

Work Instruction 01

Guidelines for completion of Plant Health Assurance Certificates

Revision Register

Revision No	Date of Change	Amendments	
		Section	Details
1.0	22 September 2003	All	First Revision
2.0	25 August 2006	All	Second Revision
3.0	1 March 2012	All	Updated Plant Health Assurance Certificate
4.0	28 June 2017	All	Changes made to align with the <i>Biosecurity Act 2015</i> . Updated definitions, NSW Department of Primary Industries contact details, Plant Health Assurance Certificate form and completed example.

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1. PURPOSE

The purpose of this work instruction is to provide guidelines for completion of the form Plant Health Assurance Certificate.

2. SCOPE

This work instruction covers the requirements for completion and issuance of a Plant Health Assurance Certificate by an Authorised Signatory of an accredited business for all produce prepared and certified under a Certification Assurance arrangement in New South Wales.

'Prepared' includes all produce subjected to a chemical or physical disinfestation treatment and all produce graded to meet a condition requirement by a business operating under an ICA arrangement.

3. REFERENCES

[Biosecurity Act 2015](#)

ICA 17 Splitting Consignments and Reconsigning Original Consignments or Certified Produce – <http://www.dpi.nsw.gov.au/biosecurity/plant/ica>

4. DEFINITIONS

<i>Act</i>	means the Biosecurity Act 2015 .
<i>Authorised Person</i>	means an authorised officer under the Act or a person authorised under a law of another State or Territory that relates to plant biosecurity.
<i>Biosecurity Control Area</i>	means a biosecurity zone or a control area established under the Act on account of a plant pest or disease.
<i>Business</i>	means the legal entity accredited as a biosecurity certifier under the Act.
<i>Certification Assurance Arrangement</i>	means a CA Arrangement or an ICA scheme that enables a Business or a person authorised under a corresponding law of a State or Territory, to issue a Plant Health Assurance Certificate that meets certain plant health quarantine conditions for trade within the State or between the State and other States and Territories.
<i>certified/certification</i>	means covered by a valid Plant Health Assurance Certificate.
<i>consignee</i>	means the person or business to whom the produce is initially consigned following certification and who will be responsible for deciding the next destination of the produce if it is reconsigned.
<i>consignment</i>	means a discrete quantity of plants transported to a single consignee at one time covered by a single PHAC.
<i>consignor</i>	means the person or business responsible for deciding the first destination of the produce after it leaves the place of certification.
<i>Department</i>	means the NSW Department of Industry – Office of Primary Industries.

<i>ICA scheme</i>	means a scheme developed by the States and Territories to meet their respective plant quarantine requirements under the Memorandum of Understanding on Interstate Certification Assurance dated 6 August 1999.
<i>PHAC</i>	means a Plant Health Assurance Certificate that is issued in accordance with the requirements of a Certification Assurance Arrangement.
<i>prepared</i>	means subjected to a chemical or physical disinfestation treatment or graded to meet a produce condition requirement.
<i>reconsigned</i>	The person or business to which the produce is next consigned after the original consignment.
<i>splitting a consignment</i>	means the act of dividing an original consignment into sub-consignments for the purpose of: a) sending the sub-consignments to different consignees; or b) transporting the sub-consignments to the same consignee on different vehicles or via different transport methods.
<i>sub-consignment</i>	means the part of the original consignment that is being split from the rest of the consignment.

5. PROCEDURE

5.1 General

A PHAC is used to provide evidence that produce has been treated or meets a specified condition and has been prepared by an accredited Business operating under a Certification Assurance Arrangement.

A PHAC is used to provide evidence to Australian plant biosecurity authorities of conformance with applicable plant quarantine requirements (i.e. State or Territory borders or the borders of Biosecurity Control Areas).

5.2 Completion of Plant Health Assurance Certificates

A PHAC shall be completed by handwriting, typing or stamping the information in the space provided.

The information must be neat and legible and the same information must be included on each copy of the certificate.

5.2.1 Consignment Details

(Numbering is in accordance with the blank example certificate shown as Attachment 1).

(a) Consignor

Insert the name and address of the person or business consigning the produce. Note that this must be a street or property address, and must not be a Post Office Box.

The consignor is the person or business responsible for deciding where the produce will be sent next after leaving the facility, which prepared the produce for certification. The consignor will normally be the owner of the produce, but may be an agent of the owner who makes marketing decisions on behalf of the owner.

(b) Consignee

Insert the name and address of the consignee.

