



WORK INSTRUCTION

Validating supporting documents for plant exports

Direction to departmental authorised officers

This document is instructional material for the Department of Agriculture and Water Resources (the department) under its Practice Statement Framework. All staff must comply with it.

Direction to external authorised officers

In accordance with the deed of obligations external authorised officers must perform services in accordance with any lawful directions or instructions issued by the department.

Summary of main points

This document outlines the policy and procedures for:

- what is a valid supporting document
- when and how to validate supporting documents
- what to do with a supporting document once it has been validated
- how to reject an invalid supporting document.

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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.

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Purpose of this document

This document details the:

- minimum requirements for supporting documents that are presented as evidence that the container, vessel or prescribed plants and plant products (products) for export have met departmental and the importing country's requirements
- procedures for appointment authorised officers (AOs), inspection AOs and documentation AOs on how to validate each supporting document.
- requirements for import permits and instruments in writing
- requirements for all supporting documents
- additional requirements for each document type
- procedures on how to validate each document type.

Note: An overview of this procedure can be seen in Attachment 1: [Validating supporting documents for plant exports process map](#).

Legislative framework

The following legislation applies to supporting documents for plant exports:

- Export Control (Plants and Plant Products) Order 2011
 - Section 7 – Secretary may determine required tests and certificates
 - Section 16.1 – Certificates of analysis
 - Section 20.2(b) – Resubmission of goods
 - Section 34 – Acceptance of marine surveyor's certificate
 - Section 43.2 – Certificates and other information
 - Schedule 6, section 8.1 – Disinfestation or disinfection treatment
 - Schedule 6, section 9.1 – Additional declarations

Roles and responsibilities

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

Role	Responsibility
Appointment authorised officer (AO)	Validating supporting documents presented by a client during the process of exporting prescribed plants and plant products.
Clients	Ensuring supporting documents are valid before presenting to an AO during the process of exporting prescribed plants and plant products.
Documentation authorised officer (AO)	Validating supporting documents presented by a client during the process of exporting prescribed plants and plant products.
Inspection authorised officer (AO)	Validating supporting documents presented by a client during the process of exporting prescribed plants and plant products.

Work health and safety

AOs must comply with all applicable Commonwealth, state or territory workplace health and safety legislation.

Essential equipment

The following systems are required:

- Department of Agriculture and Water Resources website
- Manual of Importing Country Requirements (MICoR) Plants
- Email system
- Plant Export Management System (PEMS)—departmental inspection AO access
- Establishment Register (ER).

Validating supporting documents for plant exports policy

Requirements for import permits and instruments in writing

An import permit is evidence that the importing country authority has approved the import of particular products under the import requirements specified on the permit.

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

In English

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

English translations:

- cannot be provided by online automatic translation services
- must be made by a person who is either 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.
- must not be 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.

Importing country authority

The permit must be issued by the plant protection organisation of the importing country.

Product

The permit must be issued for the product on the associated notice of intention (NOI).

Quantity

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

The client must request approval from the Grain and Seed Exports Program for the quantity of bulk product in vessel holds to exceed the quantity issued on the permit by up to 10 per cent.

End use

If the permit provides end use details the permit must be issued for the same end use on the associated NOI.

Importer

The permit must be issued to the same importer as the consignee on the associated NOI.

Exporter

It is encouraged that if the exporter details are detailed on the permit that these details are the same as on the NOI.

If the exporter details provided on the permit are for an overseas entity, an Australian entity may act on their behalf.

Validity

If the permit has an expiry date, the permit must be valid at the date of departure on the associated NOI.

Manual of Importing Country Requirements (MICoR) Plants

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

General requirements for all supporting documents

The following requirements must be met for all supporting documents other than import permits.

In English

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

English translations:

- cannot be provided by online automatic translation services
- must be made by a person who is either 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.
- must not be 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.

Signature

All documents must be signed (wet 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

Any expiry period requirements must be complied with.

Consignment specific link

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

This link must be:

- the NOI number or if the NOI number cannot be provided
- the name of the product.

Note: Any additional information that is available to support the link to the consignment may also be included.

Requirements for marine surveyor certificates

A marine surveyor certificate is evidence that a vessel and its holds have been surveyed by a qualified marine surveyor who has deemed the vessel suitable to carry prescribed goods for consumption.

In addition to the [general requirements for all supporting documents](#) the following requirements must be met for marine surveyor certificates (certificates).

Approved author

The certificate must be issued by a qualified marine surveyor as per Schedule 1 of the Export Control (Plants and Plant Products) Order 2011.

Vessel identity

The name of the vessel must be identified on the certificate.

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
- is suitable to carry the prescribed goods for consumption in holds <list hold number/s>.

Requirements for treatment certificates

A treatment certificate is evidence that the container, vessel or products have been treated with an insecticide, fumigant or controlled atmosphere to meet the relevant departmental and importing country's requirements.

In addition to the [general requirements for all supporting documents](#) the following requirements must be met for treatment certificates (certificates).

These requirements apply to all methods of treatment applied to containers, vessels and products for export.

Approved author

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

Endorsements

The certificate must endorse that the treatment has been applied to the container, vessel or product for export.

The 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
- as required or recommended by the manufacturer.

Specification details

Specification details will vary between different treatments but may 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, active ingredient or constituent, rate of application, date
- irradiation treatment—radiation dose, date.

Safety precautions

The certificate must endorse that any required safety precautions/aeration/withholding periods have been met.

