



Fact sheet: Performance management and compliance guidelines

Approved arrangements for livestock exporters

Live Animal Export Branch

The Department of Agriculture, Fisheries and Forestry uses the [Performance management and compliance guidelines: approved arrangement for livestock exporters](#) to manage exporter's performance and compliance with their approved arrangement (AA).

An exporter's AA is the documented system agreed to by the department, to manage compliance with the [Australian Standards for the Export of Livestock](#) (ASEL), importing country requirements and [relevant legislation](#) when preparing livestock for export.

Performance measures

Compliance with an exporter's AA is monitored by the department's verification of documentation, inspection of livestock, audits and any livestock export incidents such as mortality rates and/or issues identified by importing countries. An exporter's level of compliance is reflected in their performance level, which in turn determines the level of regulatory oversight by the department.

There are 4 standard performance levels. All exporters begin on a provisional performance level which is subject to the highest level of regulatory oversight by the department. On this level, all documents are verified, and all livestock are inspected by a departmental veterinary officer.

An audit of an exporter's systems will be conducted by a departmental auditor after 2 months. With consistently demonstrated compliance, exporters may be eligible to move through to performance levels 1-3 where core documents are verified, samples of livestock are inspected, and auditing frequency ranges from every 2 to every 6 months.

Consignment performance

Departmental veterinary officers will assess documents and inspect animals to enable them to certify importing country requirements and issue an export permit and health certificate. The veterinary officer will assess the exporter's compliance with ASEL, importing country, and other legislative requirements.

An assessment of the consignment will be recorded in the livestock export consignment report (LECR) and include an impact rating ranging from 'compliant/no impact' to 'impact level 4'. Impact level 3 or 4 ratings may result in a refusal to grant an export permit and health certificate and suspension of the exporter's AA.

Audit findings

Audits are systems-based and conducted to check and verify suitable controls are in place to ensure an exporter's AA is effective, and that all requirements for the export of livestock have been, and can continue to be, complied with.

In an audit, an exporter is given a rating of compliant, observation, non-compliant or critically non-compliant against the elements of their AA. This determines their overall audit result of either acceptable, marginal or unacceptable.

Performance management

The performance management framework outlines how the department will regulate the export of livestock in a way that focuses time and resources on the areas of highest risk. Exporters who consistently meet the necessary standards have low intervention. Exporters with a history of poor compliance have greater levels of intervention.

Compliant performance

To progress through the performance level framework, an exporter must have:

- consignment performance ratings no higher than impact level 1, and
- completed a satisfactory performance cycle with an acceptable audit finding.

Marginal performance

Exporters will remain at their current performance level if they have:

- a consignment performance rating of impact level 2, and
- an acceptable audit finding.

An exporter will drop a performance level if they have:

- a consignment performance rating of impact level 2 over two consecutive performance cycles
- an audit that results in a marginal finding.

Non-compliant performance

An exporter will return to performance level 1 if they have any of:

- a consignment performance rating of impact level 3
- an unacceptable audit finding
- a notifiable mortality incident where the cause of the incident is found to be a failure in implementation of an exporter's AA
- a consignment is rejected by an importing country where the cause of the rejection is due to a failure of an exporter's AA.

An exporter's AA will be suspended if they have any of:

- a consignment performance rating of impact level 4
- three consecutive impact level 3 consignments, or 50% of the exporter's consignments are rated as impact level 3 over a 6-month period
- an unacceptable audit finding
- a notifiable mortality incident or importing country rejection has occurred as a result of an exporter's flagrant disregard for their AA systems or processes, or fraudulent or criminal behaviour.

Read more about the [Performance management and compliance guidelines: approved arrangement for livestock exporters](#).

Acknowledgement of Country

We acknowledge the Traditional Custodians of Australia and their continuing connection to land and sea, waters, environment and community. We pay our respects to the Traditional Custodians of the lands we live and work on, their culture, and their Elders past and present.

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Version control

Version	Date of issue	Author	Reason for change
1.0	2020	Live Animal Export Branch	First publication
1.1	July 2024	Live Animal Export Branch	Update to department branding Minor edits to improve user accessibility and readability Remove reference to transitional performance level as no longer applicable