



Performance standards – Plant export Authorised officer audits

Purpose of this document

This document:

- outlines the core activities and related performance standards authorised officers (AOs) must meet to maintain appointment
- must be read in conjunction with the Exports process instruction: [Audit of plant export authorised officers](#).

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Activity 1: Legislation

The following table outlines the checklist items and performance standards in the legislation activity.

Checklist items	Performance Standards – Legislation
1.1 Legislation, obligations, and instrument of appointment	<ul style="list-style-type: none"> • Has demonstrated knowledge of the powers and functions of the appointed job functions and has applied these powers and functions appropriately. • Has complied with the requirements of their instrument of appointment. • Has complied with departmental expectations of appointment set out in the terms and conditions of appointment and instructional material. • Has demonstrated knowledge of record keeping requirements.
1.2 Awareness of Work Health & Safety requirements	<ul style="list-style-type: none"> • Has demonstrated knowledge of Work Health & Safety practices at establishments or bulk vessels where their AO functions are performed.

Activity 2: Pre-inspection

The following table outlines the checklist items and performance standards in the pre-inspection activity.

Checklist items	Performance Standards – Pre-inspection
2.1 Initiate AO inspection	<ul style="list-style-type: none"> • Has demonstrated an understanding of the initiation process for an inspection. • Has demonstrated an understanding of information required to validate a Request For Permit (RFP) and supporting documentation. • Has demonstrated knowledge of pre-inspection documentation requirements and has demonstrated compliance with these requirements.
2.2 Importing country requirements	<ul style="list-style-type: none"> • Interprets importing country requirements from departmental resources or import permits. • Has demonstrated knowledge to ensure importing country requirements are met prior to inspection and has correctly applied this knowledge.

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Checklist items	Performance Standards – Pre-inspection
2.3 Supporting documentation	<ul style="list-style-type: none"> • Demonstrates awareness of supporting documentation that may be required pre-inspection. • Has demonstrated compliance with importing country requirements, as evidenced by supporting documentation.
2.4 Equipment	<ul style="list-style-type: none"> • Has knowledge of the inspection equipment required for different job functions and inspection types and is in possession of the inspection equipment.
2.5 Instructional material	<ul style="list-style-type: none"> • Has demonstrated ability to access most current work instructions. • Has demonstrated ability to locate work instructions and guidelines on the Plant Export Operations Manual.

Activity 3: Inspection of plants and plant products

The following table outlines the checklist items and performance standards in the inspection of plants and plant products activity.

Checklist items	Performance Standards – Inspection of plants and plant products
3.1 Flow path/inspection area	<ul style="list-style-type: none"> • Has demonstrated knowledge of flow path inspection procedures or is able to identify them from instructional materials where inactive or unable to demonstrate. • Has demonstrated understanding of 'fit-for-purpose' inspection areas.
3.2 Sampling/presentation of goods	<ul style="list-style-type: none"> • Has demonstrated the correct usage of sampling techniques and rates or has knowledge of these techniques and rates. • Has demonstrated understanding and applies principles of random and representative sampling.
3.3 Commodity inspection	<ul style="list-style-type: none"> • Has demonstrated or described inspection techniques and correct use of equipment for the relevant commodity inspection. • Has knowledge of procedures to inspect for pests, diseases, and other contaminants. • Has knowledge of commodity/country tolerance levels or is able to identify them from reference materials.

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Activity 4: Post-inspection

The following table outlines the checklist items and performance standards in the post-inspection activity.

Checklist items	Performance Standards – Post-inspection
4.1 Documentation completion	<ul style="list-style-type: none"> • Has demonstrated the ability to correctly complete inspection records (this includes records for pass/failed consignments, reinspection and recording flow path inspection results). • Demonstrates knowledge of the submission procedures for documentation.
4.2 Documentation storage	<ul style="list-style-type: none"> • Provides at least 2 years of export documentation where applicable (this includes inspection records, RFPs and all supporting documents used to make declarations).
4.3 Consignment rejection procedures	<ul style="list-style-type: none"> • Has knowledge of procedures to inspect for pests, diseases, or other contaminants. • Has knowledge of rejection procedures as per the relevant instructional materials.

