United States Department of Agriculture

Marketing and Regulatory Programs

Animal and Plant Health Inspection Service

Plant Protection and Quarantine

Export Certification Manual

Second Edition

Important

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1 Introduction

Export Certification Manual

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Purpose

The *Export Certification Manual* (ECM) is a reference to be used when inspecting and certifying plants and plant products offered for export and when issuing Federal plant export certificates.

Phytosanitary Issues Management, Export Services is the Headquarters unit within the United States Department of Agriculture, Animal and Plant Health Inspection Service, Plant Protection and Quarantine (USDA-APHIS-PPQ), that maintains a phytosanitary export certification program for U.S. exporters of U.S. and foreign origin agricultural commodities.

Scope

The ECM provides the procedures for certifying plants and plant products offered for export. Also, the ECM covers the information about PPQ's Export Certification Project, EXCERPT, an electronic database that provides current information on the plant import requirements of foreign countries.

This manual is divided into the following chapters:

- *Introduction*
- *Procedures*
- *Special Procedures*

The manual also includes *Appendixes*, a *Glossary*, and an *Index*.

The *Introduction* provides basic information about the ECM. This chapter includes the manual's purpose, scope, users, and application; a list of related documents that provides the authority for the manual's content; directions about how to use the manual; and the conventions (unfamiliar or unique symbols and highlighting) that appear throughout the manual).

The *Procedures* provide the prerequisites and the general guidelines for certifying plants and plant products offered for export. The prerequisites include basic policy, EXCERPT, types of products, roles and responsibilities, contact protocol, and an overview of the general guidelines. The general guidelines include deciding to certify, identifying import requirements, inspecting the plants or plant products, and preparing export certificates.

The *Special Procedures* provide unique guidelines covering aspects of export certification that warrant special handling, such as certification programs, compliance agreements, accreditation programs, and other procedures that supplement the general guidelines.

The *Appendixes* contain supplementary information which are **not** considered procedural, or are explanations and elaborations **not** essential to the manual but helpful to the user, or information that interrupts the main flow of the procedures making them more difficult to follow.

The *Glossary* defines specialized words, abbreviations, and acronyms associated with certifying plants and plant products for export.

The *Index* contains topics with links and page numbers for quick reference.

Although the ECM does mention and give some direction for using EXCERPT as related to the procedures, the ECM **does not** comprehensively cover the use of databases related to export certification. Related databases include EXCERPT, ACO (Authorized Certification Official) database, and the future PCIT (Phytosanitary Certificate Issuance Tracking System).

Users

Authorized Certification Officials (ACOs) use the ECM to assist in inspecting and certifying plants and plant products and issuing Federal plant export certificates. Export certification specialists, local PPQ contact points, trade specialists, and supervisors (State plant health directors, regional program managers, officers-in-charge, and State plant regulatory officials) also use the ECM. Other interested parties reference the ECM.

The experience of users will vary, but ACOs have a working knowledge of the following:

- APHIS regulatory philosophy
- EXCERPT
- *Treatment Manual*
- Usage of PPQ operational manuals to make regulatory decisions

Related Documents

Enabling legislation provides the authority to carry out the mission of protecting American agriculture from plant pests. Legislative Acts are the fundamental authority granted by Congress to the Secretary of Agriculture to promulgate regulations to protect American agriculture. The regulatory authority for taking the actions listed in this manual is contained in the following legislative acts, multinational treaty, and regulations:

- Convention on International Trade in Endangered Species of Wild Flora and Fauna
- Endangered Species Act
- Plant Protection Act
- Code of Federal Regulations

Convention on International Trade in Endangered Species of Wild Flora and Fauna

The Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES) is a multinational treaty that regulates the export and re-export of listed species of wild fauna and flora. CITES provides three appendixes for listing plants and plant products. These appendixes, listed in order of their restrictiveness, are as follows:

1. CITES Appendix I—any genus, species, subspecies, or variety, globally threatened with extinction through trade.
2. CITES Appendix II—any taxon (the entire family—all genera and all species) that **must** be regulated in order to avoid the threat of extinction through trade.
3. CITES Appendix III—any species, subspecies, or variety listed by one country in order to enlist the cooperation of other countries to reinforce domestic conservation measures by regulating trade.

Trade in protected species of CITES plants and plant products is monitored. More specifically, commercial trade in CITES Appendix I plants and plant products taken from the wild is **prohibited**, and commercial trade in CITES Appendix II plants and plant products is allowed **only** if that trade is **not** detrimental to the survival of the species in the wild.

The export of CITES plants and plant products requires a permit or certificate issued by the Fish and Wildlife Services (FWS), Division of Management Authority (DMA)[1], which exporters **must** apply for to export protected plants and plant products. USDA-APHIS-PPQ **does not** issue CITES export documents.

However, for all commercial exports and re-exports of protected plants and plant products, USDA-APHIS-PPQ does require exporters to hold a PPQ Form 622, USDA General Permit[2], which is issued by PPQ.

Endangered Species Act

The Endangered Species Act (ESA) provides for the protection of listed species in two categories. These categories, listed in order of their restrictiveness, are as follows:

1 For questions about CITES export documents, exporters can contact DMA at toll free phone 800-358-2104 or write U.S. Fish and Wildlife Service, Division of Management Authority, 4401 N. Fairfax Drive, Room 700, Arlington, VA 22203.

2 For questions about USDA General Permits, exporters can contact USDA-APHIS-PPQ Permit Services at toll free phone 877-770-5990, or FAX at 301-734-8700, or go to web site address: <http://www.aphis.usda.gov/ppq/permits>.

1. Endangered—any species, subspecies, or variety that is in danger of extinction throughout all or a significant portion of its range.
2. Threatened—any species, subspecies, or variety that is likely to become endangered within the foreseeable future throughout all or a significant portion of its range.

In general, ESA **prohibits** the trade in endangered and threatened species. The export of **endangered** species of plants and plant products is allowed for scientific research, enhancement of propagation, and enhancement of survival. The Department of the Interior issues export permits for endangered species under exceptional conditions.

The export of **threatened** species may be allowed for scientific research, enhancement of propagation, enhancement of survival, educational exhibition, display at botanical gardens and arboretums, and other activities consistent with the purposes and policy of ESA.

In all instances, the export of plants and plant products protected by ESA requires a permit issued by the Department of the Interior through the Division of Management Authority (DMA). USDA-APHIS-PPQ **does not** issue DMA permit.

Plant Protection Act

Foreign countries have established plant quarantine regulations which exporters of U.S. agricultural products are required to meet. Section 418 of the Plant Protection Act (PPA) provides the authority for issuing Federal plant export certificates for the export of plants and plant products, and enables PPQ to help exporters meet the plant quarantine import requirements of foreign countries.

The regulations for enforcing the PPA are contained in Title 7 of the Code of Federal Regulations.

Code of Federal Regulations

The Code of Federal Regulations (CFRs) provide the authority for the regulatory action taken and are enforced by USDA-APHIS-PPQ. The restrictions and prohibitions listed in this manual are covered by the following Title 7 and Title 50 parts:

- 7CFR Part 353
- 7CFR Part 354.3
- 7CFR Part 355
- 7CFR Part 356
- 50CFR Part 17.12

- 50CFR Part 23.23
- 50CFR Part 24.12

7CFR Part 353

7CFR Part 353—Export Certification provides the following:

- Identifies the purpose and administration of the phytosanitary export certification program as a service to U.S. exporters
- Lists PPQ regional offices where information can be obtained for issuing Federal plant export certificates for plants and plant products
- Lists designated ports where Federal plant export certificates may be issued for terrestrial plants listed in 50CFR Part 17 or 23
- Identifies the responsibilities of exporters
- Describes the application for certification as well as the Federal plant export certificates
- Identifies the responsibilities of Authorized Certification Officials (ACOs) to sign and issue a Federal plant export certificate based on the findings of an inspection
- Describes accreditation of nongovernment facilities and the standards for accreditation of nongovernment facilities to perform laboratory seed health testing and seed crop phytosanitary inspection
- Contains a provision to ensure that ACOs **do not** inspect and certify shipments of plants or plant products in which they or members of their family have a direct or indirect financial interest
- Provides for issuing Federal plant export certificates and entering into cooperative programs

7CFR Part 354.3

7CFR Part 354.3 provides the authority to collect user fees and overtime costs for Federal plant export certificates.

7CFR Part 355

7CFR Part 355 provides the authority and procedures to administer and require USDA General Permits to import, export, or re-export endangered or threatened terrestrial plants listed in 50CFR Part 17 or 50CFR 23.

7CFR Part 356

7CFR Part 356 provides the authority and procedures for the forfeiture of any plant, equipment, means of conveyance, or other property seized under ESA or the Lacey Act Amendments of 1981.

50CFR Part 17.12

50CFR Part 17.12 provides a list of all plant species that have been determined by the U.S. Fish and Wildlife Service, Department of the Interior, to be endangered or threatened.

50CFR Part 23.23

50CFR Part 23.23 Subpart—Endangered Species Convention provides a list of all plant and animal species that have been placed in CITES Appendix I, CITES Appendix II, or CITES Appendix III.

50CFR Part 24.12

50CFR Part 24.12 Subpart—Designated ports provides a list of U.S. Department of Agriculture ports that are designated to import, export, or re-export plants listed in 50CFR Part 17.12 or 50CFR 23.23.

Application

The ECM contains national-level policies and guidelines for the tasks associated with export certification.

How to Report Problems With the ECM

Use Table 1-1-1 to report export certification problems, situations, and disagreements or to offer suggestions which directly affect the contents of the ECM.

TABLE 1-1-1: How to Report Problems With the ECM

If you:	Then:
Are unable to access the online manual	CONTACT PPQ's Manuals Unit. If the situation warrants immediate action, call 240-629-1934 or e-mail <john.l.patterson@aphis.usda.gov>. Otherwise, print, complete, and mail a *Comment Sheet* (located at the end of the manual) to PPQ's Manuals Unit.
Have a suggestion for improving the formatting (design, layout, composition), grammar, or spelling	
Need help with an export issue, policy, or procedure	If the situation warrants an immediate response, then CONTACT someone for assistance (see ***Table 2-1-3 on page 2-1-20*** for the established contact protocol); otherwise, print, complete, and mail a *Comment Sheet* (located at the end of the manual) to PPQ's Manuals Unit
Disagree with policy or procedures	If the situation warrants an immediate response, then CONTACT someone for assistance (see **Table 2-1-3 on page 2-1-20** for the established protocol); provide the reason for the disagreement and a recommendation. Otherwise, print, complete, and mail a *Comment Sheet* (located at the end of the manual) to PPQ's Manuals Unit providing the reason for the disagreement and a recommendation

Conventions

Conventions are established by custom and are widely recognized and accepted. Major conventions used in the ECM follow.

Advisories

Advisories are used throughout the ECM to bring important information to the user's attention. Please carefully review each advisory. The definitions coincide with American National Standards Institute and are in the format shown below.

DANGEROUS indicates that people could easily be hurt or killed.

WARNING indicates that people could possibly be hurt or killed.

CAUTION indicates that people could possibly be endangered and slightly hurt.

NOTICE indicates a possibly dangerous situation where goods might be damaged.

Important

IMPORTANT indicates helpful information.

Boldfacing

Boldfaced type is used to emphasize important words throughout the ECM. These words include: **always, cannot, do not, does not, except, must, never, no, not, only, other than.**

Bullets

Bulleted lists indicate that there is **no** order to the information listed.

Chapters

This manual contains the following chapters: *Introduction*, *Procedures*, and *Special Procedures*.

Contents

Most every chapter and section of a chapter has a table of contents that lists the heading titles, and is located at the beginning to help facilitate finding information.

Control Data

Information placed at the top and bottom of each page helps users keep track of where they are in the manual and of manual updates. At the top of the page is the chapter, section, and first-level heading. At the bottom of the page is the month, year, manual transmittal number, title, page number, and PPQ work unit responsible for content.

Decision Tables

Decision tables are used throughout the ECM. Read decision tables from left to right, beginning with the column headings and moving left one column at a time. Each column represents a condition with the last column on the right representing the action to take once all the conditions are considered. Using Table 1-1-2; if you are a 28 year old female, then you would schedule a physical.

TABLE 1-1-2: How to Use Decision Tables

If you are a:	And your age is:	Then:
Male	Under 30	**Do not** schedule a physical
	30 or over	Schedule a physical
Female	Under 25	**Do not** schedule a physical
	25 or over	Schedule a physical

Examples

Examples are used to clarify a point by applying to a real-world situation. Examples **always** appear in boxes as a means of visually separating them from the other information contained on the page.

EXAMPLE

Examples are graphically placed boxes within the text as a means of visually separating information from other information contained on the page. Examples will **always** appear in a box.

Footnotes

Footnotes are usually placed at the bottom of a page that comment on or cite a reference from a designated part of the text. The following types of footnotes are used in the ECM.

- General text footnotes that are located at the bottom of the page, which are consecutively numbered throughout the manual
- Table or figure footnotes that are located directly below the associated table or figure (if a table or figure continues beyond one page, then the associated footnotes will appear on the last page.

Heading Levels

Within each chapter and section there are three heading levels. The first heading is indicated by a horizontal line followed by the title which continues across both the left and right columns. The second heading is in the right-hand column with the text beginning below. The third heading is in the left-hand column and is used to easily scan topics.

Hypertext Links (Highlighting) to Tables, Figures, and Headings

Tables and figures are highlighted in bold print. Hypertext links within the online manual are also highlighted in blue print. Headings are highlighted in italic print.

EXAMPLE

See **Table 1-1-1** in the *Introduction* to determine how to report problems with the ECM.

Indentions

Entry requirements which are summarized from CFRs, import permits, or policies are indented on the page.

Italicized Brackets

When completing or reviewing certain certificates or forms, information that is to be entered, listed, or filled in is italicized and enclosed in brackets.

Numbered Lists

Numbered listed are used to indicate the specific order in which the information listed is to be followed.

Numbering Scheme

A three-level numbering scheme is used in this manual for pages, tables, and figures. The first number represents the chapter. The second number represents the section. The third number represents the page, table, or figure. This numbering scheme allows for easier updating and adding pages without having to reprint an entire chapter. Dashes are used in page numbering to differentiate page numbers from decimal points.

Section

Some of the chapters in this manual are broken down into sections. Each section begins on a new, right-hand page. Sections are identified by the second number in the numbering scheme used for this manual. The manual chapters *Procedures* and *Special Procedures* are divided into sections.

2

Export Certification Manual

Procedures

Preparation

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Introduction

The information presented in the *Procedures* chapter, *Preparation* section, covers topics that Authorized Certification Officials (ACOs) and Export Certification Specialists (ECSs) are required to know before working through the procedures to inspect and to certify plants and plant products offered for export certification. Topics include the basic

policy for export certification, Export Certification Project (EXCERPT), roles and responsibilities, contact protocol, and an overview of the general guidelines and special procedures that support export certification.

Basic Policy

Although foreign countries have established plant quarantine regulations which U.S. exporters of U.S. agricultural products are required to meet, the United States **does not** require phytosanitary export certification of plants or plant products prior to export. However, if requested by U.S. exporters, the United States Department of Agriculture, Animal and Plant Health Inspection Service, Plant Protection and Quarantine (USDA-APHIS-PPQ) provides this service. USDA-APHIS-PPQ will assist U.S. exporters with eligible plants and plant products in meeting the plant quarantine import requirements of foreign countries.

As part of this service, USDA-APHIS-PPQ's responsibility includes the following:

- Maintain current information on the plant quarantine import requirements of foreign countries
- Analyze the information, prepare summaries of the import requirements, and make the summaries available to Federal, State, and county ACOs and other interested parties
- Inspect domestic plants and plant products offered for export
- Certify those shipments that meet the import requirements of the foreign country
- Monitor the issuance of Federal plant export certificates to ensure accuracy
- Assist in certifying plants or plant products of foreign origin that have been legally imported into the United States and are being re-exported
- When possible, assist U.S. exporters if their **certified** shipments are held at destination, and advise U.S. exporters with shipments on hold that were **not** certified
- Monitor other program activities to ensure credibility of the phytosanitary export certification program
- Ensure that **only** authorized inspectors and ACOs inspect and certify the phytosanitary conditions of plants and plant products offered for export

Export Certification Project

The Export Certification Project (EXCERPT) is a database that supports USDA-APHIS-PPQ's phytosanitary export certification program by housing the summaries of import requirements of foreign countries. EXCERPT provides the capability to enter, store, manage, and retrieve export summary information. This information can be retrieved by PPQ employees, State and county cooperators, and other authorized users.

To facilitate the export of plants and plant products, ACOs use the *Procedures* chapter of this manual along with EXCERPT.

Export Services is the staff within USDA-APHIS-PPQ that is responsible for overseeing the cooperative agreement and for the information in EXCERPT.

Under PPQ's cooperative agreement with the Center for Environmental and Regulatory Information Systems (CERIS) of Purdue University, CERIS supports EXCERPT in the following areas:

- Computer services (hardware and software)
- Database management systems administration
- Development and operations
- Operation of the EXCERPT hotline
- On-line help

EXCERPT provides the following (as listed on the Home Page):

- Messages and alerts from PPQ's Export Services
- Export summaries of the plant import requirements of foreign countries
- Record of recent changes to export summaries
- Processed products (list of eligible processed products)
- Ineligible commodities (list of ineligible processed products)
- Endangered species
- Designated CITES ports for plants (by State)
- Phytosanitary notes
- List of Export Certification Specialists (ECSs) and local PPQ contacts
- Keyword search of export summaries
- Change password

- Help using EXCERPT
- EXCERPT subscription and use fees (for public use **only**)
- Link to GRIN (Germplasm Resources Information Network) database (source for scientific and common names)
- On-line *Export Certification Manual*

For further information about EXCERPT, contact the EXCERPT program manager at the following address:

EXCERPT Program Manager
USDA-APHIS-PPQ-Export Services
4700 River Road, Unit 140
Riverdale, Maryland 20737
FAX: 301-734-3249
Phone: 301-734-8537

Access EXCERPT

Access EXCERPT through an Internet web browser at the following web site address:

<http://excerpt.ceris.purdue.edu>

In addition to accessing EXCERPT via the web site, dial-up access via modem is available at 1-800-435-9994.

You **must** have an active account in order to login to EXCERPT regardless of how you access the system. If you **do not** have an active account, see ***Request an EXCERPT Account*** on **page 2-1-6**.

Alternative Sources to EXCERPT

In the event of an emergency (computer system fails or is shutdown and **cannot** be accessed), EXCERPT users are instructed to access alternative sources to EXCERPT in the following sequence:

1. Primary alternate web site as follows:

   <http://minorleague.ceris.purdue.edu>

   Export Services will communicate (in advance) when the primary alternative source is activated and **cannot** be used at any other time.

2. Secondary alternate web site as follows:

   <http://www.netlink-tech.com/ceris>

   CERIS will send an e-mail message when the secondary alternative source is activated.

3. *EXCERPT Emergency Response Plan*

   Export Services will send an e-mail message when the last alternative source is activated and is utilized until EXCERPT is returned to online status. *EXCERPT Emergency Response Plan* outlines specific instruction for using EXCERPT and establishes specific responsibilities for selected emergency response locations (those delegated to provide information from export summaries while the system is shutdown). On a regular basis (at least monthly), these response locations receive from CERIS backup CD-roms that contain all the export summaries. During the emergency, ACOs contact the response locations to get EXCERPT information and inquires should be limited to those requiring immediate attention. See *Appendix A*, ***EXCERPT Emergency Response Plan*** on **page A-1-1** for a list of the response locations.

Phytosanitary Notes

One of important features of EXCERPT that warrants mentioning in this manual are Phytosanitary Notes (PNs). PNs contain the most timely information about the exportation of plants and plant products. PNs cover such topics as the following:

- Interpretations of import requirements pertaining to specific countries and import requirements of a foreign country for which there is **no** export summary (These PNs are organized like an entry under Product Requirements in an export summary) (countries are listed alphabetically, followed by the plant name and then plant product such as cut flower, fruit, grain, seed, wood)
- New import requirements pertaining to a specific country while Export Services prepares an updated export summary
- Special notes providing administrative guidance about nationwide export certification issues and about issuing Federal plant export certificates (These PNs may be specific to a country)
- Foreign country complaints, which is a summary of foreign country notifications of non-compliance (their dissatisfaction with the export certification of U.S. agricultural products)
- Summary of Export Services's annual review of selected Federal plant export certificates

Only current PNs are maintained in EXCERPT. Superseded PNs are omitted from the list because the information either has expired or has been incorporated into the ECM or the applicable export summary.

See Figure 2-1-1 for a list of PNs (as of August 23, 2004); see EXCERPT for the most current list of PNs.

PN #0967 08/05/04 Accreditation of non government entities
PN #0966 07/28/04 Official samples for phytosanitary certification purposes
PN #0965 07/07/04 Sampling & inspection procedures for seed
PN #0964 06/25/04 India (multiple topics)
PN #0963 06/01/04 Countries that **must** be entered into EXCERPT
PN #0960 03/12/04 India, Import permits with methyl bromide
PN #0959 03/09/04 Western flower thrips host material to Taiwan
PN #0958 02/05/04 Export requirements, wood packing material
PN #0957 02/05/04 Phosphine fumigation
PN #0952 06/19/03 Report on non-compliance notifications
PN #0950 01/09/03 Shipping dates and procedures
PN #0938 12/21/01 Inspection procedures for onions & garlic
PN #0803 05/18/95 Do not certify grain as to disease freedom
PN #0792 02/08/95 Fumigation and inspection procedures
PN #0332 05/17/90 Potpourri (dry petals & species) is certifiable

FIGURE 2-1-1: List of Phytosanitary Notes (PNs) (as of July 12, 2004)

Request an EXCERPT Account

In order to access the EXCERPT database, you **must** have an established account. The EXCERPT Advisory Committee (EAC) is the entity that receives and processes all requests to access EXCERPT. Each EAC member is responsible for ensuring that contact information for accounts and usage needs remain current.

