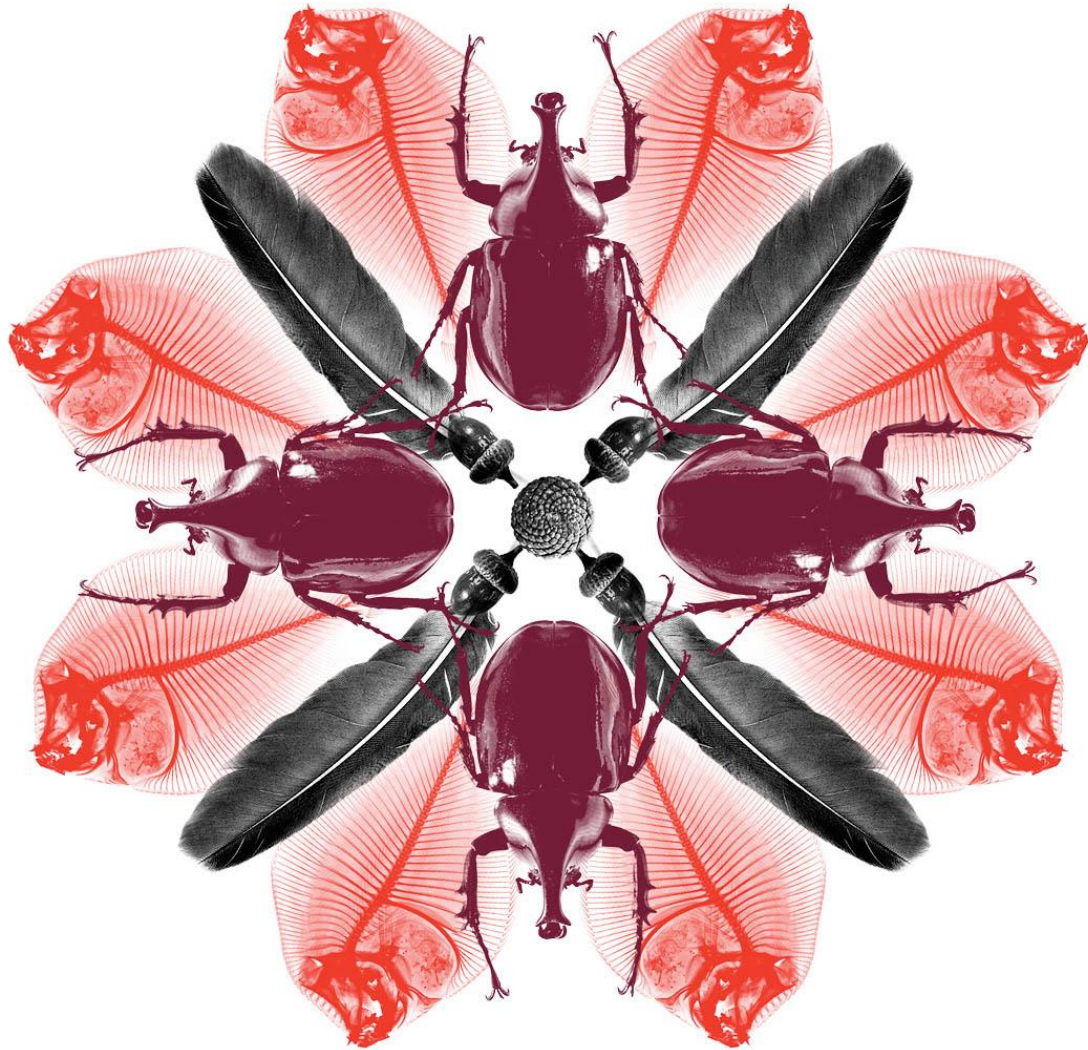


Approved Arrangements

For 4.1—Heat treatments
Requirements—Version 3.0



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Version control

Updates to this document will occur automatically on the department's website and the revision table below will list the amendments as they are approved.