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Activity 5: Inspection of bulk vessels

The following table outlines the checklist items and performance standards in the inspection of bulk vessels activity.

Checklist items	Performance Standards – Inspection of bulk vessels
5.1 Supporting documentation (pre-inspection)	<ul style="list-style-type: none"> • Understands/demonstrates the requirements of the bulk vessel inspection buddy system. • Understands/demonstrates marine surveyor verification requirements and complies with certification requirements. • Demonstrates ability to correctly verify that the marine surveyor is accredited under the Accredited Grain Surveyor Assurance (AGSA) scheme and listed on the Australasian Institute of Marine Surveyors (AIMS) website. • Has uploaded correct marine surveyor accreditation from AIMS website. • Understands AO and marine surveyor must not be employed by the same company or by companies under the same umbrella company.
5.2 Recording device (pre-inspection)	<ul style="list-style-type: none"> • Has an operational video recording device that is helmet (head) mounted. • Demonstrates understanding of recording device requirements in the Exports process instruction: Inspection of empty bulk vessels for export. • Demonstrates understanding that complete video records are retained for at least 12 months.
5.3 Inspection requirements (pre-inspection)	<ul style="list-style-type: none"> • Demonstrates understanding of extent of inspection required whether that be a full inspection, supplementary inspection or reinspection of a bulk vessel.
5.4 Boarding vessel and pre-inspection interview (pre-inspection)	<ul style="list-style-type: none"> • Demonstrates knowledge of the procedures for conducting a bulk vessel pre-inspection interview (this is not recorded by the BVI AO).
5.5 Inspection procedures	<ul style="list-style-type: none"> • Understands all bulk vessel instructional materials. • Has demonstrated an understanding of the procedures when live insects, live or dead rodents, infestible and non-infestible residues are detected during the bulk vessel inspection, the relevant tolerances, and actions that must be followed. <p>Note: All residues and contaminants found must be cleaned up and disposed of in a quarantine compliant manner before the AO passes that hold or area.</p>

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Checklist items	Performance Standards – Inspection of bulk vessels
	<ul style="list-style-type: none"> • Has demonstrated knowledge that where minor non-compliances are detected and can be rectified by the Lead Crew Member (LCM) or master, the area must be re-inspected for compliance before the vessel can be passed, or alternatively, failed and a reinspection scheduled. • Understands and demonstrates that they cannot undertake inspections during rain and that the weather deck must be dry during inspection. • Has demonstrated they are wearing and using appropriate PPE (including fall arrest equipment where required as identified via the Take 5 assessment).
5.6 Inspection of the vessel and other areas	<ul style="list-style-type: none"> • Has demonstrated knowledge of the procedures for inspection requirements of areas of the vessel as defined in the Exports process instruction: Inspection of empty bulk vessels for export. • Has demonstrated an understanding of inspecting bulk vessels with contained chemicals. • Has allowed sufficient time to undertake inspection activities appropriately.
5.7 Inspection of the fo’c’s’le lockers/storage	<ul style="list-style-type: none"> • Has demonstrated knowledge of the requirements for inspecting the fo’c’s’le lockers, mast houses and all other deck storage. • Has demonstrated they are adequately inspecting the fo’c’s’le lockers, mast houses and all other deck storage, as outlined in the Exports work instruction: Inspecting empty bulk vessels for export.
5.8 Inspection of the deck including poop deck	<ul style="list-style-type: none"> • Has knowledge of the requirements and demonstrated they are adequately inspecting the vessel deck as noted in the Exports process instruction: Inspection of empty bulk vessels for export. • Has demonstrated inspection of all deck structures including items stored on the deck (including but not limited to pallets, ropes, drums and other equipment—will vary depending on the vessel).
5.9 Inspection of ships’ grabs	<ul style="list-style-type: none"> • Has knowledge of the requirements and demonstrated they are adequately inspecting ships’ grabs as outlined in the Exports process instruction: Inspection of empty bulk vessels for export. • Has demonstrated they are inspecting all ships’ grabs where grabs are present.
5.10 Inspection or the hatch covers and coamings	<ul style="list-style-type: none"> • Has knowledge of the requirements for inspecting hatch covers and coamings. • Has demonstrated they are adequately inspecting hatch covers and coamings as outlined in the Exports work instruction: Inspecting empty bulk vessels for export.