If you are **not** an ACO (e.g., private entity or another Federal or State government agency such as the Food and Drug Administration or the Environmental Protection Agency), then you may establish an account by subscribing to EXCERPT. For information about subscribing to the database, contact Joe Hegarty, CERIS of Purdue University, at 1-765-494-4967 or e-mail <jhegarty@ceris.purdue.edu>.

If you are an ACO, use Table 2-1-1 on page 2-1-7 to identify the appropriate EAC member your supervisor may contact to establish an EXCERPT account, which will enable you to access the EXCERPT database.

TABLE 2-1-1: List of Supervisory Contacts to Request an EXCERPT Account

If you are a:	And you are located in:	Then have your supervisor contact:
PPQ Officer	PPQ's Eastern Region	Laney Campbell 919-855-7314 <laney.e.campbell@aphis.usda.gov>
	PPQ's Western Region States Alaska, Hawaii, New Mexico Arizona, Idaho, Oregon California, Montana, Utah Colorado, Nevada, Washington	Mitch Nelson 503-326-2814 <mitchell.g.nelson@aphis.usda.gov>
	PPQ's Western Region States Arkansas, Missouri, Oklahoma Iowa, Nebraska, South Dakota Kansas, North Dakota, Texas Louisiana	Maria Perez 281-443-2063 <maria.d.perez@aphis.usda.gov>
State cooperator	Southern Plant Board States Alabama, Mississippi, South Carolina Arkansas, North Carolina, Tennessee Florida, Oklahoma, Texas Georgia, Puerto Rico, Virginia Louisiana	Serena Stornaiuolo 407-884-2032 <stornas@doacs.state.fl.us>
	Eastern Plant Board States Connecticut, Massachusetts, Pennsylvania Delaware, New Hampshire, Rhode Island Maine, New Jersey, Vermont Maryland, New York, West Virginia	Matt Travis 410-841-5920 <travisma@mda.state.md.us>
	Western Plant Board States Alaska, Idaho, Oregon Arizona, Montana, Utah California, Nevada, Washington Colorado, New Mexico, Wyoming Hawaii	Casy Estep 916-653-1440 <cestep@cdfa.cd.gov>
	Central Plant Board States Illinois, Minnesota, Ohio Iowa, Missouri, Oklahoma Kansas, Nebraska, South Dakota Kentucky, North Dakota, Wisconsin Michigan	Chuck Stoltenow 515-242-5180 <chuck.stoltenow@idals.state.ia.us>
County cooperator	California (**only**)	Casy Estep 916-653-1440 <cestep@cdfa.cd.gov>

Symbols for Pests Mentioned in Export Summaries

Not mentioned elsewhere are the symbols used in EXCERPT (export summaries) that indicate known occurrence of pests in the Continental United States. Therefore, to facility the use of export summaries, note that symbols are used in export summary to highlight those pests that are **not** known to occur in the Continental

United States and those pests **uncertain** to occur in the Continental United States. Table 2-1-2 below lists the symbols used to indicate pest status in export summaries.

TABLE 2-1-2: Identification of Pest Status in Export Summaries

When there is:	Then the listed harmful organism is:
No symbol next to the harmful organism	**Known** to occur in the Continental United States
* next to the harmful organism	**Not** known to occur in the Continental United States
+ next to the harmful organism	**Uncertain** to occur in the Continental United States

Types of Products

The type of product dictates which Federal plant export certificate will be used to certify that product. The following types of products are described for the purposes of export certification:

- Domestic Products
- Foreign Products
- Processed Products
- Prohibited Products

Domestic Products

Domestic products are those plants and unprocessed or unmanufactured plant products grown or produced in the United States, its possessions, and Puerto Rico. PPQ Form 577, Federal Phytosanitary Certificate, is authorized to certify that domestic plants and plant products conform with the phytosanitary regulations of the importing country.

Foreign Products

Foreign products are those plants and unprocessed or unmanufactured plant products that have officially entered U.S. commerce but were grown or produced in countries **other than** the United States, its possessions, and the Commonwealth of Puerto Rico. Foreign products are eligible for PPQ Form 579, Phytosanitary Certificate for Reexport.

Re-export certification can be based on a combination of the following:

- Original or certified true copy of a foreign phytosanitary certificate from the country of origin

- Plants or plant products being segregated and their identity maintained while kept under suitable safeguard to prevent the risk of infestation or infection while in the United States
- Supplemental inspection, treatment, or testing

Foreign products that are prohibited entry by the importing country **cannot** be certified for re-export. Foreign products should meet the import requirements of the importing country; however, those that apparently **do not** meet the import requirements (e.g. growing season or field inspections, virus indexing, freedom from specified pests at the production area, etc.) may be certified for re-export even though the requirements are **not** stated on a foreign phytosanitary certificate. In these cases, final judgment of enterability will be the responsibility of the importing country. An additional declaration may be placed on the re-export certificate to indicate that the shipment met the import requirements of the United States or that the United States **does not** require phytosanitary certification for entry of the products.

Foreign products that are transiting the United States under Customs' bond are **neither** eligible for re-export certification **nor** eligible for processed product certification.

Processed Products

Processed products are those plant products processed or manufactured to the degree that they are unlikely to harbor injurious pests. PPQ Form 578, Export Certificate, Processed Plant Products, may be issued for **only** those processed products that are listed in EXCERPT as eligible for PPQ Form 578. The intended purpose of the PPQ Form 578 is to assist U.S. exporters whose shipments may be placed in jeopardy if such a document is **not** issued.

Processed products are **not** eligible for certification with PPQ Form 577 or PPQ Form 579 even when the importing country specifically requires a phytosanitary certificate. ACOs **cannot** issue Federal plant export certificates for products that are listed in EXCERPT as **ineligible** processed products. When processed products are **not** eligible for certification, refer the exporter to another agency contact provided in EXCERPT.

Prohibited Products

Prohibited products are those plants and unprocessed or unmanufactured plant products listed in an export summary as being prohibited entry by the importing country. Prohibited products are **ineligible** for phytosanitary certification unless an import permit or other special authorization is provided from the plant protection organization of the importing country and all conditions of the import permit are met.

Roles and Responsibilities

The primary roles related to export certification are listed below followed by the responsibilities outlined for each role:

- Authorized Certification Official
- Export Certification Specialist
- Exporter or Shipper

Authorized Certification Official

The responsibilities of Authorized Certification Officials (ACOs) include the following:

1. Meet the education, experience, and training requirements to become an ACO (see also *Special Procedures, Accreditation Programs,* ***Accreditation of Authorized Certification Officials*** on **page 3-1-1**). For State cooperators, the education and experience requirements are described in *Special Procedures,* Federal-State Coopertative Program on **page 3-5-1**.
2. Identify the import requirements of a foreign country for plants or plant products and determine whether they meet the requirements, which involves examining import permits or special authorizations, examining foreign phytosanitary certificates, and reviewing export summaries.
3. Inspect the plants and plant products before issuing a Federal plant export certificate to determine that the plants or plant products meet the import requirements.
4. Provide exporters with necessary information to meet the importing country's requirements when plants or plant products are **not** eligible for certification, are prohibited, or fail inspection.
5. Advise exporters to ship plants and plant products within specific time limits. (For time limits specified by some countries, see *Procedures*, *Inspection Guidelines*, **Table 2-4-3 on page 2-4-9**.)
6. Monitor or verify the application of any treatment to prepare the plants or plant products for export. (For details of USDA-APHIS-PPQ policy regarding monitoring treatments, see table footnote for **Table 2-3-9 on page 2-3-17**.)
7. Verify that the contents of the shipment are what are documented on the Federal plant export certificate. Compare the Federal plant export certificate with any supporting documents (such as inspection certificates, State certificates, or other agency reports) that may help to verify the accuracy of the contents of the shipment and the Federal plant export certificate.

8. Advise exporters, shippers, or brokers as to the status of a shipment. When samples are drawn for laboratory examination or when delays in certifying the shipment occur, then let the exporter or the shipping company know so that the shipment is **not** inadvertently loaded before inspecting and certifying. Once the inspection is completed and the Federal plant export certificate is issued, immediately notify the exporter or the shipping company that loading can begin.
9. Prepare Federal plant export certificates in English, handwrite or type legibly. Some foreign countries will **not** accept Federal plant export certificates with alterations, errors, or erasures. See ***General Guidelines for Completing Federal Plant Export Certificates*** on **page 2-5-6**.
10. Forward the record copy of Federal plant export certificates to your supervisor, Export Certification Specialist (ECS), or State Plant Health Director (SPHD). Attach copies of import permits and other documents used for certifying each shipment. Who and when to send copies will be established by the ECS and SPHD. A rule-of-thumb is to gather and send forward copies of issued certificates weekly.
11. For PPQ officers, inspect and certify plants and plant products during normal duty hours and at locations normally traveled to in connection with other work assignments. PPQ managers should use discretion when assigning ACOs to phytosanitary export inspections that involve a significant amount of travel time. When requests for services at remote locations occur, all alternative methods of certification should be explored before PPQ work hours are committed.
12. Maintain accreditation by actively issuing[1] Federal plant export certificates, attending refresher training and successfully passing a renewal test at a minimum of every 3 years. See also *Special Procedures, Accreditation Programs,* ***Accreditation of Authorized Certification Officials*** on **page 3-1-1**.

Export Certification Specialist

Export Certification Specialists (ECSs) play a vital role in ensuring continuity and quality control of PPQ's phytosanitary export certification program. Their role includes the following responsibilities:

1. Serve as the point of contact and as the expert on phytosanitary issues for all ACOs under their assigned area.

1 Issuing Federal plant export certificates within one year of initial accreditation or issuing Federal plant export certificates within two years of initial accreditation or reaccredit at ion.

2. Serve as technical liaison among local, State, region, and national officials regarding export certification. Be knowledgeable in agricultural production and commodity management practices within assigned areas in order to provide recommendations that enhance export protocols.

3. Review (at least monthly) 5 to 10 percent of all Federal plant export certificates issued by ACOs within their assigned area for compliance with established policy and foreign import requirements. See ***Review Guidelines for Federal Plant Export Certificates*** on **page 2-1-14** for documenting major mistakes, giving feedback, and determining when to provide retraining and when to recommend revocation.

4. Investigate issuances of Federal plant export certificates for detained shipments for the purpose of verifying documents, adhering to certification policy and procedures, and conforming with foreign countries' plant import requirements.

5. Inform Export Services[2] of the following situations:

   A. Import permit requirements differ from export summary requirements. The exporter **must** provide the official documents stating the different requirements. These documents **must** be an import permit, special authorization, or recent correspondence from the plant protection organization of the foreign country, which would take precedence over the information contained in the export summary.

   B. Issuance of a Federal plant export certificate which may cause embarrassment or financial liability to the USDA or its employees, financial loss to the shipper or industry, or damage the credibility of the phytosanitary export certification program (as part of the review guidelines).

6. Determine the need for, coordinate, and conduct initial training for State and county personnel within assigned areas, and develop and present refresher training for all ACOs within assigned areas following the *Administrative Guide for Export Certification Training.* This training responsibility helps to maintain ACO accreditation, meet the requirements of the NAPPO standards, maintain credibility of the export certificate program, and avoid recurrent errors in issuing Federal plant export certificates.

2 Export Services, USDA-APHIS-PPQ, 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301-734-8537; FAX 301-734-3249.

7. Ensure that an effective accountability system is established and maintained by State Plant Health Directors and State Plant Regulatory Officials for the Federal plant export certificates issued under assigned areas.
8. Participate in periodic workshops conducted by Export Services.
9. Develop and maintain a broad knowledge base of all exported commodities. Participation in developmental assignments with Export Services and the regional offices is encouraged.
10. Screen and forward a list of State cooperator nominees, along with their qualifications, to Export Services for granting accreditation to issue Federal plant export certificates in conformance with Federal regulations. (See *Special Procedures*, Federal-State Coopertative Program on **page 3-5-1**.)
11. Maintain accreditation records for all ACOs in the nationwide ACO database. Notify Export Services of cooperators who transfer, retire, or otherwise separate from State or county employment.
12. Be guided by the Memorandum(s) of Understanding (MOU) for the Federal-State Cooperative Program, and review the MOU as circumstances warrant (e.g., change in personnel). Notify Export Services of needed changes. If a signed copy of a State's MOU is needed, then contact the USDA-APHIS-PPQ regional office.
13. Keep a current copy of the *Export Certification Manual* and associated materials such as Phytosanitary Notes. Notify USDA-APHIS-PPQ's Manuals Unit of needed changes and updates. (See *Introduction*, ***How to Report Problems With the ECM*** on **page 1-1-7**.)
14. Be proficient using EXCERPT and other databases, such as the ACO national database and Germplasm Resources Information Network (GRIN) database. Notify Export Services of needed changes and updates to the information in EXCERPT. Maintain the emergency response plans for EXCERPT.
15. Conduct field audits involving review of facilities, issued Federal plant export certificates, and ACO records to ensure compliance with Federal regulations, policies and procedures, and with USDA-APHIS-PPQ's obligations to bilateral agreements, protocols, Memorandums of Understanding, and international standards. Identify and document mistakes. (See ***Review Guidelines for Federal Plant Export Certificates*** on **page 2-1-14** for documenting major mistakes, giving feedback, and determining when to recommend suspension.)
16. Assist Export Services in their periodic audit of issued Federal plant export certificates. Assist national and regional export program officials to identify and to develop required training

guidelines and course work. Assist APHIS headquarters with Freedom of Information Act (FOIA) requests. Assist State and national Investigative and Enforcement Services staff (USDA-APHIS-IES) and PPQ State and headquarters offices to research and to obtain information related to cases involving the issuance of Federal plant export certificates. Assist regional and national offices to review newly-developed export protocols and work plans for establishing export continuity in the phytosanitary export certification program. Provide input to regional and national export program officials when developing new certification policies and procedures or modifying existing ones.

Review Guidelines for Federal Plant Export Certificates

ECSs are responsible for reviewing Federal plant export certificates and for conducting field audits to ensure compliance with Federal regulations, policies and procedures, foreign import requirements, and USDA-APHIS-PPQ obligations to bilateral agreements, protocols, Memorandums of Understanding, and international standards. These review guidelines are as provided in Section Four of the *ACO Quality Manual* and are provided here to help ECSs perform comprehensive reviews (under optimum operational conditions):

1. Instruct supervisors of ACOs to review weekly copies of issued Federal plant export certificates when operationally feasible. Supervisors should note major mistakes and document corrective actions taken on the certificate copy or an attached sheet.
2. Review (at least monthly) 5 to 10 percent of the copies of issued Federal plant export certificates. If a particular issuing office historically has a high volume of issued certificates or has made frequent mistakes, then a more intensive or frequent review may be necessary.
3. Document **major mistakes**, which include but are **not** limited to the following examples:
   - **A.** Certification of a prohibited or ineligible product.
   - **B.** Certification of plants or plant products from non-approved field or treatment facilities or failure to include treatment marks on boxes or Federal plant export certificates.
   - **C.** Certification of CITES materials at a non-designated CITES port.
   - **D.** Failure to follow an established work plan or conditions prescribed in an import permit.
   - **E.** Failure to consult EXCERPT or other export job aids.
   - **F.** Failure to inspect a shipment or to follow an established inspectional procedure.

G. Failure to sign Federal plant export certificates.

H. Issuance of an improper Federal plant export certificate.

I. Missing, incomplete, or incorrect additional declaration (e.g., add an additional declaration **not** required by an import permit, export summary, or the ECM).

4. Give feedback to the issuing office and the State Plant Health Director (SPHD) who has statewide responsibility for export certification. If the issuing ACO is a State or county cooperator, then the SPHD will forward the feedback to the State Plant Regulatory Official (SPRO). In turn, the SPRO will give the feedback to the ACO or the ACO's supervisor. (See **Figure 2-1-2 on page 2-1-16** for a model letter you can follow to document major mistakes found on Federal plant export certificates. For a fillable version, click here.) Provide a copy of the Federal plant export certificate in question, backup documents, and a brief explanation.

Important

To better facilitate local communications among ECSs, SPHDs, SPROs, and ACOs; ECSs may wish to contact the SPHD to establish or to confirm the proper protocol to follow when giving feedback to SPROs and ACOs who are cooperators, as deemed appropriate by the SPHD.

5. Discuss major mistakes among the ACO, the ACO's supervisor, and SPHD to answer questions or concerns about the error and to prevent recurrences.

6. Document the discussion and any recommended action for the ACO, the ACO's supervisor, and SPHD. Forward a copy to the SPHD and Export Services for information.

7. If an ACO continues to issue Federal plant export certificates with recurring mistakes, then consult with the SPHD and regional export program official (who will notify Export Services) to consider suspending the ACO's accreditation. To determine if the recurring mistakes are deliberate, the regional office will initiate an investigation by Investigative and Enforcement Services.

USDA-APHIS-PPQ's commitment to the ACO accreditation program is to consider suspension if an ACO makes three or more major mistakes during a 12-month period or if an ACO repeats the same major error during a 12-month period after being counseled.

Date:_____

To: _____
[insert name of State Plant Health Director or State Plant Regulatory Official]

Recently _____ certified _____ to _____
(insert name of Authorized Certification Official (ACO)] *[name of product]* *[name of country]*

on Phytosanitary Certificate #_____ (attached). This Federal plant export certificate has/has not been reported as rejected by the importing country. The error(s) is/are circled below:

❒ Failure to sign the Federal plant export certificate.

❒ Certification of a prohibited or ineligible plant or plant product.

❒ Failure to follow an established work plan or conditions prescribed in an import permit.

❒ Failure to consult Phytosanitary Notes or other export job aids.

❒ Missing, incomplete, or incorrect required additional declaration; or recorded an unnecessary addition declaration.

❒ Certification of commodities from a non-approved field or treatment facility or failure to include treatment marks on boxes or the Federal plant export certificate.

❒ Certification of CITES materials at a non-designated CITES port.

❒ Issuance of an improper certificate.

❒ Failure to inspect a shipment or to follow an established inspectional procedure.

❒ Other (noncompliance with established Federal regulations, policies, procedures, bilateral agreements, protocols, Memorandums of Understanding, and international standards):

_____

_____

Our records indicate that this is the ACO's _____ warning this year. Future errors could result in suspending the ACO's accreditation (authority to issue Federal plant export certificates). Please forward to my office a letter explaining the error(s) and what corrective actions will be taken. This notice is intended as a corrective action to ensure the integrity of USDA-APHIS-PPQ's phytosanitary export certification program.

If you have any questions, contact me at _____.
(insert your phone number)

_____, Export Certification Specialist
(Signature of Export Certification Specialist)

Enclosure

FIGURE 2-1-2: Model Letter for Documenting Major Mistakes Found on a Federal Plant Export Certificate

8. Note occasional mistakes that would **not** warrant formal documentation. Examples of occasional mistakes include the following:
   - **A.** Incorrect lining out blocks
   - **B.** Failure to complete all blocks
   - **C.** Recorded incorrect approved country name
   - **D.** Failure to date the Federal plant export certificate
   - **E.** Misspelled words
   - **F.** Recorded unclear abbreviations
9. After completing the review process, either destroy the copies of the Federal plant export certificates or retain them for training purposes as follows:
   - **A.** Destroy copies by shredding and/or burning (appropriate methods); recycle the copies **only** if the confidentiality of the information can be maintained.
   - **B.** If the copies are retained for training purposes, then protect the confidentiality of the information.

   If a copy of a particular Federal plant export certificate is needed at a later date, then obtain a photocopy from the issuing office.

Exporter or Shipper

The responsibilities of the exporter or shipper[3] include the following:

1. Apply, in writing, for the inspection and certification of plants and plant products offered for export. Federal plant export certificates can be issued at the point of origin, at a port where the shipment will transit, or at the actual port of export. PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, can be requested from the nearest ACO office or downloaded from the following web site address:

   <http://www.aphis.usda.gov/library/forms>
2. Contact an Accredited Certification Official (ACO) far enough in advance of the shipping or loading dates. This advance notification provides for reviewing phytosanitary import requirements and sampling, inspecting, testing, and any other activity required to meet those import requirements in advance of the anticipated shipping or loading dates and within any

3 The exporter responsibilities are also available as a separate document printed at the end of the ECM or on-line at the following web site address: <http://www.aphis.usda.gov/ppq/manuals> for the purpose of providing exporters with a list of responsibilities for their information and knowledge.

specified time limits. Exporters **must** be aware of any time limit foreign countries specify for the period between date of inspection or date of issue and shipping date. If specified by a foreign country, then the time limit between inspection and exportation is listed in the export summary under the definition of phytosanitary certificate. If a time limit is **not** specified in the export summary, then the general time limit for inspections is **not** more than 30 days before export.

3. Provide all necessary documentation including import permits, bills of lading, manifests, shipping invoices, foreign phytosanitary certificates, and inspection certificates. The exporter's responsibility is to provide official documents stating import requirements if they differ from those in the receiving country's export summary. Official documents may be an import permit, special authorization, or recent correspondence from the plant protection organization of the foreign country, which takes precedence over the information contained in the export summary.

   Exporters are responsible for meeting import requirements which includes providing the proper documents in the proper language. Therefore, official documents **must** be in English. Bilingual information is acceptable as long as one of the languages is English. If an ACO or other capable source **cannot** confidently translate an official document, then be advised that ACOs **cannot** proceed until they have an English translation certified in writing as accurate.

