

EXPORTING PRESCRIBED GOODS

DRAFT **NEW EXPORTER KIT** **- A GUIDE TO BECOMING** **AN EXPORTER OF DAIRY PRODUCTS**

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1 PURPOSE

The information contained in this document will provide guidance on the appropriate documented procedures that need to be in place in order for an exporter to obtain export documentation.

2 BACKGROUND

The *Export Control Act 1982 (ECA)* enables AQIS to issue export certificates to meet importing country requirements, to meet the requirements of legislation or to confirm matters in relation to goods exported.

The *ECA* prohibits exports for prescribed goods, including milk and milk products, unless certain conditions are met including issue of export permits and that the goods are made available for inspection as required.

The *Export Control (Prescribed Goods – General) Orders* provide for registration of premises and management of export registered establishments.

The *Export Control (Milk and Milk Products) Orders* provide specific requirements to enable compliance with importing country requirements and provision of export certification.

The *Export Control (Fees) Orders* provide details of the fees that apply for services provided by AQIS.

3 DEFINITIONS

ECA	<i>Export Control Act 1982</i>
PGGOs	<i>Export Control (Prescribed Goods – General) Orders 2005</i>
Milk Orders	<i>Export Control (Milk and Milk Products) Orders 2005</i>
Fees Orders	<i>Export Control (Fees) Orders</i>
DRU	Dairy Review Unit
EXDOC	AQIS' electronic export documentation system
RFP	Request for Permit, the mechanism for obtaining export permits and certificates through EXDOC
ORDR	RFP has been initiated but does not have sufficient information to obtain an export permit in EXDOC
INIT	RFP has sufficient information to obtain an export permit but not a health certificate in EXDOC but the export permit has not been issued
FINL	RFP has sufficient information to obtain an export permit and a health certificate in EXDOC but the export permit has not been issued
INSP	RFP has an export permit but there is insufficient information for a health certificate to be issued in EXDOC
HCRD	Health Certificate Ready – export permit issued waiting for health certificate to be issued in the EXDOC system but the health certificate has not been issued
COMP	Export permit and health certificate have been issued in EXDOC
PID	Primary Industry Dairy
EDN	Export Declaration Number
Outer Container	The outer container is the packaging material (plastic wrap, box,

	etc.) of the exported product, not the immediate container of the product, which is the packaging in direct contact with the food.
Milk and milk products	<p>The <i>Export Control (Milk and Milk Products) Orders 2005</i> apply to the following products:</p> <p>(a) milk (other than colostrum) obtained from an animal of the bovine species; and</p> <p>(b) the following milk products derived from milk (other than colostrum) obtained from an animal of the bovine species:</p> <p>(i) flavoured milk and modified milk;</p> <p>(ii) cream and thickened cream;</p> <p>(iii) butter, butter concentrate, buttermilk, concentrated buttermilk, dairy blend, ghee (clarified butter) and anhydrous milk fat (butter oil);</p> <p>(iv) casein, caseinate and cheese;</p> <p>(v) whey, whey cream and concentrated whey cream;</p> <p>(vi) cultured milk and yoghurt;</p> <p>(vii) butter milk powder, lactose powder, milk sugar, powdered milk, skim milk powder, whey powder, milk protein powder, condensed milk, milk minerals and other milk concentrates;</p> <p>(viii) dips containing yoghurt, cream cheese or other dairy base; any other like milk product a major component of which is milk.</p> <p>If an importing country requires certification for other products, then the <i>Export Control (Milk and Milk Products) Orders 2005</i> may apply.</p>
Major component	<p>means the ingredient in a milk product which:</p> <p>(a) comprises the largest proportion of the milk product by weight or volume; or</p> <p>(b) is in such a proportion by weight or volume that if the ingredient is withdrawn from the milk product, the milk product would no longer have the stated or implied described characteristics.</p>
Preparation	For milk and milk products means the processing, packing, storage, treatment, handling or loading of milk and milk products
European Union Member States	Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Poland, Portugal, Spain, Sweden, United Kingdom, , Malta, , Poland, Slovakia, Slovenia, Bulgaria, Romania
PRA	Pre Receival Advice

4 REFERENCES

Legislation:

- *Export Control (Milk and Milk Products) Orders 2005*
- *Export Control Act 1982*
 - Part II Export and entry for export of prescribed goods
 - Section 6 - Notice of intention to export prescribed goods

- *Export Control (Prescribed Goods – General) Orders 2005*
- *Export Control (Fees) Orders 2001*

Procedures and Guidelines:

Export Procedures Checklist: provided at Appendix ???

