#)
- [Australian phytosanitary treatment application standard for dimethoate dipping treatment](#)
- [Australian phytosanitary treatment application standard for irradiation treatment](#)
- [Methyl bromide fumigation methodology](#)
- [Sulfur Dioxide \(SO₂\) Carbon Dioxide \(CO₂\) fumigation methodology](#)
- [Australian phytosanitary treatment application standard for vapour heat treatment](#)

Approved author

The treatment certificate must be issued by the treatment provider on the treatment provider's letterhead.

Endorsements

- The treatment provider must endorse on the treatment certificate that the treatment has been applied to the container, vessel or product for export.
- The treatment provider must endorse that any required safety precautions/aeration/Threshold Limit Value – Time Average Weighted Average (TLV-TWA)/withholding periods have been met.

Specification details

The treatment certificate must state the specification details of the treatment applied, including the requirements:

- of the importing country authority as stated in Micor Plants
- on the registered label
- recommended by the manufacturer.

Specification details will vary between different treatments but must include the following:

- cold or heat treatments—temperature, duration or exposure period, date
- vapour heat treatment—temperature, duration or exposure period, relative humidity, date
- chemical pesticide treatment—registered name of chemical (optional), active ingredient or constituent, rate of application, date
- irradiation treatment—radiation dose, date
- fumigation treatment – active ingredient/constituent, dosage, treatment temperature, exposure period, date, TLV, gas free statement (or a separately issued gas free certificate)

Notice of Intention

The following details on all treatment certificates must align with the corresponding NOI if they are listed:

- treatment type
- rate and/or dosage applied
- exposure period/duration
- temperature
- start and end date the treatment was applied
- treatment provider is registered, if required by the importing country
- the vessel name.

Requirements for onshore cold treatment temperature log /data printout:

The following requirements for onshore cold treatment (OSCT) temperature log /data printout must:

- be endorsed by the same AO who has completed the OSCT record in PEMS
- include a consignment specific link to the OSCT record in PEMS (see [Consignment specific link](#) section)
 - In addition to the above, for Thailand, the temperature log /data printout must include the establishment name, establishment number and cool room number.

General requirements for fumigation certificates

In addition to the requirements for [treatment certificates](#), the following requirements must also be met for fumigation certificates:

Approved author

The fumigation certificate must be issued by a fumigator licensed by the relevant state/territory and include their licence number and contact details.

Endorsements

The fumigator must endorse on the fumigation certificate that:

- the treatment has been applied to the container, vessel or product for export
- any required safety precautions/aeration/ TLV/withholding periods have been met.

Note: safety precaution/aeration/ TLV/withholding period information may also be provided on a separate gas free certificate.

Specification details

The fumigation certificate must include the following details:

- active ingredient/constituent and the dosage rate applied
- exposure period

Fumigation location

For onshore fumigation treatment, the fumigation certificate must contain the address where the fumigation was undertaken for traceability.

Exporter declaration

If the fumigation certificate does not link the product treated to the consignment, the exporter must provide an exporter declaration to link the product treated to the relevant export consignment.

Validity

- Fumigation must be performed within any timeframes set by the importing country authority.
Important: If the importing country has not set a timeframe for fumigation treatment, then a fumigation certificate is only valid for 120 days from the date of completion of the treatment.
- Fumigation treatment must only be endorsed on a phytosanitary certificate when a valid fumigation certificate is presented.

Additional requirements for fumigation certificates for grain, cotton, stockfeed and forest products

In addition to the general requirements for [fumigation certificates](#), the following requirements must also be met for fumigation certificates for grain, cotton, stockfeed and forest products.

Endorsements

The fumigator must endorse a statement on the fumigation certificate that confirms:

- the fumigant concentration within the enclosure is equal to or below the final Threshold Limit Values (TLVs)
- the enclosure is gas free and/or issue a gas free certificate.