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Checklist items	Performance Standards – Inspection of bulk vessels
5.11 Inspection of outside of an empty vessel hold and supervising the AO in-hold	<ul style="list-style-type: none"> Has demonstrated knowledge of requirements for inspecting the outside of an empty hold and supervising the AO in-hold as outlined in the Exports process instruction: Inspection of empty bulk vessels for export.
5.12 Inspection of empty vessel holds	<ul style="list-style-type: none"> Has demonstrated knowledge of the process for inspecting an empty bulk vessel hold. Has demonstrated they have undertaken inspection requirements for inspecting empty bulk vessel holds as outlined in the Exports work instruction: Inspecting empty bulk vessels for export. Has demonstrated understanding that inspection of empty holds must only be undertaken when hold/hatch covers are fully open. Has demonstrated or described inspection techniques and correct use of equipment. Has demonstrated an understanding of infestations, residues, structural damage, and other contaminants. Understands all bulk vessel inspection instructional materials and where to locate them.
5.13 Inspection of loaded vessel holds	<ul style="list-style-type: none"> Has demonstrated understanding of the procedures for inspecting a loaded bulk vessel hold as outlined in the Exports work instruction: Inspecting empty bulk vessels for export. Has demonstrated understanding that they must not pass holds for cross-contamination (PC) that are intended or later intended to be loaded with consumable goods.
5.14 Inspection of the stores and general galley areas	<ul style="list-style-type: none"> Has demonstrated understanding of the process and procedures for inspecting stores and general galley areas of a bulk vessel. Has demonstrated they have undertaken inspection requirements as outlined in the Exports work instruction: Inspecting empty bulk vessels for export.
5.15 Inspection of areas after cleaning	<ul style="list-style-type: none"> Has clearly demonstrated undertaking re-inspection of areas of the vessel that have required cleaning during inspection. <p>Note: If areas of the vessel on the Bulk Vessel Inspection Record (BVIR) have been recorded as “cleaned during inspection”, the AO must revisit and reinspect these areas of the vessel and record this on the BVIR.</p>
5.16 Recording inspection results	<ul style="list-style-type: none"> Has fully recorded all inspection activity required under the departmental instructional material.

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Checklist items	Performance Standards – Inspection of bulk vessels
5.17 Documentation completion (post-inspection)	<ul style="list-style-type: none"> When issues requiring cleaning have been noted during inspection, AO has clearly recorded on the inspection record that cleaning or other rectification has been undertaken Has appropriately followed requirements for passing/failing a bulk vessel and recorded appropriately and accurately according to requirements set out in the relevant inspection instructional material.

Activity 6: Horticulture export treatments

The following table outlines the checklist items and performance standards in the activity relating to treatments.