Note: There are additional requirements for fumigation certificates.

Requirements for treatment certificates—fumigation certificates only

A fumigation certificate is evidence that the container, vessel or product has been treated with a fumigant to meet the relevant departmental and importing country's requirements.

Fumigation certificates must meet the:

- [general requirements for all supporting documents](#)
- [requirements for treatment certificates](#)
- following requirements for fumigation certificates (certificates).

Approved author

The certificate must be issued by a licensed fumigator and include their licence number.

Endorsements

The certificate must include the following specification details of the treatment:

- registered name of chemical fumigant
- active ingredient/constituent dosage rate applied
- exposure period
- minimum temperature (degrees Celsius) of the fumigant that was maintained for the period of the treatment
- date/s the treatment was applied.

Fumigation chamber

The certificate must include the type of fumigation enclosure used and an identifying number for the enclosure (e.g. container number, shed or silo number).

Threshold limit values (TLVs)

This endorsement must include a statement that the fumigant concentration within the enclosure is equal to or below the final TLV and the enclosure is gas free. When multiple containers are fumigated a TLV must be provided for each container. A TLV is not required for the fumigation of a stack or where permanent chamber fumigation is performed.

Safety precautions

The endorsement that any required safety precautions/aeration/withholding periods have been met can be on the fumigation certificate or a separate gas free certificate.

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

A fumigation certificate is only valid for 120 days from the date of completion of the treatment.

Requirements for laboratory analysis certificates

A laboratory analysis certificate is evidence that the product has been sampled and analysed for either:

- the presence of live pests, vermin and/or contaminants, or
- determining the status of the product to meet the relevant departmental and importing country's requirements.

In addition to the [general requirements for all supporting documents](#), the following requirements must be met for laboratory analysis certificates (certificates).

Approved author

The certificate must be issued by a laboratory that is capable of undertaking the required testing or analysis. The client is responsible for selecting an appropriate laboratory.

Endorsements

The certificate must endorse:

- that a sample of the product was analysed
- the analysis details required as stated on the MICoR Plants case.

Analysis details

The analysis details may include but are not limited to:

- freedom from stated pathogens
- seed purity or freedom from stated weed seeds
- seed viability.

Requirements for laboratory analysis certificates—annual rye grass toxicity (ARGT) test certificates

An ARGT test certificate is evidence that hay and straw product for export has been tested and found free of the bacterium *Rathayibacter toxicus* or for corynetoxin that causes ARGT in livestock.

ARGT test certificates must meet the:

- [general requirements for all supporting documents](#)
- [requirements for laboratory analysis certificates](#)
- following requirements for ARGT test certificates (certificates).

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 certificate must endorse one of the following methods:

- The samples have been tested for the bacterium *R. toxicus* using the Western Australian Department of Agriculture enzyme-linked immunosorbent assay (ELISA) test.
- The samples have been tested for corynetoxin using the Commonwealth Scientific and Industrial Research Organisation (CSIRO) ELISA test.

Certificate details

The 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

A pest free status declaration is evidence of the pest free status of:

- a crop
- an area
- a region
- a state or territory in Australia.

A crop inspection certificate is evidence that a specified pest was not present during the active growth of a product for export.

In addition to the [general requirements for all supporting documents](#) the following requirements must be met for crop inspection certificates (certificates).

Approved author

The certificate must be issued by either the:

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

Endorsements

The certificate must endorse the pest free declaration required on the MICoR Plants case.

This may include but is not limited to:

- the plant or plant product of *<a specified location>* was inspected during active growth using appropriate procedures and *<specified pests>* were found not to be present in the crop.

Validity

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

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

Requirements for pest free status declarations—area freedom certificate

A pest free status declaration is evidence of the pest free status of:

- a crop
- an area
- a region
- a state or territory in Australia.

An area freedom certificate is evidence that an area, region, state or territory is free from a specific pest. This section applies to all pests other than fruit flies.

In addition to the [general requirements for all supporting documents](#) the following requirements must be met for area freedom certificates (certificates).

Approved author

The certificate must be issued by the relevant state or territory government agency. Official area freedom advice published on the relevant state or territory government agency website may be accepted in lieu of an area freedom certificate.

Endorsements

The certificate must endorse the area freedom declaration required on the MICoR Plants case.

This may include but is not limited to:

- not known to occur in the area, region, state or territory
- known not to occur in the area, region, state or territory.

Validity

The certificate is only valid for 12 months.

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

Requirements for pest free status declarations—fruit fly area freedom certificate

A pest free status declaration is evidence of the pest free status of:

- a crop
- an area
- a region
- a state or territory in Australia.

A fruit fly area freedom certificate is evidence that an area, region, state or territory is free from a particular species of fruit fly.

In addition to the [general requirements for all supporting documents](#), the following requirements must be met for fruit fly area freedom certificates (certificates).

Approved author

The certificate must be issued by the relevant state or territory government agency. 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 certificate must include the:

- grower's details
- grower's property address where the fruit was sourced
- packhouse details
- endorsement of the area, region, state or territory's freedom from the specified fruit fly species.

The endorsement must be dated after any recent fruit fly outbreaks in the area. Recent outbreaks can be checked on state or territory government agency websites.

Grower's details

The grower's details on the certificate must match the grower's details if listed on the export compliance record, in the Establishment Register and on any transfer certificates.

Validity

The certificate is only valid for six months.

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

Requirements for manufacturer declarations

A manufacturer declaration is evidence of the materials or ingredients that the product is made from and the process that the product has undergone prior to export.