The consignee is the person or business to which the produce is initially consigned. The consignee will normally be the purchaser such as a merchant or wholesaler, but may be an agent of the consignor or purchaser and may be located within or outside New South Wales.

(c) Reconsigned To

This section is to be left blank at the time of issue by the business.

This section is only to be completed by a business which has a current ICA 17 arrangement. The consignee or an authorised inspector reconsigning original consignments or reconsigning sub-consignments after splitting the original consignment inserts the name and address of the consignee.

Examples of common marketing arrangements with clarification of who the consignor is, consignee and consignee are provided in Attachment 3.

For additional information on splitting consignments or reconsigning original consignments refer to the operational procedure ICA-17 'Splitting Consignments and Reconsigning Original Consignments or Certified Produce'.

5.2.2 Certification Details

(d) IP Number

Insert the Interstate Produce (IP) number of the business that operates the facility in which the produce was prepared for certification and whose name and address is entered at (e) Accredited Business that prepared the Produce.

This IP number must be the same as the IP number marked on the packages.

(e) Facility Number

Insert the facility number of the business in which the produce was prepared for certification. Where the business operates only one facility, insert 001.

(f) Procedure

Insert the Certification Assurance Arrangement under which the business is accredited.

(g) Accredited Business that prepared the Produce

Insert the name and address of the business that operates the facility in which the produce was prepared for certification.

The name and address of the business should be the same as that shown in the Businesses Certificate of Accreditation for the ICA arrangement.

Where this business is the same as the consignor, words "Consignor as above" may be used.

(h) Grower

Insert the name and address of the grower of the produce.

This should be the "Grown by" name and address marked on the end of the packages in the consignment.

Where this business is the same as the consignor, the words "Consignor as above" may be used.

Where a procedure indicates that the word "Various" identifies that the produce has come from numerous growers on an attached list, the word "Various" may be used. Where an attachment to the PHAC is made, that attachment must bear the number of the PHAC.

(i) Number of Packages

Insert the number of packages in the consignment covered by the certificate. A separate line should be used for each type of produce and/or each type of package covered by the certificate.

Where a large number of types of produce are included in the consignment, the words “see attachment” may be used. Where an attachment to the PHAC is made, that attachment must bear the number of the PHAC.

(j) Type of Packages

Insert the type of packages. Terms such as carton, tray or bulk bin should be used.

(k) Type of Produce

Insert the common name of the type of produce prepared.

(l) Brand Name or Identifying Marks (as marked on packages)

Insert any distinctive brand name marked on the packages. If re-used packages are used, enter “Various re-used packages”. Accredited businesses should check with the importing state about the legal requirements of using re-used packages, before packing into re-used packages.

Where there is no brand name marked or other identifying marks on the packages, place a line through the section.

(m) Date Code (as marked on packages)

Insert the date(s) or date code(s) marked on the packages after the produce was prepared and packed. When the consignment includes packages with different dates or date codes, the PHAC must accurately reflect the quantities for all dates or date codes marked.

The Authorised Signatory must rule off under the last entry in the number and type of packages and type of produce columns in accordance with the attached example to prevent changes or additions after issue (see Attachment 2).

(n) Authorisation for Split Consignments

The business issuing the PHAC **must not** complete this section. Individual PHACs must be issued to cover each consignment (i.e. a discreet quantity of produce transported to a single consignee at one time) to avoid splitting of consignments.

This section must only be completed by a business accredited under an ICA arrangement for splitting original consignments (see ICA-17 ‘Splitting Consignments and Reconsigning Original Consignments or Certified Produce’).

5.2.3 Treatment or Condition Details

(o) Treatment Date

Insert the date or dates of treatment or grading for condition. Where the consignment contains packages prepared on several dates, enter each date of treatment or grading in the date column.

(p) Treatment or Condition

Complete the relevant chemical, concentration, duration and temperature details for the treatment applied in accordance with the requirements specified in the operational procedure covering the Certification Assurance Arrangement.

All produce covered by the same PHAC must have received the same treatment or met the same condition. Where a consignment includes produce that meets different treatment or condition requirements, separate certificates shall be issued for each treatment or condition.

(q) Additional Certification

This section must only be completed by a business where the additional certification is covered by the Certification Assurance Arrangement(s) or area or property freedom accreditation(s) under which the business is accredited.

This section is to include additional certification required for:

- (i) movement of produce from a Biosecurity Control Area; or
- (ii) entry to an importing State or Territory.

Each additional certification shall be sequentially numbered.

Additional certification may include statements concerning freedom from a pest or disease or condition of produce at the time of certification.

