



WORK INSTRUCTION

Inspection of protocol fruit and vegetables for export

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 procedures for inspection authorised officers (AOs) to follow when sampling and inspecting protocol fruit and vegetables for export. It includes:

- pre-inspection tasks
- inspection procedure.

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Purpose of this document

This document details the procedures for inspection of protocol fruit and vegetables for export.

Definitions

The following table defines terms used in this document.

Term	Definition
Australia–New Zealand Bilateral Quarantine Arrangement Systems Operation Manual (NZ BQA SOM)	A manual used to implement agreed arrangements between Australia and New Zealand.
Client	The exporter, exporter’s representative or person responsible for containers, bulk vessels and plants and plant products for export.
Departmental requirements	Requirements for the export of prescribed plants and plant products stipulated by the department under the Australian export regulation framework.
Export compliance record (ECR)	Record of the findings and result of a phytosanitary inspection of plants and plant products for export. Note: These records can be electronic in PEMS or manual.
Export registered establishment (ERE)	A premises registered under the <i>Export Control Act (1982)</i> to prepare prescribed goods for export.
Grower	Individual or business that produces the fruit for export.
Importing country requirements	Detailed instructions and guidelines for the inspection, handling and treatment of specific plants and plant products for protocol markets. Note: For the purposes of this document, this term applies to protocols, work plans, NZ BQA SOM, import permits and MICoR.
Inspection Authorised Officer (AO)	An officer who has been accredited by the department to perform inspection tasks.
Manual of Importing Country Requirements (MICoR) Plants	Database of the import requirements obtained from the importing country authorities maintained by the department.
National Plant Protection Organisation (NPPO)	National Plant Protection Organisation of the importing country authority.
Packhouse	Facility where fruit is washed, graded and packed for export.

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.

Term	Definition
Supporting documents	Documents provided by the client as evidence that containers, bulk vessels and prescribed plants and plant products for export are compliant with departmental and the importing country's requirements.
Treatment facility	Facility where treatments are performed.

Policy statement

The policy related to this work instruction can be found in Guideline: *Sampling and inspection of horticulture prescribed goods for export*.

Prior to conducting inspection of protocol fruit and vegetables for export, the inspection AO must have achieved competency in job functions HOR3002 and HEP4001 and have current accreditation to conduct this task.

Legislative framework

The following list outlines the legislation that applies to the inspection of protocol fruit and vegetables for export.

Export Control (Plants and Plant Products) Order 2011:

- Section 9 – Basic conditions for export of prescribed goods
- Section 14 – Notice of intention to export prescribed goods
- Section 16 – Certificates of analysis
- Section 17 – Inspection for export compliance
- Section 22 – Packaging and other materials to be clean
- Section 24 – Trade description to contain certain information
- Schedule 2 – Inspection of prescribed goods

Roles and responsibilities

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

Role	Responsibility
Departmental inspection AO	<ul style="list-style-type: none">Validating supporting documents.Conducting inspection tasks.Securing the consignment for freight.
Documentation hub	<ul style="list-style-type: none">Validating certification requests.Validating supporting documents.Validating export compliance and approval records.Issuing certification.
External inspection AO	<ul style="list-style-type: none">Conducting pre-inspection tasks.Validating supporting documents.Conducting inspection tasks.Securing the consignment for freight.
MICoR administrators	Updating import requirements in the MICoR Plants database.

Work health and safety

Inspection AOs must:

- not enter work sites unless it is safe
- comply with applicable Commonwealth, state and territory work health and safety legislation
- comply with site-specific work health and safety requirements, unless they assess the requirements as placing them at risk, in which circumstances the inspection AO must take reasonable action to ensure their safety and well being.

Note: For more information regarding work health and safety responsibilities, please see *Plant Export Operations Manual (PEOM) Volume 16: Export Occupational Health and Safety (OH&S)*.

Essential equipment

The following are required:

- The departments website
- MICoR Plants documents section (user name and password required)
- Plant Export Operations Branch team site (departmental AOs only)
- Establishment Register (departmental AOs only)
- Inspection equipment as listed in the PEOM Volume 9: Commodity Inspections – Horticulture.
- Site specific personal protective equipment (PPE) including but not limited to: hi-visibility vest, steel cap or hard toe boots, hard hat, gloves, safety glasses

Pre-inspection tasks procedure

Section 1: How are pre-inspection tasks completed?

