



GUIDELINE

Issuance of certification for plant exports

Direction to staff

You must comply with this instructional material under the Practice Statement Framework.

Direction to authorised officers

Authorised officers must exercise powers and perform functions in accordance with any lawful directions or instructions issued by the department).

Direction to industry

This guideline outlines the requirements for the issuance of certification for plant exports. All parties with roles and responsibilities explicit in this guideline and legislation must comply with it.

Summary of main points

This document outlines the policy for the issuance of certification for plant exports. It includes the requirements for:

- a Notice of Intention (NOI)
- amending a NOI
- export permits
- phytosanitary certificates
- extra certificates.

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Purpose of this document

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

Definitions

The following table defines terms used in this document. Additional terms and definitions relating to certification for plant export are captured in Reference: [Plant export certification and system terms and definitions](#).

Term	Definition
EX28	A manual (paper) form of the NOI to export. Note: This form is only available as a contingency measure when an electronic request for permit (RFP) cannot be lodged.
Export documentation system (EXDOC)	The department's electronic export documentation system in which export certification is produced. This includes export permits and phytosanitary certificates.

Term	Definition
Export permit	A permit issued by the department under chapter 7 of the <i>Export Control Act 2020</i> and required under the Export Control (Plants and Plant Product) Rules 2021 for the lawful export of prescribed plants and plant products.
Notice of Intention (NOI)	<p>An approved form submitted by an exporter (or the exporter's agent) to the department, containing information about goods they intend to export.</p> <p>See also Request for Permit (RFP).</p> <p>Note: For contingency purposes a manual NOI, called an EX28, can be used. An electronic NOI is called a request for permit (RFP) and is submitted through the department's electronic documentation system, EXDOC.</p>
Phytosanitary certificate	A certificate issued by one NPPO (such as the Australian government) at the request of the government of an importing country, or in accordance with Article V of the IPPC, testifying to the plant health status of the certified product or for the purpose of re-export.
Request for Permit (RFP)	<p>Request for Permit to export. An RFP in the 'INIT' or 'FINL' status is the approved electronic (EXDOC) form of the notice of intention.</p> <p>See also 'Notice of intention to export'.</p>

Legislative framework

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

- *Export Control Act 2020*
- Export Control (Plants and Plant Products) Rules 2021
- Export Control (Fees and Payments) Rules 2021
- *Privacy Act 1988*
- *Public Service Act 1999*
- *Work Health and Safety Act 2011*
- Work Health and Safety Regulations 2011

Roles and responsibilities

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

Role	Responsibility
Clients	<ul style="list-style-type: none"> • Submitting a NOI. • Requesting an amendment to the NOI. • Requesting certification. • Preparing and presenting certificate templates for issuance. • Submitting supporting documents. • Ensuring that the sections of the Export Control (Plants and Plant Products) Rules 2021 that apply to the prescribed plants and plant products for export are complied with from the date the NOI is submitted until the date of departure of the products.
Documentation Assessment Officers (DAO)	<ul style="list-style-type: none"> • Validating certification requests. • Validating supporting documents. • Validating plant export inspection and treatment records. • Issuing certification and export permits.
Departmental Inspection AO	<ul style="list-style-type: none"> • Validating certification requests. • Validating supporting documents. • Completing plant export inspection and treatment records. • Issuing certification and export permits.

Work health and safety

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

Essential equipment

The following systems are required:

- Microsoft Outlook—national certification inbox access
- EXDOC—Field officer (FIE) or Commodity clerk (COM) access
- Plant Export Operations Branch team site—read only access
- Plant Exports Management System (PEMS)—hub officer access
- Department of Agriculture, Water and the Environment website
- Manual of Importing Country Requirements (Micor) Plants
- Establishment Register (ER).

Requirements for a Notice of Intention

A Notice of Intention (NOI) must be:

- in the form of an electronic request for permit (RFP)
- lodged via EXDOC
- completed in accordance with Reference: [EXDOC and certification field requirements for plant exports](#) and the relevant importing country requirements
- at initial (INIT) or final (FINL) status for inspection and authorisation
- a manual EX28 form, if the importing country authority requires manual certification or contingency measures are in place due to electronic system failures.

Amending a Notice of Intention

- A NOI can be amended if it is within the consignment's export compliance period.
- The request to amend the NOI must be lodged via email to the department's [Assessment and Client Contact Group](#).
- The required supporting documents must be supplied.
- Amendments to the NOI must be made in accordance with:
 - Reference: [EXDOC and certification field requirements for plant exports](#)
 - Reference: [RFP amendment requirements for plant exports](#)
 - Reference: [RFP amendments permitted by EDI users for plant exports](#).

Note: The amendment of a NOI will result in the reissuance of a new phytosanitary certificate and additional export certification (if required) through EXDOC.

Amendments to manual certificates

- Manual certificates cannot be amended or altered in any way
- If an NOI is amended that relates to a manual certificate, a new certificate must be issued to reflect the changes in the NOI.