Approved Export Permit Issuer checklist: provided at Appendix ???

Importing Country Requirements for Exporting Australian Dairy Products - available at www.aqis.gov.au/dairy

EXDOC, Endorsements. will be available at www.aqis.gov.au/dairy or by request to dairy@aqis.gov.au

EXDOC, Option & Defaults. will be available at www.aqis.gov.au/dairy or by request to dairy@aqis.gov.au

Dairy Export Program Operations Manual provides Standard Operating Procedures, Work Instructions and Information Sheets that detail how the dairy export inspection system operates.

Dairy Industry Notices advise exporters, dairy EXDOC users and dairy export registered of requirements for export of milk and milk products. Dairy Industry Notices are distributed via email or by the AQIS website.

Dairy Industry Advices provide information to exporters, dairy EXDOC users and dairy export registered of requirements for export of milk and milk products. Dairy Industry Advices are distributed via email or by the AQIS website

New users of EXDOC. Appendix ??? provides details of the activities that need to be tested prior to progression into EXDOC Production

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EXPORTER RESPONSIBILITIES

Exporters must comply with export legislation and importing country requirements.

5 WHAT DO I NEED TO DO TO EXPORT?

The exporter must:

- Export milk and milk products that are eligible for export – see section 8
- Be in possession of a declaration of compliance for all milk and milk products to be exported – see section 8.1

- Obtain a valid export permit prior to exporting the milk and milk products – see section 7.3.2
- Obtain health certificates in accordance with importing country requirements – see section 7.6
- Document procedures for obtaining export documentation that ensures compliance with export legislation and importing country requirements – see Appendix 2
- Retain records in relation to export documentation obtained – see section 9

Please note that there are no licence requirements for exporting milk and milk products.

6 WHAT ARE THE COSTS OF EXPORTING MILK AND MILK PRODUCTS?

The details of fees for dairy export documentation, inspection, auditing and other in office services are provided at <http://www.daff.gov.au/aqis/export/dairy/fees-charges>. The Dairy Export Program is a fully cost recovered product in accordance with Government Policy. Fees and charges are determined to align costs with beneficiaries. The fees are legislated in the *Export Control (Fees) Orders* which can be found at www.aqis.gov.au/legislation. Outstanding payments of fees are routinely managed and long term outstanding debt will result in suspension of services provided by AQIS.

7 APPLYING FOR AN EXPORT PERMIT

Whenever you export a prescribed milk or milk product you must obtain a valid export permit before your milk and milk products are exported ie. on or before the departure date of the consignment.

AQIS is the government authority responsible for issuing export certification. In order to maintain the integrity of the export certification, AQIS must ensure that there is an appropriate system in place across Australia that underpin the production of safe food and compliance with legislation and all importing country requirements. Any claims made in export certification must be able to be substantiated.

Export permits may be issued by AQIS authorised officers or by approved export permit issuers. Approved export permit issuers are approved by AQIS when they demonstrate that they have the knowledge and systems in place to ensure that all export permits issued are in compliance with export legislation and importing country requirements.

7.1 EXPORT APPLICATION INFORMATION

Export applications must be completed to obtain an export permit. The method of export application may be through the RFP using EXDOC or manually using forms EX28 or EX222. Exporters must ensure product exported complies with all legislative and importing country requirements. An exporter completing an export application for an export permit must endorse a statement that all the information in

the permit is true and complete and that the exporter is in possession of a Declaration of Compliance.