Important: While a TLV is required for each container when multiple containers are fumigated, fumigation certificates can be issued with one figure recorded provided the certificate states that all

containers have TLVs equal to or below the value stated on the certificate and the recorded TLV is also aligned with the label requirements

Specification details

For grain, cotton, stockfeed and/or forest products, the fumigation certificate must include the following details:

- minimum commodity temperature at the start of fumigation
- treatment temperature where the Micor Plants case or treatment schedule requires temperature details where the enclosure is subject to the ambient temperature of the surrounding environment, the forecast minimum temperature including the source of information is to be recorded.
- where the treatment is performed in a controlled temperature environment, the ambient temperature within the enclosure is to be monitored and recorded.
- the weight of the products fumigated when fumigation did not take place in shipping container.

Important: Methyl bromide is not approved for use at ambient (and/or commodity) temperatures under 10 degrees Celsius.

- fumigant concentration monitoring times and readings (only where the methyl bromide or sulfuryl fluoride fumigation was applied to logs)
- dates and time (start and finish) that the treatment was applied.
- registered name of the chemical fumigant used in the statement (only required for grain products).

Fumigation chamber

The fumigation certificate must include the type of fumigation enclosure used and an identifying number for the enclosure (for example, container number, shed, silo number or chamber) and its location.

Exporter declaration

An exporter declaration may be presented in lieu of a fumigation certificate in the following scenarios only:

- treatment of product that is to be exported as a bulk vessel shipment or a bulk containerised shipment that is packed at a bulk terminal where multiple individual treatments of smaller parcels/lots within the consignment were undertaken

Note: Copies of the original individual treatment certificates must be retained and made available on request by the department.

- the [Grain and Seed Exports Program](#) has provided prior written approval for a client to issue an exporter declaration using a documentation software system.

In-transit fumigation

For in-transit phosphine fumigation, a treatment certificate from a licensed fumigator must be presented prior to the issuance of any government certificates and must contain:

- Dosage (g/m^3), temperature (degrees Celsius), and duration of treatment (days) in accordance with the importing country requirements
- Vessel name, destination and holds loaded
- Commodity and quantity
- Signed by a licensed fumigator with contact details provided

Note: In-transit phosphine fumigation may only be undertaken when approved by the destination country. If treatment is to be undertaken in-transit, consignment must be found free of live insects

during phytosanitary inspection. Fumigator must submit the Fumigation Plan to the [Grain and Seed Exports Program](#) for approval before undertaking in-transit phosphine fumigation to meet importing country's quarantine requirement.

Fumigation of logs to China

- Fumigation certificates must be signed by a fumigator approved for conducting China log fumigations.
- Fumigation certificates issued for treatment of logs to China must endorse the registered establishment number of the establishment where the treatment was undertaken (unless fumigation was done in a bulk vessel hold). Establishments used for the fumigation of logs for export to China must be an establishment registered for conducting China log fumigations.

Additional requirements for fumigation certificates for horticulture products

In addition to the general requirements for [fumigation certificates](#), the following requirements must also be met for fumigation certificates for horticulture products.

Specification details

For horticulture, the fumigation certificate must include the following details:

- for perishable goods, minimum commodity (pulp) temperature (degrees Celsius) that was maintained for the period of the treatment
- for non-perishable goods, minimum commodity temperature (degrees Celsius) that was maintained for the period of the treatment
- registered establishment number (horticulture protocol markets only)
- export methyl bromide fumigation accreditation number 'AUXXXMB,' where XXXX is the registered establishment where the treatment occurred (horticulture protocol markets methyl bromide only).

Exporter declaration

An exporter declaration may be presented in lieu of a fumigation certificate in the following scenarios only:

- phosphine fumigation treatment undertaken on farm by an individual other than a licensed fumigator in a state or territory where they are not legally required to hold a fumigation licence.

Requirements for laboratory analysis certificates

The following specific requirements must be met for laboratory analysis certificates.

Note: There are additional [requirements for annual ryegrass toxicity test certificates](#).

Approved author

The laboratory analysis certificate must be issued by a laboratory that is capable of undertaking the required testing or analysis.

Endorsements

The laboratory must endorse on the certificate:

- that a sample of the product was analysed
- the method used to analyse the sample.
- the date the analysis was undertaken (independent of the date of certificate issuance).

Note: It is the exporter's responsibility to ensure that the analysis method matches protocol and/or Micor Plants case and import permit requirements as applicable.

Notice of Intention

The following information on the certificate must align with the NOI:

- NOI number
- product type
- source location.

Requirements for annual rye grass toxicity test certificates

The following specific requirements must be met for annual ryegrass toxicity (ARGT) test certificates.