Important: The issuance of a new manual certificate must be made in accordance with the relevant [work instruction](#).
- A statement must be added to the new manual certificate with the words 'This certificate has been replaced in lieu of insert previous manual certificate number'.

Requirements for the issuance of an export permit

- For an export permit to be issued, the following requirements must be met
 - the NOI must be valid
 - the consignment/vessel/container must have passed a phytosanitary inspection

Note: A phytosanitary inspection is not required for the export of fresh fruit and vegetables where a phytosanitary certificate is not required or for consignments of plant-based oils to China.
 - the consignment/vessel/container must be within the export compliance period
 - the consignment/vessel/container must comply with the importing country requirements and with the *Export Control Act 2020*, and subordinate legislation
 - supporting documents must be valid.
- Export permits must be issued prior to the export of the consignment.
- Export permits must be issued electronically through the department's EXDOC system unless there is an EXDOC system failure.

Requirements for the issuance of a phytosanitary certificate and a phytosanitary certificate for re-export

- For a phytosanitary certificate to be issued, the export permit must be valid and the requirements for the export permit met.
- Phytosanitary certificates must only be issued:
 - where required by an importing country
 - if the consignment complies with importing country requirements and with the *Export Control Act 2020*, and subordinate legislation
 - if the consignment/vessel/container has passed a phytosanitary inspection

- supporting documents are valid.
- Phytosanitary certificates must be issued electronically through the department's EXDOC system, unless
 - the electronic equivalent of the certificate is not available in EXDOC
 - there is an EXDOC system failure.

Requirements for issuing a phytosanitary certificate for re-export

Phytosanitary certificates for re-export must meet the following additional requirements, as demonstrated by the exporter:

- The consignment for re-export consist of imported plants or plant products only.
- The consignment for re-export is accompanied by an original phytosanitary certificate/s or certified copy/ies.
- The consignment has not been subjected to the risk of infestation or contamination.
- The plants or plant products of the consignment for re-export have not been grown or processed to change their nature in Australia.

Requirements for endorsements relating to issuing a phytosanitary certificate for re-export

- Endorsements relating to the country of origin must be on the original phytosanitary certificate or the certified copy. If additional endorsements that require further phytosanitary action/s to be undertaken on the consignment are necessary, then a phytosanitary certificate for export must be issued.
- Additional declarations from the original phytosanitary certificate or certified copy cannot be transferred to Australian phytosanitary certificates for re-export.
- Certification must not be issued for product in-transit or in-bond through Australian ports en route to other destinations, as it has not been formally cleared as imported into Australia.

Requirements for the issuance of extra certificates

Extra certificates must:

- only be issued if it is an importing country requirement, unless otherwise specified
- not be issued until the export permit and phytosanitary certificate are issued
- be issued as an attachment to a phytosanitary certificate, unless otherwise specified
- be issued electronically through the department's EXDOC system unless
 - the electronic equivalent of the certificate is not available in EXDOC
 - there is an EXDOC system failure.

Certificates that can only be issued electronically

The following extra certificates can only be issued electronically:

- GL1 – Sack Inspection Certificate
- GL2 – Container Inspection Certificate
- GL3 – Sack and Container Inspection Certificate
- GL4 – Seed Sampling, Empty Container Inspection and Sack Inspection Certificate
- GL12 – Ship's Holds Inspection Certificate
- GL13 – Seed Sampling Certificate
- GL14 – Seed Sampling and Empty Container Certificate
- GX46/HX46 – Certificate as to Condition
- GX46A – Certificate as to Condition with General Radiation Statement
- GX46B/HX46B – Radioactivity Statement – Bangladesh

- GX46E – Certificate as to Condition with Egypt Radiation Statement.

Certificates that can only be issued manually

The following extra certificates can only be issued manually:

- EX188 – Declaration and Certificate as to Condition
- Radioactivity statement
- EX175 – Ship's Holds Certificate.

Sack Inspection Certificate (GL1) requirements

A GL1 must only be issued:

- for grain and plant products packaged in sacks or bags
- if the sacks have passed the inspection as being clean and new.

Empty Container Inspection Certificate (GL2) requirements

A GL2 must only be issued:

- for grain and plant product consignments loaded into empty containers
- if the empty container/s have passed inspection
- if it is an importing country requirement or requested by the client.

Sack and container Inspection Certificate (GL3) requirements

A GL3 must only be issued:

- for grain and plant product packaged in sacks and loaded into empty containers
- if the empty containers have passed inspection and the sacks have passed inspection as being clean and new.

Seed Sampling, Empty Container Inspection and Sack Inspection Certificate (GL4) requirements

A GL4 must only be issued:

- if the empty containers have passed inspection and the sacks have passed inspection as being clean and new
- for seed samples drawn in accordance with the importing country authority's requirements
- if a seed sampling certificate has been submitted.

Ship's Holds Inspection Certificate (GL12) requirements

A GL12 must only be issued:

- if requested by the client
- when the ship's holds have been inspected and deemed export compliant by an AO.