In addition to the [general requirements for all supporting documents](#), the following requirements must be met for manufacturer declarations (declarations).

Approved author

The declaration must be made by the company or party that manufactured or processed the product/s.

Endorsements

The declaration must endorse the manufacturer declaration required on the MICoR Plants case.

Requirements for exporter declarations

An exporter declaration is evidence to certify:

- treatment of product that is to be exported as a bulk vessel shipment where multiple individual treatments of smaller parcels within the consignment were undertaken. Copies of the original individual treatment certificates must be retained and made available on request
- 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
- 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 and treatments other than permitted above
- activities as detailed in protocol agreements and MICoR Plants cases.

In addition to the [general requirements for all supporting documents](#), the following requirements must be met for exporter declarations (declarations).

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

Approved author

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

Endorsements

The declaration must include the statement required on the MICoR Plants case.

Requirements for grower declarations

A grower declaration is 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.

In addition to the [general requirements for all supporting documents](#) the following requirements must be met for grower declarations (declarations).

Approved author

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

Endorsements

The declaration must include the statement required on the MICoR Plants case or the associated work plan.

Requirements for spray diaries

A spray diary is evidence of the on-farm treatment of a product during the growing season.

In addition to the [general requirements for all supporting documents](#) the following 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

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.

Note: The block names must correlate to farm maps that have been provided to the Department of Agriculture and Water Resources at the start of the season.

Requirements for crop monitor records

A crop monitor record is evidence of any monitoring activities and subsequent findings of a product during the growing season.

In addition to the [general requirements for all supporting documents](#) the following 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. For some markets the crop monitor must be approved by the Department of Agriculture and Water Resources.

Endorsements

The crop monitor record must include the following information:

- date/s 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.

Validating supporting documents for plant exports procedure

Section 1. How do I validate supporting documents?

The following table outlines how to validate supporting documents (documents).

Step	Action						
1.	<p>Determine what type of document you have been presented with.</p> <table border="1"> <thead> <tr> <th>If the document is...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>not an import permit or instrument in writing</td> <td>continue to step 2.</td> </tr> <tr> <td>an import permit or instrument in writing</td> <td>go to Section 2. How do I validate an import permit or instrument in writing?</td> </tr> </tbody> </table>	If the document is...	Then...	not an import permit or instrument in writing	continue to step 2.	an import permit or instrument in writing	go to Section 2. How do I validate an import permit or instrument in writing?
If the document is...	Then...						
not an import permit or instrument in writing	continue to step 2.						
an import permit or instrument in writing	go to Section 2. How do I validate an import permit or instrument in writing?						
2.	<p>Check that the document meets the general requirements for all supporting documents.</p> <table border="1"> <thead> <tr> <th>If the general requirements have...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>been met</td> <td>continue to step 3.</td> </tr> <tr> <td>not been met</td> <td>go to Section 4. How do I reject an invalid supporting document?</td> </tr> </tbody> </table>	If the general requirements have...	Then...	been met	continue to step 3.	not been met	go to Section 4. How do I reject an invalid supporting document?
If the general requirements have...	Then...						
been met	continue to step 3.						
not been met	go to Section 4. How do I reject an invalid supporting document?						
3.	<p>Check whether the document is a marine surveyor's certificate.</p> <table border="1"> <thead> <tr> <th>If it...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>is not</td> <td>continue to step 4.</td> </tr> <tr> <td>is</td> <td>go to Section 3. How do I validate a marine surveyor certificate?</td> </tr> </tbody> </table>	If it...	Then...	is not	continue to step 4.	is	go to Section 3. How do I validate a marine surveyor certificate?
If it...	Then...						
is not	continue to step 4.						
is	go to Section 3. How do I validate a marine surveyor certificate?						
4.	<p>Check that the document meets the requirements for that particular document type.</p> <table border="1"> <thead> <tr> <th>If the requirements for that document type have...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>been met</td> <td>continue to step 5.</td> </tr> <tr> <td>not been met</td> <td>go to Section 4. How do I reject an invalid supporting document?</td> </tr> </tbody> </table>	If the requirements for that document type have...	Then...	been met	continue to step 5.	not been met	go to Section 4. How do I reject an invalid supporting document?
If the requirements for that document type have...	Then...						
been met	continue to step 5.						
not been met	go to Section 4. How do I reject an invalid supporting document?						

Step	Action						
5.	<p>Provide evidence that the document has been validated.</p> <table border="1"> <thead> <tr> <th>If you are...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>using PEMS</td> <td>go to Section 5. How do I attach a supporting document to an inspection record in PEMS?</td> </tr> <tr> <td>not using PEMS</td> <td> <ul style="list-style-type: none"> write or type your full name, AO number and date in a blank area on the document. <p>Note: a signature is also required for hand written validation.</p> <ul style="list-style-type: none"> continue to step 6. </td> </tr> </tbody> </table>	If you are...	Then...	using PEMS	go to Section 5. How do I attach a supporting document to an inspection record in PEMS?	not using PEMS	<ul style="list-style-type: none"> write or type your full name, AO number and date in a blank area on the document. <p>Note: a signature is also required for hand written validation.</p> <ul style="list-style-type: none"> continue to step 6.
If you are...	Then...						
using PEMS	go to Section 5. How do I attach a supporting document to an inspection record in PEMS?						
not using PEMS	<ul style="list-style-type: none"> write or type your full name, AO number and date in a blank area on the document. <p>Note: a signature is also required for hand written validation.</p> <ul style="list-style-type: none"> continue to step 6. 						
6.	<p>Determine if you need to validate any more supporting documents.</p> <table border="1"> <thead> <tr> <th>If you...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>have more documents to validate</td> <td>go back to step 1 and repeat for all other supporting documents.</td> </tr> <tr> <td>do not have any more documents to validate</td> <td>go back to the Work Instruction: <i>Issuing certification for plant exports</i> Section 1, step 14.</td> </tr> </tbody> </table>	If you...	Then...	have more documents to validate	go back to step 1 and repeat for all other supporting documents.	do not have any more documents to validate	go back to the Work Instruction: <i>Issuing certification for plant exports</i> Section 1, step 14.
If you...	Then...						
have more documents to validate	go back to step 1 and repeat for all other supporting documents.						
do not have any more documents to validate	go back to the Work Instruction: <i>Issuing certification for plant exports</i> Section 1, step 14.						

