



# GUIDELINE

## Issuance of certification for plant exports

### Direction to departmental authorised officers

This document is instructional material for the Department of Agriculture and Water Resources (the department) under its Practice Statement Framework. All staff must comply with it.

### Direction to external authorised officers

In accordance with the deed of obligations external authorised officers must perform services in accordance with any lawful directions or instructions issued by the department.

### Summary of main points

This document outlines the policy and process for:

- how to prepare for the export of plants and plant products
- how to make an inspection appointment
- what happens with supporting documents
- how certification for plant exports is issued.

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## Purpose of this document

This document details the policy and process for the issuance of certification for plant exports.

**Note:** An overview of this process can be seen in **Attachment 1: Issuance of certification for plant exports process map**.

## Definitions

The following table defines terms used in this document.

Term	Definition
Appointment authorised officer (AO)	An officer who has been accredited by the department to perform this role. <b>Note:</b> This role can only be performed by departmental AOs.
Australian export regulation framework	The <i>Export Control Act 1982</i> and its subordinate legislation.
Bulk vessel approval record (BVAR)	Record of the findings and result of a phytosanitary inspection of an empty bulk vessel for the export of plants and plant products. <b>Note:</b> This record can be electronic or manual.
Certification	Official certificates, electronic or manual, issued by the department to endorse that containers, bulk vessels and plants and plant products for export are compliant with departmental and the importing country's requirements. <b>Note:</b> An export permit is a departmental requirement. All other export certification is the importing country's requirement.
Client	The exporter, exporter's representative or person responsible for containers, bulk vessels and prescribed plants and plant products for export.
Consignment	A quantity of prescribed plants and plant products for export assembled at the same place and intended for export at the same time to the same country.
Container approval record (CAR)	Record of the findings and result of a phytosanitary inspection of an empty container for the export of plants and plant products. <b>Note:</b> This record can be electronic or manual.
Departmental authorised officer (AO)	Individual employed by the Department of Agriculture and Water Resources.
Departmental requirements	Requirements for the export of prescribed plants and plant products stipulated by the department under the Australian export regulation framework.
Documentation authorised officer (AO)	An officer who has been accredited by the department to perform this role. This role can be performed in-office or in-field. <b>Note:</b> This role can only be performed by departmental AOs.

Term	Definition
Export compliance record (ECR)	Record of the findings and result of a phytosanitary inspection of prescribed plants and plant products for export. <b>Note:</b> These records can be electronic or manual.
Exporter	The person identified as the exporter in a notice of intention to export.
Inspection authorised officer (AO)	An officer who has been accredited by the department to perform this role. <b>Note:</b> This role can be performed by departmental and external AOs.
Manual of Importing Country Requirements (MICoR) Plants	Database maintained by the department that outlines importing countries' requirements for a range of plants and plant products for export.
Phytosanitary inspection	A visual inspection of containers, bulk vessels and prescribed plants and plant products for export. The purpose of a phytosanitary inspection is to: <ul style="list-style-type: none"> <li>• prevent or limit the introduction and/or spread of pests</li> <li>• limit the economic impact of pests</li> <li>• maintain the integrity of a consignment.</li> </ul>
Supporting documents	Documents provided by the client as evidence that containers, bulk vessels and plants and plant products for export are compliant with departmental and the importing country's requirements.

## Legislative framework

The following list outlines the legislation that applies to the issuance of certification for plant exports:

- *Export Control Act 1982*
- Export Control (Orders) Regulations 1982
- Export Control (Prescribed Goods – General) Order 2005
- Export Control (Plants and Plant Products) Order 2011 (ECPPO2011)
- Export Control (Fees) Orders 2001

## Roles and responsibilities

The following table outlines the roles and responsibilities undertaken in this guideline.

