



1 July 2002

**Rules
for
Sampling Site and Showfloor
Registration
2002 – 2003**



Price: \$4.40

CONTENTS

SECTION 1 THE SAMPLING SITE AND SHOWFLOOR REGISTRATION SCHEME.....2

| | | |
|----|---|---|
| 1. | INTRODUCTION..... | 2 |
| 2. | SCOPE AND PURPOSE OF THE SAMPLING SITE AND SHOWFLOOR REGISTRATION SCHEME..... | 2 |
| 3. | THE AUSTRALIAN WOOL EXCHANGE LIMITED..... | 4 |
| 4. | AWEX BODIES AND COMMITTEES..... | 4 |
| 5. | CONFIDENTIALITY OF INFORMATION | 5 |
| 6. | CORRECTIVE ACTION | 5 |

SECTION 2 RULES OF THE SAMPLING SITE & SHOWFLOOR REGISTRATION SCHEME..6

| | | |
|----|--|----|
| 1. | THE REGISTRAR OF SAMPLING SITES AND SHOWFLOORS | 6 |
| 2. | REGISTERED SAMPLING SITES AND SHOWFLOORS | 6 |
| 3. | CATEGORIES OF REGISTRATION..... | 6 |
| 4. | BREACH OF CODE OF PRACTICE OR THESE RULES | 8 |
| 5. | APPEALS..... | 12 |
| 6. | DECISIONS OF AWEX BODIES AND COMMITTEES..... | 12 |

SECTION 3 REGISTRATION PROCEDURES 13

| | | |
|----|--|----|
| 1. | REGISTRATION FEES | 13 |
| 2. | REGISTRATION RENEWAL | 13 |
| 3. | INITIAL REGISTRATION..... | 14 |
| 4. | CANCELLATION OF REGISTRATION | 15 |
| 5. | CHANGES TO REGISTRATION DETAILS..... | 15 |
| 6. | AUSTRALIAN WOOL EXCHANGE LIMITED ADDRESSES | 16 |

SECTION 1

The Sampling Site and Showfloor Registration Scheme

1. Introduction

The Sampling Site and Showfloor Registration Scheme (Scheme) is managed by the Australian Wool Exchange Limited (AWEX).

This document contains:

- (a) an explanation of the Scheme;
- (b) the Rules of the Scheme; and
- (c) the administrative procedures for registration and renewal of registration under the Scheme.

All organisations wishing to register with AWEX as a Sampling Site and Showfloor may do so in one or more of two (2) categories:

- (i) Sampling Site; and/or
- (ii) Showfloor;

Sampling Site and Showfloor operators are advised to read this document carefully, as it details a number of changes that have occurred since the previous period.

2. Scope and Purpose of the Sampling Site and Showfloor Registration Scheme

2.1 General

All wool sold through AWEX shall be sampled and displayed in accordance with AWEX Rules and Procedures and IWTO Regulations and Test Methods. A fundamental requirement for Registration with AWEX as a Sampling Site and Showfloor is the maintenance of sample integrity and security.

The objectives of the Sampling Site and Showfloor Registration Scheme are to:

- Establish criteria for the registration of organisations concerned with the sampling and display of Australian greasy wool for sale;
- Establish that greasy wool is sampled in a manner that ensures the sample is representative of the bale;
- Establish that greasy wool displayed for sale is shown in a manner that preserves the integrity of the display sample or the show bale(s);
- Determine whether appropriate security measures are being maintained for storage of samples at, or adjacent to, display areas;
- Assess wool sampling sites and showfloors for compliance with the established criteria and, where they comply, to register those facilities for defined activities; and
- Reassess annually the compliance of registered sampling sites and showfloors through scheduled, formal assessments against the criteria.