Important: ARGT certificates and any associated exporter declaration must be kept by the export registered establishment and is only required to be presented at an export registered establishment audit.

Endorsements

The laboratory analyst must endorse on the ARGT test certificate that one of the following methods were used:

- must follow "Standard for Minimising the Risk of Corynetoxin Contamination of Hay and Straw for Export".
- the samples were tested for the bacterium *Rathayibacter toxicus* using the Western Australian Department of Agriculture and Food enzyme-linked immunosorbent assay (ELISA) test.
- the samples were tested for corynetoxin using the Commonwealth Scientific and Industrial Research Organisation (CSIRO) ELISA test.
- the samples were tested for the bacterium *Rathayibacter toxicus* using the Department of Primary Industry and Regions, South Australia (PIRSA) enzyme-linked immunosorbent assay (ELISA) test

ARGT test certificate details

The ARGT testing certificate must include the:

- name and contact details for the person or organisation that submitted the samples to the approved laboratory
- sample number/s
- date the sample was received
- date the sample was tested
- a statement on whether the bacterium or corynetoxin test was positive/detected or negative/not detected.

Exporter declaration

If the ARGT test certificate does not link the samples tested to the consignment, the exporter must provide all ARGT test certificates and an exporter declaration to link the samples tested to the relevant export consignment.

Requirements for pest free status declarations

Crop inspection certificate

The following specific requirements must be met for crop inspection certificates.

Approved author

The crop inspection certificate must be issued by the:

- relevant state or territory government agency
or
- grower's crop monitor, or a third-party crop monitor.

Endorsements

The issuer must endorse the pest free status of the product by including the pest free declaration, as required in the Micor Plants case, on the certificate.

Validity

The crop inspection certificate is only valid for the growing season of the crop.

Note: The validity may be void if there is evidence of recent pest detections or outbreaks in the area.

Notice of Intention

The following information on the crop inspection certificate must align with the NOI:

- product type
- source region.

Area freedom certificate

The following specific requirements must be met for area freedom certificates:

Note: Area freedom certificates may be issued for all pests other than fruit flies.

Approved author

The area freedom certificate must be issued by the relevant state or territory government agency.

Note: Official area freedom advice published on the relevant state or territory government agency website may be accepted in lieu of an area freedom certificate in the form of a printed screen shot or website link.

Endorsements

The relevant agency must endorse the area, region, state or territory is free from a specific pest, by including the area freedom declaration required in the Micor Plants case on the area freedom certificate.

Validity

The area freedom certificate is only valid for 12 months.

Note: The validity may be void if there is evidence of recent pest detections or outbreaks in the area.

Notice of Intention

The following information on the area freedom certificate must align with the NOI:

- product type
- source region.

Fruit fly area freedom certificate

The following specific requirements must be met for fruit fly area freedom certificates.

Approved author

The fruit fly area freedom certificate must be issued by the relevant state or territory government agency.

Note: Official fruit fly area freedom advice published on the relevant state or territory government agency website may be accepted in lieu of a fruit fly area freedom certificate.

Endorsements

The relevant agency must endorse that a crop, area, region, state or territory is free from a particular species of fruit fly.

The endorsement must:

- include grower details
- include the address of the property where the fruit was sourced
- include the packhouse details
- be dated after any recent fruit fly outbreaks in the area.

Note: Recent outbreaks can be checked on state or territory government agency websites.

Grower details

The grower details on the fruit fly area freedom certificate must match the grower details if listed on the inspection record, in the Establishment Register and on any transfer certificates.

Validity

The fruit fly area freedom certificate is valid for six months.

Note: The validity may be void if there is evidence of recent pest detections or outbreaks in the area.

Notice of Intention

The following information on the fruit fly area freedom certificate must align with the NOI:

- product type
- source region.

Requirements for manufacturer declarations

The following specific requirements must be met for manufacturer declarations.

Approved author

The manufacturer declaration must be made by the company or party that manufactured or processed the products.

Endorsements

The manufacturer or processor must endorse the materials or ingredients that the product is made from, and the process that the product has undergone prior to export, by including the manufacturer declaration required in the Micor Plants case.