Role	Responsibility
Appointment authorised officers (AOs)	<ul style="list-style-type: none"><li>Validating inspection appointment requests.</li><li>Validating supporting documents.</li><li>Making inspection appointments.</li></ul>
Clients	<ul style="list-style-type: none"><li>Obtaining import requirements from the importing country authority.</li><li>Requesting an inspection appointment.</li><li>Presenting export compliant containers, bulk vessels and plants and plant products for export.</li><li>Requesting certification.</li></ul>
Documentation authorised officers (AOs)	<ul style="list-style-type: none"><li>Validating certification requests.</li><li>Validating supporting documents.</li><li>Validating export compliance and approval records.</li><li>Issuing certification.</li></ul>
Exporters	Ensuring that the sections of the Export Control (Plants and Plant Products) Order 2011 that apply to the prescribed plants and plant products for export are complied with from the date the notice of intention is submitted until the date of departure of the products.
Inspection authorised officers (AOs)	<ul style="list-style-type: none"><li>Validating supporting documents.</li><li>Inspecting containers, bulk vessels and prescribed plants and plant products for export.</li></ul>
MICoR administrators	Updating import requirements in the MICoR Plants database.

## Work health and safety

AOs must comply with all applicable Commonwealth, state and territory work health and safety legislation.

# Issuance of certification for plant exports policy and process

## How to prepare for the export of plants and plant products

The exporter of the plants and plant products (products) must:

- determine the import requirements for containers, bulk vessels and products
- determine whether the containers, bulk vessels and products require a phytosanitary inspection (inspection)
- lodge a valid notice of intention (NOI) for the consignments
- request an inspection of the containers, bulk vessels and consignments
- present export compliant containers, bulk vessels and consignments for inspection.

### Import requirements policy

The import requirements must:

- be obtained from the importing country authority
- be in the form of an import permit or instrument in writing issued by the importing country authority
- be provided to the department to maintain the MCoR Plants database.

### Notice of intention policy

A valid NOI:

- is only required for prescribed plants and plant products for export
- must be presented prior to the product inspection
- must be in one of the following:
  - electronic Request for Permit form (RFP)
  - manual EX28 form (EX28)
  - manual Export Clearance Declaration form (EX222).

NOIs must be electronic RFPs at initial (INIT) or final (FINL) status at the time of making an inspection appointment for a departmental AO and before the product inspection can start.

NOIs may be manual EX28s if the importing country authority requires manual certification or contingency measures are in place due to electronic systems failures.

NOIs can only be manual EX222 for an approved arrangement.

The following table outlines the process for preparing for the export of plants and plant products.

Stage	What happens	Responsible party
1.	The import requirements are obtained from the importing country authority.	Client
2.	The import requirements are checked to make sure they match the relevant MICoR Plants case.	Client
3.	The import requirements are assessed and a MICoR Plants case is created or amended.	MICoR administrator
4.	Requirement for inspection of the container, vessel and/or consignment is determined.  <b>Note:</b> For more information please see <b>Attachment 2: <a href="#">How to determine if a consignment of plants or plant products for export needs a phytosanitary inspection and an export permit.</a></b>	Client
5.	An export registered establishment is organised for the inspection.	Client
6.	An NOI is lodged for the consignment to be inspected.	Client
7.	The container or vessel for transport and the consignment are checked to make sure they meet departmental and the importing country's requirements.	Client
8.	An appropriately accredited inspection AO is organised for the inspection.	Client

## How is an inspection appointment made for a departmental inspection authorised officer?

An inspection appointment request for a departmental inspection AO must be:

- made through a departmental appointment officer
- submitted for all container, vessel and product inspections.

The following table outlines the process for making an inspection appointment for a departmental inspection AO.

Stage	What happens	Responsible party
1.	An inspection appointment request is submitted.	Client
2.	The inspection appointment request is validated. <b>Note:</b> For more information please see Work Instruction: <i>Validating an inspection appointment request for plant exports.</i>	Appointment AO
3.	The inspection appointment is made and the appointment is confirmed. <b>Note:</b> For more information please see Work Instruction: <i>Making an inspection appointment for plant exports.</i>	Appointment AO
4.	The inspection is conducted and an export compliance or approval record is submitted.	Inspection AO

## What happens with supporting documents, export compliance and approval records?

### Supporting documents policy

Supporting documents must:

- be provided as evidence the containers, bulk vessels and products meet departmental and the importing country's requirements
- be provided at the required time in the export process
- be validated before certification can be issued.