Important

Exporters frequently present letters of credit from their contacts in the foreign country to indicate that plant quarantine regulations have been changed. Letters of credit are strictly fiduciary documents. For the purposes of phytosanitary certification, letters of credit **cannot** be considered official notifications of changes or exceptions to plant quarantine regulations, which **must** come from the plant protection organizations of foreign countries.

4. Make the plants or plant products available for inspection. Shipments **cannot** be inspected on board aircraft or ships, or in the holds of vessels. The plants or plant products **must** be accessible to the ACO so that the official can verify and inspect the material described on the application or partially completed Federal plant export certificate. In addition, other shipping documents should be marked or stamped to prevent the shipment from being loaded before the inspection is conducted. The exporter is further responsible for providing the labor to open and close packages for inspection and for providing adequate facilities to perform the inspection. Such facilities include supplies, equipment, and proper lighting required for an efficient inspection before certification.

5. Provide for any required treatments, reconditioning, or other actions to meet the import requirements of the foreign country.
6. Export **only** those plants or plant products that have been properly inspected and certified under a Federal plant export certificate.
7. Safeguard the certified shipment from infestation between the date the shipment was certified and the actual shipping date, and ensure that the certified shipment departs within the specified time limits of the importing country.
8. Comply with U.S. export control regulations. The Federal government controls the exportation of U.S. goods to all foreign countries. The Department of Commerce is the authority for licensing most items for export. Other Federal agencies such as the Agricultural Marketing Service and the Federal Grain Inspection Service handle the certification for specific products.

   For further information, exporters may contact the Office of Export Control, Bureau of International Commerce, Department of Commerce at the following web site address:

   <http://www.trade.gov/td/tic/>

Contact Protocol

There are designated Export Certification Specialists (ECSs) and local PPQ contacts who are responsible for assisting line operations to ensure the credibility of export certification and the quality of Federal plant export certificates. State and county cooperators also are involved in export certification. Because of these reasons and the need to respond quickly to inquiries, follow the contact protocol in Table 2-1-3 on page 2-1-20 for questions, concerns, and suggestions relating to inspecting and to certifying commodities and to issuing Federal plant export certificates.

Important

When EXCERPT specifically instructs the user to contact Export Services directly, then ACOs may deviate from the contact protocol in **Table 2-1-3**. However, any guidance received from Export Services **must** be communicated to the ACO's Export Certification Specialist.

TABLE 2-1-3: Contacts for Assistance With Export Certification

If you are a:	Then your first contact is:	Then your second contact is:	Then your third/ last contact is:	Then your fourth/last contact is:	Then your last contact is:
PPQ officer (ACO) in the **Eastern** Region	Immediate supervisor	Export Certification Specialist[1]	State Plant Health Director	Trade Specialist **or** Regional Program Manager[2]	Export Services[3]
PPQ officer (ACO) in the **Western** Region	Immediate supervisor	Local PPQ contact point **or** Export Certification Specialist	Trade Specialist **or** Regional Program Manager	Export Services	None
State cooperator (ACO)	State Plant Regulatory Official	Local PPQ contact point **or** Export Certification Specialist	Trade Specialist **or** Regional Program Manager	Export Services	None
County cooperator (ACO)	Immediate supervisor or State cooperator (CDFA)	Local PPQ contact point **or** Export Certification Specialist	Trade Specialist **or** Regional Program Manager	Export Services	None
PPQ manager (supervisor, State Plant Health Director, or Officer-in-Charge)	Export Certification Specialist	Trade Specialist **or** Regional Program Manager	Export Services	None	None
State Plant Regulatory Official	Local PPQ contact point **or** Export Certification Specialist	Trade Specialist **or** Regional Program Manager	Export Services	None	None
Local PPQ contact point in the Western region	Export Certification Specialist	Trade Specialist **or** Regional Program Manager	Export Services	None	None
Export Certification Specialist	Trade Specialist **or** Regional Program Manager	Export Services	None	None	None
Exporter, broker, grower, or another interested party	Authorized Certification Official	Local PPQ contact point **or** Export Certification Specialist	Trade Specialist **or** Regional Program Manager	Export Services	None

1 Access EXCERPT to identify the local PPQ contact point or Export Certification Specialist who serves you.

2 Regional Export Program Official, Eastern Region, USDA-APHIS-PPQ, Raleigh, North Carolina, phone: 919-855-7314. Regional Export Program Official, Western Region, USDA-APHIS-PPQ, Fort Collins, Colorado, phone: 970-494-7500.

3 Export Services, USDA-APHIS-PPQ, Riverdale, Maryland, phone: 301-734-8537.

Overview of Guidelines for Export Certification

See Figure 2-1-3 for an overview of the tasks for certifying plants and plant products offered for export. The overview is followed by a brief summary of each task that corresponds to the tabbed sections of the *Procedures* chapter. The *Procedures* chapter contains the guidelines that ACOs **must** consider before certifying plants and plant products offered for export.

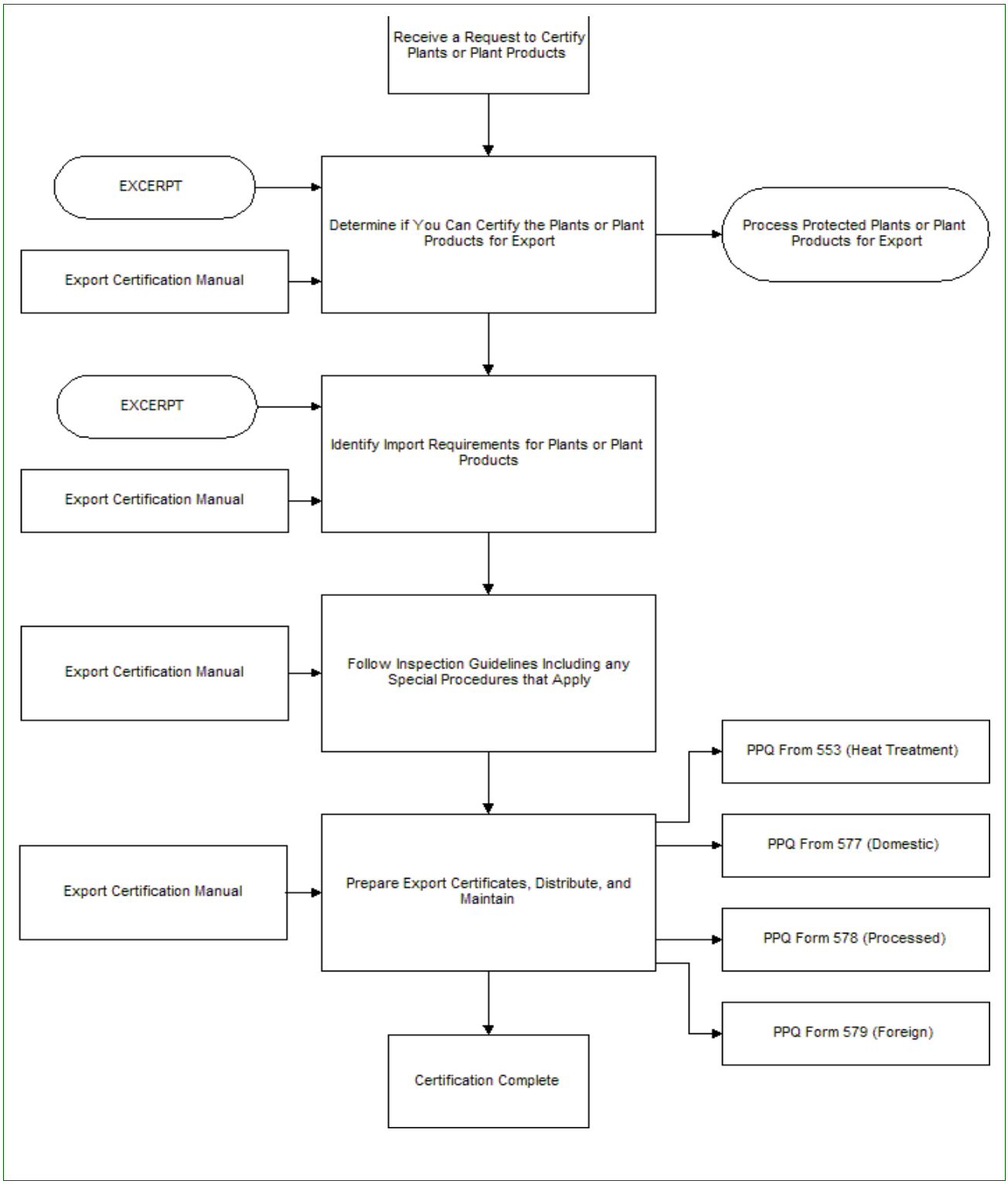

FIGURE 2-1-3: Overview of the General Guidelines for Export Certification

Determine if You Can Certify the Plant or Plant Product

Before referring to a country's export summary, inspecting a shipment, or completing a Federal plant export certificate, ACOs **must** assess whether they can certify the plants or plant products offered for export. Their assessment is based on what the product is, the product's origin and destination, and the ACO's authority to certify protected plants. (See *Procedures*, ***Certification Decision*** on **page 2-2-1**.)

Identify Import Requirements

ACOs use the export summaries of foreign countries in EXCERPT to identify import requirements that **must** be met in order to issue PPQ Form 577, Federal Phytosanitary Certificate, or PPQ Form 579, Phytosanitary Certificate for Reexport. Also, ACOs use the export summaries to identify prohibitions that would **disallow** them from certifying plants or plant products. Based on whether the plants or plant products can meet the import requirements, ACOs then determine whether they can issue a Federal plant export certificate. (See *Procedures*, ***Import Requirements*** on **page 2-3-1**.)

Follow Inspection Guidelines

The inspection and verification of plants or plant products offered for export determines whether the shipment meets the import requirements of the foreign country. ACOs should review presented import permits or special authorizations and the export summary of the foreign country before beginning inspection to ensure that the shipment meets all requirements. (See *Procedures*, ***Inspection Guidelines*** on **page 2-4-1**.)

Prepare Export Certificates

ACOs prepare the appropriate Federal plant export certificate, as listed and described below (see *Procedures*, ***Export Certificates*** on **page 2-5-1**).

- **PPQ Form 553, China Heat Treatment Certificate**
- **PPQ Form 577, Federal Phytosanitary Certificate**
- **PPQ Form 578, Export Certificate, Processed Plant Products**
- **PPQ Form 579, Phytosanitary Certificate for Reexport**

In addition to the directions for preparing Federal plant export certificates, PPQ officers should see *Special Procedures*, ***User Fees*** on **page 3-11-1**, for collecting user fees. State or county cooperators should see local policy about setting and collecting user fees, if applicable.

PPQ Form 553, China Heat Treatment Certificate

PPQ Form 553, Certificate of Heat Treatment, is an official document used to certify coniferous packing materials associated with plants or unprocessed or unmanufactured products exported to the People's Republic of China. The purpose of PPQ Form 553 is to endorse the exporter's statement that the coniferous packing materials have been heat treated in the United States or in Canada.

Important

PPQ Form 553 is **only** for coniferous solid wood packing material destined to the People's Republic of China. This form **cannot** be used for any other country, **except** Hong Kong. Hong Kong addresses are acceptable if the U.S. exporter indicates that the materials exported to Hong Kong will be reshipped to other regions of the People's Republic of China by the Hong Kong consignee.

PPQ Form 577, Federal Phytosanitary Certificate

PPQ Form 577, Federal Phytosanitary Certificate, is an accountable inspection certificate used to certify domestic plants and unprocessed or unmanufactured products for export. The purpose of PPQ Form 577 is to certify that plants or plant products conform with the current phytosanitary regulations of the importing country.

PPQ Form 578, Export Certificate, Processed Plant Products

PPQ Form 578, Export Certificate, Processed Plant Products, is an accountable certificate used to certify specific processed plant products for export. PPQ Form 578 was created by PPQ to fill a void where **no** other USDA agency certification existed or could be adapted. **No** liability is assumed by the USDA or by any of its representatives with respect to this certificate. The purpose of PPQ Form 578 is to assist U.S. exporters whose shipments may be placed in jeopardy if such a document is **not** issued.

Important

Issue PPQ Form 578 **only** for processed products specified in EXCERPT as eligible, regardless of the product's origin.

PPQ Form 579, Phytosanitary Certificate for Reexport

PPQ Form 579, Phytosanitary Certificates for Reexport, is an accountable inspection certificate used to certify foreign origin plants and unprocessed or unmanufactured plant products that have been imported into the United States. The purpose of PPQ Form 579 is to certify that plants or plant products conform with the current phytosanitary regulations of the importing country.

Important

Do not issue PPQ Form 579 for foreign processed products.

Do not issue PPQ Form 579 for plants or plant products listed in the export summaries as prohibited by the foreign country unless an import permit or special authorization from the plant protection organization of the importing country has been written specifically for the commodity from the originating country.

Overview of Special Procedures

There are aspects of export certification that have established special procedures and unique programs that provide guidance which supplement the general guidelines. A list of these special procedures and unique programs follow with a brief summary of each (details can be found either in a section of the *Special Procedures* or *Appendix* of this manual):

- Accreditation Programs
- Compliance Agreements for Compressed, Baled Cotton
- Containerized Oak Lumber
- Federal-State Cooperative Program
- Mail Exports
- Mill Certification Programs for Coniferous Sawn Wood
- Plants in Growing Media for Export to European Union
- Protected Plants
- United States-Canada Greenhouse Certification Program
- U.S. Export Standards for Seed Potatoes
- User Fees

Accreditation Programs

USDA-APHIS-PPQ has initiated accreditation programs that facilitate the exportation of commodities to foreign markets. Accreditation recognizes consistent levels of competency and confers specific authority. Accrediting trained personnel, organizations, facilities, and processes associated with phytosanitary functions enhances USDA-APHIS-PPQ's ability to protect plant resources and facilitate safe trade. Two accreditation programs initiated by USDA-APHIS-PPQ are the Accreditation of Authorized Certification Officials and the Seed Health Accreditation Program. See *Special Procedures*, ***Accreditation Programs*** on page 3-1-1.

Compliance Agreements for Compressed, Baled Cotton

PPQ Form 519, Compliance Agreement, is a written record of understanding made among certain industries and USDA to assist in the certification of plants and plant products offered for export. Compliance agreements may be appropriate for establishing procedures to certify compressed, baled cotton. Contact Export Services for approval prior to developing compliance agreements. See *Special Procedures*, ***Compliance Agreements for Compressed, Baled Cotton*** on page 3-2-1.

Containerized Oak Lumber

The special procedures for ***Containerized Oak Lumber*** on **page 3-3-1**, provide standardized inspection procedures for certifying containerized oak lumber. The preferred method of certifying lumber for export is to inspect the lumber before containerization. The fact that the lumber is tightly and neatly packed in containers **does not** negate the inspection function.

Federal-State Cooperative Program

The Federal and State Departments of Agriculture participate in cooperative agreements to more effectively perform phytosanitary export certification. The USDA-APHIS-PPQ phytosanitary export certification program is expanded to enable designated State cooperators to issue Federal plant export certificates at interior points of origin in the United States. Each State plant regulatory agency **must** negotiate a Memorandum of Understanding with USDA-APHIS-PPQ in order to be granted the authority to issue Federal plant export certificates. See *Special Procedures*, ***Federal-State Cooperative Program*** on **page 3-4-1**.

Mail Exports

The special procedures for ***Mail Exports*** on **page 3-5-1**, provide the necessary steps for processing plant material that is being exported by mail. When the plant material arrives at a mail facility at the point of export, the ACO can issue a Federal plant export certificate if the mail shipment is found free of plant pests and otherwise meets the import requirements of the foreign country.

Mill Certification Programs for Coniferous Sawn Wood

USDA-APHIS-PPQ has initiated Memorandums of Understanding with lumber grading agencies to facilitate exports of coniferous sawn wood, an important export from the United States that is highly regulated because of various pests, including the pine wood nematode, *Bursaphelenchus xylophilus*. See *Special Procedures*, ***Mill Certification Programs for Coniferous Sawn Wood*** on **page 3-6-1**.

Plants in Growing Media for Export to European Union

APHIS' position is that if plants in growing media have sound nursery production procedures, then phytosanitary certification of these plants will provide European Union countries with protection against noxious organisms within the confines of the certifying statement on Federal plant export certificates and will adequately satisfy our obligation to international plant protection. Therefore, see *Special Procedures*, ***Plants in Growing Media and Containers to European Union*** on **page 3-7-1**, for the procedures established to certify

shipments of plants offered for export to the European Union to ensure that the plants were grown following specific procedures for production and sanitation.

Protected Plants

The special procedures for ***Processing Protected Plants*** on **page 3-8-1**, provide the necessary steps for processing eligible protected plants or protected plants or plant products moving in violation of CITES or ESA. When applicable, follow these procedures after completing a preliminary assessment beginning at *Procedures,* ***Certification Decision*** on **page 2-2-1**.

United States-Canada Greenhouse Certification Program

USDA-APHIS-PPQ and the Canadian Food and Inspection Agency have entered into a Memorandum of Understanding to provide for a modified phytosanitary certification program for the expeditious commercial movement of certain low-risk decorative plants between the two countries. See *Special Procedures*, ***United States-Canada Greenhouse Certification Program*** on **page 3-9-1**.

U.S. Export Standards for Seed Potatoes

Special procedures have been established for the certification of seed potatoes for export by official State seed potato certification agencies. See *Special Procedures*, ***U.S. Export Standards for Seed Potatoes*** on **page 3-10-1**.

User Fees

Special procedures have been written that cover the directions for collecting user fees for Federal plant export certificates and for issuing prepaid certificates. Fees are collected for each Federal plant export certificate issued by PPQ regulatory officials, **except** for the re-export of noncommercial shipments and for Federal plant export certificates that are issued by States or counties regulatory officials. See *Special Procedures*, ***User Fees*** on **page 3-11-1**.

2

Export Certification Manual

Procedures

Certification Decision

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Introduction

This section of the *Procedures* chapter covers the initial steps to follow when a request is received to certify plants or plant products for export certification. Authorized Certification Officials (ACOs) need to assess if they can certify the plants or plant products based on what the product is, and the product's origin and destination. Also, ACOs **must** determine their authority to certify protected plants or plant products for export.

Receive a Request

Before an ACO can conduct a preliminary assessment, someone **must** ask for a Federal plant export certificate (exporter, broker, shipper, or representative from another government office such as Agricultural Research Service and Agricultural Marketing Service).

The request may be received in any one of the following manners:

- Inquiry about exporting plant material by mail[1]
- Letter or FAX
- PPQ Form 553, Certificate of Heat Treatment (partially completed)
- PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export

1 See *Special Procedures*, ***Mail Exports*** on **page 3-5-1**.

- PPQ Form 577, Federal Phytosanitary Certificate (partially completed)
- PPQ Form 578, Export Certificate, Processed Plant Products (partially completed)
- PPQ Form 579, Phytosanitary Certificate for Reexport (partially completed)
- Phone call

Require a written application prior to completing a Federal plant export certificate. A written application provides ACOs with reliable information for properly completing a Federal plant export certificate and ensures the exporter's willingness to pay for services rendered. PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, is specifically designed to provide the information needed to complete a Federal plant export certificate. The form also serves as a worksheet for ACOs to record inspection results. (See *Appendix B*, ***PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export*** on **page B-1-13** for directions on completing the form.[2])

Conduct a Preliminary Assessment

Before referring to an export summary, inspecting a shipment, or completing a Federal plant export certificate, ACOs need to assess if they can certify the plants or plant products, and to determine if the shipment is of domestic or foreign origin. See **Figure 2-2-1** for an overview of the procedures to follow when assessing whether to certify plants or plant products for export.

Step 1: Collect Information

Step 2: Determine if the Plants or Plant Products Are Eligible for Certification

Step 3: Determine the Plants or Plant Products' Origin and Destination

Step 4: Identify Protected Plants

Step 5: Determine Your Authority to Certify Protected Plants or Plant Products for Export

FIGURE 2-2-1: Overview of Assessing Whether to Certify Plants or Plant Products for Export

2 PPQ Form 572 can be downloaded as a PDF file from web site address: <http://www.aphis.usda.gov/library/forms>. This application may be available online at locations piloting the Phytosanitary Certificate Issuance Tracking System (PCIT); contact the PCIT Coordinator of USDA-APHIS-PPQ Export Services for further information.

Step 1: Collect Information

After receiving a request to inspect and to certify plants or plants products, collect the key information listed below to help determine whether you can issue a Federal plant export certificate:

- Date the plants or plant products are being shipped
- Location of the plants or plant products
- Location where the plants or plant products were grown (country, State, or county)
- Location where the plants or products are going (country and port(s) of entry)
- Name of plants or plant products (if possible, get botanical names; when the exporter provides a common name, then have the exporter precisely identify the plant product for the purposes of identifying specific import requirements (e.g., wheat grain versus wheat seeds)
- Supporting documents (collect available foreign phytosanitary certificate or equivalent, import permit, State or other Federal agency inspection certificate, laboratory test results)
- Whether the product is a processed product and if so, the degree of processing

After you have collected the key information, GO to ***Step 2: Determine if the Plants or Plant Products Are Eligible for Certification*** on **page 2-2-4**.

Step 2: Determine if the Plants or Plant Products Are Eligible for Certification

Use Table 2-2-1 to decide if you can certify the plants or plant products offered for export based on what they are.