Where an export application is presented for approval it must contain the following information:

1. The name and address in Australia of the person who intends to export the food;
2. The registration number of the establishment at which the food is last prepared (other than merely stored, handled or loaded);
3. Each of the dates on which the food is prepared (other than merely stored, handled or loaded);
4. If Australia is not the country of origin of the food—the country of origin of the food;
5. The name and address of the consignee, or if a government certificate is not required—the words “to order”;
6. The intended port of loading of the food;
7. The intended date of departure of the ship or aircraft onto which the food is to be loaded;
8. The airline flight number or the name of the ship and the voyage number;
9. The intended port of discharge of the food;
10. The country that is the intended final destination of the food;
11. The net contents of the food and number and type of packages (if any) in which the food is packed;
12. A full description of the food, include the type of product, the pack type and preservation (for example chilled, frozen or un-refrigerated);
13. Any other information required

Any other information required means information required to comply with specific importing country requirements, export legislation or to support claims made on the application. In EXDOC this includes that the exporter must confirm that they are in possession of a Declaration of Compliance, confirm if there are any dairy imported ingredients in the milk and milk products to be exported and confirm that information in the RFP is true and correct.

7.2 WHEN DO I NEED AN EXPORT PERMIT

When you are exporting milk and milk Products, as defined in the *Export Control (Milk and Milk Products) Orders 2005* **an export permit is required unless** the consignment contains less than 10 kg of prescribed goods and the importing country does not require an export certificate or it is being exported to New Zealand and New Zealand does not require an export certificate nor is the product to be exported to another country from New Zealand or further processed and exported to another country from New Zealand.

7.3 HOW DO I OBTAIN AN EXPORT PERMIT

There are two approved methods of applying for an export permit; these are either electronically via EXDOC or manually using a prescribed form.

Most export permits and export certificates are issued through the EXDOC system. The EXDOC system provides an efficient mechanism for issuing export documentation in a timeframe responsive to exporter’s needs. Export permits are

requested with the lodgement of the Request for Permit (RFP). The export permit has not been issued until the RFP reaches the INSP, HCRD or COMP status. Requests received prior to 5.00pm Australian Eastern Standard Time to process RFPs are generally completed on that day provided all requirements have been met by the exporter and registered establishments involved.

Manual documentation is provided as a contingency option. The issue of manual documentation requires additional time to perform the same checks that automatically occur within EXDOC. Exporters must allow sufficient time for manual documentation to be verified. Manual documentation may take more than 3 days to process as the document may need to be physically transferred between a number of AQIS officers with all automated checks requiring manual validation.

When applying for an export permit using a manual form, the exporter must use either an EX28 (Notice of Intention to Export) or an EX222 (Export Clearance Declaration).

7.3.1 WHO CAN ISSUE AN EXPORT PERMIT?

AQIS authorised officers and Approved Export Permit Issuers can issue export permits within the conditions of their approval. If AQIS is to authorise an export permit through EXDOC, then exporters must email dairy.exdoc@qis.gov.au on or before the date of departure requesting approval prior to export of the milk and milk products.

7.3.2 WHAT IS A VALID EXPORT PERMIT?

A valid export permit must be issued by an authorised officer or Approved Export Permit Issuer prior to export of the consignment and remains valid for 28 days after it's issued.

7.3.3 HOW CAN I BECOME AN APPROVED EXPORT PERMIT ISSUER?

AQIS will approve Approved Export Permit Issuers who:

- Can demonstrate their understanding of the requirements of the Milk Orders, EXDOC and importing countries – Appendix 1 gives an indication of key areas of understanding that must be demonstrated.
- Have documented Export Procedures that describe how they issue export permits to meet the above requirements – Appendix 2 provides details of the key areas that must be documented in the Export Procedures.

7.3.4 WHAT CONDITIONS NORMALLY APPLY TO APPROVED EXPORT PERMIT ISSUERS?

Approved Export Permit Issuers can only issue export permits under the following conditions:

- Compliance with their documented Export Procedures
- Compliance with importing country requirements as provided at www.aqis.gov.au/dairy
- Prior to export of the milk and milk products to be exported
- The consignment is not destined for the European Union

7.4 HOW DO I OBTAIN ACCESS TO EXDOC?

The AQIS electronic export software system is called EXDOC and is used by exporters to generate export permits and health certificates. Exporters gain access to EXDOC through third party software systems. Details of these systems are provided at <http://www.aqis.gov.au/EXDOC>. The website also provides information in relation to:

7.5 MANUAL PROCESSING

Processing an Export permit manually requires submitting your request via forms. These forms are known as an EX222 or EX28. These forms can be obtained directly from the AQIS documentation section.