Details or additional certification requirements can be obtained from ICA Records Management, by phone 02 6552 300, fax 02 6552 7239 or email ica.scheme@dpi.nsw.gov.au.

Any unused space in this section must be ruled off by the Authorised Signatory prior to issue (see Attachment 2).

5.2.4 Declaration

The Declaration section of a PHAC may only be completed and signed by an Authorised Signatory of a business in accordance with the terms and conditions of the accreditation.

(r) Authorised Signatory's Name

Insert the issuing Authorised Signatory's full printed name.

(s) Signature

Insert the issuing Authorised Signatory's signature.

(t) Date

Insert the date of issue.

5.3 Alterations

Where a minor error has been made in completion of a PHAC, the certificate may be amended by placing a single line through the incorrect information and inserting the correct information next to the alteration. An Authorised Signatory of the business issuing the certificate **must** place their initials in close proximity to the amendment to verify the alteration.

An example of a correctly completed alteration is shown in Attachment 2 in the 'Type of Packages' section of the certificate.

Where the error is substantial or involves a number of sections of the PHAC, the certificate shall be cancelled and a new PHAC completed. Where a PHAC is cancelled, the word 'CANCELLED' shall be written across the certificate and the original copy shall be maintained with the duplicate copy of the cancelled certificate.

Under no circumstances shall a person other than an Authorised Signatory of the Business that issued the certificate alter a completed Plant Health Assurance Certificate.

5.4 Distribution

The **original** (yellow copy) must accompany the consignment. The original should accompany the consignment when leaving a Biosecurity Control Area or on arrival at interstate quarantine barriers or markets requiring certification.

The only exception to this rule is when original (whole) consignments are split by a business accredited for an ICA arrangement for splitting consignments of certified produce.

Procedures for splitting consignments are detailed in the operational procedure ICA-17 'Splitting Consignments and Reconsigning Original Consignments or Certified Produce..

The **duplicate** (white copy) must be retained by the business that issued the PHAC.

6. ATTACHMENTS

- Attachment 1 Plant Health Assurance Certificate
- Attachment 2 Plant Health Assurance Certificate – Completed Example
- Attachment 3 Examples of Common Marketing Arrangements



Department of
Primary Industries

Certificate Number	555555
Business Specific Information*	
Dispatch Date: / /	Ref No:
Arrival Date: / /	PO No:
* These items display business specific information entered at the discretion of the consignor. They do not represent any part of the certifying conditions of the produce.	

Plant Health Assurance Certificate

A biosecurity certificate issued under Part 13 of the *NSW Biosecurity Act 2015*

All accreditation details must be completed. Please print clearly and initial any alterations.

Consignment Details

Consignor

Name _____

Address _____ (a)

State _____ Postcode _____

Consignee

Name _____

Address _____ (b)

State _____ Postcode _____

Reconsigned to: (if applicable)

Splitting consignments, preparing composite lots or reconsigning whole consignments

Name _____

Address _____ (c)

State _____ Postcode _____

Certification Details

IP Number	Facility Number	Procedure
N (d)	(e)	(f)

Accredited Business that prepared produce

Name _____

Address _____ (g)

State _____ Postcode _____

Grower(s) (if more than one grower – attach list)

Name _____

Address _____ (h)

State _____ Postcode _____

	Number of Packages	Type of Packages (e.g. trays, cartons)	Type of Produce	Brand Name or identifying marks (as marked on packages)	Date Code (as marked on packages)	Authorisation for reconsignment
1	(i)	(j)	(k)	(l)	(m)	(n)
2						
3						
4						

Treatment Details

Treatment Date	Treatment Chemical (Active Ingredient), Concentration, Duration, Temperature
1 (o)	(p)
2 / /	
3 / /	
4 / /	

Additional Certification/Codes: _____ (q)

This certificate is valid for 21 days from date of certification

Declaration

I am a person authorised under the *NSW Biosecurity Act 2015* to issue this biosecurity certificate and I hereby certify that the details shown above are true and correct and the procedure(s) listed above have been completed.

(r) _____ (s) _____ (t) _____

Full name Signature Date

Note: A person who provides false or misleading information on a biosecurity certificate is guilty of an offence under the Act. Such action could result in a penalty infringement notice or prosecution. The maximum penalty for an individual is \$1,100,000, and the maximum penalty for a corporation is \$2,200,000. This information is collected by the collecting agency identified in this form in relation to its functions under the Biosecurity Act 2015. This agency/s and the NSW Department of Industry may use and disclose this information as reasonably necessary for the purpose of performing biosecurity risk functions under, or reasonably contemplated by, the Biosecurity Act 2015.