Requirements for exporter declarations

An exporter declaration must be provided for:

- treated product being exported as a bulk vessel shipment, where multiple individual treatments of smaller parcels within the consignment were undertaken
Important: Copies of the original individual treatment certificates must be retained and made available on request.
- product treated with phosphine, undertaken on farm by an individual other than a licensed fumigator in a state or territory where they are not legally required to hold a fumigation licence
- activities performed to meet the importing country's requirements during the preparation of products for export, excluding

- laboratory analysis
- manufacturing process
- pest free status declarations
- treatments other than permitted requirements in Section: [Exporter Declaration](#)
- activities as detailed in protocol agreements and Micor Plants cases.

Specific requirements for exporter declarations

The following specific requirements must be met for exporter declarations (declarations).

Important: For the above treatments, the declaration must also meet the [requirements for treatment certificates](#).

Approved author

The exporter declaration must be made by the exporter or exporter's representative.

Endorsements

The exporter or exporter's representative must include and endorse the statement required in the Micor Plants case, on the exporter declaration.

Notice of Intention

The following information on the certificate must align with the NOI:

- product type
- NOI number
- lot codes.

Requirements for grower declarations

What must a grower declaration include?

A grower declaration must provide evidence of:

- where the product was sourced from
- activities performed on-farm to meet the importing country's requirements during the preparation of plants or plant products for export.

Specific requirements

The following specific requirements must be met for grower declarations (declarations).

Approved author

The grower declaration must be issued by the party responsible for the product during active growth.

Endorsements

The issuer must include and endorse the statement required in the Micor Plants case, or the associated work plan, on the grower declaration.

Requirements for the prescribed goods export preparation standard checklist (checklist)

A checklist is required for all mobile bulk loading consignments.

What must the checklist include?

All tick boxes in the preparation checklist must be checked, indication that all preparation elements and associated activities have been met.

Approved author

The checklist must be issued by a representative of the registered establishment.

Requirements for spray diaries

What must spray diaries include?

Spray diaries must include the following information:

- date/s the treatment was applied
- registered name of chemical
- active ingredient or constituent
- concentration rate
- description of the treated blocks.

Important: The block names must correlate to farm maps that have been provided to the department at the start of the season.

Specific requirements

The following specific requirements must be met for spray diaries.

Approved author

Spray diaries must be maintained by the party responsible for the on-farm treatment. This may include the grower, crop monitor or treatment provider.

Endorsements

The party responsible must endorse the evidence of the on-farm treatment of a product during the growing season included in the spray diaries.

Requirements for crop monitor records

The following specific requirements must be met for crop monitor records.

Approved author

A crop monitor record must be issued by the party responsible for monitoring activities. This may include the grower or a third party registered crop monitor.

Note: For some markets, the crop monitor must be approved by the department.

Endorsements

The issuer must endorse the monitoring activities by including the following information on the crop monitor record:

- dates the monitoring was performed
- a list of the specific pests that monitoring was mandatory for, and the findings for each pest
- the results of any trap checks
- recommended treatments.

Requirements for transfer records (horticulture)

A transfer record must provide evidence that the phytosanitary status of goods is maintained during transit from one farm recognised as a pest free place of production or in a pest free area, accredited property, or registered establishment to another.

Industry may use the departmental transfer record template or create their own, however it must contain the following minimum information:

- name
- street address. The street address must include the suburb, town or city, the state or territory and the postcode.
- accreditation/registered establishment number of the dispatching property

Note: Properties in a Pest Free Area (PFA) or recognised as a pest free place of production (PFPP) issuing a transfer record for goods to move outside the PFA or PFPP for packing, handling, treatment or inspection may not have an accreditation or registration number.

Date and time of dispatch

The date must include the day, month and year. The time must indicate am or pm.

Description of the goods to be transported

This must include:

- Grower name
- Accreditation number of the farm (if applicable)
- Commodity type, including variety
- Quantity (specified as number of packages).
- Country of final destination (importing country) (if known)
- RPP number (if known)

Vehicle type

The mode of transport (for example plane, truck or train) and vehicle description must be recorded. For example, where a truck is used, details on the type of truck should be included, such as Pantech or taut liner. Other relevant details can be included, for example, refrigeration or transport units, AKEs for planes or containers for trains.