Section 2. How do I validate an import permit or instrument in writing?

The following table outlines how to validate an import permit.

Step	Action						
1.	<p>Check that the import permit or instrument in writing meets the requirements for import permits and instruments in writing.</p> <table border="1"> <thead> <tr> <th>If the requirements have...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>been met</td> <td>continue to step 2.</td> </tr> <tr> <td>not been met</td> <td>go to Section 4. How do I reject an invalid supporting document?</td> </tr> </tbody> </table>	If the requirements have...	Then...	been met	continue to step 2.	not been met	go to Section 4. How do I reject an invalid supporting document?
If the requirements have...	Then...						
been met	continue to step 2.						
not been met	go to Section 4. How do I reject an invalid supporting document?						
2.	<p>Check that the entity issuing the import permit or instrument in writing is the plant protection organisation of the importing country by checking the MICoR Plants case.</p> <table border="1"> <thead> <tr> <th>If the entity issuing the import permit is...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>correct</td> <td>continue to step 3.</td> </tr> <tr> <td>not correct</td> <td>go to Section 4. How do I reject an invalid supporting document?</td> </tr> </tbody> </table>	If the entity issuing the import permit is...	Then...	correct	continue to step 3.	not correct	go to Section 4. How do I reject an invalid supporting document?
If the entity issuing the import permit is...	Then...						
correct	continue to step 3.						
not correct	go to Section 4. How do I reject an invalid supporting document?						
3.	<p>Compare the NOI and the import permit or instrument in writing and:</p> <ul style="list-style-type: none"> • check that product/s are consistent between both documents • check that the quantity for each product/s on the NOI does not exceed the quantity issued on the import permit (bulk product can exceed quantity by 10 per cent) • if an end use is stated on the import permit check it is the same on the NOI • check the importer on the import permit is the same as the consignee on the NOI • if the exporter is on the import permit check it is the same as the exporter on the NOI • if the import permit has an expiry date check that this date is prior to the date of departure on the NOI. <table border="1"> <thead> <tr> <th>If...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>all of the above conditions are met</td> <td>continue to step 4.</td> </tr> <tr> <td>one or more of the above conditions are not met</td> <td>go to Section 4. How do I reject an invalid supporting document?</td> </tr> </tbody> </table>	If...	Then...	all of the above conditions are met	continue to step 4.	one or more of the above conditions are not met	go to Section 4. How do I reject an invalid supporting document?
If...	Then...						
all of the above conditions are met	continue to step 4.						
one or more of the above conditions are not met	go to Section 4. How do I reject an invalid supporting document?						

Step	Action						
4.	<p>Provide evidence that the document has been validated.</p> <table border="1"> <thead> <tr> <th>If you are...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>using PEMS</td> <td>go to Section 5. How do I attach a supporting document to an inspection record in PEMS?</td> </tr> <tr> <td>not using PEMS</td> <td> <ul style="list-style-type: none"> write or type your full name, AO number and date in a blank area on the document Note: A signature is also required for hand written validation. continue to step 5. </td> </tr> </tbody> </table>	If you are...	Then...	using PEMS	go to Section 5. How do I attach a supporting document to an inspection record in PEMS?	not using PEMS	<ul style="list-style-type: none"> write or type your full name, AO number and date in a blank area on the document Note: A signature is also required for hand written validation. continue to step 5.
If you are...	Then...						
using PEMS	go to Section 5. How do I attach a supporting document to an inspection record in PEMS?						
not using PEMS	<ul style="list-style-type: none"> write or type your full name, AO number and date in a blank area on the document Note: A signature is also required for hand written validation. continue to step 5. 						
5.	<p>Determine if you need to validate any more supporting documents.</p> <table border="1"> <thead> <tr> <th>If you...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>have more documents to validate</td> <td>go back to Section 1, step 1 and repeat for all other supporting document.</td> </tr> <tr> <td>do not have any more documents to validate</td> <td>go back to the Work Instruction: <i>Issuing certification for plant exports</i> Section 1, step 14.</td> </tr> </tbody> </table>	If you...	Then...	have more documents to validate	go back to Section 1, step 1 and repeat for all other supporting document.	do not have any more documents to validate	go back to the Work Instruction: <i>Issuing certification for plant exports</i> Section 1, step 14.
If you...	Then...						
have more documents to validate	go back to Section 1, step 1 and repeat for all other supporting document.						
do not have any more documents to validate	go back to the Work Instruction: <i>Issuing certification for plant exports</i> Section 1, step 14.						