All tasks in the table below must be carried out in compliance with departmental and importing country requirements before continuing on with this work instruction.

In the case of non-compliance, go to section 9.

The following table outlines how to complete pre-inspection tasks.

Step	Action										
1.	Receive the inspection appointment details, request for permit (RFP) and supporting documentation: <ul style="list-style-type: none"> via email from the appointment AO (departmental AOs only), or via client (external AOs only). 										
2.	Verify that the inspection AO has the required job function accreditation to conduct the inspection, refer to the: <ul style="list-style-type: none"> RFP for country/commodity details PEOM Reference: <i>Table of inspection job functions required for each group of plants and plant products for export</i> for required accreditation. 										
3.	Access the MICO plants case for importing country requirements. <table border="1" data-bbox="288 965 1385 1357"> <thead> <tr> <th>If the MICO case...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>does not exist</td> <td> <ul style="list-style-type: none"> the RFP is not valid email the administrator at micorplants@agriculture.gov.au. </td> </tr> <tr> <td>does not refer to a work plan or protocol</td> <td>use the MICO case.</td> </tr> <tr> <td>refers to a work plan and a protocol</td> <td>access and use the work plan.</td> </tr> <tr> <td>refers to a protocol only</td> <td>access and use the protocol.</td> </tr> </tbody> </table>	If the MICO case...	Then...	does not exist	<ul style="list-style-type: none"> the RFP is not valid email the administrator at micorplants@agriculture.gov.au. 	does not refer to a work plan or protocol	use the MICO case.	refers to a work plan and a protocol	access and use the work plan.	refers to a protocol only	access and use the protocol.
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does not refer to a work plan or protocol	use the MICO case.										
refers to a work plan and a protocol	access and use the work plan.										
refers to a protocol only	access and use the protocol.										
4.	Check if an import permit is required. <table border="1" data-bbox="288 1424 1385 1792"> <thead> <tr> <th>If an import permit is required and has...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>not been presented</td> <td>go to section 9, unless otherwise specified or permitted in the MICO case.</td> </tr> <tr> <td>been presented and is the same as other importing country requirements</td> <td>continue to step 5.</td> </tr> <tr> <td>been presented and is different to other importing country requirements</td> <td> <ul style="list-style-type: none"> use the import permit requirements continue to step 5. </td> </tr> </tbody> </table>	If an import permit is required and has...	Then...	not been presented	go to section 9, unless otherwise specified or permitted in the MICO case.	been presented and is the same as other importing country requirements	continue to step 5.	been presented and is different to other importing country requirements	<ul style="list-style-type: none"> use the import permit requirements continue to step 5. 		
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been presented and is the same as other importing country requirements	continue to step 5.										
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Step	Action						
5.	<p>Check if the inspection is for an initial or a re-submitted consignment.</p> <table border="1"> <thead> <tr> <th>If the inspection is...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>an initial inspection</td> <td>continue to step 6.</td> </tr> <tr> <td>a resubmission</td> <td>go to section 7.</td> </tr> </tbody> </table>	If the inspection is...	Then...	an initial inspection	continue to step 6.	a resubmission	go to section 7.
If the inspection is...	Then...						
an initial inspection	continue to step 6.						
a resubmission	go to section 7.						
6.	<p>Check that the RFP is compliant as per importing country requirements:</p> <ul style="list-style-type: none"> • status is at initial (INIT) or final (FINL) • product and/or variety on the RFP is permitted for export • EXDOC endorsement number is correct • PACKHOUSE NO:XXXX in the shipping marks field • ORCHARD NO:XXXX in the lot number field • treatment details. 						
7.	<p>If required, check if an officer of the NPPO of the importing country authority will be in attendance.</p>						
8.	<p>Ensure that all supporting documents have been provided and are valid.</p> <p>Supporting documents may include but are not limited to:</p> <ul style="list-style-type: none"> • calibration certificate • import permit • pest free area/product origin statement • grower line/pre-treatment inspection record • transfer certificate • treatment certificate/supervision record. 						
9.	<p>Continue to section 2.</p>						

Section 2: How are preparatory tasks completed?