Approved Arrangements: 4.1—Heat treatments

Date	Version	Amendments	Approved by
9 May 2011	1.0	Revised document	Co-regulation and Support Program
30 Jun 2013	1.1	Updated to reflect DAFF branding	Industry Arrangements Reform Program
8 Feb 2016	2.0	Updated template. Updated departmental branding	Approved Arrangements section
16 Jun 2016	3.0	Updated references to the department and the <i>Biosecurity Act 2015</i> .	Approved Arrangements section

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Guide to using this document

This document sets out the requirements that must be met before the relevant Director will consider approval for the provision of biosecurity activities under section 406 of the *Biosecurity Act 2015*, otherwise known as an approved arrangement (AA).

This document specifies the requirements to be met for the approval, operation and audit of this class of AA. Compliance with the requirements will be assessed by audit.

In the event of any inconsistency between these requirements and any Import Permit condition, the Import Permit condition applies. If the applicant chooses to use automatic language translation services in connection with this document, it is done so at the applicant's risk.

Unless specified otherwise, any references to 'the department' or 'departmental' means the Department of Agriculture and Water Resources. Any references to contacting the department mean contacting your closest regional office.

Further information on AAs, AA regional contact details and copies of relevant AA documentation is available on the [department's website](#).

Definitions

Definitions that are not contained within the Approved Arrangements Glossary can be found in the *Biosecurity Act 2015* or the most recent edition of the Macquarie Dictionary.

Other documents

The AA general policies should be read in conjunction with these requirements. They will assist in understanding and complying with the obligations and requirements for the establishment and operation of an AA.

Nonconformity guide

The nonconformity classification against each criterion is provided as a guide only. If more than one nonconformity is listed against a requirement, the actual nonconformity applied will correspond to the gravity of the issue. The nonconformity recorded against any requirement remains at the discretion of the biosecurity officer.

Nonconformity classifications are detailed in the AA general policies.

AA Requirements

Table 1 Purpose

Requirements	Nonconformity guide
1.1 Class 4.1 sites are utilised for the treatment of goods subject to biosecurity control and packaging material.	Not applicable

Table 2 Scope

Requirements	Nonconformity guide
2.1 These sites are not approved for any other biosecurity operations, except where the site has separate approval under another requirement.	Not applicable
2.2 These site may be situated in a building separate from other facilities or constructed as an isolated area within a building.	Minor
2.3 The 4.1 requirements are for sites utilised to undertake heat treatment of goods and packaging, as required by the department using dry heat, moist heat or steam sterilisation. Any other methods of heat treatment must be approved by the department. Examples of commodities that may be treated at this type of establishment include straw articles such as hats, other processed plant articles, seeds and dried fruit.	Not applicable

Table 3 Site location

Requirements	Nonconformity guide
3.1 Sites must generally be located within the metropolitan area of a declared port that has a permanently based biosecurity officer. Applications are subject to approval by the Director of Biosecurity and will be considered on their individual merits with consideration being given to the biosecurity risk and serviceability associated with the location of each site.	Not applicable

Table 4 Prerequisites

Requirements	Nonconformity guide
4.1 The site must provide the department with documentary evidence that the site complies with relevant design and construction standards in the Building Code of Australia and any subsequent amendments or revisions to these standards. The site is responsible for obtaining certification from a local government or council building surveyor or contracting a recognised third party assessor to certify that the site meets the standards under the Building Code of Australia as specified by the Australian Building Codes Board.	Minor or major

Table 5 Isolation

Requirements	Nonconformity guide
5.1 Goods subject to biosecurity control must be kept in the biosecurity area.	Major or critical
5.2 Goods subject to biosecurity control must be stored in such a manner to ensure that a minimum of one pallet width or an impervious physical barrier is maintained between goods subject to biosecurity control and other goods.	Major

Table 6 Security

Requirements	Nonconformity guide
6.1 Goods subject to biosecurity control must be located within a lockable site, or within a site that is located in an area surrounded by a lockable person-proof security fence.	Major or critical
6.2 Access to the biosecurity areas must be limited to persons employed by the site. Site employees must accompany visitors to the biosecurity areas including biosecurity officers.	Major