EX222 can be signed by Approved Export Permit Issuers and would be used when contingency arrangements are required.

EX28 Notice of Intention must be completed if permit has been completed it needs to be submitted to the documentation section for signing

When export documentation is obtained using manual documentation, a copy of the manufacturers and exporters declaration must accompany the export permit.

7.6 WHEN DO I NEED A HEALTH CERTIFICATE?

Obtaining a health certificate is the final step in the documentation process. Most countries require a Health Certificates to enable entry of the product being exported. Many importing countries have specific requirements for the issue of health certificates. These requirements must be met or health certificates will not be able to be issued. An example is that some countries require health certificates to be issued prior to export of the consignments. AQIS is unable to issue a health certificate for these countries if it is not issued prior to export of the consignment.

The process for obtaining a health certificate is electronically by progression of the EXDOC RFP to COMP status. For manual documentation a separate form to the export permit (Forms EX222 or EX28) must be completed. In most cases this is a form EX46. However, there are a range of specific certificates required for

Once you have obtained your export permit number (either as an approved permit issuer or from AQIS) the RFP will be at a status of HCRD. At this stage you e-mail DRU dairy.exdoc@aqis.gov.au and request that your RFP be set to a status of complete and a corresponding health certificate will be generated.

Depending on the country of destination the Health Certificate can be received in a number of ways. Some countries do not accept a facsimile signature and as such must be printed in the AQIS regional office for manual signing (in these cases the print location must be set to AQIS eg MEL). For those countries that accept a facsimile signature you can elect to have the certificate printed in your office (providing you have a duplex laser printer and a supply of security paper It can be printed in your office)

7.7 RE ISSUE OF HEALTH CERTIFICATES

In the event you require a change to an issued health certificate then you can request AQIS amend the document and reprint the certificate. Changes can only be made to consignee and shipping details. If the change is to date of departure or flight/ship name/number then no cost is incurred as these changes are generally not in the exporters control. If other changes are made and a certificate is printed then replacement documentation fees apply.

Where a health certificate has been re-printed the original certificate **MUST** be returned to the DRU as soon as possible.

8 WHAT MILK AND MILK PRODUCTS IS ELIGIBLE FOR EXPORT?

Milk and milk products must meet the following conditions to be eligible for export:

- Manufactured at an export registered premises that is registered for the operation occurring at the establishment – see New Registrations Kit
- Be produced in accordance with an Approved Arrangement covering the milk and milk products to be exported for the market to which it is destined – see www.aqis.gov.au/dairy Guidelines for Approved Arrangements
- Be stored and handled in export registered premises that is registered for the operation occurring at the establishment – see New Registrations Kit
- Have a valid declaration of compliance and transfer documentation demonstrating that the product has always been within the export chain – see www.aqis.gov.au/dairy Information Sheet on Requirements for Transfer Documentation

AQIS routinely conducts audits to confirm compliance with these requirements.

8.1 DECLARATION OF COMPLIANCE

Any application for an export permit must contain a statement from the exporter that they are in possession of a manufacturer's declaration (declaration of compliance), The manufacturer's declaration, the declaration must state that the food being exported complies with the requirements of the export orders. Further information is available at www.aqis.gov.au/dairy see the Information Sheet – Requirements for Declarations of Compliance

When manual documentation is submitted to AQIS, a copy of the manufacturers and exporters declaration must accompany the export permit.

9 REQUIREMENT TO RETAIN RECORDS

An integral part of the Australian dairy export inspection system is the demonstration to importing authorities that there is a sound basis for an export permit and health certificate being issued. For this reason adequate records must be available.