All tasks in the table below must be compliant with departmental and importing country requirements before continuing on with this work instruction.

In the case of non-compliance, go to section 9.

The following table outlines how to complete preparatory tasks.

Step	Action						
1.	Prior to arriving at the establishment: <ul style="list-style-type: none"> gather all essential equipment and documents determine site specific safety and PPE requirements. 						
2.	On arrival at the establishment: <ul style="list-style-type: none"> sign in at the office wear required PPE comply with all site-specific safety requirements. 						
3.	Check that the client will provide relevant equipment, facilities and reasonable assistance as per export registered establishment (ERE) requirements. <table border="1" data-bbox="288 891 1382 1160"> <thead> <tr> <th>If...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>compliant</td> <td>continue to section 3.</td> </tr> <tr> <td>not compliant</td> <td> <ul style="list-style-type: none"> inform the client that the inspection cannot continue until the relevant ERE requirements are met go to section 9. </td> </tr> </tbody> </table>	If...	Then...	compliant	continue to section 3.	not compliant	<ul style="list-style-type: none"> inform the client that the inspection cannot continue until the relevant ERE requirements are met go to section 9.
If...	Then...						
compliant	continue to section 3.						
not compliant	<ul style="list-style-type: none"> inform the client that the inspection cannot continue until the relevant ERE requirements are met go to section 9. 						
4.	Continue to section 3.						

Inspection procedure

Section 3: How are pre-sampling tasks completed?

All tasks in the table below must be compliant with departmental and importing country requirements before continuing on with this work instruction.

In the case of non-compliance, go to section 9.

The following table outlines how to complete pre-sampling tasks.

Step	Action						
1.	Check the inspection area to ensure that it is clean and free of pests and contaminants. Note: If a minor non-compliance is found and the AO deems it appropriate, the client may rectify minor issues at the time. Details are to be recorded on the ECR.						
2.	Ask the client to identify the consignment or lot to be inspected and verify that all details are compliant as per importing country requirements: <ul style="list-style-type: none">• the consignment matches the RFP• there is sufficient access to the entire consignment• product security has been maintained.						
3.	Liaise with the client to determine the sampling method. <table border="1"><thead><tr><th>If the sampling is...</th><th>Then...</th></tr></thead><tbody><tr><td>in-line</td><td>continue to section 4.</td></tr><tr><td>endpoint</td><td>continue to section 5.</td></tr></tbody></table>	If the sampling is...	Then...	in-line	continue to section 4.	endpoint	continue to section 5.
If the sampling is...	Then...						
in-line	continue to section 4.						
endpoint	continue to section 5.						

Section 4. How are consignments sampled for in-line inspection?

All tasks in the table below must be compliant with departmental and importing country requirements before continuing on with this work instruction.

In the case of non-compliance, go to section 9.

The following table outlines how to sample consignments for in-line inspection.

Step	Action
1.	Liaise with the client to determine the details of the consignment or lot from which the units will be drawn, for example: <ul style="list-style-type: none">• grower line• packing session or shift• number of pallets or bulk bins.
2.	Liaise with the client to determine the sampling rate as per importing country requirements.
3.	Calculate the frequency at which samples will be drawn, for example: <ul style="list-style-type: none">• from the processing line or grader at a regular time intervals• number of units based on production rates.
4.	Record the sampling method and rate in the comments section on the ECR.
5.	Liaise with the client to have the samples retrieved and moved to the inspection area. Note: Handling packages and re-packing is the client's responsibility.
6.	Continue to section 6.

Section 5. How are consignments sampled for endpoint inspection?

All tasks in the table below must be compliant with departmental and importing country requirements before continuing on with this work instruction.

In the case of non-compliance, go to section 9.

The following table outlines how to sample consignments for endpoint inspection.

Step	Action
1.	Liaise with the client to determine the sampling rate as per importing country requirements.
2.	Record the sampling rate in the comments section on the ECR.
3.	Select which packages will be inspected, ensure that samples are taken from: <ul style="list-style-type: none">• a minimum of three packages• across as much of the consignment or lot as possible• different layers of the pallets• all packers and as many growers as possible.
4.	Liaise with the client to have the samples: <ul style="list-style-type: none">• identified• retrieved• moved to the inspection area. <p>Note: Handling packages and re-packing is the client's responsibility.</p>
5.	Continue to section 6.