Vehicle identification number

The identification of the vehicle can include the registration of the truck, the container number, train/carriage details, or flight number.

Pantech/container seal number (if applicable)

Where a truck or container has been used as the method of security without carton or pallet level security in place, the number of the tamper evident seal placed on the truck or container doors must be noted.

Where the phytosanitary status of the goods was attained?

Record at what stages a phytosanitary status was attained:

- Pest-free area
- After harvest (free of specific pest)
- After harvest (in-field controls)
- On completion of treatment
- After export inspection

Detail any conditions that apply to the goods

Identify phytosanitary requirements; for example, endorsement number for importing country if known, or reason for transfer record.

What is the phytosanitary security method used during transport?

The security method used to protect the goods from cross contamination must be described:

- Secure packaging (carton level)
- Secure packaging (pallet level)
- Isolation by physical barrier
- Insect-proof space.

Approved author

Dispatch

A transfer record must be issued by the person responsible for dispatch of the goods. This person must print their name, sign and record the date and time they signed the record.

Note: An electronic signature is acceptable.

Receival

A transfer record must be completed by the person responsible for receival of the goods. This person must print their name, sign and record the date and time they signed the record.

Note: An electronic signature is acceptable.

Industry may use the departmental transfer record template or create their own, however it must contain the following minimum information:

- name
- street address. The street address must include the suburb, town or city, the state or territory and the postcode.
- accreditation/registered establishment number of the receiving property.

Date and time of receival

The date must include day, month and year. The time must be in 24-hour time.

Declaration

The receiving property or establishment must make a statement that the same amount of goods, with the phytosanitary security method in place as described in Part A of the transfer record by the dispatching property, has been received.

If not, the receiving property or establishment must record when the amount received was different or when different, nil or compromised security was in place.

Validating supporting documents

- an AO must validate supporting documents as part of their plant export inspection activities
- a DAO must validate supporting documents as part of the Work Instruction: [Issuing certification for plant exports](#).

How are supporting documents validated?

The following table outlines the process for validating supporting documents.

Stage	What happens
1.	The document type is determined.

Stage	What happens						
2.	<p>The document is checked to see that it meets the:</p> <ul style="list-style-type: none"> the general requirements for all supporting documents specific requirements for that particular document. <table border="1"> <thead> <tr> <th>When the requirements have...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>not been met</td> <td> <ul style="list-style-type: none"> the requirements that have not been met are noted continue to stage 3. </td> </tr> <tr> <td>been met</td> <td>go to stage 4.</td> </tr> </tbody> </table>	When the requirements have...	Then...	not been met	<ul style="list-style-type: none"> the requirements that have not been met are noted continue to stage 3. 	been met	go to stage 4.
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been met	go to stage 4.						
3.	<p>The Reference: Documentation checklist for plant exports is checked to determine whether the supporting document is required before inspection or at the time of certification.</p> <table border="1"> <thead> <tr> <th>When the document is presented...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>at the required stage</td> <td> <p>the client is advised:</p> <ul style="list-style-type: none"> that the document is not valid of which requirements have not been met that the export certification process will not continue until all documentation issues have been rectified. </td> </tr> <tr> <td>earlier than the required stage</td> <td> <p>the client is advised:</p> <ul style="list-style-type: none"> that the document is not valid of which requirements have not been met that the export certification process may continue however all documentation issues will have to be rectified by the time of certification. </td> </tr> </tbody> </table>	When the document is presented...	Then...	at the required stage	<p>the client is advised:</p> <ul style="list-style-type: none"> that the document is not valid of which requirements have not been met that the export certification process will not continue until all documentation issues have been rectified. 	earlier than the required stage	<p>the client is advised:</p> <ul style="list-style-type: none"> that the document is not valid of which requirements have not been met that the export certification process may continue however all documentation issues will have to be rectified by the time of certification.
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4.	Stages 1–3 are repeated for each piece of supporting documentation.						