The issuing of an export permit and health certificate is the final step in an entire quality assurance system that covers the manufacture, storage, transportation and certification of the product being exported. All certification issued confirms that each step is in place in accordance with importing country and export legislation requirements. Each step must be able to be substantiated

Exporters are required to keep and maintain records that verify compliance with legislation and importing country requirements for a minimum of three years from export of the consignment. Examples of these records to have and maintain include:

- Copies of all export permits and health certificates issued,
- Copies of all transfer documents and declarations of compliance for all products exported in each consignment
- Copies of test results, labels etc that show compliance
- Record of security paper used
- Record of any AQIS seal used
- Copies of any manual permits and or health certificates issued
- Your export procedures manual

10 AQIS RESPONSIBILITIES

AQIS is the Competent Authority responsible for issuing export certification in compliance with export legislation and importing country requirements. AQIS must ensure that adequate systems are in place to substantiate any claims made on export certificates and demonstrate to importing countries that their requirements are met. AQIS must ensure that registered establishments and exporters comply with export legislation and importing country requirements to meet these obligations.

10.1 DAIRY INDUSTRY NOTICES AND DAIRY INDUSTRY ADVICES

The Dairy Review Unit will provide regular newsletters and updates. These newsletters will be distributed to manufactures & exporters of dairy products and provide updated information on changes within the industry, importing country requirements, certification issues etc.

10.2 Audits

Approved Auditors and AQIS perform random audits on dairy export registered establishments and exporters to confirm compliance with export legislation and importing country requirements. These audits provide AQIS with the basis to substantiate claims made on export certification including confirmation that food

safety standards, product integrity, traceability and documentation requirements are met. This enables maintenance of market access when importing countries accept the Australian dairy export system.

10.3 PROVIDING APPROVALS FOR APPROVED EXPORT PERMIT ISSUERS

AQIS will approve Approved Export Permit Issuers when individuals demonstrate that they meet requirements detailed in Section 7.3.3

11 FREQUENTLY ASKED QUESTIONS

WHAT HAPPENS IF I DON'T GET AN EXPORT PERMIT PRIOR TO THE DATE OF DEPARTURE?

If you fail to obtain an export permit prior to the date of departure then you are in breach of export legislation. The incident will require full investigation. You should immediately notify AQIS. AQIS will email you details of information required to enable determination of the next steps. Depending on information obtained, the product may be required to be returned to Australia or the product be destroyed at the destination country or a letter may be issued in relation to the consignment or sanctions may be applied against the exporter that could include prohibition from exporting, notification to compliance, mandatory load-out inspections and or removal of AQIS approval to validate your own export permits.

WHAT IS A PRESCRIBED GOOD?

A prescribed good are goods declared to be prescribed under the *Export Control Act 1982*. These include:

- Milk and Milk Products
- Meat and Meat Products
- Hay and Straw
- Game, Poultry and Rabbit Meat
- Fish and Fish Products
- Egg and Egg Products
- Animals
- Mung Beans
- Organic Produce
- Plant and Plant Products

ARE THERE EXCEPTIONS TO THOSE GOODS THAT ARE PRESCRIBED GOODS?

The following goods are not prescribed goods:

- (a) Goods that are ships' stores or aircraft stores, being goods brought into or shipped into Australia for the use of the passengers and crew or for the service of the ship on a voyage, or the aircraft on a flight from Australia;
- (b) Goods, other than fish, that are not produced, processed or manufactured in Australia;

- (c) Goods, other than fish, that have not been produced, processed or manufactured in Australia, being goods that have been imported into Australia and held in bond;
- (d) Goods, other than fish, that are imported into Australia and re-exported in the same covering and under the same trade description as the covering and trade description in or under which, as the case may be, they were imported;
- (e) Goods that are consigned to an external territory for consumption within the Territory;
- (f) Goods that are consigned to a resources industry structure that is installed within the Joint Petroleum Development Area, for consumption on the structure.
- (g) All dairy products to New Zealand

DO YOU REQUIRE AN EXPORT PERMIT FOR MILK OR MILK PRODUCTS FROM AN ANIMAL OTHER THAN BOVINE?

Milk and milk products produced with sheep or goat milk or any other species than bovine is not regulated by the Milk Orders unless export certification required by the importing country.