Section 6: How are protocol fruit and vegetables inspected for export?

All tasks in the table below must be compliant with departmental and importing country requirements before continuing on with this work instruction.

In the case of non-compliance, go to section 9.

The following table outlines how to inspect protocol fruit and vegetables for export.

Step	Action						
1.	<p>If required, verify that the following are compliant as per importing country requirements:</p> <ul style="list-style-type: none"> • packaging • trade description • labelling • timber packaging as per ISPM15. 						
2.	<p>Inspect all samples using suitable equipment and techniques as specified by importing country requirements and relevant resources in the PEOM.</p> <p>Note: For commodity specific inspection information, refer to the relevant inspection technique guide in the PEOM.</p>						
3.	<p>Pass or reject the consignment based on tolerances and rejection criteria as per importing country requirements.</p> <table border="1"> <thead> <tr> <th>If the consignment is...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>compliant</td> <td>continue to section 8.</td> </tr> <tr> <td>not compliant</td> <td> <ul style="list-style-type: none"> • if live fruit flies or where specified in importing country requirements that pests and diseases must be reported, email a completed copy of the ECR to Canberra office immediately at horticultureexportsprogramACT@agriculture.gov.au • go to section 9. </td> </tr> </tbody> </table>	If the consignment is...	Then...	compliant	continue to section 8.	not compliant	<ul style="list-style-type: none"> • if live fruit flies or where specified in importing country requirements that pests and diseases must be reported, email a completed copy of the ECR to Canberra office immediately at horticultureexportsprogramACT@agriculture.gov.au • go to section 9.
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Section 7: How is re-submitted product inspected?

All tasks in the table below must be compliant with departmental and importing country requirements before continuing on with this work instruction.

In the case of non-compliance, go to section 9.

The following table outlines how to inspect re-submitted goods.

Step	What happens
1.	Check that the RFP includes details of the previous rejection.
2.	Verify that the consignment is allowed to be re-submitted as per importing country requirements.
3.	If required, check that all supporting documents verifying the details of the reconditioning /treatment have been provided and are compliant with importing country requirements, for example: <ul style="list-style-type: none">• treatment certificate• treatment supervision record• gas free certificate.
4.	Continue to section 1, step 6.

Section 8: How is the consignment secured for freight?

All tasks in the table below must be compliant with departmental and importing country requirements before continuing on with this work instruction.

In the case of non-compliance, go to section 9.

The following table outlines how to secure the consignment for freight.

Step	What happens
1.	Determine if a supervised post inspection treatment is required, for example; in transit cold treatment (ITCT) refer to the Work Instruction: <i>Initiating an in-transit cold treatment for plant exports</i> .
2.	Ensure that the product is secured for air freight or sea freight as per importing country requirements.
3.	If required, ensure that container requirements are compliant as per importing country requirements: <ul style="list-style-type: none">• empty container inspection• supervision of loading• application of seal• application of tape• supporting documentation.
4.	Complete the ECR, if required include: <ul style="list-style-type: none">• any additional information• grower export approval number in the line identification field• packhouse export approval number in the comments field• registered establishment number• state and/or region where the product originated from in the product origin field• seal number and container number.
6.	Provide a copy of the ECR to the client.
7.	<ul style="list-style-type: none">• Submit copies of the ECR and supporting documents to the national documentation hub.• Keep the original for two years for audit purposes.

Section 9: How is the consignment rejected?

The following table outlines how to reject the consignment.

Step	What happens
1.	Complete the ECR and record the reasons for rejection in the comments field.
2.	Inform the client that the goods: <ul style="list-style-type: none">• are not export compliant• have been rejected. <p>Note: The choice of any reconditioning/treatment applied to non-compliant goods is the responsibility of the client and must be as per importing country requirements.</p>
4.	Provide a copy of the ECR to the client.
5.	<ul style="list-style-type: none">• Submit copies of the ECR and supporting documents to the national documentation hub.• Keep the original for two years for audit purposes.