TABLE 2-2-1: Determine if the Plants or Plant Products Are Eligible for Certification

If the articles are:	And they are:	And they are:	Then based on what the articles are:
Plants, parts of plants, or something derived from plants (including edible mushrooms[1] as vegetables)	Processed products such as: ◆ Frozen fruits or vegetables ◆ Pelletized plant material ◆ Plywood	Listed in EXCERPT under *Processed Products* as eligible for PPQ Form 578	1. CONSIDER **certifiable** and **eligible** for PPQ Form 578 2. GO to ***Step 3: Determine the Plants or Plant Products' Origin and Destination*** on **page 2-2-5**
		Listed in EXCERPT under *Ineligible Commodities*	1. CONSIDER **not certifiable** and **ineligible** for a Federal plant export certificate 2. EXIT this manual
		Not on either list in EXCERPT	
	Unprocessed products[2]	→	1. CONSIDER **certifiable** and **eligible** for a Federal plant export certificate 2. GO to ***Step 3: Determine the Plants or Plant Products' Origin and Destination*** on **page 2-2-5**
Neither plants **nor** anything derived from plants	Living organisms such as: ◆ Bacterial cultures ◆ Fungal cultures ◆ Innoculants ◆ Soil inoculums	→	1. CONSIDER **not certifiable** and **ineligible** for a Federal plant export certificate 2. EXIT this manual
	Nonplant products	→	
Mixture or combination of plant and non-plant materials	→		

1 Mushroom spawn is **not** eligible for any Federal plant export certificate (PPQ Forms 577, 578, or 579).

2 Certain processed products are considered a pest risk when shipped in bulk or when the product maintains a pest risk regardless of processing. These products are **effectively unprocessed** for the purpose of export certification. Eligible processed products are listed in EXCERPT.

Step 3: Determine the Plants or Plant Products' Origin and Destination

Use Table 2-2-2 to decide if you can certify the plants or plant products based on their origin and destination.

TABLE 2-2-2: Determine Eligibility for Certification Based on Origin and Destination

If the articles originated in:	And the articles are being exported:	Then:
United States, American Samoa, Guam, Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands, (St. Thomas, St. Croix, St. John)	To a foreign country	1. CONSIDER **certifiable** and **eligible** for PPQ Form 577 or PPQ Form 578. A State phytosanitary certificate may be used **only** if accepted by the U.S. affiliated island 2. HANDLE the shipment as a domestic-origin shipment for export 3. GO to ***Step 4: Identify Protected Plants*** on **page 2-2-6**
	Interstate via Canada	
	To the Marshall Islands	
	To United States, American Samoa, Guam, Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, St. John)	1. CONSIDER **not certifiable** and **ineligible** for a Federal plant export certificate 2. REFER exporter to the State, country, or Affiliated Island's plant regulatory agency for certification using a State phytosanitary certificate 3. EXIT this manual
A foreign country or the Marshall Islands (islands affiliated with the United States)	To a foreign country	1. CONSIDER **certifiable** and **eligible** for PPQ Form 578 or PPQ Form 579 2. HANDLE the shipment as a foreign-origin shipment for re-export 3. GO to ***Step 4: Identify Protected Plants*** on **page 2-2-6**
	Interstate via Canada	
	To the Marshall Islands	
	To American Samoa, Guam, Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, St. John)	

Step 4: Identify Protected Plants

[This step will be reviewed by PPQ subject matter experts along with the other sections in the manual about certifying protected plants. Consult with Export Services about clarification of protected plant procedures.]

PPQ is responsible for enforcing The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and The Endangered Species Act (ESA) for exporting and re-exporting listed plants. Therefore, ACOs **must** identify whether the plants or plant products are protected by CITES or ESA before confirming that they can meet the import requirements of the foreign country. After identifying the articles as protected plants or plants parts, use Table 2-2-3 to determine if they can be certified based on their CITES or ESA status.

ACOs can use EXCERPT to look up if the plant name is a protected plant or plant part. Also, ACOs can access the following web site addresses for the same listings:

- CITES web site address: <http://www.CITES.org/>
- ESA web site address: <http://endangered.fws.gov/wildlife.html#Species>

All protected plants are listed in EXCERPT, including genera in the families Cactaceae and Orchidaceae. The ***Characteristics of Cactaceae*** and the ***Characteristics of Orchidaceae*** are listed below to help visually identify plants or plant products that may be regulated by CITES or ESA.

Characteristics of Cactaceae

Characteristics of Cactaceae are as follows:

- Stems are succulent with small, woolly or felt area often bearing clusters of spines or bristles
- If stems are **not** succulent, then look for stems with tufts of fuzz and spines arising from the fuzz

Characteristics of Orchidaceae

Characteristics of Orchidaceae are as follows:

- Flowers are orchid-like
- Leaf venation is parallel
- Roots are fibrous or cord-like-to-tuberous
- Stems often are more or less swollen or thickened and form a pseudo bulb

If you **cannot** find the plant name and/or you doubt its accuracy, then hold the shipment until the plants are correctly identified. If local expertise is unavailable, then consult with the nearest PPQ botanist.

TABLE 2-2-3: Determine if Plants or Plant Products Can Be Certified Based on CITES and ESA Status

If the articles being exported are:	And they are:	And you are a:	Then:
Neither protected by CITES **nor** ESA	Domestic plants or unprocessed plant products	→	GO to *Procedures*, ***Import Requirements*** on **page 2-3-1** to identify import requirements and determine if you can issue PPQ Form 577
	Foreign-origin plants or unprocessed plant products	→	GO to *Procedures*, *Export Certificates*, ***PPQ Form 579, Phytosanitary Certificate for Reexport*** on **page 2-5-40** to identify import requirements and determine if you can issue PPQ Form 579
	Eligible processed products listed in EXCERPT as a processed product eligible for PPQ Form 578	PPQ Officer (ACO)	1. COLLECT a user fee or RECORD a prepaid PPQ Form 578 (see Special Procedures, ***User Fees*** on **page 3-11-1**) 2. GO to *Procedures, Export Certificates*, ***PPQ Form 578, Export Certificate, Processed Plant Products*** on **page 2-5-32** for directions to complete PPQ Form 578
		State or county cooperator (ACO)	1. If applicable, SEE your local policy for collecting user fees 2. GO to *Procedures, Export Certificates*, ***PPQ Form 578, Export Certificate, Processed Plant Products*** on **page 2-5-32** for directions to complete PPQ Form 578
Protected by CITES or ESA	→	→	GO to ***Step 5: Determine Your Authority to Certify Protected Plants or Plant Products for Export*** on **page 2-2-8** to determine your authority and action to take for certifying protected plants

Step 5: Determine Your Authority to Certify Protected Plants or Plant Products for Export

[This step will be reviewed by PPQ subject matter experts for accuracy, currency, and comprehensiveness. Consult with Export Services about clarification of protected plant procedures.]

Only ACOs located at designated CITES ports are authorized to certify protected plants or plant products. Therefore, you **must** determine whether you are located at a designated CITES port.

ACOs can use EXCERPT to look up the designated CITES ports for plants (by State), or use these other sources for the same listing:

- 50CFR 24.12
- USDA-APHIS-PPQ web site address below:

  <http://www.aphis.usda.gov/ppq/permits/cites>

After identifying the designated CITES ports, use **Table 2-2-4** to determine your authority to certify protected plants or plant products for export.

TABLE 2-2-4: Determine Authority to Certify Protected Plants or Plant Products

If you are:	Then:
Located at a designated CITES port	GO to *Special Procedures*, **Processing Protected Plants**
Not at a designated CITES port	1. CONTACT the nearest designated CITES port or a PPQ regional botanist (through proper channels) or Export Certification Specialist for guidance to arrange to move the shipment to a designated port (at the owner's expense). Some designated CITES ports have established procedures for ACOs at interstate locations and non-designated CITES ports to assist in inspecting and processing shipments of protected plants[1] 2. EXIT this manual. You are **not** authorized to complete a Federal plant export certificate for plants or plant products regulated by CITES or ESA

1 Some designated CITES ports have established procedures that allow State or county cooperators to attest that the plants are artificially propagated and to complete a State phytosanitary certificate. The exporter sends the State phytosanitary certificate, the invoice, and specified copies of the CITES or ESA documents to the designated CITES port for validation and endorsement. At some designated CITES ports, a blank Federal plant export certificate **must be** obtained and partially completed by the exporter and sent back to the designated CITES port, along with the other paperwork.

Procedures have been established to allow PPQ officers at non-designated CITES ports to confirm that the exporter has PPQ Form 622, USDA General Permit, and proper CITES or ESA documents. The officer confirms that all the paperwork agrees with the shipment and has the exporter complete PPQ Form 572 and send along with specified copies of the invoice and CITES or ESA documents to the designated CITES port for validation and endorsement. If there's a concern about the shipment's validity, then shipments may be required to go through the designated CITES port.

2

Export Certification Manual

Procedures

Import Requirements

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Introduction

This section of the *Procedures* chapter presents the preferred method Authorized Certification Officials (ACOs) should follow to find import requirements in export summaries, and the regulatory action ACOs should take for prohibited plants and plant products and restricted plants and plant products based on whether they met the identified import requirements.

Accessing Export Summaries

ACOs use export summaries to identify the import requirements that **must** be met in order to issue a Federal plant export certificate, or to identify prohibitions that would disallow certification of the plants and

plant products. Based on whether plants and plant products can meet the import requirements, ACOs then determine if they can issue a Federal plant export certificate.

EXCERPT houses the export summaries of foreign countries and provides the most recent information about import requirements. To identify recent changes or additions to import requirements for specific plants or plant products as well as alerts that may apply to all exports, **always** check the following in EXCERPT:

- Messages and Alerts
- Phytosanitary Notes
- Recent Summary Changes

Export summaries are prepared from translations of plant quarantine regulations, official instructions, and other information provided by government officials in the foreign countries.

Important

The export summaries of the import requirements of foreign governments are **not** to be considered legally authoritative.

When possible and before being loaded into EXCERPT, each export summary is reviewed by USDA-APHIS-PPQ, Export Services and is corrected by plant protection officials in the foreign country. Changes to export summaries are based on official information USDA-APHIS-PPQ receives from foreign countries.

Occasionally important changes in foreign regulations are **not** brought to the attention of USDA-APHIS-PPQ. Therefore, ACOs should advise exporters that there may be informational gaps in the export summaries. In the case of unusual or expensive shipments, exporters may wish to contact the plant protection officials in the foreign country to obtain or confirm the requirements for particular plants and plant products.

When an exporter presents import requirements that differ from those in an export summary, then the exporter **must** provide the ACO with official documents from the foreign country that state the different requirements. These official documents may be import permits, special authorizations, or recent correspondence that came from the plant protection organization of the foreign country. An official document from the plant protection organization of the foreign country takes precedence over the information contained in an export

summary. (Import requirements provided in official documents that differ from an export summary should be brought to the attention of Export Services through proper channels.)

Keep in mind that exporters frequently present contract stipulations (from their contacts in the foreign country) to indicate that plant quarantine regulations have been changed. Information from exporters' contracts **cannot** be considered official because changes or exceptions to plant quarantine regulations **must** come from the plant protection organization of the foreign country. However, a few countries use commercial contracts to outline the import requirements for a particular shipment. Exceptions such as the acceptable use of commercial contracts are listed in the respective export summary.

Important

A letter of credit is a financial document and is **not** a phytosanitary document. Letters of credit are **not** issued by the plant protection organization of the foreign country.

Preferred Method for Finding Import Requirements

To effectively find import requirements for plants and plant products in the export summaries, follow the preferred method for accessing information. The preferred method acts as a filter to eliminate potentially conflicting or confusing information and helps ACOs find specific, high-priority information. While there are other possible shortcuts to navigating through export summaries, the following preferred method has proven to work well for training purposes:

1. Login to EXCERPT at the following web site address and enter your user identification number and password[1]:

   <http://excerpt.ceris.purdue.edu/>

2. At the EXCERPT home page, check the following to identify recent changes or additions to import requirements for specific plants or plant products as well as alerts that may apply to all exports:

   A. Messages and Alerts

   B. Phytosanitary Notes

   C. Recent Summary Changes

3. At the EXCERPT home page, select *Export Summary Inquiry*.

1 If you **do not** have an authorized user identification number and password, then go to *Preparation, Export Certification Project,* ***Request an EXCERPT Account*** on **page 2-1-6**.

4. At the *Export Summary Inquiry* screen:
   - **A.** Type the name of the country in the *Country Name* block.[2]
   - **B.** Verify that the radio button next to #1 for *Product Requirements Information* is filled (default); if **not**, then click that button.[3]
   - **C.** Type the scientific name of the commodity in the *Commodity Name* block; if you have **only** a common name, then type the common name in the block.
   - **D.** Click the *Submit Query* button at the bottom of the screen.
5. Respond to any prompts to complete the query (list of country names or list of commodity names).

If the country's name:	And EXCERPT:	Then:
Is **not** in EXCERPT	Has **no** specific instructions	Follow the contact protocol in **Table 2-1-3 on page 2-1-20** under *Procedures, Preparation, Contact Protocol*
	Specifically instructs the user to contact Export Services directly	1. CONTACT Export Services by phone 301-734-8537 or FAX 301-734-3249 2. FOLLOW UP with your Export Certification Specialist about Headquarters' guidance
Is in EXCERPT	States that information for the country identified is **not** available and to call Export Services directly	
	Sends you to the country's export summary	1. NOTE the approved country name for completing PPQ Form 577 2. GO to 6., below
	Sends you to another foreign country's export summary, of which contains the import requirements for the country name typed in	

2 If you are unsure about the country name, then see *Appendix C*, ***List of Countries*** on **page C-1-1**.
3 *Product Requirements* of export summaries is the first place to find import requirements for domestic origin plants or plant products.

6. Either select the plant name from a *Commodity Menu* or select the plant part from a *Product Requirements Menu*.

If the plant name:	And the plant part:	Then:
Is **not** specifically listed under *Product Requirements*	→	1. CONTINUE looking for general import requirements 2. Either GO back to the *Export Summary Inquiry* screen, or JUMP to *General Information* from the bottom of the screen 3. CONTINUE to 7., below
Is listed under *Product Requirements*	Is **not** listed	
	Is listed under Product Requirements	1. REVIEW the listed import requirements to determine if the plant or plant product is prohibited or restricted 2. GO to ***Step 1: Regulate Prohibited Plants or Plant Products*** on **page 2-3-8**

7. At the *Export Summary Inquiry* screen, click on the radio button next to #2 for *General Information*.[4]

A. Type "prohibited" in the *Category Name* block or leave the block blank.

B. Click the *Submit Query* button at the bottom of the screen.

8. Respond to any prompts to complete the query from a *Category Menu* (list of topics under *General Information*).

9. Select the plant part.

If the plant or plant product:	Then:
Is listed as prohibited	1. REGULATE the plant or plant product as a prohibited product 2. GO to ***Step 1: Regulate Prohibited Plants or Plant Products*** on **page 2-3-8**
Is **not** listed as prohibited	1. NOTE that the plant or plant product is **not** prohibited 2. Either GO back to the *Export Summary Inquiry* screen or the *Category Menu,* or JUMP to *General Information* from the bottom of the screen 3. CONTINUE to 10., below

4 *General Information* of export summaries is the second place to find import requirements for domestic plants or plant products. *General Information* is where special notices about unusual or unique requirements are placed.

10. Type "unrestricted" in the *Category Name* block and click on the *Submit Query* button or select Unrestricted Products from the *Category Menu*.

If the plant or plant product:	Then:
Is listed as unrestricted	1. NOTE that the plant or plant product is unrestricted. A PPQ Form 577 is **not** required but can be issued 2. SKIP to 12., below
Is **not** listed as unrestricted	1. NOTE that the plant or plant product is **not** listed as unrestricted 2. Either GO back to the *Export Summary Inquiry* screen or the *Category Menu,* or JUMP to *General Information* from the bottom of the screen 3. CONTINUE to 11., below

11. Type "restricted" in the *Category Name* block and click on *Submit Query* button or select Restricted Products from the *Category Menu*.

If the plant or plant product:	Then:
Is listed as restricted	1. NOTE the requirements 2. GO to ***Step 2: Identify Import Requirements for Restricted Plants or Plant Products*** on **page 2-3-9**
Is **not** listed as restricted	1. NOTE that the plant or plant product is **not** specifically listed in the export summary as having conditions of entry, but would still require PPQ Form 577 if **not** unrestricted 2. CONTINUE to 12., below

12. Explore other categories found under *General Information*, such as definitions, harmful organisms, packing material, points of entry, special notices, and work plans.

13. Go back to the *Export Summary Inquiry* screen, select radio button next to #3 for *Subsidiary Information*, and click on *Submit Query* button; or jump to *Subsidiary Information* from the bottom of the screen.[5]

14. Continue on to *Procedures*, ***Inspection Guidelines*** on **page 2-4-1**.

5 Usually, *Subsidiary Information* in export summaries **does not** contain information of a phytosanitary nature, but it may contain information of interest to exporters (such as contacts for import permits, requirements for importing bees, geographical samples, etc.). See Canada's export summary as an example.

Regulating Plants and Plant Products

Using the preferred method to find information in export summaries, regulate plants or plant products offered for export based on whether the exporter has or can meet the import requirements.

The steps for regulating plants and plant products and the most common and consistent import requirements are presented from most to least restrictive.

Step 1: Regulate Prohibited Plants or Plant Products

Once you identify in the export summary that the plants or plant products offered for export are prohibited by the importing country, then use Table 2-3-1 to take the correct regulatory action.

TABLE 2-3-1: Regulate Prohibited Plants or Plant Products

If the plants or plant products are:	And the exporter has:	Then:
Prohibited by the importing country	An import permit or other special authorization for the shipment from the plant protection organization of the foreign country[1]	1. REVIEW the document to identify phytosanitary import requirements that **must** be met by the exporter 2. CHECK the export summary for other import requirements that may pertain to these plants or plant products if needed. Generally, an import permit supersedes the export summary, but may also supplement the requirements in the export summary 3. RECORD an additional declaration on PPQ Form 577 that states: "Import permit number *[number on the import permit]* was presented." 4. GO to *Procedures,* ***General Inspection Guidelines*** on **page 2-4-2** to inspect the plants or plant products to ensure that the exporter has met the phytosanitary import requirements listed on the import permit
	No import permit or other special authorization	1. REFUSE to issue PPQ Form 577 2. INFORM the exporter that the plants or plant products are prohibited by the foreign country and **must** have an import permit to be certified. The exporter **must** get an import permit from the foreign importer 3. EXIT this manual
Not prohibited by the importing country	→	1. CONTINUE to look for import requirements that apply to the plants or plant product 2. GO to **Step 2: Identify Import Requirements for Restricted Plants or Plant Products**

1 This official document may **not** look like a U.S.-issued import permit. A foreign-issued import permit is issued to the importer in the foreign country and a copy is sent to the exporter. Official documents **must** be in English. Bilingual information is acceptable as long as one of the languages is English. If an ACO or other capable source **cannot** confidently translate an official document, then advise the exporter that you **cannot** proceed until the exporter can provide an English translation certified in writing as accurate. If an ACO questions the validity of a presented import permit, then the ACO **cannot** issue a Federal plant export certificate until the permit's validity is ascertained. Forward the import permit for validation to Export Services through channels.

Step 2: Identify Import Requirements for Restricted Plants or Plant Products

Once you identify in the export summary that the plants or plant products offered for export are restricted by the import country, then see Figure 2-3-1 and the following pages to take the correct regulatory action for the most common and consistent import requirements.

The remainder of this section provides detailed information about each import requirement along with the correct regulatory action to take. Use the information as a checklist when reviewing an export summary to identify import requirements for restricted plants or plant products and to take the correct regulatory action.

1. Do the plants or plant products require an import permit, or was an import permit presented though not required?

2. Are the plants or plant products conditionally prohibited from areas infested with a pest usually associated with the host?

3. Do the plants or plant products require a growing season inspection?

4. Is there a specific time during the year when the plants or plant products are permitted to enter the foreign country?

5. Do the plants or plant products require treatment in the country of origin as a condition of entry, or was a treatment conducted?

6. Do the plants or plant products need to conform to an additional declaration?

7. Do the plants or plant products need to conform to an official verification?

8. Do the plants or plant products need to conform to freedom from applicable harmful organisms?

9. Does the foreign country limit the import of plants or plant products to specified ports?

10. Are there other phytosanitary import requirements that the plants or plant products must meet as a condition of entry?

FIGURE 2-3-1: Summary of Common and Consistent Import Requirements Presented from the Most-to-Least Restrictive

1. Do the plants or plant products require an import permit, or was an import permit presented though not required?

This import requirement pertains to those plants or plant products that require an import permit as a condition of entry, but are **not** listed in the export summary as being prohibited. Also, an exporter may have an import permit without being a condition of entry specified by the foreign country. Begin at Table 2-3-2.