WHAT IS AN INGREDIENT?

An *ingredient* means any substance (including a food additive) that is part of the milk and milk product including raw materials or processing aids but does not include water.

ARE THERE EXCEPTIONS WHERE YOU DON'T NEED A PERMIT TO EXPORT

Yes there are some exceptions, Shipments under 10kg (per consignment) are not considered a prescribed good and therefore no export requirements apply (unless it is an importing country requirement, you should always check with your buyer first) Or where the product is a Liquid processed food exported in a consignment of no more than 10 litres

CAN MILK AND MILK PRODUCTS FOR EXPORT BE MANUFACTURED ANYWHERE?

Milk and milk products for export as food must be prepared at an establishment that is registered **with AQIS** in respect of the operations for the preparation of the food undertaken. Subsequent to the manufacture of milk and milk products, milk and milk products for export must be stored in AQIS registered establishments that are registered for the operation occurring at the establishment.

HOW DO I KNOW IF AN ESTABLISHMENT IS REGISTERED WITH AQIS?

You can ask the company for their AQIS registration number and a copy of their current export registration certificate. If the establishment is a store then you should ask them if they have AQIS registration to store dairy commodities. This information can be verified by contacting the AQIS Dairy Export Program.

WHAT IS A REGISTERED ESTABLISHMENT?

A *dairy export registered establishment* is an establishment registered with AQIS in accordance with the *Export Control (Prescribed Goods - General) Orders 2005*

WHAT IS A DECLARATION OF COMPLIANCE?

A declaration of compliance is a declaration made by the manufacture of the milk and milk products confirming that the milk and milk products were produced in compliance with the requirements of export legislation and importing countries.

Exporters declaration is the declaration that they are in possession of the manufacturers declaration of compliance for all milk and milk products in the consignment that is to be exported and that all information provided in export documentation is true and complete.

WHAT IS AN APPROVED EXPORT PERMIT ISSUER?

An approved export permit issuer means a person that has been given approval to issue their own export permits under subclause 16.5 of Schedule 9 of the Milk Orders.

HOW DO I MEET IMPORTING COUNTRY REQUIREMENTS?

The Dairy Review Unit provides a list of importing country requirements at www.aqis.gov.au/dairy. This list provides information on the importing requirements of all countries.

The DRU Dairy Industry Notices and Dairy Industry Advices also provide information on importing country requirements

WHEN I AM APPROVED TO SIGN MY OWN PERMITS DO I STILL NEED TO SEND AQIS A REQUEST TO PRINT THE HEALTH CERTIFICATE?

Yes, initially you will have to send an e-mail request to dairy.exdoc@aqis.gov.au and request approval for a health certificate.

If an exporter demonstrates a history of compliance and knowledge, then there is the capability for AQIS to grant approval to by-pass this step, this process is known as Total Electronic Documentation (TED). When the export program feels you have attained this level then we will contact you to advise of your options

WHAT SYSTEMS DO I NEED IN PLACE TO APPROVED MY OWN EXPORT PERMITS?

A person may apply for approval as an Approved Export Permit Issuer details of the requirements are included in Section 7.3.3 and Appendix 1 and 2. In short, you need to demonstrate a sound understanding of export legislation and importing country requirements and the Exporter must have a documented process that captures all the steps and procedures that you will take to ensure that you meet export legislation and the importing country requirements of the country you are exporting to as described in this document.

WHAT IS A LOAD OUT INSPECTION AND WHY DO AQIS DO THEM?

A load-out inspection is a verification exercise whereby AQIS inspect a container being loaded for export and ensure that what is being loaded matches the export permit details, including trade description details, quantity, markings, codes, condition of the container, condition of the product and general compliance with legislation and importing country requirements. In essence we verify eligibility for export. Further information regarding load out inspections is available by emailing dairy@aqis.gov.au

WHAT IF THE MANUFACTURER WON'T PROVIDE A COMPLIANCE DECLARATION?

The product will be ineligible for export.

CAN I SEND OTHER PRODUCTS WITH MY MILK AND MILK PRODUCTS?