Section 3. How do I validate a marine surveyor certificate?

The following table outlines how to validate a marine surveyor certificate.

Step	Action						
1.	<p>Check that the marine surveyor certificate (certificate) meets the general requirements for all supporting documents.</p> <table border="1"> <thead> <tr> <th>If the general requirements have...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>been met</td> <td>continue to step 2.</td> </tr> <tr> <td>not been met</td> <td>go to Section 4. How do I reject an invalid supporting document?</td> </tr> </tbody> </table>	If the general requirements have...	Then...	been met	continue to step 2.	not been met	go to Section 4. How do I reject an invalid supporting document?
If the general requirements have...	Then...						
been met	continue to step 2.						
not been met	go to Section 4. How do I reject an invalid supporting document?						
2.	<p>Check that the certificate meets the requirements for marine surveyor certificates.</p> <table border="1"> <thead> <tr> <th>If the requirements have...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>been met</td> <td>continue to step 3.</td> </tr> <tr> <td>not been met</td> <td>go to Section 4. How do I reject an invalid supporting document?</td> </tr> </tbody> </table>	If the requirements have...	Then...	been met	continue to step 3.	not been met	go to Section 4. How do I reject an invalid supporting document?
If the requirements have...	Then...						
been met	continue to step 3.						
not been met	go to Section 4. How do I reject an invalid supporting document?						
3.	<p>Check that the hold number/s that have been deemed suitable for loading on the certificate match the hold number/s nominated for loading on the Reference: <i>PE103 Bulk vessel approval record Part A Application for vessel approval</i>.</p> <table border="1"> <thead> <tr> <th>If the hold number/s...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>match</td> <td>continue to step 4.</td> </tr> <tr> <td>do not match</td> <td>go to Section 4. How do I reject an invalid supporting document?</td> </tr> </tbody> </table>	If the hold number/s...	Then...	match	continue to step 4.	do not match	go to Section 4. How do I reject an invalid supporting document?
If the hold number/s...	Then...						
match	continue to step 4.						
do not match	go to Section 4. How do I reject an invalid supporting document?						
4.	<p>Provide evidence that the document has been validated.</p> <table border="1"> <thead> <tr> <th>If you are...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>using PEMS</td> <td>go to Section 5. How do I attach a supporting document to an inspection record in PEMS?</td> </tr> <tr> <td>not using PEMS</td> <td> <ul style="list-style-type: none"> write or type your full name, AO number and date in a blank area on the document Note: A signature is also required for hand written validation. continue to step 5. </td> </tr> </tbody> </table>	If you are...	Then...	using PEMS	go to Section 5. How do I attach a supporting document to an inspection record in PEMS?	not using PEMS	<ul style="list-style-type: none"> write or type your full name, AO number and date in a blank area on the document Note: A signature is also required for hand written validation. continue to step 5.
If you are...	Then...						
using PEMS	go to Section 5. How do I attach a supporting document to an inspection record in PEMS?						
not using PEMS	<ul style="list-style-type: none"> write or type your full name, AO number and date in a blank area on the document Note: A signature is also required for hand written validation. continue to step 5. 						

Step	Action						
5.	Determine if you need to validate any more supporting documents.						
	<table border="1"> <thead> <tr> <th>If you...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>have more documents to validate</td> <td>go back to Section 1, step 1 and repeat for all other supporting documents.</td> </tr> <tr> <td>do not have any more documents to validate</td> <td>go back to the Work Instruction: <i>Issuing certification for plant exports</i> Section 1, step 14.</td> </tr> </tbody> </table>	If you...	Then...	have more documents to validate	go back to Section 1, step 1 and repeat for all other supporting documents.	do not have any more documents to validate	go back to the Work Instruction: <i>Issuing certification for plant exports</i> Section 1, step 14.
If you...	Then...						
have more documents to validate	go back to Section 1, step 1 and repeat for all other supporting documents.						
do not have any more documents to validate	go back to the Work Instruction: <i>Issuing certification for plant exports</i> Section 1, step 14.						

Section 4. How do I reject an invalid supporting document?

Supporting documents must be rejected if any validity requirements have not been met.

All issues with supporting documents must be rectified prior to the issuance of export certification.

The following table outlines how to reject an invalid supporting document (document).

Step	Action						
1.	Assess the document against all the validity requirements and take note of all the requirements that have not been met.						
2.	<p>Check the Reference: <i>Plant exports documents and treatments checklist</i> to determine at what stage of the export certification process the document must be presented.</p> <table border="1"> <thead> <tr> <th>If the document is presented...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>at the required stage</td> <td>continue to step 3.</td> </tr> <tr> <td>earlier than the required stage</td> <td>go to step 4.</td> </tr> </tbody> </table>	If the document is presented...	Then...	at the required stage	continue to step 3.	earlier than the required stage	go to step 4.
If the document is presented...	Then...						
at the required stage	continue to step 3.						
earlier than the required stage	go to step 4.						
3.	<ul style="list-style-type: none"> Reject the document and advise the client of all reasons why the document is not valid. Inform the client that the export certification process will not continue until all documentation issues have been rectified. Go to step 5. 						
4.	<ul style="list-style-type: none"> Reject the document and advise the client of all reasons why the document is not valid. Inform the client that the export certification process may continue however all documentation issues will have to be rectified by the time of certification. Continue to step 5. 						
5.	<p>Provide evidence that the document has been rejected.</p> <table border="1"> <thead> <tr> <th>If you are...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>using PEMS</td> <td>go to Section 5. How do I attach a supporting document to an inspection record in PEMS?</td> </tr> <tr> <td>not using PEMS</td> <td> <ul style="list-style-type: none"> write or type 'rejected' along with your full name, AO number, date in a blank area on the document a signature is also required for hand written validation provide a copy of the rejected document to the client noting reasons for rejection. </td> </tr> </tbody> </table>	If you are...	Then...	using PEMS	go to Section 5. How do I attach a supporting document to an inspection record in PEMS?	not using PEMS	<ul style="list-style-type: none"> write or type 'rejected' along with your full name, AO number, date in a blank area on the document a signature is also required for hand written validation provide a copy of the rejected document to the client noting reasons for rejection.
If you are...	Then...						
using PEMS	go to Section 5. How do I attach a supporting document to an inspection record in PEMS?						
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Section 5. How do I attach a supporting document to an inspection record in PEMS?