TABLE 2-3-2: Identify Plants or Plant Products Requiring an Import Permit

If the plants or plant products:	Then:
Require an import permit as stated in the export summary, but are **not** listed as being prohibited	1. CONSIDER the plants or plant products as restricted 2. GO to **Table 2-3-3 on page 2-3-11**
Do not require an import permit	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to **Table 2-3-4 on page 2-3-12**

TABLE 2-3-3: Regulate Restricted (Nonprohibited) Plants or Plant Products Requiring an Import Permit

If, after reviewing the supporting documents, you determine that the exporter:	Then:
Has a copy of a valid import permit issued by the plant protection organization of the foreign country[1]	1. REVIEW the import permit to identify phytosanitary import requirements that **must** be met by the exporter 2. CHECK the export summary for other import requirements that may pertain to these plants or plant products if needed. Generally, an import permit supersedes the export summary, but may also supplement the requirements in the export summary 3. RECORD an additional declaration on PPQ Form 577 that states: "Import permit *[number on the import permit]* was presented." **Important**: Once an import permit is presented, **do not** issue PPQ Form 577 with an additional declaration that states, "No import permit was presented." Doing so would constitute a fraudulent statement on the certificate. 4. GO to *Procedures,* ***Inspection Guidelines*** on **page 2-4-1** to inspect the plants or plant products to ensure that they met the import requirements listed on the import permit
Does not have a copy of a valid import permit[2]	1. INFORM the exporter that the shipment may be held at its destination point without an import permit (see Important Note below) 2. RECORD an additional declaration on PPQ Form 577 that states: "**No** import permit was presented." 3. CONTINUE to look for import requirements that apply to the plants or plant products 4. GO to ***2. Are the plants or plant products conditionally prohibited from areas infested with a pest usually associated with the host?*** on **page 2-3-13**

1 This official document may **not** look like a U.S.-issued import permit. A foreign-issued import permit is issued to the importer in the foreign country and a copy is sent to the exporter. Official documents **must** be in English. Bilingual information is acceptable as long as one of the languages is English. If an ACO or other capable source **cannot** confidently translate an official document, then advise the exporter that you **cannot** proceed until the exporter can provide an English translation certified in writing as accurate. If an ACO questions the validity of a presented import permit, then the ACO **cannot** issue a Federal plant export certificate until the permit's validity is ascertained. Forward the import permit for validation to Export Services through channels.

2

Important

ACOs **cannot** refuse to issue a PPQ Form 577 if an import permit is **not** presented for restricted plants or plant products. However, this rule is **not** strictly followed by all countries. Some countries absolutely require an import permit to enter certain restricted plants or plant products. In the export summaries for these countries, the following statement immediately follows the requirement for an import permit: **"Do not issue a phytosanitary certificate unless an import permit is presented."** In this instance, ACOs **cannot** issue PPQ Form 577 unless the import permit is presented.

TABLE 2-3-4: Regulate Plants or Plant Products Accompanied by an Import Permit That Is Not Required

If, after reviewing the supporting documents, you determine that the exporter:	**Then:**
Has a copy of a valid import permit issued by the plant protection organization of the foreign country[1]	1. REVIEW the import permit to identify phytosanitary import requirements that **must** be met by the exporter 2. CHECK the export summary for other import requirements that may pertain to these plants or plant products. Generally, the import permit supersedes the export summary, but may also supplement requirements in the export summary 3. RECORD an additional declaration on PPQ Form 577 that states: "Import permit *[number on the import permit]* was presented." **Important**: Once an import permit is presented, **do not** issue PPQ Form 577 with an additional declaration that states, "No import permit was presented." Doing so would constitute a fraudulent statement on the certificate. 4. GO to *Procedures,* ***Inspection Guidelines*** on **page 2-4-1** to inspect the plants or plant products to ensure that they met all the import requirements listed on the import permit
Does not have a copy of a valid import permit	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***2. Are the plants or plant products conditionally prohibited from areas infested with a pest usually associated with the host?*** on **page 2-3-13**

1 This official document may **not** look like a U.S.-issued import permit. A foreign-issued import permit is issued to the importer in the foreign country and a copy is sent to the exporter. Official documents **must** be in English. Bilingual information is acceptable as long as one of the languages is English. If an ACO or other capable source **cannot** confidently translate an official document, then advise the exporter that you **cannot** proceed until the exporter can provide an English translation certified in writing as accurate. If an ACO questions the validity of a presented import permit, then the ACO **cannot** issue a Federal plant export certificate until the permit's validity is ascertained. Forward the import permit for validation to Export Services through channels.

2. Are the plants or plant products conditionally prohibited from areas infested with a pest usually associated with the host?

Use Table 2-3-5 to take the correct regulatory action.

TABLE 2-3-5: Regulate Plants or Plant Products That Are Conditionally Prohibited from Specific Areas Infested With a Pest Usually Associated With the Host

If the plants or plant products are:	And after reviewing the supporting documents, you determine that the plants or plant products were grown in:[1]	Then:
Prohibited from specific areas that are infested with a pest usually associated with that host	One of the specified areas	REFUSE to issue PPQ Form 577
	Area free from pests associated with that host (a pest-free area[2])	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***3. Do the plants or plant products require a growing season inspection?*** on **page 2-3-14**
Not prohibited from specific areas	→	

1 Get pest distribution information from the following sources:

a. Link within the export summary to the CAPS (provided that all states have entered all survey information)
b. Area identifiers
c. Export Certification Specialists (ECS)
d. National Agricultural Pest Information System (NAPIS)
e. State or county regulatory personnel
f. Riverdale (Biological and Technical Services) through your ECS
g. Cooperative Extension Services
h. Universities

2 See *NAPPO Standard for Pest-Free Areas* for details (contact a PPQ regional office or an Export Certification Specialist for a copy). This standard provides the requirements for establishing pest-free areas, maintenance of pest-free areas, termination of pest-free status, and reinstatement of pest-free status. Establishing pest-free status is based on surveys.

3. Do the plants or plant products require a growing season inspection?

Use Table 2-3-6 to take the correct regulatory action.

TABLE 2-3-6: Regulate Plants or Plant Products That Require a Growing Season Inspection

If the plants or plant products:	And after reviewing the supporting documents, you determine that a growing season inspection was:	Then:
Require a growing season inspection	**Not** satisfactorily conducted	REFUSE to issue PPQ Form 577
	Satisfactorily conducted	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***4. Is there a specific time during the year when the plants or plant products are permitted to enter the foreign country?*** on **page 2-3-15**
Do not require a growing season inspection	→	

4. Is there a specific time during the year when the plants or plant products are permitted to enter the foreign country?

Use Table 2-3-7 to take the correct regulatory action.

TABLE 2-3-7: Regulate Plants or Plant Products That May Enter the Foreign Country Only During Specific Times During the Year

If the export summary:	And after reviewing the supporting documents, you determine that the plants or plant products:	Then:
Lists a specific time when the plants or plant products are enterable **only** when conditions are met	**Cannot** meet the conditions of entry that are consistent with the specified time	REFUSE to issue PPQ Form 577
	Can meet the conditions of entry when entering during the specified time period	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***5. Do the plants or plant products require treatment in the country of origin as a condition of entry, or was a treatment conducted?*** on **page 2-3-16**
Does not list specific times for entry	→	

5. Do the plants or plant products require treatment in the country of origin as a condition of entry, or was a treatment conducted?

Begin at Table 2-3-8 to take the correct regulatory action.

TABLE 2-3-8: Identify Plants or Plant Products Requiring Treatment in the Country of Origin as a Condition of Entry

If the plants or plant products:	And after reviewing the supporting documents, you determine that the plants or plant products:	Then:
Require treatment as stated in the export summary	→	GO to **Table 2-3-9 on page 2-3-17** to take the correct regulatory action
Do not require treatment	Were treated	GO to **Table 2-3-10 on page 2-3-18** to take the correct regulatory action
	Were **not** treated	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***6. Do the plants or plant products need to conform to an additional declaration?*** on **page 2-3-19**

TABLE 2-3-9: Regulate Plants or Plant Products Requiring Treatment in the Country of Origin as a Condition of Entry

If after reviewing the supporting documents, you determine that:	And the exporter is:	Then:
Treatment acceptable to the importing country (as stated in the export summary) was monitored[1] by a Federal, State, or county plant quarantine official[2]	→	1. RECORD details of **all** acceptable treatments on PPQ Form 577 2. CONTINUE to identify other import requirements that apply to the plants or plant products 3. GO to ***6. Do the plants or plant products need to conform to an additional declaration?*** on **page 2-3-19**
No treatment was conducted or treatment was **unacceptable** to the importing country (as stated in the export summary)	**Not** willing to arrange for proper treatment	REFUSE to issue PPQ Form 577
	Willing to arrange for proper treatment at commercial facilities monitored by a Federal, State, or county plant quarantine official[1]	1. MONITOR treatment 2. RECORD details of **all** acceptable treatments on PPQ Form 577 3. CONTINUE to identify other import requirements that apply to the plants or plant products 4. GO to ***6. Do the plants or plant products need to conform to an additional declaration?*** on **page 2-3-19**

1 Section 18 treatments **must** be supervised by Federal ACOs (per USDA-APHIS-PPQ Center for Plant Health Science and Technology (CPHST)).

2 As relates to quarantine treatments of commodities offered for export, APHIS' policy is for ACOs to attest to a treatment on a Federal plant export certificate **only** when one of the following occurs:

- Fumigation treatment performed following procedures specified in the USDA-APHIS-PPQ *Treatment Manual* and monitored or supervised by a Federal, State, or county plant quarantine official
- Notarized letter attesting to a fumigation treatment performed by a licensed pest control operator (certified for the type of treatment performed) or a compliance agreement for fumigation treatment in a chamber that followed the procedures specified in the USDA-APHIS-PPQ *Treatment Manual*, which is presented to the ACO for those occasions when a treatment is **not** monitored by a Federal, State, or county plant quarantine official. Treatments **not** officially monitored can be attested to **only** when **both** of the following circumstances are true:
  - Licensed pest control operator is **not** routinely involved in regulatory treatments
  - **No** other option was available
- Fumigation treatment indicated on seed labels which was officially monitored by State regulatory personnel to ensure EPA compliance **NOTE**: Treatments listed on foreign seed labels **cannot** be attested on a re-export phytosanitary certificate since a U.S. plant quarantine official did **not** monitor the treatment in the foreign country)

See Phytosanitary Note #792, dated 02/08/1995 that was updated 01/09/03, is a special note clarifying APHIS' policy concerning the certification of quarantine treatments of commodities for export. Phytosanitary Note #0965, dated 07/07/2004, is a special note clarifying APHIS' policy concerning the phytosanitary certification of seeds.

TABLE 2-3-10: Regulate Treated Plants or Plant Products That Do Not Require Treatment in the Country of Origin as a Condition of Entry

If, after reviewing the supporting documents, you determine that:	And the exporter:	Then:
Acceptable treatment to the importing country (as stated in the export summary) was monitored[1] by a Federal, State, or county plant quarantine official[2]	→	1. RECORD details of **all** acceptable treatments on PPQ Form 577 2. CONTINUE to identify other import requirements that apply to the plants or plant products 3. GO to ***6. Do the plants or plant products need to conform to an additional declaration?*** on **page 2-3-19**
Treatment was **not** officially monitored or treatment was unacceptable to the import country (as stated in the export summary)	Wants the shipment treated	1. MONITOR the treatment 2. RECORD details of **all** acceptable treatments on PPQ Form 577 3. CONTINUE to identify other import requirements that apply to the plants or plant products 4. GO to ***6. Do the plants or plant products need to conform to an additional declaration?*** on **page 2-3-19**
	Does not want the shipment treated	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***6. Do the plants or plant products need to conform to an additional declaration?*** on **page 2-3-19**

1 Section 18 treatments **must** be supervised by Federal ACOs (per USDA-APHIS-PPQ Center for Plant Health Science and Technology (CPHST))

2 As relates to quarantine treatments of commodities offered for export, APHIS' policy is for ACOs to attest to a treatment on a Federal plant export certificate **only** when one of the following occurs:

- Fumigation treatment performed following procedures specified in the USDA-APHIS-PPQ *Treatment Manual* and monitored or supervised by a Federal, State, or county plant quarantine official
- Notarized letter attesting to a fumigation treatment performed by a licensed pest control operator (certified for the type of treatment performed) or a compliance agreement for fumigation in a chamber that followed the procedures specified in the USDA-APHIS-PPQ *Treatment Manual*, which is presented to the ACO for those occasions when a treatment is **not** monitored by a Federal, State, or county plant quarantine official. Treatments **not** officially monitored can be attested to **only** when **both** of the following circumstances are true:
  - Licensed pest control operator is **not** routinely involved in regulatory treatments
  - **No** other option was available
- Fumigation treatment indicated on seed labels, which was officially monitored by State regulatory personnel to ensure EPA compliance (**NOTE**: Treatments listed on foreign seed labels **cannot** be attested on a re-export phytosanitary certificate since a U.S. plant quarantine official did **not** monitor the treatment in the foreign country)

See Phytosanitary Note #791, dated 02/08/1995 that was updated 01/09/03, and is a special note clarifying APHIS' policy concerning the certification of quarantine treatments of commodities for export. Phytosanitary Note #0965, dated 07/07/2004, is a special note clarifying APHIS' policy concerning the certification of seeds.

6. Do the plants or plant products need to conform to an additional declaration?

When plants or plant products **must** comply with an additional declaration (AD), use Table 2-3-11 to take the correct regulatory action.

TABLE 2-3-11: Regulate Plants or Plant Products That Must Comply With an Additional Declaration

If the plants or plant products:	And after reviewing the supporting documents or after inspecting the plants or plant products, you determine that:	And requirements and conditions:	Then:
Need to conform to an additional declaration in an import permit, EXCERPT, or ECM	Requirements and conditions have been met	→	**Important** RECORD additional declarations on Federal plant export certificates. 1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***7. Do the plants or plant products need to conform to an official verification?*** on **page 2-3-20**
	No clear evidence exists that requirements and conditions have been met	Can be met (e.g., treatment, reconditioning)	1. ALLOW exporter to provide evidence that the requirements and conditions have been met 2. INSPECT the plants or plant products **after** the exporter has provided the evidence **Important** RECORD additional declarations on Federal export certificates. 3. CONTINUE to identify other import requirements that apply to the plants or plant products 4. GO to ***7. Do the plants or plant products need to conform to an official verification?*** on **page 2-3-20**
		Cannot be met	REFUSE to issue PPQ Form 577
Do not need to conform to an additional declaration	→		1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***7. Do the plants or plant products need to conform to an official verification?*** on **page 2-3-20**

7. Do the plants or plant products need to conform to an official verification?

When plants or plant products **must** comply with an official verification (OV), use Table 2-3-12 to take the correct regulatory action.

TABLE 2-3-12: Regulate Plants or Plant Products That Must Comply With an Official Verification

If the plants or plant products:	And after reviewing the supporting documents or after inspecting the plants or plant products, you determine that:	And requirements and conditions:	Then:
Need to conform to an official verification in an import permit, EXCERPT, or ECM	Requirements and conditions have been met	→	**Important**: **DO NOT** RECORD official verifications on Federal plant export certificates unless directed otherwise in the export summary or import permit. 1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***8. Do the plants or plant products need to conform to freedom from applicable harmful organisms?*** on **page 2-3-21**
	No clear evidence exists that requirements and conditions have been met	Can be met (e.g., treatment, reconditioning)	1. ALLOW exporter to provide evidence that the requirements and conditions have been met 2. INSPECT the plants or plant products **after** the exporter has provided the evidence **Important**: **DO NOT** RECORD official verifications on Federal plant export certificates unless directed otherwise in the export summary or import permit. 3. CONTINUE to identify other import requirements that apply to the plants or plant products 4. GO to ***8. Do the plants or plant products need to conform to freedom from applicable harmful organisms?*** on **page 2-3-21**
		Cannot be met	REFUSE to issue PPQ Form 577
Do not need to conform to an official verification	→	→	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***8. Do the plants or plant products need to conform to freedom from applicable harmful organisms?*** on **page 2-3-21**

8. Do the plants or plant products need to conform to freedom from applicable harmful organisms?

Use Table 2-3-13 to take the correct regulatory action for plants or plant products that **must** conform to freedom from applicable harmful organisms listed in the export summary.

TABLE 2-3-13: Regulate Plants or Plant Products That Must be Free From Applicable Harmful Organisms

If after reviewing the supporting documents or after inspecting the plants or plant products, you determine that:	And freedom from applicable harmful organisms:	Then:
Clear evidence exists that the plants or plant products are free from listed harmful organisms (e.g., laboratory tests or field inspection results)	→	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***9. Does the foreign country limit the import of plants or plant products to specified ports?*** on **page 2-3-22**
No clear evidence exists that the plants or plant products are free from listed harmful organisms	Can be met (e.g., testing, field inspection results)	1. ALLOW exporter to provide evidence of freedom or 2. INSPECT the plants or plant products for freedom from harmful organisms (if practical) 3. CONTINUE to identify other import requirements that apply to the plants or plant products 4. GO to ***9. Does the foreign country limit the import of plants or plant products to specified ports?*** on **page 2-3-22**
	Cannot be met	REFUSE to issue PPQ Form 577

9. Does the foreign country limit the import of plants or plant products to specified ports?

Use Table 2-3-14 to take the correct regulatory action.

TABLE 2-3-14: Regulate Plants or Plant Products Limited to Enter Specific Ports

If the plants or plant products are:	And the exporter has designated:	Then:
Limited to specified ports	Port **other than** specified in the export summary	1. WARN the exporter that the shipment may be refused or delayed if entering a port **other than** specified in the export summary **Important**: **Do not** refuse to issue PPQ Form 577 if this is the **only** requirement that is **not** met. 2. CONTINUE to identify other import requirements that apply to the plants or plant products 3. GO to ***10. Are there other phytosanitary import requirements that the plants or plant products must meet as a condition of entry?*** on **page 2-3-23**
	One of the specified ports	1. CONTINUE to identify other import requirements that apply to the plants or plant products 2. GO to ***10. Are there other phytosanitary import requirements that the plants or plant products must meet as a condition of entry?*** on **page 2-3-23**
Not limited to specified ports	→	

10. Are there other phytosanitary import requirements that the plants or plant products must meet as a condition of entry?

Use Table 2-3-15 to take the correct regulatory action.

Important

If **not** done so far, you may wish to GO to *General Information* of the export summary to identify an applicable import requirement that has to be met by all or groups of plants and plant products which was omitted from *Product Requirements*.

TABLE 2-3-15: Regulate Plants or Plant Products Meeting Other Phytosanitary Import Requirements as a Condition of Entry

If there are:	And after reviewing supporting documents, you determine that the plants or plant products:	And requirements or conditions:	Then:
Other import requirements to be met that are **not** mentioned elsewhere in this section	Met the requirements	→	1. GO to *Procedures,* ***Inspection Guidelines*** on **page 2-4-1** to inspect the plants or plant products to ensure they meet all the import requirements
	Do not meet the requirements	Can be met (e.g., treatment, reconditioning)	1. ALLOW the exporter to meet the requirement or condition 2. GO to *Procedures,* ***Inspection Guidelines*** on **page 2-4-1** to inspect the plants or plant products to ensure they meet all the import requirements
		Cannot be met	1. REFUSE to issue PPQ Form 577
No other import requirements to be met	→	→	1. GO to *General Information* of the export summary to identify unrestricted commodities[1] or general requirements that have to be met by all or groups of plants and plant products 2. GO to *Procedures,* ***Inspection Guidelines*** on **page 2-4-1** to inspect the plants or plant products to ensure they meet all the import requirements

1 ACOs can issue Federal plant export certificates for those plants or plant products listed in an export summary as unrestricted products. Recall that export certification is a service USDA-APHIS-PPQ provides to facilitate trade and to assist exporters in meeting the phytosanitary import requirements of a foreign country. Therefore, if the exporter still wants a Federal plant export certificate for an unrestricted product, is willing to pay the user fee, and the commodity is eligible for a Federal plant export certificate; then ACOs can issue one with no additional declaration and based on inspection results.

2

Export Certification Manual

Procedures

Inspection Guidelines

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Introduction

This section of the *Procedures* chapter covers the inspection guidelines that Authorized Certification Officials (ACOs) should follow when sampling, inspecting, and verifying eligible plants or plant products offered for export certification. These inspection guidelines are general and can be used for a majority of the plants or plant products offered for export.

There are supplemental inspection procedures listed elsewhere in this manual, which have been established specifically for plants or plant products that warrant special attention and include the following:

- Certification of plants in growing media for export to European Union (see *Special Procedures*, ***Plants in Growing Media and Containers to European Union*** on page 3-7-1)
- Compliance agreements for compressed, baled cotton (see *Special Procedures*, ***Compliance Agreements for Compressed, Baled Cotton*** on page 3-2-1)
- Coniferous solid wood packing material (see *Special Procedures*, ***Mill Certification Programs for Coniferous Sawn Wood*** on page 3-6-1)
- Containerized oak lumber (see *Special Procedures*, ***Containerized Oak Lumber*** on page 3-3-1)

- Mail exports (see *Special Procedures*, ***Mail Exports*** on **page 3-5-1**)
- Protected plants (ESA and CITES material) (see *Special Procedures*, ***Processing Protected Plants*** on **page 3-8-1**)

Inspection Preparation

During the preliminary assessment, one of the pieces of information received from the exporter is the tentative shipping date. When the shipping date is known, ACOs can plan enough lead time for laboratory examinations and visual inspections in order to meet any time limit specified by the importing country. If specified by a foreign country, the time limit between inspection and exportation is listed in the export summary under the definition of phytosanitary certificate (PC). If a time limit is **not** specified in the export summary, then the general time limit for inspections is **not** more than 30 days before export. (See Table 2-4-3 on page 2-4-9 for known time limits specified by some countries.)

Arrangements for inspections are to be coordinated with the appropriate shipping official in order to determine the availability of the plants or plant products for inspection, their location, and the loading time. Inspections should **not** begin until the plants or plant products are all together, clearly marked, and labelled. (See *Procedures, Preparation,* ***Exporter or Shipper*** on **page 2-1-17** for their roles and responsibilities to make the plants or plant products available for inspection.)