Other products can be exported with milk and milk products provided that the product does not cross contaminate the milk and milk products either physically, chemically, microbiologically, or through odours.

12 SANCTIONS

AQIS may apply sanctions when export legislation and/or importing country requirements are not met.

False declarations

For criminal penalties applying to persons who make false or misleading statements to a Commonwealth entity see the *Criminal Code Act 1995* Part 7.4 (False or misleading statements).

13 FURTHER INFORMATION

AQIS Legislation is available at www.aqis.gov.au/legislation

Information regarding the Dairy Export Program is provided at www.aqis.gov.au/dairy including:

- importing country requirements,
- Guidelines and Checklists for Approved Arrangements,
- fees and charges
- Guidelines to Schedules of the Milk Orders
- Audit Regime
- Information Sheets on Declarations of Compliance and Transfer Documentation and
- Dairy Export Program Service Charter.

EXDOC information www.aqis.gov.au/exdoc

14 APPENDIX 1 APPROVED EXPORT PERMIT ISSUER QUESTIONNAIRE

Question	Answer
1. What is an RFP/EX222 used for?	
2. Who is responsible for completing an RFP/EX222	
3. Can anyone authorise these documents?	
4. How is an RFP/EX222 authorised? And what are you authorising?	
5. What information must be completed on an RFP/EX222?	
6. Is every product manufactured by your company eligible for export? Explain answer.	
7. How do you know if a product is eligible for export and if it meets specific importing country requirements?	
8. Is there any restriction on when an RFP/EX222 has to be authorised?	
9. Can you explain the difference between an export permit and a health certificate?	
10. When does an export permit become valid and hence allow you to export product	
11. All shipments require a customs EDN before they leave Australia. Can you explain the difference between an EDN and an AQIS permit?	
12. Prior to customs issuing a clear EDN they require the exporter to provide a valid permit number. What is that number and where do you obtain it from?	
13. Once you have provided customs with your permit number under what circumstances are you required to provide them with updated information (relevant to the permit)?	
14. Can you explain what an RFP at Order, Init, Final, Insp, HCRD and Comp means?	ORDR.... INIT..... FINL..... INSP..... HCRD.... COMP...
15. Can a health certificate be issued after the product has left Australia?	
16. How long is an RFP/EX222 valid for?	
17. What would you do if you discovered that the export permit had become invalid before the health certificate was issued?	
18. Under what circumstance can someone use your authorisation (AQA logon)?	
19. What changes are you permitted to make to an RFP/EX222? And how are these changes made? Where would you find this information?	
20. What establishments are you able to authorise an RFP/EX222 for? Explain answer.	
21. What does it mean if you receive an error message that the premises are not registered for the product being exported? And what would you do about it?	
22. What does it mean if you receive an error message stating that the product being exported is prohibited for export? And what would you do about it?	
23. Under what circumstance must you use the Single Electronic Window to obtain an EDN from Customs?	
24. Explain your understanding of the relationship between the Trade Description, Health Certificate description and the label on the product?	
25. What paper do you use to print your Health	

certificates on?	
26. What does it mean if you receive a message advising you that only manual signatures allowed?	
27. If you issue a manual permit (EX222) when must you send the copies to AQIS? What copies go where?	
28. In regard to your manual permits (EX222) do you need to keep these documents in any particular way?	
29. In the event of a computer breakdown what backup system does your company have in place for issuing export permits?	
30. What systems or procedures does your company have to ensure that if someone is on leave or away, that export documents are completed in accordance with AQIS requirements?	
31. How do you know if a country has a specific export requirement, such as testing or applying seals and or what specific declarations you need to supply?	
32. What do you do with an EX222 that has been cancelled or not used?	
33. Does your company have a documented procedure for completing export documentation?	
34. Do you know if the company carry out any internal audits of their Alternative Export Clearance Procedures?	
35. Under what circumstances would you use an EX28? And what is the EXDOC equivalent?	