### Export compliance and approval records policy

Export compliance and approval records must:

- be provided as evidence the containers, bulk vessels and products have been passed as export compliant by an inspection AO
- be provided at the required time in the export process
- be validated before certification can be issued.

The following table outlines the process for what happens with supporting documents and export compliance and approval records during the export process.

Stage	What happens	Responsible party
1.	All supporting documents are submitted at the required time in the export process. <b>Note:</b> For more information please see Reference: <i>Plant export documents and treatments checklist</i> .	Client
2.	All supporting documents provided at time of appointment are validated. <b>Note:</b> For more information please see Work Instruction: <i>Validating an inspection appointment request for plant exports</i> .	Appointment AO
3.	All supporting documents provided at time of inspection are validated.	Inspection AO
4.	All supporting documents, export compliance and approval records provided at time of certification are validated. <b>Note:</b> Work Instruction: <i>Issuing certification for plant exports</i> .	Documentation AO



## How is certification for plant exports issued?

Certification can only be issued if:

- the consignment meets all departmental and importing country's requirements
- the export compliant status of the consignment and container or bulk vessel has not expired.

The following table outlines the process for how certification for plant exports is issued.

Stage	What happens	Responsible party
1.	A request for certification is submitted.	Client
2.	The request for certification is processed. <b>Note:</b> For more information please see Work Instruction: <i>Issuing certification for plant exports</i> .	Documentation AO
3.	Supporting documents and records are validated to make sure the consignment meets departmental and the importing country's requirements. <b>Note:</b> For more information please see Work Instruction: <i>Issuing certification for plant exports</i> .	Documentation AO
4.	The required certification is issued. <b>Note:</b> For more information please see Work Instruction: <i>Issuing certification for plant exports</i> .	Documentation AO
5.	The invoice for departmental services is raised. <b>Note:</b> For more information please see Work Instruction: <i>Issuing certification for plant exports</i> .	Documentation AO
6.	The certification and invoice are received.	Client

## Record keeping

Departmental AOs must keep official files in accordance with the department's record keeping policy and your regions procedures.

External AOs must retain all original completed records and any supporting documents for two years from the date of the inspection.

## Related material

### Department's website and Instructional Material Library (IML)

The following related material is available in the *Plant Export Operations Manual* on the department's website for external AOs and on the IML for departmental AOs:

- Work Instruction: *Issuing certification for plant exports*
- Work Instruction: *Making an inspection appointment for plant exports*
- Work Instruction: *Validating an inspection appointment request for plant exports*

## Document information

The following table contains administrative metadata.

