



# REFERENCE

## Performance standards—Quality system recognition

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## Definitions

The following table defines terms used in this document.

Term	Definition
Activity categories	Requirements from the Departmental Policy: <a href="#">Management of plant export registered establishments</a> grouped by activity.
Checklist item	Requirements under the activity category that have been grouped by function and assigned a non-compliance rating/s.
Documented system	A written process or procedure that defines the steps in a process and who is responsible for those steps. This includes the records used to confirm the process is being followed.
Goods	Goods declared by the regulations to be prescribed goods for the purposes of the <i>Export Control Act 2020</i> .
Non-compliance rating	Ratings of minor, major and critical applied to a non-compliance to indicate the degree of seriousness.
Performance standards	A benchmark derived from legislation and departmental requirements against which actual performance is measured.

## Purpose of this document

This document:

- outlines the performance standards a Quality Systems Recognition (QSR) operation must meet to maintain registration.
- sets the non-compliance ratings for those performance standards

**Note:** Where more than one non-compliance rating is provided, the auditor can choose the rating depending on the severity of the non-compliance.

- does not replace the base performance standards for a registered establishment.
- must be read in conjunction with the
  - Departmental Policy: [Management of plant export registered establishments](#)
  - Guideline: [Quality System Recognition of highly processed plant products for export](#) (the QSR Guideline)
  - Guideline: [Audit of plant export registered establishments](#) and
  - relevant commodity instructional material (Guidelines and Work Instructions).

## Performance standards

The following table describes the performance standards and non-compliance ratings for Quality Systems Recognition.

Record keeping		
Checklist items	Performance standards	Non-compliance rating
<b>1.1 Quality system audits</b>	<p>The occupier must:</p> <ul style="list-style-type: none"> <li>provide previous QMS audit reports and results/outcomes from previous audit date (at first audit, occupier to provide 2 years of third party audit reports and results)</li> <li>provide the existing third party audit schedule and confirm third party audits have taken place</li> <li>provide written submissions to the department if there are any Corrective Action Requests issued because of third party audit outcomes—submissions must outline how the establishment is managing the corrective action.</li> </ul>	Critical
<b>1.2 Organisation chart</b>	<p>The occupier must:</p> <ul style="list-style-type: none"> <li>demonstrate that the organisational chart is current, showing key positions and occupants involved in the establishment.</li> </ul>	Major/minor
<b>1.3 Equipment and machinery records</b>	<p>The occupier must:</p> <ul style="list-style-type: none"> <li>keep the cleaning and maintenance records of equipment and machinery for the past 2 years.</li> </ul>	Major
<b>1.4 Treatment records (if applicable)</b>	<p>The occupier must:</p> <ul style="list-style-type: none"> <li>keep records and certificates of treatments (if applicable).</li> </ul>	Major
<b>1.5 Automatic sampling system (if applicable)</b>	<p>If an automatic sampling system is employed, the occupier must:</p> <ul style="list-style-type: none"> <li>demonstrate that the calibration records for automatic sampling systems meets the QSR policy in relation to frequency of calibration and evidence of compliance (for example, calibration certificates).</li> </ul>	Major
<b>1.6 Traceability</b>	<p>The occupier must:</p> <ul style="list-style-type: none"> <li>demonstrate traceability of earlier exported approved products, through the process documented in the product flow chart provided to the department, such as receipt of goods, processing, packaging, storage and dispatch of goods.</li> </ul>	Major

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Plans and Specifications		
Checklist items	Performance standards	Non-compliance rating
2.1 Establishment layout	<p>The occupier must:</p> <ul style="list-style-type: none"> <li>demonstrate that the layout map presented at application is consistent with actual layout of the establishment</li> </ul>	Major/minor

Hygiene and pest control		
Checklist items	Performance standards	Non-compliance rating
3.1 Product processing	<p>The occupier must:</p> <ul style="list-style-type: none"> <li>demonstrate that the process removes or destroys pests and contaminants in raw materials and is consistent with the approved quality system.</li> </ul>	Critical
3.2 Storage	<p>The occupier must:</p> <ul style="list-style-type: none"> <li>demonstrate that storage facilities are maintained in a hygienic condition and free from pests and contaminants.</li> </ul>	Critical/major

QSR Approval		
Checklist items	Performance standards	Non-compliance rating
5.1 QSR approval check	<p>The occupier must demonstrate:</p> <ul style="list-style-type: none"> <li>the products are approved in the latest issued QSR approval letter.</li> <li>the packaging of the products are approved in the latest issued QSR approval letter.</li> <li>the package weights of the products are approved in the latest issued QSR approval letter.</li> </ul> <p><b>Note:</b> Individual weights must be correctly matched to their respective packaging.</p>	Critical
5.2 Packaging	<p>The occupier must demonstrate:</p> <ul style="list-style-type: none"> <li>the product is secure and maintains phytosanitary status when packaged.</li> </ul>	Critical
5.3 Sampling system	<p>The occupier must demonstrate:</p> <ul style="list-style-type: none"> <li>the sampling collection system delivers a representative sample and is consistent with approved quality system sampling arrangements.</li> </ul>	Critical/major

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## Related material

The following related material is available on the [Plant Export Operations Manual](#):

- Departmental Policy: *Management of plant export registered establishments*
- Guideline: *Audit of plant export registered establishments*
- Guideline: *Quality system recognition of highly processed plant products for export.*

## Document information

The following table contains administrative metadata.

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## Version history

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Version	Date	Amendment details
1	17/07/2023	First publication of this reference.