Stage	What happens								
5.	<p>Evidence is provided that the documents have been validated.</p> <table border="1"> <thead> <tr> <th>When...</th> <th>Then....</th> </tr> </thead> <tbody> <tr> <td>a DAO or AO is using PEMS</td> <td> <ul style="list-style-type: none"> the supporting documents are uploaded to PEMS the validation outcome is recorded continue to stage 6. <p>Note: For information on how to use PEMS see the Reference: Plant Export Management System authorised officer user guide or the Reference: Assessment Services Group officer user guide.</p> </td> </tr> <tr> <td>a DAO is using manual records</td> <td>continue to stage 6.</td> </tr> <tr> <td>an AO is using manual records</td> <td> <ul style="list-style-type: none"> the AO records the validation outcomes in the comments section of the ECR a copy of each supporting document is emailed to the Assessment Services Group continue to stage 6. </td> </tr> </tbody> </table>	When...	Then....	a DAO or AO is using PEMS	<ul style="list-style-type: none"> the supporting documents are uploaded to PEMS the validation outcome is recorded continue to stage 6. <p>Note: For information on how to use PEMS see the Reference: Plant Export Management System authorised officer user guide or the Reference: Assessment Services Group officer user guide.</p>	a DAO is using manual records	continue to stage 6.	an AO is using manual records	<ul style="list-style-type: none"> the AO records the validation outcomes in the comments section of the ECR a copy of each supporting document is emailed to the Assessment Services Group continue to stage 6.
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6.	<p>Determine the next steps.</p> <table border="1"> <thead> <tr> <th>If...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>you are an AO</td> <td>the process ends here.</td> </tr> <tr> <td>you are a DAO</td> <td>go back to Work instruction: Issuing certification for plant exports, Section 3, step 3</td> </tr> </tbody> </table>	If...	Then...	you are an AO	the process ends here.	you are a DAO	go back to Work instruction: Issuing certification for plant exports , Section 3, step 3		
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Record keeping

Staff must keep official files in accordance with the department's record keeping policy and your regions procedures.

Where documents are not available in PEMS, departmental AOs must retain all original completed records and any supporting documents for a period of 2 years from the date of the inspection or the day the record comes into the departmental AO's possession.

Related material

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

- Guideline: *Issuing Certification for Plant Exports*
- Work Instruction: *Issuing Certification for Plant Exports*
- Reference: *Plant export certification and system terms and definitions*

The following related material is available on the [Plant Export Operations Manual](#):

- Reference: *Plant Export Management System authorised officer user guide*
- Reference: *Documentation checklist for plant exports*
- Australian phytosanitary treatment application standard for cold disinfestation treatment

- Australian phytosanitary treatment application standard for dimethoate dipping treatment
- Australian phytosanitary treatment application standard for irradiation treatment
- Methyl bromide fumigation methodology
- Sulfur Dioxide (SO₂) Carbon Dioxide (CO₂) fumigation methodology
- Australian phytosanitary treatment application standard for vapour heat treatment

Contact information

- Assessment Services Export: PlantExportsNDH@aff.gov.au
- Micor Plants: MicorPlants@agriculture.gov.au
- Grain and Seed Export Program: Grain.export@aff.gov.au
- Horticulture Exports Program: Horticultureexports@aff.gov.au

Document information

The following table contains administrative metadata.

Instructional Material Library document ID	Instructional material owner
IMLS-9-5817	Director, Business Systems Program

Version history

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

Version	Date	Amendment details
1	1/07/2020	First publication of this guideline.
2	10/08/2020	Included: <ul style="list-style-type: none"> • requirements for the prescribed goods export preparation standard checklist (checklist). • requirements for transfer records (horticulture)
3	30/06/2022	Updated to include information on re-exports, NZ export plan and for the commencement of the new legislation.
4	13/09/2022	<ul style="list-style-type: none"> • Updated to include information regarding exporter details stated on an import permit. • Separated fumigation certificate requirements for both grain and horticulture into individual sections. • Updated requirements for annual rye grass toxicity test certificates. • Included requirements for: <ul style="list-style-type: none"> ○ onshore cold treatment in-transit fumigation.
5	4/07/2023	Included information regarding AGSA Scheme requirements.

Version	Date	Amendment details
6	12/09/2023	<ul style="list-style-type: none"> • Updated requirements under Additional requirements for fumigation certificates for grain, cotton, stockfeed and forest products. • Added Fumigation of logs to China section. • Updated requirements for laboratory analysis certificates. • Removed requirements for New Zealand industry inspection records.