Checklist items	Performance Standards – Horticulture export protocol treatments
6.1 Cold treatment preparation for supervision	<ul style="list-style-type: none"> Demonstrates access to the current Work Instructions. Demonstrates access to protocols and work plans through Micor and can locate each one for different protocol markets.
6.2 In-transit cold treatment (ITCT)	<ul style="list-style-type: none"> Demonstrates knowledge of the process to initiate an in-transit cold treatment. Demonstrates knowledge of the process in inspecting and approving the container to be loaded. Demonstrates knowledge of the process in verifying the pre-cooling of product. Demonstrates knowledge of the process in supervising the calibration of temperature sensors. Demonstrates knowledge of the process in verifying the previous sensor calibration if already conducted. Demonstrates knowledge in supervising the loading of a container and supervising the temperature sensor placement. Demonstrates knowledge in supervising a treatment re-start. Demonstrates knowledge in supervising a sensor replacement, recalibration, or container change.
6.3 On-Shore Cold treatment (OSCT)	<ul style="list-style-type: none"> Demonstrates knowledge of the process in preparing for an onshore cold treatment. Demonstrates knowledge of the process in supervising the calibration (pre-treatment) and re-calibration of the temperature sensors (Post treatment). Demonstrates knowledge of the process in verifying the procedure for pre-cooling of product. Demonstrates knowledge of the process in checking the placement of the temperature sensors and supervising the treatment commencement.

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Checklist items	Performance Standards – Horticulture export protocol treatments
	<ul style="list-style-type: none"> • Demonstrates knowledge in verifying the treatment. • Demonstrates knowledge of the process in inspecting the container prior to loading and supervising the loading of the container/s.
6.4 Cold treatment rejection process	<ul style="list-style-type: none"> • Explains the process for failing an onshore cold treatment and/or in-transit cold treatment.
6.5 Vapour heat treatment preparation for supervision	<ul style="list-style-type: none"> • Demonstrates access to protocols and work plans through Micor and can locate each one for different protocol markets. • Demonstrates access to the current Exports work instructions.
6.6 Vapour heat treatment sensor calibration	<ul style="list-style-type: none"> • Demonstrates knowledge of the process in verifying the previous sensor calibration if already conducted. • Demonstrates knowledge of the process in supervising the calibration of sensors if this has not already taken place. • Explains when a calibration fails and rejection procedure.
6.7 Vapour heat treatment sensor placement, chamber loading and treatment commencement	<ul style="list-style-type: none"> • Demonstrates knowledge of the process in verifying that the treatment chamber is sealed. • Demonstrates knowledge of the process in checking the placement of the sensors and supervising the treatment commencement.
6.8 Vapour heat treatment	<ul style="list-style-type: none"> • Correctly verifies a vapour heat treatment.
6.9 Vapour heat treatment rejection process	<ul style="list-style-type: none"> • Explains the procedure for failing a treatment.

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Related material

The following related material is available in the [Plant Export Operations Manual \(PEOM\)](#) on the department's website:

- Exports process instruction: *Audit of plant export operations*
- Exports process instruction: *Audit of plant export authorised officers*
- Exports work instruction: *Inspecting empty bulk vessels for export.*

The following related material is available on the department's [website](#):

- Micor

Further related material:

- [Australasian Institute of Marine Surveyors \(AIMS\) website](#)

Contact information

- Audit and Assurance Branch: AuditServices@aff.gov.au

Document information

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Version history

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

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1.0	28/03/2021	28/03/2021	New document	First publication of this reference.
2.0	29/08/2022	29/08/2022	Major	Updated wording regarding bulk vessels.
3.0	16/01/2025	16/01/2025	Major	Included post-inspection activities and a separate section for inspection of bulk vessel activities.

Appendix A: Definitions

The following table defines terms (and their abbreviations) used in this document.

Term	Definition
Act	<i>Export Control Act 2020.</i>
Activity categories	Groupings of like checklist items by activity.
Checklist item	Requirements under each activity category that have been grouped by function and assigned a non-compliance rating/s.
Corrective action request (CAR)	A formal notification from the department requesting the cause of non-conformance with requirements be eliminated, with the objective to prevent reoccurrence.
Documented system	A written process or procedure that defines the steps in a process and who is responsible for those steps. This may also include records that are used to confirm the process is being followed.
Non-compliance rating	Ratings of minor, major and critical applied to a non-compliance to indicate the degree of seriousness.
Performance standard	A benchmark derived from legislation and departmental requirements against which actual performance is measured.
Plant Rules	Export Control (Plants and Plant Products) Rules 2021.