General Inspection Guidelines

Inspection and verification of plants or plant products offered for export certification helps ACOs determine whether the shipment meets the import requirements of the foreign country. ACOs should see the export summary of the foreign country **before** beginning their inspection and verification. Foremost, ACOs should review presented import permits or special authorizations to ensure that the shipment meets the phytosanitary requirements listed in these official documents because they usually supersede an export summary.

After identifying the import requirements in an export summary or an import permit, then inspect the shipment. See Figure 2-4-1 on page 2-4-3 for a list of the main inspection steps followed by detailed guidelines.

Step 1: Determine if the Exporter Has an Acceptable Inspection Certificate That Would Preclude an Additional Inspection

Step 2: Check the Shipping Date for Enough Lead Time

Step 3: Determine the Sample Size to Inspect

Step 4: Compare Shipment to Supporting Documents

Step 5: Inspect the Plants or Plant Products

Step 6: Obtain Pest Identity

Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest

Step 8: Look for Unauthorized Packing Material

Step 9: Record Inspection Results

Step 10: Prepare a Federal Plant Export Certificate

FIGURE 2-4-1: Overview of General Inspection Guidelines

Step 1: Determine if the Exporter Has an Acceptable Inspection Certificate That Would Preclude an Additional Inspection

USDA-APHIS-PPQ, through Memorandums of Understanding, cooperates with other Federal agencies to conduct the phytosanitary inspection of specified commodities. Currently, USDA-APHIS-PPQ works cooperatively with Grain Inspection, Packers and Stockyards Administration (GIPSA), Federal Grain Inspection Service (FGIS), to inspect grain and some grain products. These official inspections are documented on inspection certificates. Therefore, these guidelines begin by an ACO determining if the exporter has an acceptable inspection certificate issued by another Federal agency that would preclude an additional inspection.

1. Find out if the exporter has an acceptable inspection certificate from another agency or organization. While it is impossible to list and provide example of all inspection certificates, a list of acceptable inspection certificates are in **Figure 2-4-2**; a list of unacceptable inspection certificates are in **Figure 2-4-3**. See ***Appendix D*** for some examples of both acceptable and unacceptable inspection certificates.

Important

All official GIPSA certificates will show the FGIS seal in the center of the certificate. The seal indicates that the grain was officially sampled and inspected by FGIS or an official agency working under GIPSA authority.

The FGIS seal is **not** on the certificates used for rice and pulses (dry beans, peas, lentils).

An inspection certificate can be accepted **only** if both the following conditions are met:

- ❖ Agency's or organization's inspectional procedures are routinely monitored by USDA-APHIS-PPQ personnel
- ❖ Inspection certificate is the original (a faxed copy of the original is acceptable when the certificate is faxed directly from the issuing agency and the accountable number is marked on the original Federal plant export certificate before being faxed)

2. Decide whether an additional inspection (beyond verification) is necessary. Base your decision on the following:
   - ❖ Ability to meet time limits specified by the foreign country
   - ❖ Credibility of the agency that conducted the inspection
   - ❖ Import requirements specified by the foreign country
   - ❖ Presence (or absence) of an acceptable inspection certificate from another agency or organization
   - ❖ Reliability of the statements made on the certificate

3. Use Table 2-4-1 to take the appropriate action.

TABLE 2-4-1: Decide to Inspect Eligible Plants or Plant Products

If the exporter:	And you decide to:	Then:
Has an acceptable inspection certificate from another agency or organization for eligible plants or plant products	Verify **only** the contents of the shipment (relying on the acceptable inspection certificate as the basis for your certification)	1. VERIFY the contents of the shipment 2. SKIP to ***Step 9: Record Inspection Results*** on **page 2-4-20**
	Conduct an additional inspection	GO to ***Step 2: Check the Shipping Date for Enough Lead Time*** on **page 2-4-8**
Lacks an acceptable inspection certificate	→	

Issuing Agency/ Organization	Form Number	Form Title and Notes
Agricultural Marketing Service (AMS)[1]	FV 146	Certificate of Quality and Condition (Processed Foods)
	FV 147	Certificate of Quality and Condition (Processed Foods) Quality Assurance
	FV 149	Certificate of Quality and Condition (Processed Foods) Continuous Inspection
	FV 294	Report on Sanitary Inspection (issued for apples, pears, emperor grapes, and some vegetables)
Federal Grain Inspection Service (FGIS)[2]	FGIS 905-1	Official Grain Inspection, Official Sample-Lot Inspection
	FGIS 905-L	Laser printed FGIS 905
	FGIS 909	Official Export Grain Inspection Certificate
	FGIS 909-1	Official Export Grain Inspection Certificate-Divided Lot
	FGIS 909-1L	Laser printed FGIS 909-1
	FGIS 909-2	Official Export Grain Inspection Certificate
	FGIS 921-2	Inspection Report—Insects in Grain (should be used in conjunction with its log and/or appropriate certificate)
	FGIS 956	Rice Inspection Services Certificate
	FGIS 956-1	Rice Inspection Services Certificate
	FGIS 956-L	Laser printed FGIS 956
	FGIS 993	Commodity Inspection Certificate
	FGIS 993-L	Laser printed FGIS 993
Florida	FV 185-C	Florida Export Citrus Fruit Inspection Report
Oregon	Inspection Report	Oregon State Seed Laboratory Inspection Report
Washington	Inspection Report	Washington Phytosanitary Grain Inspection Report
Various States	State phytosanitary certificate	Use **only** to attest to the import requirements of a foreign country that **cannot** be ascertained at the time of export (e.g., growing season inspection, freedom from certain pests at the place of growing or production, specific origin)

FIGURE 2-4-2: Acceptable Inspection Certificates

1 In cases where the AMS form **does not** meet a foreign country's import requirements, then it will be necessary to either obtain a State phytosanitary certificate attesting to the requirements or conduct an additional inspection or treatment. For example, if freedom from specific quarantine pests is required by a particular country and the pests are **not** listed on FV Form 294 issued by AMS, then an additional phytosanitary inspection **must** be conducted before the fruits can be certified. Also, specific statements may be required on the form relating to sampling guidelines and freedom from pests. For example, when fruits are being inspected from Colombia, Brazil, or Venezuela, the following statement is required on the form, "This fruit was inspected for exports to *[enter destination country]* and was found free of colding moth, San Jose scale, and apple maggot. The rate of inspection was 2 percent with 1 percent of that being cut."

2 In cases where an acceptable FGIS inspection certificate is used as the basis for issuing a Federal plant export certificate, the exporter or GIPSA inspector **must** contact a local ACO to identify the phytosanitary import requirements in preparation for the GIPSA inspection.

Issuing Agency/Organization	Form Number	Form Title and Notes
Agricultural Marketing Service (AMS)	FV 184	Federal-State Inspection Certificate
Federal Grain Inspection Service (FGIS)	FGIS 914	Official Certificate, Submitted Sample Inspection
	FGIS 915	Official Stowage Examination Certificate
	FGIS 916	Official Certificate
	FGIS 994	Commodity Certificate, Submitted Sample Inspection
	IN 415	Official Certificate, Warehouseman's Sample, Lot Inspection

FIGURE 2-4-3: Unacceptable Inspection Certificates

Step 2: Check the Shipping Date for Enough Lead Time

When inspecting a shipment of eligible plants or plant products for export certification, check the following:

- Whether a laboratory examination is required by the foreign country as a condition of entry (e.g., bacteria, fungi, nematodes, viruses) or to determine freedom from specified plant pests
- Shipping date to make sure there is enough lead time for a laboratory examination and to plan for visual inspections in order to meet any time limit specified by the foreign country

When laboratory examinations are required, see Table 2-4-2 for the appropriate action to take.

Otherwise, note if there is a specified time limit between inspection and exportation listed in the export summary under the definition of phytosanitary certificate. If a time limit is **not** specified in the export summary, then the general time limit for inspections is **not** more than 30 days before export. (See Table 2-4-3 on page 2-4-9 for known time limits specified by some countries (updated annually; see the export summary for the most current time limits).)

TABLE 2-4-2: Action When a Laboratory Examination Is Required

If there is:	Then:
Not enough lead time[1]	1. INFORM the exporter to apply for official sampling far enough in advance of the shipping date to allow for the laboratory examination 2. RESCHEDULE inspection to fit the new shipping date to allow enough lead time 3. RETURN to this decision table and follow the steps listed in the cell below
Enough lead time[1]	1. DRAW an official sample (see guidelines for drawing an official sample on **page 2-4-11**) 2. SEND the official sample to the nearest identifier, public university or public laboratory, or an accredited laboratory as conditions warrant[2] 3. KEEP the exporter informed of delays that may arise from laboratory examination 4. GO to ***Step 3: Determine the Sample Size to Inspect*** on **page 2-4-10**

1 Lead time refers to the amount of time needed to inspect or to examine plants or plant products before their shipping date. Some countries interpret shipping date as the date a commodity physically leaves the exporting country. Advise exporters that they **must** export plants and plant products within the specified time limits following inspection. see **Table 2-4-3 on page 2-4-9** for known time limits specified by some countries.

2 For information on laboratory accreditation, go to the following web site address: <http://www.aphis.usda.gov/ppq/pim/accreditation/> or see *Special Procedures*, ***Accreditation Programs*** on **page 3-1-1**.

TABLE 2-4-3: Determine Time Limits Between Inspection Date or Issuance Date and Shipping Date (as of May 18, 2004)

If the country is:	Then the maximum time limit:
Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Monaco, Netherlands, Poland, Portugal, Romania, San Marino, Slovakia, Slovenia, Spain, Sweden, Switzerland, United Kingdom, Vatican City State	Between the **issuance date** and shipping date is **14 calendar days**
Australia	Between the **inspection date** and the shipping date is **21 calendar days**
Colombia	Between the **issuance date** and the shipping date is **10 calendar days**
Bangladesh, Canada, Honduras, Hong Kong, Israel (propagative articles), Morocco, New Zealand, Norway, or South Africa	Between the **inspection date** and the shipping date is **14 calendar days**
Servia and Montenegro	Between the **inspection date** and the shipping date is **15 calendar days**
Turkey	Between the **inspection date** and the shipping date is **20 calendar days**
Other than listed above	Between the **inspection date** and the shipping date is **30 calendar days if not otherwise listed in the export summary under the definition for phytosanitary certificate**

Important

If the time limit between the inspection date (or issuance date) and the shipping date may be exceeded, then **do not** issue Federal plant export certificates.

Step 3: Determine the Sample Size to Inspect

When determining to conduct a visual inspection, decide whether to inspect the entire shipment or an officially drawn sample. Use Table 2-4-4 on page 2-4-11 to determine the sample size.

Always follow ***Safety Precautions for Sampling and Inspecting*** on **page 2-4-12**.

Guide whether to inspect the entire shipment or to draw an official sample using the following factors:

- Directions provided by your supervisor
- Existing guidelines, such as USDA-APHIS-PPQ import manuals[1] and specific work plans, protocols, or guidelines in EXCERPT, which often mandate sampling schemes for specific commodities
- Import requirements of the foreign country
- Knowledge of the pest conditions and pest distribution where the plants or plant products were grown and produced
- Size of shipment
- Type of plants or plant products

1 USDA-APHIS-PPQ *Fruits and Vegetables Import Manual*, *Cut Flowers and Greenery Import Manual*, *Unprocessed Seeds Import Manual* (computing and drawing samples of seeds packaged in bags and in bulk on pages 4-5 through 4-7 <http://www.aphis.usda.gov/ppq/manuals/pdf_files/40Seeds.pdf>), *Miscellaneous and Processed Products Import Manual*, *Propagative Seed Manual*, *MCFR 319.37, Port of Entry Manual*, and *Canadian Border Agricultural Clearance Manual* (sampling and inspection guidelines for shipments of seed packets and hermetically sealed containers in *Procedures, Sampling Seeds* page 5-39 <http://www.aphis.usda.gov/ppq/manuals/pdf_files/CB_Chapters.htm>)

TABLE 2-4-4: Determine Sample Size

If you are going to:	Then:
Inspect 100 percent of the shipment	GO to ***Step 4: Compare Shipment to Supporting Documents*** on **page 2-4-14**
Inspect a representative sample of the shipment	1. DETERMINE the sample size considering the following: ◆ Existing guidelines ◆ Experience with similar plants or plant products ◆ Import requirements of the foreign country ◆ Size of shipment ◆ Where the plants or plant products were grown or produced 2. OBSERVE ***Safety Precautions for Sampling and Inspecting*** on **page 2-4-12** 3. DRAW an official sample 4. GO to ***Step 4: Compare Shipment to Supporting Documents*** on **page 2-4-14**
Require an additional sample for laboratory examination	1. DETERMINE the sample size considering the following: ◆ Existing guidelines ◆ Experience with similar plants or plant products ◆ Import requirements of the foreign country ◆ Size of shipment ◆ Where the plants or plant products were grown or produced 2. OBSERVE ***Safety Precautions for Sampling and Inspecting*** on **page 2-4-12** 3. DRAW an official sample 4. SEND the official sample to the nearest identifier, public university or public laboratory, or an accredited laboratory as conditions warrant[1] 5. KEEP the exporter informed of delays that may arise from laboratory examination 6. GO to ***Step 4: Compare Shipment to Supporting Documents*** on **page 2-4-14**

1 For information on laboratory accreditation, go to the following web site address: <http://www.aphis.usda.gov/ppq/pim/accreditation/> or see *Special Procedures*, ***Accreditation Programs*** on **page 3-1-1**.

Officially Drawn Representative Samples

Representative samples of a shipment of plants or plant products **must be** drawn by an ACO or other designated personnel from the following agencies or organizations:

- Federal, State, or county regulatory officials for all plants or plant products
- Cooperating agencies such as Federal Grain Inspection Service for grain and grain products or Agricultural Marketing Service for specific commodities
- Non government entities accredited for seed sampling (see a list in *Special Procedures, Accreditation Programs*, ***Seed Health Accreditation Program*** on **page 3-1-3**

When sampling is the basis for certification, officially drawn samples **must be** large enough to represent the entire lot and **must be** of a nature to accurately reflect the conditions of the entire shipment.

The minimum inspection level for *fruits and vegetables* is 2 percent of the shipment's inspectional unit (i.e., boxes, units, bags, tray packs, etc.).

EXAMPLE	A shipment of 400 boxes of fruits would require 100 percent inspection of 8 boxes (.02 x 400 boxes = 8 boxes). Two percent is a minimal level.

The inspection level for plant material (*nursery stock*) and other high-risk material should 100 percent or as close to 100 percent as practical. Commodities shipped in bulk (grain or potatoes) will require sampling techniques appropriate to the levels of pest risk and industry standards, which may be less than 2 percent. Consult the appropriate State or Federal regulatory officials for these inspection levels.

Only officially drawn samples may be used to certify *seeds*. Officially drawn samples of seeds may include those for weed seed examination, laboratory analysis for pathogens, or insect examination. Samples of seeds drawn by a seed company or other industry representatives are **not** permitted unless the entity is accredited to perform such phytosanitary functions as established by the National Seed Health System and the USDA-APHIS-PPQ Accreditation Manager. See ***Special Procedures, Accreditation Programs***, ***Seed Health Accreditation Program*** on **page 3-1-3**.

Safety Precautions for Sampling and Inspecting

Check the label or description for special instructions regarding exposure. If you are unfamiliar with the pesticide used, attempt to get a pesticide label or description. If the exporter, shipper, or broker **cannot** supply a label or description of the pesticide used, then refuse to sample or inspect, and contact your supervisor.

If while examining *seeds* you notice that they are brightly colored, then assume that they were treated. Regardless of what the label says, blue, orange, and pink colors confirm that seeds have been treated. Also, a powdery residue on seeds indicates they may have been treated.

Keep informed. Safely inspect plant material that have been treated. Potential illness can be prevented. Well-informed regulatory officials are more likely to take precautionary measures in handling treated plant material and contribute to USDA-APHIS-PPQ's excellent safety record. (For additional information on safety, see *Pesticide Safety* in USDA-APHIS-PPQ *Treatment Manual*.)

- If the material was treated or you feel uncertain, then use plastic gloves and a cartridge type dust mask. If you are continuously working with a dusted commodity, then replace the cartridge every 2 hours. If you are sensitive or allergic to chemicals, use a canister respirator instead of a dust mask
- If there is the possibility of getting chemicals on your clothes, then you **must** wear protective coveralls. Separately wash the coveralls after each use
- If there is a possibility of getting pesticide in your eyes, then you **must** wear eye protection
- Avoid wiping your mouth, nose, or eyes with your hands
- Wash your hands, face, and arms with soap and water immediately after sampling or inspecting treated material
- If tools were used in the sampling or examination, then wipe them off after each use
- If examining treated seeds, then the PPQ pathologist should use the wet method technique for seed examination

Step 4: Compare Shipment to Supporting Documents

Compare the following characteristics of the shipment to the supporting documents:

- Distinguishing marks and numbers
- Quantity of plants or plant products
- Type of plants or plant products

Use Table 2-4-5 to take the appropriate action.

TABLE 2-4-5: Verify That Plants or Plant Products Are as Listed on Supporting Documents

If the plants or plant products:	And after allowing the exporter the opportunity to correct the discrepancies, the exporter:	Then:
Are the same as listed on supporting documents	→	GO to ***Step 5: Inspect the Plants or Plant Products*** on **page 2-4-15**
Are different than listed on supporting documents (allow the exporter to correct the discrepancies)	Corrects the discrepancies	
	Does not correct the discrepancies	1. REFUSE to issue a Federal plant export certificate 2. SKIP to ***Step 9: Record Inspection Results*** on **page 2-4-20**

Step 5: Inspect the Plants or Plant Products

Inspect the plants or plant products for general pests, those pests usually associated with that host, and those pests specifically listed in the export summary or on the import permit. Use Table 2-4-6 to take the appropriate action.

Seed Shipments

If possible, inspect seeds prior to treatment. Requirements for laboratory testing **must** be met prior to the seeds being treated. *Pelletized seeds* **cannot** be certified unless the inspection is conducted prior to treatment.

WARNING

Always follow ***Safety Precautions for Sampling and Inspecting*** on **page 2-4-12**.

Look for insects, weed seeds, ergot, etc.

Seeds **cannot** be certified based **only** on the fact that the seeds have been treated and/or vacuum packed. Appropriate seed sampling and inspection **must** always be conducted.[2]

Important

Do not certify pelletized seeds unless they were inspected prior to treatment.

Phytosanitary Note #0965, dated 07/07/2004 is a special note clarifying APHIS' policy concerning the phytosanitary certification of seeds. Phytosanitary Note #803, dated 05/18/95, states APHIS' policy concerning certifying grain for freedom from disease-causing organisms.

TABLE 2-4-6: Action to Take Based on Inspection Results

If pests or diseases are:	Then:
Present	1. If you anticipate a delay that will allow for the identification and/or reconditioning of the shipment, then INFORM the exporter of the infestation and/or infection 2. GO to ***Step 6: Obtain Pest Identity*** on **page 2-4-16**
Absent	GO to ***Step 8: Look for Unauthorized Packing Material*** on **page 2-4-19**

2 See USDA-APHIS-PPQ *Canadian Border Agricultural Clearance Manual* for guidelines on sampling and inspecting shipments of seed packets and hermetically sealed containers located at the following web site address: <http://www.aphis.usda.gov/ppq/manuals>.

Step 6: Obtain Pest Identity

Obtain the identity of the intercepted plant pest. Use Table 2-4-7 to take the appropriate action.

TABLE 2-4-7: Action to Take to Identify the Intercepted Plant Pests

If you are a:	And you:	Then:
PPQ officer	Have identification authority for the intercepted plant pest	GO to ***Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest*** on **page 2-4-17**
	Cannot identify the intercepted plant pest, or you lack identification authority	1. COMPLETE PPQ Form 309 or PPQ Form 309a 2. SEND the specimen along with the form to the nearest PPQ identifier 3. If applicable, INFORM the exporter of the delay 4. GO to ***Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest*** on **page 2-4-17**
State or county cooperator	Have identification authority for the intercepted plant pest	GO to ***Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest*** on **page 2-4-17**
	Cannot identify the intercepted plant pest, or you lack identification authority	1. SEND the specimen to the nearest State or Federal identifier 2. If applicable, INFORM the exporter of the delay 3. GO to ***Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest*** on **page 2-4-17**

Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest

After the intercepted plant pest is identified, check the export summary and/or the import permit to determine whether the plant pest is either of the following:

- Quarantine significant to the foreign country
- Recognized as being an injurious plant pest

ACOs **must** comply with the certification statement on the PPQ Form 577, which is as follows:

> This is to certify that the plants, plant product or other regulated articles described herein have been inspected and/or tested according to appropriate official procedures and are considered to be free from quarantine pests, specified by the importing contracting party and to conform with the current phytosanitary requirements of the importing contracting party including those for regulated non-quarantine pests.

APHIS' policy is to inspect and to certify shipments that are practically free[3] from other injurious pests.

Use Table 2-4-8 on page 2-4-18 and Table 2-4-9 on page 2-4-18 to take the appropriate action.

3 For export certification purposes, the working definition of practically free is to **not** exceed a 2 percent infestation level unless otherwise stated by the importing country. Practically free also refers to a judgement that the plant pests are **not** in excess of the amount expected to result from, and be consistent with, good culturing and handling practices employed in the production and marketing of the commodity. When FGIS inspection certificates are used as supporting documentation for certifying grain, practically free refers to FGIS' acceptance standards for weevils found in grain.