2.2 Definitions

In this document the following definitions apply. See also the definitions in the IWTO's Core Test Regulations, where appropriate.

| | |
|---|--|
| <i>IWTO</i> | The International Wool Textile Organisation. |
| <i>Authorised Representative</i> | The person nominated by a Sampling Site and/or Showfloor to represent it in all matters relating to registration of its facility. It is the authorised representative who signs the application for AWEX registration and commits the facility to ongoing compliance with AWEX requirements and is also the person who maintains liaison between the AWEX and the registered facility. |
| <i>AWEX Rules and Procedures</i> | Includes these Rules, AWEX Code of Practice for Sampling Sites and Showfloors, IWTO Regulations and Test Methods. |
| <i>External Audit</i> | An audit of the Sampling Site and/or Showfloor performed by AWEX or an agent/sub-contractor of AWEX or, where applicable, an ISO Quality System auditor. |
| <i>Integrity of a Sample</i> | The maintenance of the identity and validity of the sample as representative of the bulk from which it was drawn. |
| <i>Laboratory</i> | Is an AWEX authorised test house. |
| <i>Laboratory Sampling Manager</i> | A Laboratory employee who takes overall responsibility for direct sampling and bale weighing at an AWEX registered sampling site. |
| <i>Laboratory Sampling Officer</i> | A Laboratory employee who undertakes on-site supervision and/or direct sampling and bale weighing at an AWEX registered sampling site. |
| <i>Sampler</i> | An employee of a sampling site who performs the operations of bale weighing or core or grab sampling. |
| <i>Sampling Manager</i> | The nominated employee of an AWEX registered sampling site who is responsible for the work of that site's samplers and ensures day to day compliance with AWEX Rules and Procedures. |
| <i>Sampling Site</i> | Comprises the personnel, equipment, site, records, associated documentation and management systems at a specified location used for the sampling of greasy wool. |
| <i>Security of a Sample</i> | The measures taken to ensure that the integrity of a sample and its accompanying certificate or documentation are preserved. |
| <i>Showfloor</i> | Comprises the personnel, samples or bale display area and associated sample security areas, records and associated documentation and management systems at a specified location used for the display of greasy wool. |
| <i>Showfloor Manager</i> | The nominated employee of an AWEX registered Showfloor who ensures day to day compliance of the Showfloor with AWEX Rules and Procedures. |

3. The Australian Wool Exchange Limited

AWEX is the central body in Australia for:

- the development and management of wool selling policies and practices;
- the maintenance and improvement of the quality of the Australian wool clip; and
- the development and administration of the rules relating to wool preparation and wool selling.

In particular, AWEX is responsible for those functions that relate to:

- facilitating the efficient marketing of wool; and
- adopting measures to improve and safeguard the quality of the Australian wool clip.

AWEX will establish bodies and/or committees from time to time to assist in accomplishing these functions.

4. AWEX Bodies and Committees

4.1 AWEX will from time to time establish specific bodies or committees ('AWEX Committees') to act as formal committees to advise AWEX on wool quality issues. These committees will act as the mechanism through which AWEX interact with industry in the management of accreditation schemes, registration schemes and development of other codes and standards supporting wool quality.

AWEX presently has schemes for:

- registration of Sampling Site and Showfloors;
- registration of Woolclassers;
- accreditation of wool appraisers; and
- wool pack quality.

The role and objectives of these AWEX Committees in relation to the Sampling Site and Showfloor Registration Scheme include:

- formulating the Rules of the Scheme;
- acting as a review panel for activities relating to the Scheme;
- hearing and deciding upon complaints from any individual or organisation which may be dissatisfied with any decision taken by the Registrar in relation to the scheme;
- receiving and acting upon matters of education and training that support the Scheme.

4.2 Sub-committees

Any decision required to be made by AWEX Committees, established from time to time, may be made by a sub-committee of those committees. The sub-committees must comprise not less than 4 people appointed by the relevant AWEX Committee and must include:

- (a) the Chairperson or their nominee;
- (b) a representative who is registered with AWEX as either a Sampling Site or Showfloor;
- (c) a wool broker, private treaty or exporter representative; and
- (d) a staff member of AWEX (this shall not be the Registrar).

Any reference to AWEX Committees in these Rules shall be taken to include sub-committees.

5. Confidentiality of Information

AWEX regards the information obtained as part of the operation of the Scheme as strictly confidential.