Department of
Primary Industries

Certificate Number	555555
Business Specific Information*	
Dispatch Date: / /	Ref No:
Arrival Date: / /	PO No:
* These items display business specific information entered at the discretion of the consignor. They do not represent any part of the certifying conditions of the produce.	

Plant Health Assurance Certificate

A biosecurity certificate issued under Part 13 of the *NSW Biosecurity Act 2015*
All accreditation details must be completed. Please print clearly and Initial any alterations.

Consignment Details

Consignor

Name: Bloggs Bananas

Address: 259 Ocean Way
Coffs Harbour

State: NSW Postcode: 2450

Consignee

Name: Banana Wholesalers

Address: Sydney Markets
Flemington

State: NSW Postcode: 2129

Reconsigned to: (If applicable)

Splitting consignments, preparing composite lots or reconsigning whole consignments

Name: _____

Address: _____

State: _____ Postcode: _____

Certification Details

IP Number	Facility Number	Procedure
<u>N 4042</u>	<u>001</u>	<u>JCA16</u>

Accredited Business that prepared produce

Name: 'Consignor as above'

Address: _____

State: _____ Postcode: _____

Grower(s) (If more than one grower – attach list)

Name: 'Consignor as above'

Address: _____

State: _____ Postcode: _____

Number of Packages	Type of Packages (e.g. trays, cartons)	Type of Produce	Brand Name or identifying marks (as marked on packages)	Date Code (as marked on packages)	Authorisation for reconsignment
<u>50</u>	Trays <u>Cartons</u>	<u>Bananas</u>	<u>Bloggs Bananas</u>	<u>9/7/17</u>	
2					
3					
4					

Treatment Details

Treatment Date	Treatment Chemical (Active Ingredient), Concentration, Duration, Temperature
<u>9/7/17</u>	<u>Bananas in a hard green condition with unbroken skin</u>
<u>/ /</u>	
<u>/ /</u>	
<u>/ /</u>	

Additional Certification/Codes:

This certificate is valid for 21 days from date of certification

Declaration

I am a person authorised under the *NSW Biosecurity Act 2015* to issue this biosecurity certificate and I hereby certify that the details shown above are true and correct and the procedure(s) listed above have been completed.

<u>John Bloggs</u>	<u>John Bloggs</u>	<u>9/7/17</u>
Full name	Signature	Date

Note: A person who provides false or misleading information on a biosecurity certificate is guilty of an offence under the Act. Such action could result in a penalty infringement notice or prosecution. The maximum penalty for an individual is \$1,100,000, and the maximum penalty for a corporation is \$2,200,000. This information is collected by the collecting agency identified in this form in relation to its functions under the Biosecurity Act 2015. This agency/s and the NSW Department of Industry may use and disclose this information as reasonably necessary for the purpose of performing biosecurity risk functions under, or reasonably contemplated by, the Biosecurity Act 2015.

Grower Direct to Wholesaler

In cases where the grower prepares and packs the produce and makes the decision as to which wholesaler (agent, merchant or buyer) the certified produce will be consigned, the grower is the consignor and the wholesaler is the consignee.

Grower to Marketer then to Wholesaler

In cases where the grower prepares and packs the produce and then consigns certified produce to a marketer (marketing body, co-operative or other marketing organisation) locally or in another centre and that marketer decides to which person or business the produce will be next consigned, the grower is the consignor and the marketer is the consignee.

Grower to a Grading or Treatment Facility

In cases where the grower sends a produce to another business where it is packed and/or prepared and then certified produce will be consigned, the grower is the consignor and the person or business to which the produce is consigned is the consignee.

In cases where a grower sends produce to another business where it is packed and/or prepared and then certified, but the packer or treater makes the decision as to which person or business the certified produce will be consigned, the packer or treater is the consignor and the person or business to which the produce is consigned is the consignee.

The name and address of either the grower or the packer is entered in the “Grower” section depending on which is marked on the packages.

Wholesaler or Marketer to Another Person or Business

In cases where a wholesaler or marketer has purchased produce prior to grading or treatment and certification, and the wholesaler or marketer makes the decision on where the produce is consigned, the wholesaler or marketer is the consignor and the person or business to which the produce is consigned is the consignee.

Reconsignee

Where the consignee (wholesaler or marketer) reconsigns certified produce to another person or business, the person or business to which the produce is reconsigned is the reconsignee.