TABLE 2-4-8: Action to Take When Plants and Plant Products Are Found Infested or Infected

If the identified plant pest is:	And is considered to be:	And the infestation level:	Then:
Listed in the export summary of the foreign country as being quarantine significant	→	→	GO to **Table 2-4-9**
Not listed in the export summary as being quarantine significant	Injurious to the plants or plant products	Is considered practically free[1]	GO to ***Step 8: Look for Unauthorized Packing Material*** on **page 2-4-19**
		Cannot be considered as practically free[1]	GO to **Table 2-4-9**
	Not injurious to the plants or plant products	→	GO to ***Step 8: Look for Unauthorized Packing Material*** on **page 2-4-19**

1 For export certification purposes, the working definition of practically free is to **not** exceed a 2 percent infestation level unless otherwise stated by the importing country. Practically free also refers to a judgement that the plant pests are **not** in excess of the amount expected to result from, and be consistent with good culturing and handling practices employed in the production and marketing of the commodity. When FGIS inspection certificates are used as supporting documentation for certifying grain, practically free refers to FGIS' acceptance standards for weevils found in grain.

TABLE 2-4-9: Action to Take When the Plant Pest Is Quarantine Significant or the Infestation Exceeds the Practically Free Condition

If a treatment is:	Then:
Available for the plant pest and acceptable by the foreign country as a condition of entry	1. ALLOW the exporter to treat the plants or plant products 2. MONITOR the treatment **Important**: Make **no** mention of the infestation or infection on the Federal plant export certificate; **only** RECORD the treatment in the appropriate section. 3. GO to ***Step 8: Look for Unauthorized Packing Material*** on **page 2-4-19**
Unavailable for the plant pest	1. REFUSE to issue a Federal plant export certificate 2. SKIP to ***Step 9: Record Inspection Results*** on **page 2-4-20**
Unacceptable to the foreign country as a condition of entry	

Step 8: Look for Unauthorized Packing Material

If you have **not** done so, then look in the export summary for **unauthorized** packing material, bagging, containers, and soil or specific requirements for packing material and growing media.

Use Table 2-4-10 to determine the regulatory action to take on shipments contaminated with soil or with unauthorized packing material, bagging, or containers.

TABLE 2-4-10: Regulate Plants or Plant Products With Unauthorized Packing Material, Bagging, Containers, or Growing Media

If the shipment is:	And the exporter:	Then:
Free from soil and unauthorized packing material, bagging, or containers	→	GO to ***Step 9: Record Inspection Results*** on **page 2-4-20**
Contaminated with soil or with **unauthorized** packing material, bagging, or containers	Cleans, treats, and/or reconditions shipment	
	Refuses to clean, treat, or recondition shipment	1. REFUSE to issue a Federal plant export certificate 2. GO to ***Step 9: Record Inspection Results*** on **page 2-4-20**

Step 9: Record Inspection Results

ACOs **must** record results of their inspection and additional information about the shipment that will support their decision to certify the plants or plant products. Inspection results may be recorded at the bottom of PPQ Form 572; on the reverse side of PPQ Form 577, Issuing Office Copy; or on the reverse side of PPQ Form 579, Issuing Office Copy. See Table 2-4-11 on page 2-4-21.

ACOs **must** record the following information about the inspection:

1. Place (port and location) where the plants or plant products were inspected.
2. Percentage (how much) of material inspected.
3. Percentage of material infested or infected.
4. Pests intercepted and treatments given.
5. Actions taken by the exporter (as a result of inspection) making the plants or plant products eligible for certification such as repackaging, reconditioning, or debarking.
6. Unusual situations concerning the shipment.
7. ACO signature.
8. Date and time of the inspection (ensure that the inspection was conducted within specified time limits).

TABLE 2-4-11: Record Inspection Results

If you are recording inspection results on:	Then:
PPQ Form 572, Application for Certification	1. RECORD the inspection results under Export Inspection Data as follows: ◆ LIST in *Block 12*, place (port and location) where the plants or plant products were inspected ◆ LIST in *Block 13,* percentage (how much) of material inspected ◆ LIST in *Block 14,* percentage of material infested or infected ◆ LIST in *Block 15,* pests intercepted and treatments given, actions taken by the exporter and ACO (as a result of the inspection) to make the plants or plant products eligible for certification (such as repackaging, reconditioning, debarking, intended use, notation of additional declaration, official verification, pest or disease freedom, presence or absence of import permit, foreign phytosanitary certificate, or other import requirements and unusual situations concerning the shipment) ◆ SIGN your name in *Block 16* ◆ LIST in *Block 17*, date and time of inspection 2. ATTACH PPQ Form 572 to the Issuing Office Copy of PPQ Form 577 or PPQ Form 579, if applicable 3. GO to ***Step 10: Prepare a Federal Plant Export Certificate*** on **page 2-4-22,** if applicable
PPQ Form 577, Federal Phytosanitary Certificate PPQ Form 579, Phytosanitary Certificate for Reexport	1. RECORD the inspection results on the reverse side of the Issuing Office Copy as follows: ◆ LIST in *Block 1*, place (port and location) where the plants or plant products were inspected ◆ LIST in B*lock 2,* percentage (how much) of material inspected ◆ LIST in *Block 3*, percentage of material infested or infected ◆ LIST in *Block 4*, pests intercepted and treatments given, actions taken by the exporter and ACO (as a result of inspection) to make the plants or plant products eligible for certification (such as repackaging, reconditioning, debarking, intended use, notation of additional declaration, official verification, pest or disease freedom, presence or absence of import permit, foreign phytosanitary certificate, or other import requirements and unusual situations concerning the shipment) ◆ SIGN your name in *Block 5* ◆ LIST in *Block 6*, date and time of inspection 2. GO to ***Step 10: Prepare a Federal Plant Export Certificate*** on **page 2-4-22,** if applicable

Step 10: Prepare a Federal Plant Export Certificate

After recording the inspection results and deciding to issue a Federal plant export certificate, then proceed to preparing and distributing the proper Federal plant export certificate. Use Table 2-4-12 to determine the action to take based on the inspection results.

TABLE 2-4-12: Action to Take Based on Inspection Results

If the plants or plant products:	And you are a:	And the plants or plant products are:	Then:
Met the import requirements based on supporting documents and inspection results	PPQ Officer	Unprocessed, domestic origin	1. COLLECT a user fee or RECORD a prepaid PPQ Form 577 (see *Special Procedures,* ***User Fees*** on **page 3-11-1**) 2. GO to *Procedures, Export Certificates,* ***PPQ Form 577, Federal Phytosanitary Certificate*** on **page 2-5-15**
		Noncommercial shipment of unprocessed foreign origin	GO to *Procedures, Export Certificates,* ***PPQ Form 579, Phytosanitary Certificate for Reexport*** on **page 2-5-40**
		Commercial shipment of unprocessed foreign origin	1. COLLECT a user fee or RECORD a prepaid PPQ Form 579 (see *Special Procedures,* ***User Fees*** on **page 3-11-1**) 2. GO to *Procedures, Export Certificates,* ***PPQ Form 579, Phytosanitary Certificate for Reexport*** on **page 2-5-40**
	State or county cooperator	Unprocessed domestic origin	1. If applicable, then SEE your local policy for collecting user fees 2. GO to *Procedures, Export Certificates,* ***PPQ Form 577, Federal Phytosanitary Certificate*** on **page 2-5-15**
		Unprocessed foreign origin	1. If applicable, then SEE your local policy for collecting user fees 2. GO to *Procedures, Export Certificates,* ***PPQ Form 579, Phytosanitary Certificate for Reexport*** on **page 2-5-40**
Do not meet the import requirements based on inspection results	→		REFUSE to issue a Federal plant export certificate

2

Export Certification Manual

Procedures

Export Certificates

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Introduction

The *Export Certificates* section of the *Procedures* chapter contains information about and instructions for completing Federal plant export certificates, which are issued by Authorized Certification Officials (ACOs) to expedite the entry of plants or plant products into a foreign country.

The Federal plant export certificates that are endorsed or issued by ACOs are as follows:

- PPQ Form 553, Certificate of Heat Treatment
- PPQ Form 577, Federal Phytosanitary Certificate
- PPQ Form 578, Export Certificate, Processed Plant Products
- PPQ Form 579, Phytosanitary Certificate for Reexport

USDA-APHIS-PPQ discourages using Federal plant export certificates as commercial documents. Ultimately, the exporter is responsible for meeting contract or letter of credit requirements and for obtaining consular visas when required by the foreign country.

Important

Contract requirements, letter of credit, or consular visas are **not** phytosanitary conditions. Therefore, **do not** issue Federal plant export certificates to satisfy contract or letter of credit requirements or for obtaining consular visas.

Accountability

To maintain the credibility of the USDA-APHIS-PPQ phytosanitary export certification program, an accountability system was established to deter forgeries and to control public misuse of Federal plant export certificates. As a part of the accountability system, Federal plant export certificates (PPQ Forms 577, 578, and 579) are prenumbered in the top, right corner.

Important

All prepaid Federal plant export certificates **must** be returned to the **issuing office**.

Exporters and brokers are prohibited from prepaying Federal plant export certificates at one location and forwarding them to another location for authentication.

Never authenticate a Federal plant export certificate issued by another office.

Regarding accountability, ACOs are to perform the following procedures:

1. Record on APHIS Form 80-R, Export Certification Record, in numerical order, all blank Federal plant export certificates prepaid by exporter, shipper, or broker (see *Special Procedures, User Fees*, ***APHIS Form 80-R, Export Certificate Record*** on **page 3-11-28**, for detailed instructions on keeping this record).
2. Validate **only** those Federal plant export certificates originating in the issuing office (both Federal and State). Before allowing exporters to prepay for blocks of Federal plant export certificates, type or stamp the certificates with the name of the issuing office in the block, "For Official Use."
3. Adhere to the issuing office's responsibilities as follows:
   - **A.** Keep to a minimum the number of prepaid Federal plant export certificates given out. Supplying exporters, shippers, or brokers with **no** more than a 3-month supply of prepaid certificates is recommended.
   - **B.** Before supplying prepaid certificates, complete the "Place of Issue" section on the certificates.
   - **C.** Instruct exporters to complete **only** the section titled, "Descriptions of the Consignment," and return the Federal plant export certificate to the issuing office for processing.
   - **D.** Have an ACO review a prepaid, partially completed Federal plant export certificate as follows:
     - **i.** Carefully review the information entered by the exporter to ensure the current procedures have **not** been violated.
     - **ii.** Record additional declarations. The exception is when the workload **does not** allow the ACO to complete the Federal plant export certificate. For this exception, the ACO **must** dictate to the exporter the required additional declaration.
     - **iii.** Check the wording of the additional declaration for accuracy when the Federal plant export certificate is presented for authentication. If incorrect additional declarations are recorded on a Federal plant export certificate by exporters, then a new certificate **must** be prepared.
   - **E.** Inform exporters that prepaid Federal plant export certificates **must** be returned to the issuing office for refunds or credits, including those certificates voided or otherwise ruined while completing. Exporters are **prohibited** from prepaying for Federal plant export certificates at one location and forwarding them to another location for processing.
   - **F.** Inform exporters that PPQ Form 578 is **not** phytosanitary certificates and may **not** serve as one for facilitating the entry of processed products. PPQ Form 578 was created to fill a void where **no** other USDA agency certification existed or can

be adapted and may **only** be used for those processed products eligible for a PPQ Form 578 as indicated in EXCERPT.

G. Inform exporters that PPQ Form 553 is **not** a phytosanitary certificate and may **not** serve as one for facilitating the entry of plants and plant products. PPQ Form 553 has a unique purpose to certify the heat treatment of coniferous solid wood packing material associated with plants or unprocessed or unmanufactured products for export to the People's Republic of China.

Certification Violations

Only officials authorized by USDA-APHIS-PPQ can change or correct information on Federal plant export certificates. Unauthorized changes are in violation of 7CFR 353 and may be prosecuted under Plant Protection Act (7USC 7701) and other applicable laws. When a violation is discovered, then the PPQ Officer-in-Charge should consider the circumstances surrounding the violation before proceeding to one of the following actions:

- Issue an APHIS Form 7060, Official Warning, Violation of Federal Regulations (**only** after consulting with the local or regional Investigative and Enforcement Services (IES) officials)
- Refer a request for investigation to the local IES investigator for further action[1]

PPQ Officers-in-Charge should determine the intent behind the violation and work with the local or regional IES official to make the judgement to either officially warn the violator(s) or pursue prosecution. If the intent is **not** clear or is ambiguous, then PPQ Officers-in-Charge can use their IES counterparts to get a recommendation about which action to take.

Generally, the Office of the General Counsel (OGC) will **not** pursue administrative prosecution of cases that lack clear significance. Repeat violations or those that have the appearance of an attempt to deceive or commit fraud should be automatically referred to IES investigators for further action. IES in turn will determine if an investigation will be forwarded to the Office of the Inspector General (OIG) for criminal prosecution.

1 For local and regional IES contacts, see web site address: <http://www.aphis.usda.gov/ies/contacts.html>

APHIS Form 7060 should be issued when the violation **does not** warrant further action and **only** after consultation with local or regional IES officials. If APHIS Form 7060 is issued, then **no** further action may be taken on this incident by IES.

The following are some examples of violations where APHIS Form 7060 may be used instead of pursuing an investigation (none of the following apply if the exporter is apparently seeking certification of an un-inspected shipment):

- Correction to the name of the exporter or consignee
- Decrease in the quantity of declared
- Correction to or deletion of botanical names of plants
- Correction to the number (generally **only** decreases) and descriptions of packages, or distinguishing marks
- Correction to the declared means of conveyance
- Addition of a letter of credit or other commercial reference

These certification violations are prohibited practices and can result in a foreign government rejecting a Federal plant export certificate and therefore rejecting the shipment. These prohibited practices should **not** warrant a criminal investigation, and unless an attempt to defraud is apparent, these first-time violations would warrant issuance of APHIS Form 7060. USDA-APHIS-PPQ ports use APHIS Form 7060 to inform the exporter, shipper, or broker of the violation and to advise them of the correct procedure to follow for making changes to a Federal plant export certificate. Also, the exporter should be informed of the consequences of failing to follow procedures.

Confidentiality

ACOs who issue Federal plant export certificates **must** hold in strict confidence the information in these official documents to protect buyers and exporters. PPQ Forms 553, 572, 577, 578, and 579 frequently contain trade secrets or confidential information, which if disclosed might cause financial harm to buyers and exporters.

Records containing trade secrets and commercial or financial information (obtained from a person) that is privileged or confidential is exempt from mandatory release under the Freedom of Information Act (FOIA). (See Title 5, United States Code, Section 552(b)(4).) However, the FOIA **only** applies to agency records, those that are in the possession and control of a Federal agency at the time the FOIA request is made.

If someone requests a completed or partially-completed Federal plant export certificate, a State record which provides the basis for a Federal plant export certificate, or any information from these documents then the request **must** be forwarded to the Freedom of Information Act/ Privacy Act (FOIA/PA) Officer for USDA-APHIS-PPQ at the following address:

Legislative and Public Affairs Staff, APHIS, USDA
4700 River Road, Unit 50
Riverdale, Maryland 20737-1232
Phone: 301-734-8296

Federal plant export certificates and State records which provide the basis for Federal plant export certificates that are maintained by State cooperating agencies are **not** subject to the Federal FOIA. However, many States have open government laws which may require the release of records maintained by State agencies. Therefore, if someone requests a completed or partially-completed Federal plant export certificate, a State document which provides the basis for a Federal plant export certificate, or any information in these documents, then the State or county employee should **not** release the document or information unless appropriate State officials determine that release of the document or the information in the document is required by State law.

General Guidelines for Completing Federal Plant Export Certificates

General guidelines for completing all Federal plant export certificates are listed in this section. Specific instructions for completing, distributing, and maintaining each type of Federal plant export certificate are located behind each designated tab for PPQ Form 553, PPQ Form 577, PPQ Form 578, and PPQ Form 579.

The general guidelines cover the following topics:

- Consolidation
- Continuation Sheets
- Format
- Language and Legibility
- Replace Lost Federal Plant Export Certificates
- Reissue Federal Plant Export Certificates
- Void or Return Unused Federal Plant Export Certificates

Consolidation

Any shipment[2] going from interior places by rail to a port for consolidation is eligible for **only** one Federal plant export certificate because the shipment is still **only** one consignment. If it is necessary for an exporter to have a certificate of inspection for each rail car, then USDA-APHIS-PPQ suggests that State certificates be issued for consolidation into one Federal plant export certificate at the port of export.

Only issue multiple, original Federal plant export certificates when one of the following conditions exists:

- Multiple ports of loading in the United States
- Multiple ports of discharge in the foreign country
- If bulk grain, multiple berths in the same port
- Different genera of bulk materials loaded on one carrier

If containerized shipments, each van may require an original certificate.

Continuation Sheets

Continuation sheets are permitted **only** when there is insufficient space in the blocks on Federal plant export certificates to describe the consignment or enter additional declarations, or when the plant protection organization of the foreign country requires an attachment.

When there is insufficient space on a Federal plant export certificate, then do the following:

1. In the block of the certificate, ENTER "See attachment."
2. List the information on a separate sheet of plain paper without letterhead, unless required by the importing country as specified in the export summary.
3. Indicate the number of the Federal plant export certificate and the date of issuance at the top of each continuation sheet.
4. Review the listed information for accuracy.
5. Record an additional declaration on the Federal plant export certificate that refers to the attached sheets (see below an example of an additional declaration for Block 9).
6. Sign each continuation sheet.

2 As a working definition for export certification purposes, shipment means one exportation of plants or plant products, from one exporter to one consignee, in one country, on one means of conveyance [7CFR 353]. In most cases, **only** one Federal plant export certificate is issued per shipment.

7. Include the original continuation sheet(s) with the original Federal plant export certificate. Include a copy of the continuation sheet(s) with each copy of the certificate.

EXAMPLE "See attachment for a list of produce names and quantity declare."

Corrections

Corrections are either **not** allowed or should be kept to a minimum on Federal plant export certificates.

Important

Do not allow errors on Federal plant export certificates when the export summary specifically states that the certificates may contain **no** errors.

Never correct information entered in the critical blocks on Federal plant export certificates, unless directed otherwise in the export summary.

Never delete entire entries or use opaque correction fluid or correction tape.

Critical Blocks

Corrections and errors are **not** allowed in the following critical blocks on PPQ Forms 577 and 579:

- Name of Produce and Quantity Declared (*Block 9*)
- Botanical Name of Plants (*Block 10*)
- Number and Description of Packages (*Block 11*)
- Distinguishing Marks (*Block 12*)
- Additional Declaration

Corrections and errors are **not** allowed in the following critical blocks on PPQ Form 578:

- Product (*kind, quantity, and weight*)
- Identification

Noncritical Blocks

If acceptable by the foreign country (see the definition of PC in the export summary), corrections can be made in noncritical blocks of Federal plant export certificates. Initial the correction(s). ACOs **must** use their best judgment about corrections and erasures. The intent is to prevent having to complete another Federal plant export certificate just for a typographical error.

The proper way to correct a typographical error in a noncritical block is as follows:

1. Use a straight line to line-out the incorrect entry

2. Initial the correction.

EXAMPLE

This is a corrected ~~typography~~ error in a noncritical block.
typographical *(daw)*

When there is evidence that a Federal plant export certificate has been altered in violation of 7CFR 353, then follow the guidelines for determining the regulatory action to take. See ***Certification Violations*** on **page 2-5-4**.

Format

PPQ Form 577 and PPQ Form 579 **must** follow the format of the international model adopted by the International Plant Protection Convention.

Language and Legibility

Federal plant export certificates **must** be completed as follows:

- English language **only**
- Original and all copies are legible
- **No** foreign words or phrases, **except** for Latin binomial names of plants, plant products, and plant pests or plant diseases
- Hand printed in uppercase letters, or typed, or computer generated

Replace Lost Federal Plant Export Certificates

Only ACOs at the issuing office (accountability point) can either replace or reissue lost Federal plant export certificates. Replacement certificates are based on the same inspection date(s) and results of the original certificates because replacements are **not** based on new inspections. **Only** the date of issuance will change on replacements certificates. Record an additional declaration on replacement certificates that includes: replaced certificate number, date of issuance, issuing office, and additional declaration states the reason for replacing the certificates (see example below). See also *Special Procedures, User Fees,* ***Reissue and Replace Federal Plant Export Certificates*** on **page 3-11-11**, when collecting a user fee for replacements.

EXAMPLE

"This certificate replaces the exporter's lost original of Federal Phytosanitary Certificate *[number]*, issued on *[dated]*, at *[issuing office]*."

Reissue Federal Plant Export Certificates

Only ACOs at the issuing office (accountability point) can reissue completed or partially completed Federal plant export certificates because of changes in the information (such as extensive changes in a critical block, erasures prohibited by the foreign country, or the original certificate **cannot** be recovered for correction).

Reissued certificates are based on the same inspection date(s) and results on the original certificates. Because reissued certificates are **not** based on new inspections **only** the date of issuance will change on reissued certificates. See also *Special Procedures, User Fees*, ***Reissue and Replace Federal Plant Export Certificates*** on **page 3-11-11** when collecting a user fee for the reissued certificate.

If an original certificate is **not** recovered, then record an additional declaration on the reissued certificate (see example below).

EXAMPLE

> "This certificate supersedes Federal Phytosanitary Certificate *[number]*, issued on *[date]*, at *[issuing office]*, because *[reason for issuing a new certificate]*."

Void or Return Unused Federal Plant Export Certificates

Issuing offices (accountability points) document on APHIS Form 80-R, Export Certificate Record, when Federal plant export certificates are voided or returned unused by USDA-APHIS-PPQ, the public, or industry. Issuing offices maintain file copies of either original Export Certificate Records or voided Federal plant export certificates. If your Export Certification Specialist wants to be notified of voided certificates, then consider attaching the original or copy of the voided or returned unused certificate to APHIS Form 80-R in order to substantiate the credit.