15 APPENDIX 2 - EXPORT CLEARANCE PROCEDURES

Minimum requirements for an Export Clearance Procedure – (ECP)	
1.	Name and number of the Exporter and EXDOC EDI User
2.	Primary contact person for the Exporter and EXDOC EDI User
3.	Procedure for notification of any changes to AQIS
4.	A list of all persons approved to be an approved export permit issuers and their positions in the company.
5.	A specimen signature of each person listed.
6.	A copy of the export certification forms to be used (electronic and manual)
7.	A step-by-step procedure for keeping records relating to ordering, receipting and for the secure storage of export documents used.
8.	A step-by-step procedure for completing export documentation, including forwarding, retaining and reconciling any forms used
9.	A step-by-step procedure for ensuring ongoing effectiveness of the system (internal audits)
10.	Procedure should clearly identify all support information required to complete export documentation, eg importing country requirements, EXDOC procedures, contact details of AQIS, software company and experienced dairy freight forwarder/s
11.	Procedure to include how the approved export permit issuer or document preparer knows that the product meets legislative, food safety and importing country requirements
12.	Procedure to include how the approved export permit issuer or document preparer knows that all appropriate product tests have been carried out, including specific importing country requirements, such as the USA or the EU.
13.	Procedure should include how the approved export permit issuer or document preparer can substantiate label claims, eg ADPI extra grade, heat treatment or foreign language statements.
14.	Procedure should address action to take in the event of emergency when normal procedures cannot operate including computer breakdown, unavailability of and/or phone and/fax and/or internet at either AQIS or exporter or registered establishment.
15.	Procedures should address how new staff will be trained in preparing documents, both electronically and manually. Training should also include how existing staff retain their knowledge. This procedure must also address seasonal and holiday and succession planning.
16.	Procedure should outline an overview for using the specific company software package for electronic certification.
17.	Document should clearly state that no product can be exported unless an export permit is obtained prior to the goods being exported.
18.	Document should clearly state how the company ensures that product is not exported without a valid permit.
19.	Document should identify those countries that currently require a health certificate prior the date of departure.
20.	Document must clearly state how specific importing country requirements are met.
21.	Procedures should also identify where appropriate support information is stored, eg importing country requirements, EXDOC defaults and options document and AQIS newsletters.
22.	Procedure should identify how the approved export permit issuer or document preparer knows that the product is retained within the export chain, eg transfer documents.

23. Procedure should list the specific export legislation applicable to exporting dairy products.
24. Procedure when an export permit can be validated by the approved export permit issuer and when it must be validated by AQIS (answer this question only if you are an approved export permit issuer).
25. Procedure should provide information on what action the company should take when key staff are absent from work.
26. Procedure should nominate what establishments the approved export permit issuer is able to sign/validate export documentation (answer this question only if you are an approved export permit issuer)
27. Procedure should outline the role the approved export permit issuer or document preparer would have in a product recall

EXDOC TEST

New users of EXDOC must demonstrate that they are able to successfully complete the following tasks. When these tasks are successfully completed, an AQIS officer in the DRU will complete the following form recommending progression of the new user into the EXDOC production environment.

COMPLETED TASKS

Test to Production Functionality

The following functionalities have been tested by EDI user (insert EDI number and company name). They are requesting to be promoted into Exdoc Production.

Date: (insert date)

Requesting Officer: (insert AQIS officer name)

Required tasks for promotion from Test to Production:

Yes/No

- | | |
|--------------------------------|---|
| 1. Lodge an RFP | RFP No. (insert number) Message No. 13 |
| 2. Amend an RFP | RFP No. (insert number) Message No. 4 |
| 3. Authorise an RFP | RFP No. (insert number) Message No. 13 |
| 4. Complete an RFP | RFP No. (insert number) Message No. 18 |
| 6. Remote print an RFP | RFP No. (insert number) Message No. 18
<u>Comments:</u> |
| 7. Remote delete an RFP | RFP No. (insert number) Message No. 1 |
| 8. Forward an RFP | RFP No. (insert number) Message No. 80
<u>Comments</u> |
| 9. Transfer an RFP | RFP No. (insert number) Message No. 90 |
| 10. Copy Request | RFP No. (insert number) Message No. 31 |
| 11. Order with ECN | RFP No (insert number) Message No. 16 |