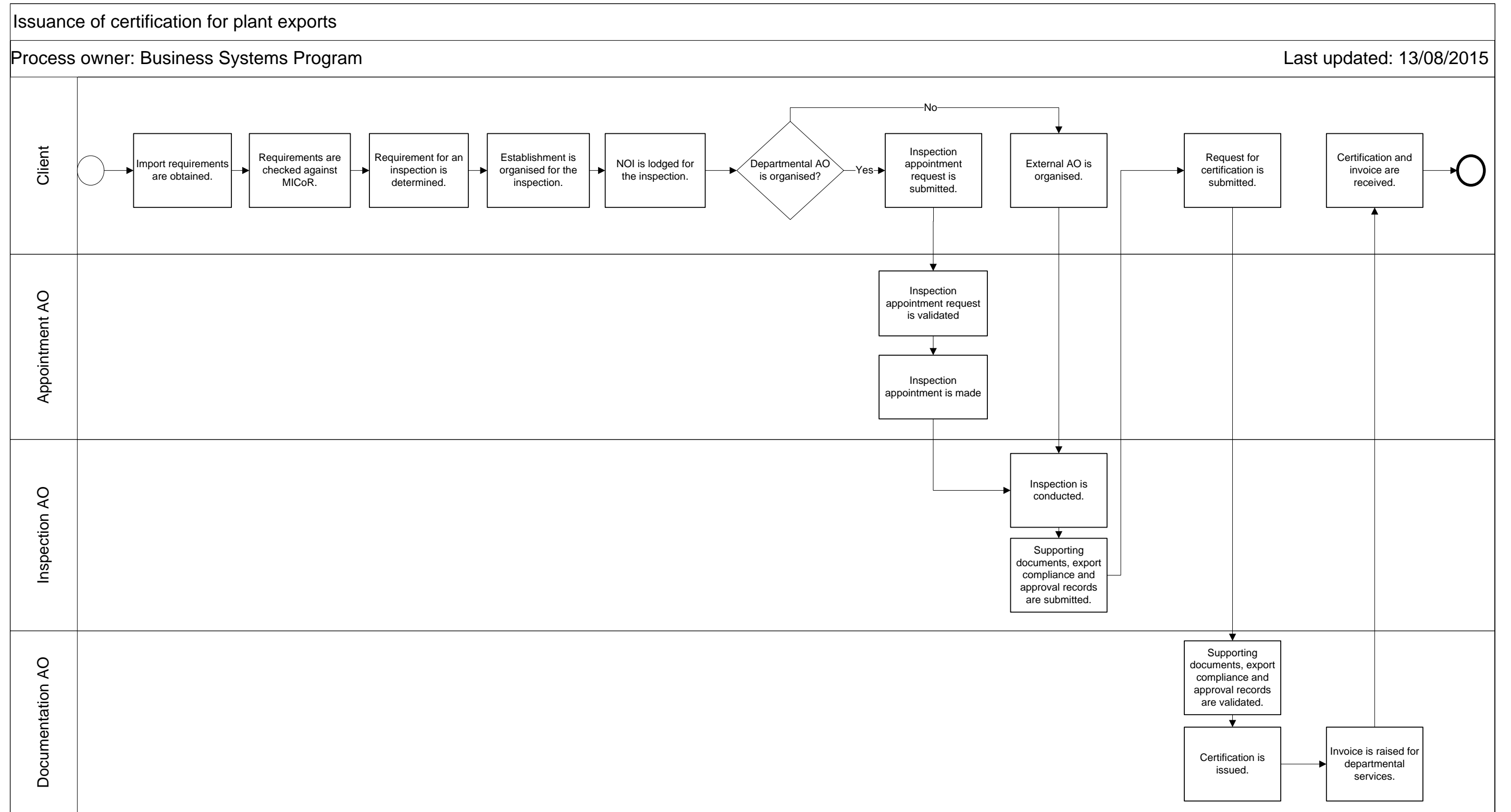
<b>Instructional material owner:</b>	Director, Business Systems Program, Plant Export Operations Branch
<b>Instructional Material Library document ID:</b>	2015/3576
<b>Freedom of information exemption:</b>	No
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<b>Review date:</b>	August 2016

## Version history

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

<b>Version</b>	<b>Date</b>	<b>Amendment details</b>
1.0	25/06/2015	First publication.
2.0	06/10/2015	Amendments to wording in Attachment 1 and changes to policy in Attachment 2.

**Attachment 1: Issuance of certification for plant exports process map**



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## Attachment 2: How to determine if a consignment of plants or plant products for export needs a phytosanitary inspection and an export permit

The following table outlines how to determine if a consignment of plants or plant products for export needs a phytosanitary inspection and an export permit.

If the product...	And the consignment...	And the importing country authority...	Does the consignment need a phytosanitary inspection?	Does the consignment need an export permit?
fits into one of the following categories as defined by the ECPPPO2011: <ul style="list-style-type: none"> <li>• 13 prescribed grains</li> <li>• fresh fruit and vegetables</li> <li>• hay and straw</li> </ul>	is less than or equal to 10 litres (liquid products) and 10 kilograms (all other products)	does not require a phytosanitary certificate or any other official certificate	<b>No</b>	<b>No</b>
		requires a phytosanitary certificate or any other official certificate	<b>Yes</b>	<b>No</b>
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