The following table outlines how to attach a supporting document to an inspection record for plant exports in PEMS.

Step	Action						
1.	Open the PEMS inspection record in PEMS Production (image 1, arrow 1).						
2.	Click on the 'View RFP' button (image 1, arrow 2).						
3.	Click on the 'Checklist' tab of the RFP Extract Details page (image 2, arrow 3).						
4.	Click once on the product in the 'Checklist Options' that you want to add supporting document/s for (image 2, arrow 4).						
5.	<ul style="list-style-type: none"> Click on the 'Add Ad-Hoc Requirement' button (image 2, arrow 5). Type the supporting document title in the 'Requirement name' field (image 3, arrow 6) under the 'Checklist Requirement' panel. Leave the 'Acceptance Criteria' field blank. <table border="1"> <thead> <tr> <th>If the supporting document has...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>been validated</td> <td> <ul style="list-style-type: none"> select 'OK' from the Outcome drop down list continue to step 6. </td> </tr> <tr> <td>been rejected</td> <td> <ul style="list-style-type: none"> select 'Not Ok' from the Outcome drop down list continue to step 6. </td> </tr> </tbody> </table>	If the supporting document has...	Then...	been validated	<ul style="list-style-type: none"> select 'OK' from the Outcome drop down list continue to step 6. 	been rejected	<ul style="list-style-type: none"> select 'Not Ok' from the Outcome drop down list continue to step 6.
If the supporting document has...	Then...						
been validated	<ul style="list-style-type: none"> select 'OK' from the Outcome drop down list continue to step 6. 						
been rejected	<ul style="list-style-type: none"> select 'Not Ok' from the Outcome drop down list continue to step 6. 						
6.	Click on the 'Add local document' button and browse to find the supporting document file to upload to the inspection record (image 3, arrow 7).						
7.	Click the 'Save' button after uploading the supporting document (image 3, arrow 8).						
8.	Go back to step 1 and repeat for all other supporting documents.						