Details collected from Sampling Sites and Showfloors in the conduct of the Scheme will not be disclosed to any third party unless permission is granted by the Sampling Site and Showfloor, that permission not to be unreasonably withheld, or the third party is entitled by legislation to access that information.

Sampling Site and Showfloor operators should be aware that under various Commonwealth and State laws, AWEX may be required to disclose some or all of this information to government bodies, such as the Australian Taxation Office and Centrelink.

6. Corrective Action

A Sampling Site and Showfloor will be required to take corrective action:

- (i) where a wool sale lot is identified as not being sampled or displayed in accordance with AWEX Rules or IWTO Regulations and Test Methods; or
- (ii) where there has been a breach of these Rules.

Contact will be made with the Sampling Site and/or Showfloor. The nature of the problem will be identified to the Sampling Site and/or Showfloor who may be required to undertake Corrective Action to ensure the problem identified does not re-occur.

Refer to Clause 4 of Section 2 for further information regarding the Corrective Action Program.

SECTION 2

Rules of the Sampling Site and Showfloor Registration Scheme

1. The Registrar of Sampling Sites and Showfloors

- 1.1 The AWEX Board will appoint a Registrar of Sampling Site and Showfloors (“**Registrar**”) who must:
- (a) maintain a register of Sampling Site and Showfloors;
 - (b) investigate complaints; and
 - (c) administer the Corrective Action Program;
- 1.2 The Registrar or AWEX Committees may from time to time establish and vary procedures to be followed for the proper administration of these Rules.

2. Registered Sampling Sites and Showfloors

- 2.1 Any organisation wishing to sample and/or display wool that will be offered for sale by or through an AWEX Member must be registered under these Rules.

3. Categories of Registration

3.1 Categories

A Sampling Site and Showfloor may be registered as:

- (i) Sampling Site; and/or
- (ii) Showfloor.

3.2 Registration Non-transferable

Sampling Site and Showfloor registration is non-transferable between organisations or localities.

3.3 Sampling Sites

3.3.1 Organisations that are eligible to apply for registration as a Sampling Site are:

- (i) all Sampling Sites registered with AWEX at 30 June 2002 who can continue to demonstrate their compliance with AWEX Rules and Procedures; and
- (ii) organisations applying for registration for the first time that can demonstrate they have the facilities, skills and operating procedures to comply with AWEX Rules and Procedures. Guidelines are available from AWEX upon request.

3.3.2 Compliance with AWEX Rules and Procedures shall be assessed through appropriate external audit (see this Section, Clause 3.5 Registration Requirements).

3.3.3 An organisation with Sampling Site registration must provide AWEX staff with access to inspect individual bales so as to ensure that any sample is representative of the bulk.

3.3.4 An organisation with Sampling Site registration must ensure that all wool is sampled in accordance with AWEX Rules and Procedures.

3.4 Showfloors

3.4.1 Organisations that are eligible to apply for registration as a Showfloor are:

- (i) all Showfloors registered with AWEX at 30 June 2002 who can continue to demonstrate their compliance with AWEX Rules and; and
- (ii) organisations applying for registration for the first time that can demonstrate they have the facilities, skills and operating procedures to comply with AWEX Rules and Procedures. Guidelines are available from AWEX upon request.

3.4.2 Compliance with AWEX Rules and Procedures shall be assessed through appropriate external audit (see this Section, Clause 3.5 Registration Requirements).

3.4.3 An organisation with Showfloor registration must ensure that all wool bales are displayed in accordance with AWEX Rules and Procedures, authorised methods and accepted techniques.

3.5 Registration Requirements

3.5.1 All Sampling Sites and Showfloors registered with the Scheme must nominate at least one individual with appropriate competence and authority as a Sampling and/or Showfloor Manager who will be responsible for overseeing the technical control of operations. Assessment of the number of staff required and the qualities of staff nominated will be determined in accordance with the criteria set out in AWEX Rules and Procedures.

3.5.2 All Sampling Sites and Showfloors must demonstrate, throughout the course of the registration period, that they have in place the facilities, skills and operating procedures to comply with AWEX Rules and Procedures in relation to:

- (a) Staff, including supervision and training;
- (b) Sample integrity;
- (c) Accommodation;
- (d) Documentation;
- (e) Safety; and
- (f) Security.