Table 7 Biosecurity area

Requirements	Nonconformity guide
7.1 Biosecurity areas must have an impervious surface, which is free of significant cracking.	Major
7.2 Biosecurity areas must be managed in a way that facilitates the easy inspection and identification of goods.	Major

Table 8 Building and storage areas

Requirements	Nonconformity guide
8.1 Areas where goods subject to biosecurity control are stored, handled or treated must display a sign to effectively convey that status.	Minor
8.2 Buildings, designated biosecurity areas and biosecurity inspection areas (including storage and receipt zones, chutes etc.), must be kept clean. Cargo and packaging residues, contaminants and spillages must be cleaned up and correctly disposed of as biosecurity waste without delay.	Major

Table 9 Inspection area

Requirements	Nonconformity guide
9.1 The biosecurity inspection area must be of a size commensurate with the proposed quantity of goods being handled and must be located within a lockable building, or within a building that is located in an area surrounded by a lockable person-proof security fence.	Critical
9.2 The biosecurity area must be sufficiently isolated from the main thoroughfare and clearly defined by either a: <ul style="list-style-type: none"> • painted yellow line on the floor • permanently affixed person-proof security fence • separate room or • other department approved method. 	Minor
9.3 The biosecurity and inspection areas must allow for biosecurity officers to easily inspect goods without work health and safety risks.	Major

Table 10 Hygiene

Requirements	Nonconformity guide
10.1 An effective pest control system must be in place to ensure that sites are managed in a way that effectively isolates goods subject to biosecurity control from environments in which pest and disease are likely to become established. As a minimum this will require the sites to implement, and keep associated records of a periodic inspection regime and ensure knockdown spray (i.e. standard household aerosol insecticide spray) is kept onsite. In addition to details of the inspection regime and the onsite location of the knockdown spray, the pest control system may include: <ul style="list-style-type: none"> • the use of insecticides, fumigation, rodenticides, periodic inspection, baits and/or traps • a site plan with numbered bait stations • if applicable, contract details. <p>Note: The operations of adjacent facilities must be considered when determining any additional pest control measures to be implemented.</p>	Major

Table 11 Dunnage and waste disposal

Requirements	Nonconformity guide
11.1 For any dunnage, packing material and waste inspected and found to contain pests or disease agents, a biosecurity control order will be issued describing the treatment required, location of the treatment and disposal methodology.	Not applicable

Table 12 Waste disposal

Requirements	Nonconformity guide
12.1 Sufficient containers of an appropriate size labelled: Biosecurity Waste, are to be provided for loose items, residues, spillages or material of biosecurity concern. Such containers must have lids that remain closed and are to be emptied and, if required, disinfected in accordance with any provisions set by the department.	Major or critical
12.2 Biosecurity waste must be identified as such to the waste disposal company and waste transporter. This will require the supply of contractual details (between the sites and the waste disposal company) to the department, in relation to the collection and/or treatment of biosecurity waste.	Minor or major
12.3 The biosecurity area must have a means of containing or directing any flow or washdown water to the municipal sewage system or to another department approved disposal method.	Critical

Table 13 Operating requirements

Requirements	Nonconformity guide
13.1 New packaging must be used for goods that have been treated.	Minor or major
13.2 Procedures must be in place to reduce the potential for cross contamination. This will require a documented cleaning schedule for all equipment that comes into contact with material subject to biosecurity control.	Minor or major
13.3 The heat treatment chamber must be fitted with a temperature-measuring device that can: <ul style="list-style-type: none"> • record temperatures on a continuous basis • determine when the material subject to biosecurity control in the chamber has reached the target commodity temperature. 	Critical
13.4 The heat treatment equipment must have a mechanism (such as a mechanical alarm or procedure) that enables operators to determine when there has been a system failure during a heat treatment process.	Critical
13.5 Chutes and equipment used to transport material subject to biosecurity control must be constructed to ensure that spillage of residues is minimized (e.g. ensuring that chutes and augers/belts/conveyors are completely covered).	Major
13.6 Cartons, bags, pallets or containers (including reefers) of goods subject to biosecurity control must be labelled with the biosecurity entry number.	Major