Image 1

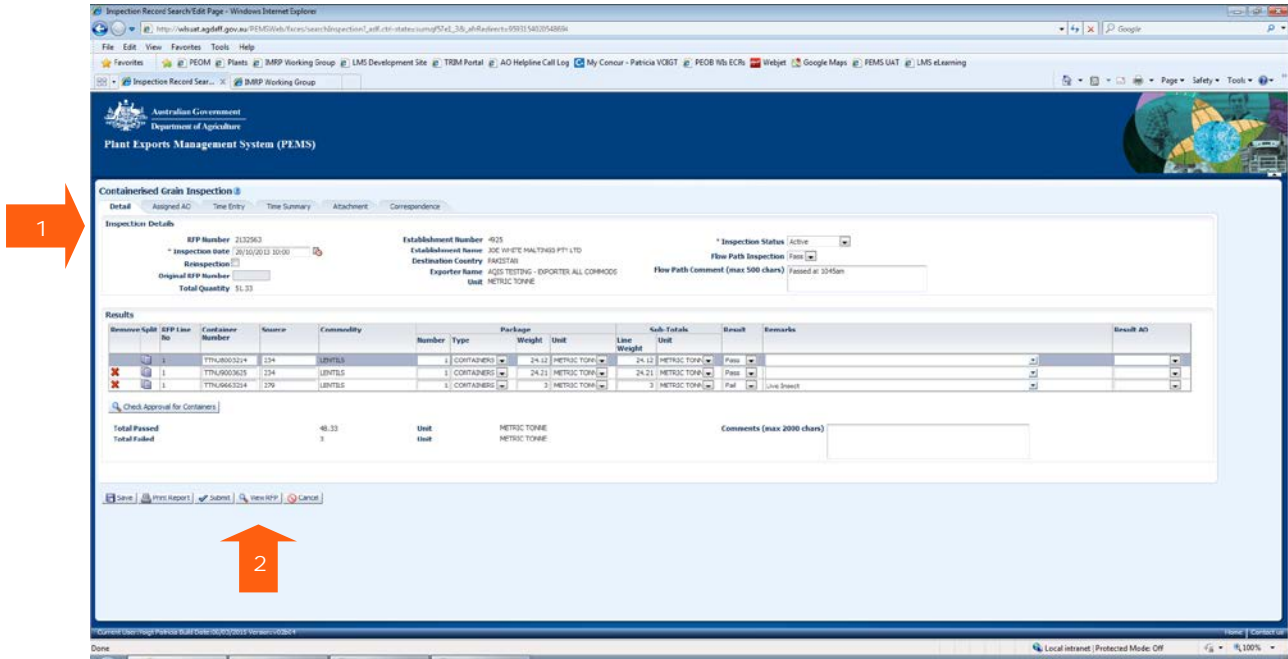


Image 2

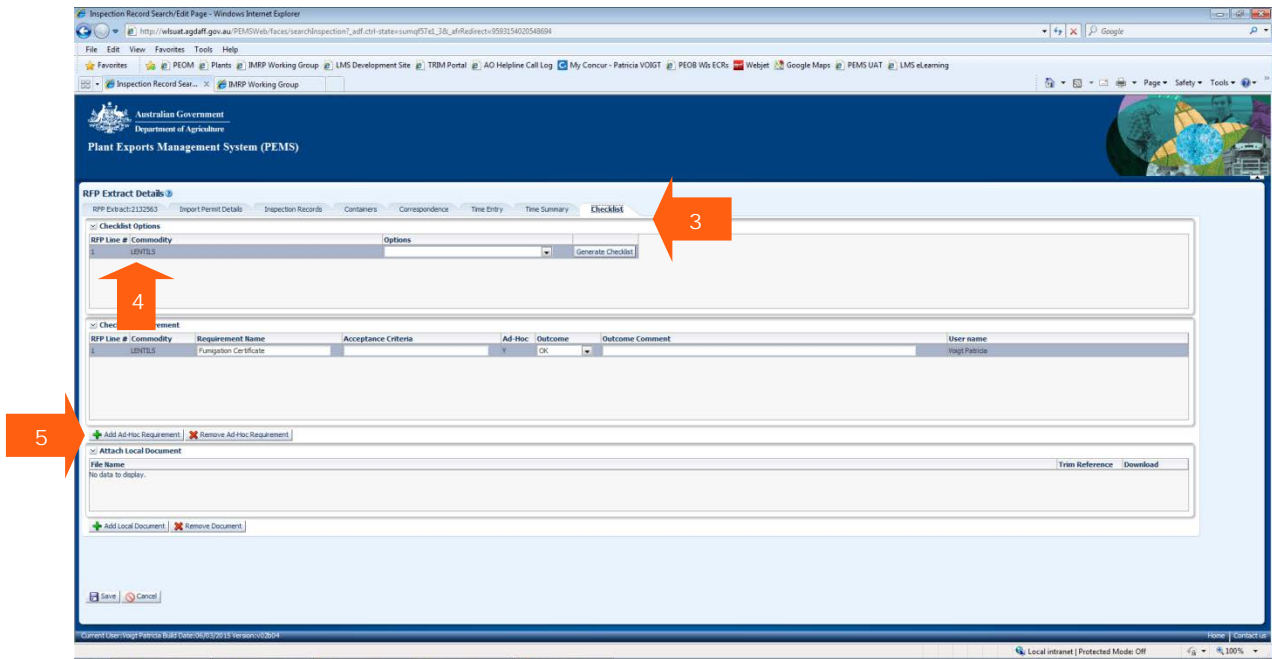
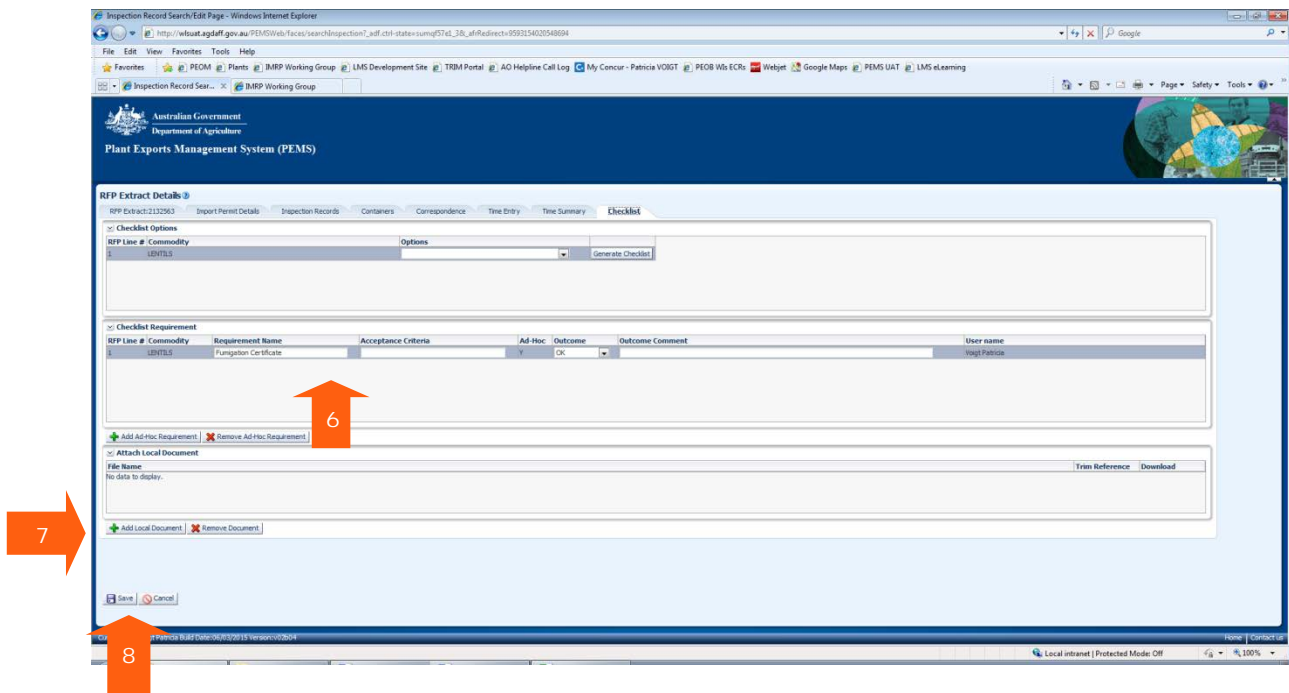


Image 3



Record keeping

- Departmental AOs must keep official files in accordance with the department's record keeping policy and your regions procedures.
- External AOs must retain all original completed records and any supporting documents for two years from the date of the inspection.