3.5.3 Audits

Sampling Sites and Showfloors must also demonstrate compliance with AWEX Rules and Procedures through an external audit undertaken by AWEX. Where the Sampling Site and/or Showfloor is ISO 9001/2 accredited, and the scope of the accreditation covers the Code of Practice for Sampling Sites and Showfloors, the frequency of audits may vary.

3.5.4 Audit Frequency

The audit frequency for an ISO accredited Sampling Site and/or Showfloor shall be at least once every three years.

The audit frequency for a Sampling Site and/or Showfloor that are not ISO accredited shall be at least once per year.

3.5.5 Where a sample has not been displayed and/or sampled in accordance with AWEX Rules and Procedures, the Registrar may investigate the Sampling Site or Showfloor in question in accordance with the procedures set out in Clause 4 of this Section.

4. Breach of Code of Practice or these Rules

The Registrar shall be responsible for monitoring compliance, investigating complaints and administering the Corrective Action set out in these rules.

4.1 Investigating Complaints

4.1.1 If a complaint is made to AWEX or the Registrar that a Sampling Site and Showfloor is in breach of AWEX Rules and Procedures, the procedures as outlined in this section must be followed.

4.1.2 Upon receipt of a complaint the Registrar shall:

- (a) obtain particulars of the complaint in writing;
- (b) make such other enquiries considered appropriate;
- (c) where necessary, contact the relevant testing authority;
- (d) decide to take no further action; or
- (e) send such particulars of the complaint to the Sampling Site and/or Showfloor as the Registrar deems necessary and ask the Sampling Site and/or Showfloor to comment on the complaint within 14 days.

4.1.3 The Sampling Site and/or Showfloor must respond in writing. Their reply may:

- (a) deny the accuracy of the complaint; or
- (b) admit the breach and advise the Registrar of Corrective Action taken.

4.1.4 If the Registrar is not satisfied with the Sampling Site and/or Showfloors reply and considers further action is required, or the Sampling Site and/or Showfloor does not reply within 14 days, the Registrar may:

- (a) issue a request for Corrective Action; or
- (b) refer the complaint to an AWEX Committee, established for the purpose of hearing and deciding on such complaints, and notify the Sampling Site or Showfloor if the matter is to be so referred of:
 - (i) particulars of the AWEX rules and Procedures which are alleged to have been breached;
 - (ii) particulars of the complaint on which reliance is placed;
 - (iii) the date on which the complaint will be heard; and
 - (iv) particulars of the actions that may be applied.

4.1.5 If the Registrar or AWEX Committee finds a Sampling Site or Showfloor has breached AWEX Rules and Procedures it may:

- (a) find the breach requires no action to be taken;
- (b) reprimand the Sampling Site or Showfloor;
- (c) request they undertake appropriate Corrective Action;
- (d) suspend Sampling Site and/or Showfloor registration for a specified period or until appropriate Corrective Action has been demonstrated; or
- (e) de-register the Sampling Site and/or Showfloor.

4.1.6 Before initiating any of the actions at 4.1.5 (d) or (e), the Registrar must:

- (a) notify the registered Sampling Site and Showfloor in writing of the proposed action and the reasons for it;
- (b) allow an authorised representative of the Sampling Site and Showfloor to appear before the AWEX committee or to provide to it a written response within a period of 28 days from the date of the letter of notification; and
- (c) consider any response from the registered Sampling Site and Showfloor.

4.2 Corrective Action

4.2.1 The Registrar, or AWEX Committee, may require a Sampling Site or Showfloor to undertake Corrective Action after inspection of samples and/or displayed lots, where a complaint has been forwarded to the Registrar or there is a breach of these Rules. Corrective Action may be required for the following reasons:

- (a) where the Sampling Site and/or Showfloor has taken any action that calls the standard of wool sampled or displayed into question; or
- (b) where the Sampling Site and/or Showfloor has failed to comply with AWEX Rules and Procedures.