Table 14A Office and record requirements

Requirements	Nonconformity guide
14.1 An electronic or manual inventory detailing the nature, receipt, use and disposal of goods subject to biosecurity control imported through, entering or leaving the AA site must be maintained (these can be commercial documents).	Major
14.2 An annual summary of records, which includes the above information, must be provided, at audit and at the request of a departmental officer.	Major
14.3 The site must provide documented evidence for each type of good and consignment to be heat treated, demonstrating that the: <ul style="list-style-type: none"> • packing method (density) used in the chamber has ensured heat penetration to the desired temperature throughout the entire load (this will involve providing a plan of the goods layout in the heat treatment chamber) • load, temperature and duration of the treatment process are sufficient to meet departmental requirements. These records must be readily available for inspection by biosecurity officers upon request. 	Major or critical
14.4 Documented evidence of the satisfactory performance of key equipment (such as a calibration equipment register including valid/current calibration certificates for equipment used to heat treat/process material subject to biosecurity control) used in the site meets National Association of Testing Authorities or Australian Standards as identified by the third party assessor must be provided to the department at registration and at the request of a biosecurity officer.	Major
14.5 A system for accurately recording temperatures in the chamber on a continuous basis must be in place. These records must be available for inspection by a biosecurity officer upon request.	Major
14.6 Office and general site requirements must provide the department with the confidence that applicable work health and safety standards have been met, this is achieved by: <ul style="list-style-type: none"> • providing a first aid cabinet/kit which is fully stocked and meets the minimum commercial Australian Standard (AS2675-1983: Portable first aid kits for use by consumers) • providing vehicle parking for visiting biosecurity officers (note: this may require department identified parking or providing a parking permit) • ensuring adequate security for any departmental technical equipment left on the site • providing access and the availability of: <ul style="list-style-type: none"> - a desk, chair and a telephone with direct outside call access - toilet facilities - hand washing facilities and a hygienic means of drying hands - suitable arrangements to ensure amenities are clean. 	Minor or major

Table 14B Office and record requirements (continued)

Requirements	Nonconformity guide
<p>14.7 Records for each consignment of goods subject to biosecurity control must include:</p> <ul style="list-style-type: none"> • biosecurity direction • Import Permit number (if applicable) • description of the goods subject to biosecurity control (including scientific names and quantities, if applicable) • date of receipt of goods and country of origin • details of any treatments • method and date of disposal/destruction of goods subject to biosecurity control and/or biosecurity waste • the date of movement and the department's permission for any movement of goods subject to biosecurity control • comprehensive details of any breaches of goods subject to biosecurity control from the site. 	<p>Major</p>

Table 15 Administration

Requirements	Nonconformity guide
15.1 Sites must be securely locked when unattended and after hour access to the site must be limited to authorised persons only.	Critical
15.2 Control and security of the biosecurity area is the responsibility of the nominated senior person of the company. The name, designation/position title and contact details of the nominated person must be supplied with the application and at each renewal.	Minor
15.3 Department instructions and relevant department Import Permit conditions must be complied with. Where goods are handled for a third party, it is a requirement of approval that the biosecurity industry participant (BIP) have an arrangement in place that ensures they are aware of any relevant permit conditions.	Minor, major or critical
15.4 Applications are to be accompanied by scale drawings of the proposed area and biosecurity storage, treatment/processing facilities including parking for biosecurity officers. In the case of new constructions these plans must be approved before any construction is undertaken.	Minor or major
15.5 To ensure conformance to the site requirements, the department must be notified in writing, at least 15 working days prior to any: <ul style="list-style-type: none"> • alterations to site management arrangements • modification to, or closure of, biosecurity areas where goods subject to biosecurity control are stored or treated/processed or otherwise dealt with. 	Major
15.6 Prior written departmental approval must be obtained to move, accept, transfer or release any goods subject to biosecurity control from the AA site to another department approved site. If the site manager wishes to move goods from the site, to another department AA site the nominated manager must apply in writing to the department providing details of the intended transport route and any other relevant information to support the case. The department may seek further information before making a decision.	Major or critical