Seed Sampling Certificate (GL13) requirements

A GL13 must only be issued:

- if the seed samples are drawn in accordance with the importing country authority's requirements
- if a seed sampling certificate has been submitted.

Seed Sampling and Inspection Certificate (GL14) requirements

A GL14 must only be issued if a seed sampling certificate is submitted.

Certificate as to Condition (GX46/HX46) requirements

A GX46/HX46 must only be issued if:

- the client has included the declaration in the RFP before requesting the issuance of certification
- the certifying statement does not relate to a phytosanitary matter.

Certificate as to Condition with General Radiation Statement (GX46A) requirements

A GX46A must only be issued for grain and plant products where required by an importing country or requested by the client.

Radioactivity Statement to Bangladesh (GX46B/HX46B) requirements

A GX46B/HX46B must only be issued for grain (GX46B) or horticulture (HX46B) consignments if the destination country is Bangladesh.

Egypt Certificate as to Condition and Radiation Statement (GX46E) requirements

A GX46E must only be issued for grain consignments if the destination country is Egypt.

Declaration and Certificate as to Condition (EX188) requirements

- An EX188 must only be issued if an EX188 template is submitted by the client.
- If approved by the [Grain and Seed Export Program](#), an EX188 can be issued as a non-importing country requirement or on an ad hoc basis.

Note: An EX188 can be issued as an attachment to a phytosanitary certificate or as a standalone certificate for consignments that do not require a phytosanitary certificate.

Radioactivity Statement requirements

A radioactivity statement certificate must only be issued when required by an importing country authority.

Ship's Holds Inspection Certificate (EX175) requirements

An EX175 must only be issued:

- if requested by the client
- when the ship's holds have been inspected and deemed export compliant by an AO
- as a standalone certificate for consignments that do not require a phytosanitary certificate.

Requirements for reprinting a certificate

- Certification can be reprinted if it is lost, or a printer malfunction or a software issue has occurred.
- Clients must request a reprint certificate via email, including a written explanation and supporting documentation to the department's [Assessment and Client Contact Group](#).
- Extra certificates must only be reprinted when a phytosanitary certificate is reprinted.

The following table outlines the process for the issuance of an export permit and/or phytosanitary certificate, and extra certificates.

Stage	What happens	Responsible party
1.	A request for certification is lodged via email to the department's Assessment and Client Contact Group . The request must include: <ul style="list-style-type: none"> the NOI number the required supporting documents the appropriate inspection and treatment records a request for an extra certificate (if applicable) a completed certificate in the approved template (if applicable). 	Client
2.	The NOI is validated in accordance with the Work Instruction: Issuing certification for plant exports .	DAO or Departmental Inspection AO
3.	The supporting documentation is validated in accordance with the Guideline: Supporting documents for plant exports .	DAO or Departmental Inspection AO
4.	The export inspection or treatment record is validated in accordance with the Work Instruction: Validating plant export inspection and treatment records for plant exports .	DAO or Departmental Inspection AO
5.	Certification is issued.	DAO or Departmental Inspection AO

Record keeping

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

Where documents are not available in PEMS, State or Territory government officer or third-party AOs must retain all original completed records and any supporting documents for two years from the date of the inspection.

Related material

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

- Guideline: *Issuance of certification for plant exports*
- Guideline: *Supporting documents for plant exports*
- Work Instruction: *Preparing a declaration and certificate as to condition (EX188) for plant exports*
- Work Instruction: *Preparing a radioactivity statement certificate for plant exports*
- Work Instruction: *Preparing a manual ship's holds inspection certificate (EX175) for plant exports*.

The following related material is available on the [Instructional Material Library](#):

- Work Instruction: *Issuing certification for plant exports*
- Work Instruction: *Validating plant export inspection and treatment records for plant exports*
- Work Instruction: *Issuing a declaration and certificate as to condition (EX188) for plant exports*
- Work Instruction: *Issuing a radioactivity statement certificate for plant exports*
- Work Instruction: *Issuing a manual ship's holds inspection certificate (EX175) for plant exports*
- Reference: *EXDOC and certification field requirements for plant exports*
- Reference: *Plant export certification terms and definitions*
- Reference: *Request for permit amendment requirements for plant exports*
- Reference: *Request for permit amendments permitted by EDI users for plant exports.*

Contact information

- Assessment and Client Contact Group: PlantExportsNDH@awe.gov.au.

Document information

The following table contains administrative metadata.

Instructional Material Library document ID	Instructional material owner
IMLS-9-4038	Director, Business Systems Program

Version history

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

Version	Date	Amendment details
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.
3.0	20/12/2016	Amendments for <ul style="list-style-type: none">• PEMS 2.0 implementation• addition of ITCT• transfer and IRADS certificates• additional sections for extra certificates Updated as part of Assessment Services Group electronic certification instructional material suite.
4.0	1/07/2020	Updated as part of Assessment Services Group electronic certification instructional material suite.
5.0	3/02/2021	Updated to include manual certificate information.

Version	Date	Amendment details
6	28/03/2021	Updated to include re-export policy information and for the commencement of new legislation.