To maintain registration, Sampling Site and Showfloors will be asked to demonstrate that appropriate corrective action addressing the concerns raised has been undertaken.

Corrective action may include:

- (a) retraining of Sampling Site and Showfloor operational staff;
- (b) changes to the Sampling Site and Showfloor procedures and documentation; and
- (c) any other initiative which is appropriate.

The Registrar may offer advice as to how best to achieve and maintain the requirements set out in the AWEX Rules and Procedures. This may include retraining of operational staff to address the problem(s) identified. The Registrar or AWEX Body or Committee has discretion to determine which is the most appropriate action. In so doing, the Registrar or AWEX Body or Committee must follow the procedures for investigating complaints as set out in Clause 4.1 of Section 2 of these rules.

- 4.2.2** Where a Sampling Site and/or Showfloor has successfully completed Corrective Action, the relevant record of fault will be erased after a period of 3 years.
- 4.2.3** Where a Corrective Action requirement is implemented, the Sampling Site and/or Showfloor must complete the requirement within 3 months (where no shorter time limit is stipulated as part of the corrective action) of confirmation of the corrective requirement by the Registrar or AWEX Committee.
- 4.2.4** Where more than one breach occurs in any three-year period, the Sampling Site's and/or Showfloor's registration may be suspended. The Registrar may also issue a reprimand and mark the record of the Sampling Site or Showfloor accordingly.
- 4.2.5** A Sampling Site and Showfloor whose registration was suspended under rule 4.2.4 above, may apply to have the registration reinstated, upon successful completion of a Corrective Action.
- 4.2.6** All costs associated with Corrective Action or the retraining of operational staff shall be borne by the Sampling Site and Showfloor.

4.3 De-registration

4.3.1 If a registered Sampling Site and Showfloor:

- (a) fails to undertake Corrective Action as required;
- (b) repeatedly contravenes the requirements contained in the AWEX Procedures or these Rules;
- (c) is found to have intentionally tampered with the sample or bulk; or
- (d) is found to have taken action that may bring the sample integrity into question.

the Sampling Site and Showfloor will be investigated and may be de-registered under the procedures set out in this clause.

4.3.2 Before initiating any de-registration the Registrar must:

- (a) notify the registered Sampling Site and Showfloor in writing of the proposed action and the reasons for it;
- (b) allow an authorised representative of the Sampling Site and Showfloor to appear before the AWEX Committee or to provide to it a written response within a period of 28 days from the date of the letter of notification; and
- (c) consider any response from the registered Sampling Site and Showfloor.

4.3.3 A Sampling Site and Showfloor that has been de-registered under these Rules may re-apply for registration upon demonstrating appropriate Corrective Action has been undertaken. The application for registration will be treated as an Initial Registration (refer to Clause 3, Section 3 of these Rules). This clause does not in any way limit the right of AWEX not to re-register a Sampling Site and Showfloor.

All costs associated with corrective action or the retraining of operational staff shall be borne by the Sampling Site and Showfloor.

4.3.4 AWEX reserves the right not to register any Sampling Site and Showfloor that has been deregistered.

5. Appeals

- 5.1** If a Sampling Site and Showfloor is dissatisfied with a decision of the Registrar under these rules, the Sampling Site and Showfloor may appeal the decision. The appeal must be in writing. The Registrar will provide contact details for such an appeal. An AWEX Committee, formed for the purpose of hearing appeals, must hear the appeal.
- 5.2** If a Sampling Site and Showfloor is dissatisfied with a decision of any AWEX Committee under these rules, the Sampling Site and Showfloor may appeal to the Appeals Committee as established under AWEX Business Rules. The Registrar will provide contact information for such an appeal.

6. Decisions of AWEX Bodies and Committees

Any decision of an AWEX Committee in relation to Sampling Site and Showfloor registration issues shall be taken by majority vote. In the event of equal votes the Chairperson of the Committee shall have a casting vote as well as a deliberative vote.