Table 16 Isolation and hygiene

Requirements	Nonconformity guide
16.1 Biosecurity areas must be separate from other operations within the site.	Major

Table 17A General

Requirements	Nonconformity guide
17.1 Goods subject to biosecurity control must be maintained and processed at an approved arrangement (AA) site appropriate for the biosecurity risk associated with the items.	Major or critical
17.2 Goods subject to biosecurity control must be maintained and processed in accordance with the requirements of the relevant AA class.	Minor, major or critical
17.3 Goods subject to biosecurity control must be maintained and processed in accordance with import conditions specified in the department's Biosecurity Import Conditions Database (BICON).	Minor, major or critical
17.4 Goods subject to biosecurity control must be maintained and processed in accordance with an Import Permit.	Minor, major or critical
17.5 Goods subject to biosecurity control must be maintained and processed in accordance with any other direction from the department.	Minor, major or critical
17.6 Goods subject to biosecurity control must be maintained and processed in accordance with the <i>Biosecurity Act 2015</i> and subordinate legislation.	Major or critical
17.7 Goods subject to biosecurity control must be kept physically separated from other goods (including during transport), to ensure negligible risk of cross contamination to: <ul style="list-style-type: none"> • imported items that have been released from biosecurity control • domestic items • the Australian environment. Note: Isolation can be achieved through the use of distance or physical barriers. The amount of distance or type of physical barrier required will depend on the nature of the goods subject to biosecurity control.	Major or critical
17.8 The standard of hygiene at the approved arrangement (AA) site must be appropriate for the nature of the goods subject to biosecurity control.	Major or critical
17.9 Any equipment that has been used or brought in contact with imported items subject to biosecurity control, or which could have been potentially contaminated by the imported items, must not leave the biosecurity area until it has been processed (cleaned, disinfested, decontaminated) or disposed of in accordance with relevant AA requirements, import conditions and departmental directions.	Major or critical

Table 17B General (continued)

Requirements	Nonconformity guide
<p>17.10 Goods subject to biosecurity control are not permitted to be moved outside an approved arrangement (AA) site except for the purpose of:</p> <ul style="list-style-type: none"> • moving directly and securely to another AA site, of the appropriate AA class, with prior written approval from the department 	Critical
<ul style="list-style-type: none"> • moving directly and securely to an AA site of the same class (or of the same class but a higher biosecurity containment level sub-class) that is co-located with the original AA site 	
<ul style="list-style-type: none"> • transport of biosecurity waste by a department approved waste transport company (operating under an AA for biosecurity waste transport). <p>If the items are being transported by a non-accredited person (e.g. a truck driver), the forwarding biosecurity industry participant (BIP) must ensure that this person is made aware of the conditions relating to the transport of the items.</p>	Major
<p>17.11 Goods subject to biosecurity control are not permitted to leave the biosecurity area of an AA site, inadvertently or deliberately, without prior written direction or approval from the department.</p>	Critical
<p>17.12 An accredited person must personally conduct or directly supervise activities involving physical contact with, or handling of items, subject to biosecurity control. Directly supervise means that the accredited person must be present in the area where the items subject to biosecurity control are being handled and must be able to:</p> <ul style="list-style-type: none"> • visually verify for themselves that the items are being handled in accordance with the department's requirements • communicate immediately and effectively with the persons being supervised. 	Major
<p>17.13 Persons performing the function of an accredited person must have successfully completed the department's approved training to obtain and maintain accredited person status.</p>	Major
<p>17.14 Records must be maintained of accredited persons.</p>	Minor
<p>17.15 Goods subject to biosecurity control must be clearly and visibly identified as being under biosecurity control to persons who can physically access the goods or the containers holding the goods. The measures taken must ensure that persons having physical access to goods subject to biosecurity control can differentiate between goods subject to biosecurity control and goods that are not subject to biosecurity control.</p>	Major