Record keeping

- Departmental AOs must keep official files in accordance with the department's record keeping policy and regional 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

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

- MICoR – Importing country requirements, Protocols, Work Plans, Australia – NZ BQA SOM.
- Plant Export Operations Manual:
 - Guideline: *Sampling and inspection of horticulture prescribed goods for export*
 - Volume 14: Product security
 - Volume 16: Export occupational health and safety (OH&S)
 - Reference: *PE101 Export compliance record*
 - Reference: *Inspection technique guide(s)*
 - Reference: *Plant Exports Compliance, Approval and Running Records User Guide*
 - Reference: *Table of inspection job functions required for each group of plants and plant products for export*
 - Reference: *Transfer Certificate and Assessment Notice for Fresh Fruit and Vegetables EX186*
 - Reference: *User Guide Completion of a Transfer Certificate (EX186)*
 - Work Instruction: *Initiating an in-transit cold treatment for plant exports*

Document information

The following table contains administrative metadata.

Instructional material owner:	Director, Horticulture Exports Program, Plant Export Operations Branch
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Freedom of information exemption:	No
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Review date:	November 2016

Version history

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

Version	Date	Amendment details
1.0	23/12/2015	First version of the work instruction.

Attachment 1: Protocol quick reference guide

The following table is a list of items that should be checked prior to finalising an inspection.

Note: Refer to importing country requirements for specific country/commodity conditions.

These items have been checked and are compliant with departmental and importing country requirements

<input type="checkbox"/> Site-specific induction and safety requirements	<input type="checkbox"/> PPE	<input type="checkbox"/> Equipment
Importing country requirements:	<input type="checkbox"/> MICO case	<input type="checkbox"/> Work Plan
<input type="checkbox"/> Work Instruction	<input type="checkbox"/> Protocol	<input type="checkbox"/> NZBQASOM
<input type="checkbox"/> Resubmission as per importing country requirements		
<input type="checkbox"/> Import permit	<input type="checkbox"/> Product	<input type="checkbox"/> Variety
RFP:	<input type="checkbox"/> Shipping marks	<input type="checkbox"/> Treatment details
<input type="checkbox"/> Endorsement number	<input type="checkbox"/> Lot numbers	<input type="checkbox"/> Additional declarations
<input type="checkbox"/> Grower line/pre-treatment inspection	<input type="checkbox"/> Pre-treatment inspection record	
<input type="checkbox"/> Treatment pathway (e.g.: product origin/PFA/treatment)		
Treatment:	<input type="checkbox"/> Supervised	<input type="checkbox"/> Compliant
	<input type="checkbox"/> Certification is valid	<input type="checkbox"/> NPPO in attendance
<input type="checkbox"/> Product transfer has occurred	<input type="checkbox"/> Transfer certificate	
<input type="checkbox"/> Supporting documents have been provided and are valid		
<input type="checkbox"/> Inspection area	<input type="checkbox"/> Product packaging	<input type="checkbox"/> Labelling
	<input type="checkbox"/> Timber packing	
<input type="checkbox"/> Sampling rate	<input type="checkbox"/> Inspection requirements	<input type="checkbox"/> NPPO in attendance
Rejection criteria:	<input type="checkbox"/> Protocol	<input type="checkbox"/> Work Plan
	<input type="checkbox"/> NZ BQA SOM	
<input type="checkbox"/> Canberra office is notified immediately of rejection		
Consignment security:	<input type="checkbox"/> Protocol	<input type="checkbox"/> Work Plan
	<input type="checkbox"/> NZ BQA SOM	
Container inspection:	<input type="checkbox"/> Compliant	<input type="checkbox"/> Certification is valid
Loading:	<input type="checkbox"/> Seal applied	<input type="checkbox"/> Compliant
<input type="checkbox"/> Supervised	<input type="checkbox"/> Tape applied	<input type="checkbox"/> NPPO in attendance
ECR:	<input type="checkbox"/> Container no	<input type="checkbox"/> Additional declarations
	<input type="checkbox"/> Seal number	<input type="checkbox"/> Packhouse/grower no
Completed and submitted:	<input type="checkbox"/> ECR	<input type="checkbox"/> Supporting documents

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