Related material

Department's website and Instructional Material Library (IML)

The following related material is available in the *Plant Export Operations Manual* on the department's website for external AOs and the IML for departmental AOs:

- Guideline: *Issuance of certification for plant exports*
- Reference: *Plant export documents and treatments checklists*
- Reference: *PE103 Bulk vessel approval record Part*

Document information

The following table contains administrative metadata.

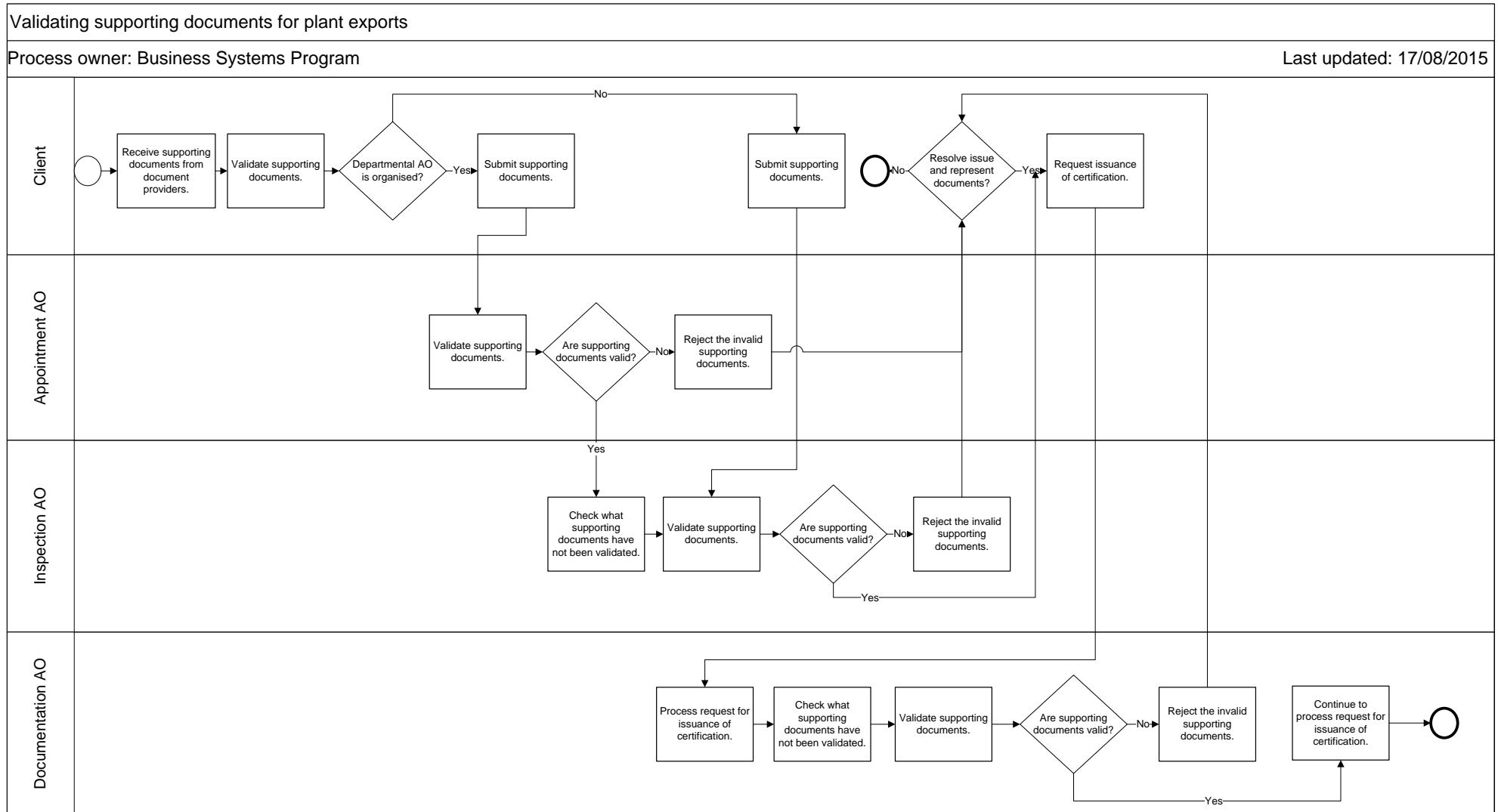
Instructional material owner:	Director, Business Systems Program, Plant Export Operations Branch
Instructional Material Library document ID:	2015/3577
Freedom of information exemption:	No
TRIM container number:	2015/59479E
Review date:	August 2016

Version history

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

Version	Date	Amendment details
1.0	25/06/2015	First publication of work instruction.
2.0	07/10/2015	Minor amendments to formatting and to clarify wording.

Attachment 1: Validating supporting documents for plant exports process map



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.