Table 17C General (continued)

Requirements	Nonconformity guide
17.16 Ensure records are kept for a minimum of 18 months for goods subject to biosecurity control at the AA site.	Minor or major
17.17 Ensure goods subject to biosecurity control are traceable in terms of (where applicable):	
<ul style="list-style-type: none"> • declaration/entry number • import Permit number • Air Waybill or Bill of Lading number • date of receipt • processing (inspection, treatment, testing) details • release from biosecurity control • disposal details • storage location • accredited person responsible for the items. 	<ul style="list-style-type: none"> • Major • Major • Minor • Major • Major • Major • Major • Major • Major
17.18 The BIP must ensure that persons having physical access to goods subject to biosecurity control are aware that such items must only be handled by an accredited person or under the direct supervision of an accredited person.	Major
17.19 A contingency plan must be in place to manage unexpected events that threaten to compromise biosecurity integrity of the AA site. Unexpected events include:	
<ul style="list-style-type: none"> • appearance of pests or symptoms of disease • structural damage (due to storms etc.) • unauthorised removal of goods subject to biosecurity control • spillages of goods subject to biosecurity control • sudden unavailability of an accredited person. 	<ul style="list-style-type: none"> • Major • Major • Major • Major • Minor
17.20 Ceasing or transferring operations. The department must be informed, in writing, at least 15 working days prior to intended:	Major
<ul style="list-style-type: none"> • closure of a current AA site • relocation of the business, including the AA class function • ceasing of operation as a AA site. <p>Any goods subject to biosecurity control that remain at the AA site must be treated or destroyed in accordance with a department approved method or transferred to another AA site with prior approval from the department. The BIP will be liable for associated costs.</p>	Critical

Table 17D General (continued)

Requirements	Nonconformity guide
<p>17.21 If there is any doubt as to whether goods:</p> <ul style="list-style-type: none"> • are subject to biosecurity control • remain subject to biosecurity control • become subject to biosecurity control <p>then the goods must be handled in accordance with requirements for goods subject to biosecurity control.</p>	Major
<p>17.22 The BIP must notify the department in writing as soon as practicable within 15 working days of becoming aware of any change of status, not previously been notified to the department, of the BIP or their associates relevant to the operation of the approved arrangement in relation to any of the following matters:</p> <ul style="list-style-type: none"> • conviction of an offence or order to pay a pecuniary penalty under the <i>Biosecurity Act 2015</i>, <i>Quarantine Act 1908</i>, <i>Customs Act 1901</i>, the Criminal Code or the <i>Crimes Act 1914</i> • debt to the to the Commonwealth that is more than 28 days overdue under the <i>Biosecurity Act 2015</i>, <i>Quarantine Act 1908</i>, <i>Customs Act 1901</i>, the Criminal Code or the <i>Crimes Act 1914</i> • refusal, involuntary suspension, involuntary revocation/cancellation or involuntary variation of an Import Permit, quarantine approved premises, compliance agreement or AA under the <i>Quarantine Act 1908</i> or the <i>Biosecurity Act 2015</i>. 	Critical
<p>17.23 Biosecurity officers, biosecurity enforcement officers and department approved auditors, must be provided access to the AA site to perform the functions and exercise the powers conferred on them by the Biosecurity Act or another law of the Commonwealth.</p>	Critical
<p>17.24 Departmental auditors or department approved auditors must be provided with facilities and assistance as requested, and any required documents, records or things relevant to the audit.</p>	Major or critical
<p>17.25 The department must be notified of any reportable biosecurity incident as soon as practicable, in accordance with the determination made by the Director of Biosecurity.</p>	Critical
<p>17.26 Department-approved auditors must be permitted to collect evidence of compliance and noncompliance with AA requirements through actions including the copying of documents and taking of photographs.</p>	Major or critical