SECTION 3

Registration Procedures

1. Registration Fees

- 1.1** The registration fees for the period for Sampling Site and Showfloors are as follows:

| Category | New Registration (includes initial audit) | Registration Fee | Audit Fee* |
|-----------------------------------|--|-----------------------------|-----------------------|
| Sampling Site (per sampling site) | \$755 | \$385 | \$320 |
| Showfloor (per showfloor) | \$755 | \$385 | \$320 |

* Not applicable to ISO accredited Sampling Sites/ Showfloors

All fees are G.S.T. inclusive.

All fees are non-refundable.

- 1.2** The registration fee is payable upon application.

2. Registration Renewal

- 2.1** If an organisation was registered as a Sampling Site and Showfloor on 30 June 2002 and:
- (a) makes an application in accordance with the registration procedures set out in these rules; and
 - (b) pays the appropriate registration fee;

the Registrar may register that organisation as a Sampling Site and Showfloor under these Rules.

AWEX reserves the right not to register any organisation that makes application for renewal of registration.

- 2.2** To register, complete the registration notice and return it with payment of the appropriate fee.
- 2.3** The registration period is from 1 July 2002 to 30 June 2003.
- 2.4** An organisation registered under these rules as a Sampling Site and/or Showfloor is referred to as a Registered Sampling Site and/or Showfloor.

3. Initial Registration

This section applies to organisations seeking registration for the first time as a Sampling Site and/or Showfloor.

3.1 An organisation seeking registration for the first time as a Sampling Site and/or Showfloor must make an application in accordance with these Rules and provide all necessary information as required. AWEX reserves the right not to register any organisation that makes application for registration.

3.2 Applicants must complete the appropriate registration form, available from AWEX.

When completing the application form ensure that:

- (a) all details are printed clearly; and
- (b) the form is signed by the authorised representative.

3.3 Registration Form

When completing the application form the Sampling Site and Showfloor must:

- (a) nominate at least one employee as a Sampling and/or Showfloor Manager who will be responsible for overseeing the technical control of operations.
- (b) declare whether the registration is for
 - (i) Sampling Site; and/or
 - (ii) Showfloor;
- (c) submit the information required to demonstrate that the Sampling Site and Showfloor has the facilities, skills and operating procedures to comply with AWEX Rules and Procedures.

The application form must be signed by the authorised representative and sent to the Registrar.

3.4 The appropriate registration fees, as listed on the application form, must accompany the application. Payment options are detailed on the application form. **Please do not send cash.**

3.5 The application form, with payment, should be sent to the Registrar.

3.6 Application for registration can be made at any stage during the registration period. AWEX will seek verification that the organisation can comply with the requirements of registration. Registrations will be not be processed until this verification has been provided.

3.7 Upon receipt by AWEX of the registration form, the appropriate registration fees and verification of all information, AWEX will arrange to undertake the initial audit of the Sampling Site and/or Showfloor.

3.8 Upon successful completion of the AWEX audit, the registering organisation will be notified of their registration and a 'registration certificate' issued.

4. Cancellation of Registration

4.1 Registration may be cancelled under the following circumstances.

- (a) where the Registrar receives a written request to cancel registration from the Sampling Site and/or Showfloor.
- (b) where the Sampling Site and/or Showfloor is de-registered under these Rules.

4.2 Registration will also be cancelled where the Sampling Site and/or Showfloor fails to renew their registration upon the expiration of a registration period. It is the responsibility of each Sampling Site and/or Showfloor to ensure that they are registered and have paid the nominated fees. A failure to do so will result in cancellation of registration within 6 months of the expiration of the last registration period.

5. Changes to Registration Details

It is the responsibility of each Sampling Site and/or Showfloor to notify the Registrar of any permanent change to registration details, such as:

- contact details;
- names of authorised representatives;
- names of Sampling and/or Showfloor Managers;
- changes to procedures and documentation.

Failure to do so may result in the Sampling Site and Showfloor not receiving important correspondence, such as registration notices, which could lead to cancellation of registration.

6. Australian Wool Exchange Limited Addresses**Registrar**

Australian Wool Exchange Limited
PO Box 649
Lane Cove
NSW 1595

Telephone: (02) 9428 6100
Facsimile: (02) 9420 9633
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Northern Region

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