For directions on refunding or crediting voided Federal plant export certificates, see *Special Procedures, User Fees*, ***Handle Refunds and Credits*** on **page 3-11-20**.

Important

All voided Federal plant export certificates (including those ruined while typing or preparing) that were prepaid by exporters **must** be returned to the issuing office (accountability point).

USDA-APHIS-PPQ retains a $7 administrative fee from the refund or credit for voided Federal plant export certificates.

PPQ Form 553, Certificate of Heat Treatment

WARNING: No changes, corrections, alterations, nor additions are permitted to this Form. Failure to comply is a violation of 7 CFR Part 353 and/or other applicable regulations or laws, is subject to civil and criminal penalties under 7 U.S.C. s 7734, and may be prosecuted under 18 U.S.C. s 1001 and/or other applicalbe laws.

OMB No. 0579-0147

USDA U.S. DEPARTMENT OF AGRICULTURE Animal and Plant Health Inspection Service Plant Protection and Quarantine	Conifer Solid Wood Packing Material to the People's Republic of China

CERTIFICATE OF HEAT TREATMENT

TO: State Administration for Entry-Exit Inspection and Quarantine (SAIQ) of the People's Republic of China

This is to certify that the conifer packing material in this shipment has been heat treated through a treatment process that increased the minimum core wood temperature to 56 degrees Celsius for 30 minutes.

SHIPMENT INFORMATION

1. Name and Address of Exporter:	2. Name and Address of Consignee:
3. Signature of Exporter	

By signing block 3, the exporter acknowledges any intentional false statement in this Certificate of Heat Treatment or misrepresentation relative to this heat treatment certificate is a violation of law, subject to civil penalties of up to $250,000 (7 U.S.C. s 7734(b)), punishable by a fine of not more than $10,000, or imprisonment of not more than 5 years, or both. (18 U.S.C. s1001)

SHIPMENT IDENTIFICATION

4. Description of Consignment:

ENDORSEMENT OF CERTIFICATION *(Official Use Only)*

(Official Stamp)	5. Date of Issue
	6. Issuing Office *(City and State)*
	7. Other Information

8. Signature of Endorsing Official

No financial liability shall attach to the United States Department of Agriculture or to any officer or representative of the service with respect to this certificate.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0147. The time required to complete this information collection is estimated to average .017 minutes/hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

PPQ FORM 553 (DEC 2003)

FIGURE 2-5-1: Example of PPQ Form 553, Certificate of Heat Treatment (blank)

Introduction to PPQ Form 553

PPQ Form 553 is an official document used to certify the heat treatment of coniferous solid wood packing material associated with plants or unprocessed or unmanufactured products for export to the People's Republic of China.

Purpose of PPQ Form 553

The purpose of PPQ Form 553 is to endorse the exporter's statement that the coniferous packing materials have been heat treated in the United States or in Canada by being subjected to a minimum core temperature of 56 degrees Celsius for 30 minutes.

Hong Kong addresses are acceptable if the U.S. exporter indicates that the materials exported to Hong Kong will be reshipped to other regions of China by the Hong Kong consignee.

Endorsement of PPQ Form 553

ACOs endorse a completed original and one copy of PPQ Form 553 presented by an exporter, shipper, or broker. To avoid potential delays, exporters are encouraged to have their certificates of heat treatment endorsed by an ACO as close to the initial point of shipment as possible. Exporters should **not** wait for endorsement at the final port of export. See **Table 2-5-1 on page 2-5-13** for specific instructions on how to endorse a partially completed PPQ Form 553.

The exporter is responsible for completing those parts of PPQ Form 553 that cover shipment information and shipment identification. PPQ Form 553 is available for public use from the following USDA-APHIS-PPQ web site address:

<http://www.aphis.usda.gov/oa/chinaswp/ppq553.pdf>[3].

Refer the exporter to the reverse side of the form or to *Appendix B, Forms*, ***PPQ Form 553, Conifer Solid Wood Packing Material to the People's Republic of China*** on **page B-1-9** for instructions about completing and filing the form.

3 The word spacing on this official document may vary depending on the printer used to download this document; therefore, the exporter may need to adjust the printer margins to 0.5 inches for consistent results.

TABLE 2-5-1: Instructions to Endorse PPQ Form 553, Certificate of Heat Treatment

If the block is:	Then follow these instructions to endorse PPQ Form 553:
WARNING This warning alerts all parties that any alteration, forgery, or unauthorized use of the Federal plant export certificate is subject to civil penalties or punishable by a fine or imprisonment.	
SHIPMENT INFORMATION	
1. Name and Address of Exporter	VERIFY that the exporter has provided a complete name and mailing address; **only** accept U.S. addresses
2. Name and Address of Consignee	VERIFY that the exporter has provided a complete name and physical address of the ultimate consignee; **only** accept China or Hong Kong[1] addresses
3. Signature of Exporter	VERIFY that the exporter signed the document. The exporter's signature attests to the accuracy of the heat treatment and certifies that the treatment was performed and documented[2]
SHIPMENT IDENTIFICATION	
4. Description of Consignment	◆ VERIFY that the exporter has provided a complete description of the shipment including quantity, weight, goods, and packaging ◆ The description should also include the number of **coniferous** solid wood packing materials in the shipment (see examples below) **EXAMPLE**: 52 **conifer** pallets with 240 cardboard cartons of automobile spare parts, or 2 **conifer** crates containing turbine assemblies.
ENDORSEMENT OF CERTIFICATION	
5. Date of Issue	ENTER the date signed by you, the endorsing official (ACO)
6. Issuing Office *(City and State)*	ENTER the city and State where PPQ Form 553 is endorsed
7. Other Information	WRITE comments relevant to the endorsement
8. Signature of Endorsing Official	SIGN your name as the endorsing official (ACO)
(Official Stamp)	STAMP with impression of approved stamp

1 If the U.S. exporter indicates that the materials exported to Hong Kong will be reshipped to other regions of China by the Hong Kong consignee, then Hong Kong addresses are acceptable.

2 Exporters **must** retain documentation of heat treatment for 1 year after date of issue and upon request **must** have that documentation available for official review.

Distribution of PPQ Form 553

ACO's return one endorsed copy to the exporter and keep one on file.

Maintenance of PPQ Form 553

Exporters are responsible for retaining documentation of heat treatment for 1 year after date of issuance, and upon request, **must** have that documentation available for official review.

PPQ Form 577, Federal Phytosanitary Certificate

No phytosanitary certificate can be issued until an application is completed (7 CFR 353)

See reverse for additional OMB information.

FORM APPROVED
OMB NO. 0579-0052

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

PHYTOSANITARY CERTIFICATE

TO: THE PLANT PROTECTION ORGANIZATION(S) OF
SAMPLE

FOR OFFICIAL USE ONLY

PLACE OF ISSUE
SAMPLE

NO.: FPC XXXXXXX

DATE INSPECTED

CERTIFICATION

This is to certify that the plants, plant product or other regulated articles described herein have been inspected and/or tested according to appropriate official procedures and are considered to be free from the quarantine pests, specified by the importing contracting party and to conform with the current phytosanitary requirements of the importing contracting party including those for regulated non-quarantine pests.

DISINFESTATION AND/OR DISINFECTION TREATMENT

1. DATE	2. TREATMENT
3. CHEMICAL *(active ingredient)*	4. DURATION AND TEMPERATURE
5. CONCENTRATION	6. ADDITIONAL INFORMATION

DESCRIPTION OF THE CONSIGNMENT

7. NAME AND ADDRESS OF THE EXPORTER	8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE
9. NAME OF PRODUCE AND QUANTITY DECLARED SAMPLE	10. BOTANICAL NAME OF PLANTS SAMPLE
11. NUMBER AND DESCRIPTION OF PACKAGES SAMPLE	12. DISTINGUISHING MARKS SAMPLE
13. PLACE OF ORIGIN SAMPLE	14. DECLARED MEANS OF CONVEYANCE SAMPLE
	15. DECLARED POINT OF ENTRY

WARNING: Any alteration, forgery, or unauthorized use of this phytosanitary certificate is subject to civil penalties of up to $250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than $10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).

ADDITIONAL DECLARATION

SAMPLE SAMPLE

NAPPO

16. DATE ISSUED	17. NAME OF AUTHORIZED OFFICER *(Type or Print)*	18. SIGNATURE OF AUTHORIZED OFFICER

No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

PPQ FORM 577 FEB 2001 Previous editions are obsolete **after** 6/30/01

PART 1 - SHIPPER'S ORIGINAL

FIGURE 2-5-2: Example of PPQ Form 577, Federal Phytosanitary Certificate (blank)

Introduction to PPQ Form 577

PPQ Form 577, Federal Phytosanitary Certificate, is an accountable inspection certificate used to certify domestic plants and unprocessed or unmanufactured plant products for export. See **Figure 2-5-2 on page 2-5-15** for an example of a blank PPQ Form 577.

PPQ Forms 577 and 579 follow the format of the international model established by the International Plant Protection Convention, and are used to document the phytosanitary condition of exported plants and plant products.

Authorized Certification Officials (ACOs) are responsible for holding in strict confidence the information in these official documents, collecting user fees (if applicable), and maintaining an accountability system for tracking these documents. For details about these topics, see ***Accountability*** on **page 2-5-2**, ***Confidentiality*** on **page 2-5-5**, or ***User Fees*** on **page 3-11-1**.

Purpose of PPQ Form 577

The purpose of PPQ Form 577 is to expedite the entry of domestic plants or unprocessed or unmanufactured plant products into a foreign country. ACOs certify that the domestic plants or plant products have been inspected or tested according to appropriate official procedures, are considered to be free from quarantine pests, and conform with the current phytosanitary requirements of the importing country.

PPQ Form 577 **cannot** be issued for the following:

- Eligible processed products of foreign origin (see ***PPQ Form 578, Export Certificate, Processed Plant Products*** on **page 2-5-32**)
- Foreign plants and unprocessed or unmanufactured plant products for re-export (see ***PPQ Form 579, Phytosanitary Certificate for Reexport*** on **page 2-5-40**)
- Domestic and foreign commodities that have been blended to the extent that their identity has been lost (see ***PPQ Form 579, Phytosanitary Certificate for Reexport*** on **page 2-5-40**)
- Domestic products moving to the United States, American Samoa, Guam, Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, or St. John) (refer the exporter to the State, country, or affiliated island's plant regulatory agency for certification using a State phytosanitary certificate).

Completion of PPQ Form 577

See Table 2-5-2 for specific instructions, techniques, and examples about how to complete PPQ Form 577. For general guidelines, see ***General Guidelines for Completing Federal Plant Export Certificates*** on page 2-5-6.

TABLE 2-5-2: Instructions to Complete PPQ Form 577, Federal Phytosanitary Certificate

If the block is:	Then follow these instructions to complete PPQ Form 577:
TO: THE PLANT PROTECTION ORGANIZATION(S) OF	ENTER the approved name of the foreign country indicated in the export summary on either the front page or at the top of the EXCERPT screen **Important**: The country name entered in this block **must** be the same as the country identified in *Block 8, Declared Address of the Consignee*.
PLACE OF ISSUE	◆ ENTER the complete name of the city and State of the issuing office; **do not** abbreviate ◆ VALIDATE each PPQ Form 577 **only** by the issuing office accountable for that Federal plant export certificate ◆ VERIFY the correct issuing office for prepaid PPQ Form 577 (this block is already completed)
NO.: FPC	**DO NOT** WRITE in this space; all PPQ Forms 577 are prenumbered to deter forgeries and to facilitate accountability
DATE INSPECTED	◆ ENTER the actual date(s) of the final export inspection ◆ ENTER date in correct order (month, day, year); **never** use European format ◆ SPELL OUT the month (January 1, 2004); **never** use numbers for the month and **never** abbreviate the month ◆ CONSULT the export summary for a specified time line between date inspected and date shipped. In general, final export inspections are to be conducted within 30 days of the intended shipment **Important**: **Never** enter dates of a growing season or field inspection.
CERTIFICATION **DO NOT** WRITE in this space. This statement describes the certification responsibilities as dictated by the International Plant Protection Convention. USDA-APHIS-PPQ will continue its policy to inspect and certify consignments practically free from other injurious pests	

TABLE 2-5-2: Instructions to Complete PPQ Form 577, Federal Phytosanitary Certificate (continued)

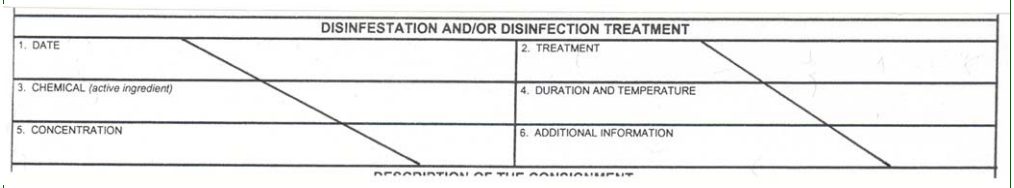
If the block is:	Then follow these instructions to complete PPQ Form 577:
DISINFESTATION AND/OR DISINFECTION TREATMENT	

Important

Complete this section **only** if an acceptable treatment was conducted, which includes label information for treated seeds.

Complete all blocks in this section.

If **no** acceptable treatment was conducted, then LINE OUT the unused space and continue on to the DESCRIPTION OF CONSIGNMENT. The following example shows lining out the treatment section by drawing two diagonal lines from left to right, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols.



DISINFESTATION AND/OR DISINFECTION TREATMENT	
1. DATE	2. TREATMENT
3. CHEMICAL *(active ingredient)*	4. DURATION AND TEMPERATURE
5. CONCENTRATION	6. ADDITIONAL INFORMATION

1. DATE	◆ ENTER the actual date of the treatment. ◆ ENTER date in correct order (month, day, year); **never** use European format ◆ SPELL OUT the month (January 1, 2004); **never** use numbers for the month and **never** abbreviate the month
2. TREATMENT	ENTER the full description of the treatment, e.g., fumigation, cold treatment, dip, spray (**do not** use abbreviations or partial terms such as T101)
3. CHEMICAL (*active ingredient*)	ENTER the name of the active ingredient
4. DURATION AND TEMPERATURE	ENTER the duration of the treatment and temperature (use of internationally recognized scientific abbreviations such as C for Celsius and F for Fahrenheit is acceptable)
5. CONCENTRATION	ENTER the concentration of chemicals (use of internationally recognized scientific abbreviations, e.g., 32 g/m^3, 2 lb./1000 ft^3, 100 mm Hg is acceptable)
6. ADDITIONAL INFORMATION	ENTER information that further identifies the treatment (such as dip, slurry, dusted, sprayed)

TABLE 2-5-2: Instructions to Complete PPQ Form 577, Federal Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
DESCRIPTION OF CONSIGNMENT	
7. NAME AND ADDRESS OF THE EXPORTER	◆ ENTER the complete name and address of the exporter (street or P.O. Box, city, State) ◆ SPELL OUT names of cities and State (preferred) ◆ INCLUDE phone and FAX numbers (optional) **Important** Exporter's address **must** be in the United States or a U.S. territory or commonwealth, which includes American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and U.S. Virgin Islands. **Never** enter more than one exporter's name and address. **Do not** use statements such as "In-care-of" (c/o), "Attention to", "Agent for", or "Notify".
8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE	◆ ENTER the complete name and address of the consignee (person or company taking delivery of the commodity); at a minimum, include a name, city, and country ◆ SPELL OUT names of cities and countries (preferred) ◆ INCLUDE phone and FAX numbers (optional) **Important** **Never** enter more than one consignee's name and address; doing so would violate USDA-APHIS-PPQ policy to enter one consignee's name. **Do not** use statements such as "In-care-of" (c/o), "Attention to", "Agent for", or "Notify". Consignee's address **must** be in the country listed in the block "TO: THE PLANT PROTECTION ORGANIZATION(S) OF."

TABLE 2-5-2: Instructions to Complete PPQ Form 577, Federal Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
9. NAME OF PRODUCE AND QUANTITY DECLARED	**Important** This is a critical block; **never** correct information unless directed otherwise in the export summary. ◆ ENTER the common name of the plant or plant product for precise identification; see the following table for additional instructions

If the produce is:	Then:
Beans for consumption	Enter fresh or dried beans
Seeds for animal feed	Enter the specific grain (such as oats or corn)
Seeds for planting	Enter seeds
Seeds for consumption	Enter grain
Propagative articles **other than** seeds	List the number of each different propagative article followed by its name; see the example below **EXAMPLE** Enter 600 anemone bulbs for 3 cartons each containing 200 anemone bulbs. Enter the weight for bulk shipments to better describe the articles.

◆ SPELL OUT abbreviations

EXAMPLE The abbreviation “lbs” is spelled out as pounds.

◆ **DO NOT LIST** or see any of the following:

- ❖ Grades
- ❖ Intended uses
- ❖ Other commercial terms
- ❖ Sizes
- ❖ Trade names

◆ If there is **not** enough space to list all entries, then ENTER “See attachment” and create a continuation sheet unless directed otherwise in the export summary (see ***Continuation Sheets*** on **page 2-5-7**)

◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols

TABLE 2-5-2: Instructions to Complete PPQ Form 577, Federal Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
10. BOTANICAL NAME OF PLANTS	**Important** This is a critical block; **never** correct information unless directed otherwise in the export summary. **NEVER** IDENTIFY a plant or plant product to a level below the species classification (e.g., variety, cultivar), unless listed and required as such in an export summary. ◆ ENTER the scientific name, including genus and specific epithet (species classification) ◆ Scientific names are **mandatory** for certifying propagative material and are preferred or required for all other products (e.g., New Zealand requires the scientific name for all certified products) ◆ Exporters are responsible for providing the scientific name ◆ ACOs verify the scientific name to the best of their ability ◆ If there is **not** enough space to list all entries, then ENTER "See attachment" and create a continuation sheet unless directed otherwise in the export summary (see ***Continuation Sheets*** on **page 2-5-7** for how to create continuation sheets and enter an additional declaration)
11. NUMBER AND DESCRIPTION OF PACKAGES	**Important** This is a critical block; **never** correct information unless directed otherwise in the export summary. ◆ ENTER the number and types of shipping containers **EXAMPLE** 50 wooden crates 150 cardboard cartons 500 burlap bags ◆ For bulk shipments, ENTER "In Bulk" ◆ If there is **not** enough space to list all entries, then ENTER "See attachment" and create a continuation sheet unless directed otherwise in the export summary (see ***Continuation Sheets*** on **page 2-5-7**)

TABLE 2-5-2: Instructions to Complete PPQ Form 577, Federal Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
12. DISTINGUISHING MARKS	**Important** This is a critical block; **never** correct information unless directed otherwise in the export summary. **Never** enter “As Addressed” and “As Marked.” ◆ ENTER the markings exactly as they appear on the containers, cartons, bags, bales, boxes, products, truck licenses, or railway cars ◆ If entered by the exporter or established after inspection, then visually or otherwise verify information entered in Block 12 using a supporting document such as the bill of lading ◆ If there are **no** distinguishing marks, ENTER “NONE” ◆ If there is **not** enough space to list all entries, then ENTER “See attachment” and create a continuation sheet unless directed otherwise in the export summary (see ***Continuation Sheets*** on **page 2-5-7**)
13. PLACE OF ORIGIN	◆ WRITE where the product was grown or cultivated by State, county, district, or other geographical or political subdivision as necessary by the phytosanitary regulations of the importing country (export summary, import permit, etc.) ◆ SPELL OUT names of States and counties (preferred) ◆ If there is **not** enough space to list all entries, then ENTER “See attachment” and create a continuation sheet unless directed otherwise in the export summary (see ***Continuation Sheets*** on **page 2-5-7**) ◆ When the phytosanitary regulations of the importing country **do not** require a more definitive designation of origin (such as State, county, pest free area etc.), then WRITE "U.S.A." **Important** ACOs can require whatever document is necessary to verify origin. **Never** leave blank. If further refinements are **not** required by the importing country’s phytosanitary regulations, then WRITE "United States of America" or "U.S.A."
14. DECLARED MEANS OF CONVEYANCE	◆ ENTER the name of the airline or the name of the vessel ◆ ADD “or substitute” after a vessel’s name (acceptable) ◆ If the specific name of means of conveyance is unknown, then ENTER as appropriate, “airfreight”, “ocean vessel”, “railroad”, or “truck line” ◆ If rail or truck shipments to Canada or Mexico, then ENTER the name of the railroad or truck line, if known ◆ If mail shipments, then ENTER “air mail”, “surface mail”, “express mail”, or the carrier name (such as Federal Express or DHL)

TABLE 2-5-2: Instructions to Complete PPQ Form 577, Federal Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
15.DECLARED POINT OF ENTRY	◆ ENTER the point (the first point of entry in the **destination** country) of entry declared by the exporter ◆ CHECK the export summary to see if the declared point of entry is authorized; if the point of entry is **not** authorized, then WARN the exporter that the shipment may be delayed or refused entry ◆ ENTER "unknown" if a specific point of entry is **not** declared by the exporter or if statements such as Greek port(s) or unknown Turkish port(s) are declared ◆ SPELL OUT names of cities (preferred) ◆ ENTER multiple points of entry (acceptable)
WARNING This warning alerts all parties that any alteration, forgery, or unauthorized use of the Federal plant export certificate is subject to civil penalties or punishable by a fine or imprisonment.	

TABLE 2-5-2: Instructions to Complete PPQ Form 577, Federal Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
ADDITIONAL DECLARATION	
ADDITIONAL DECLARATION (See also ***Acceptable Additional Declarations*** on **page 2-5-26**, ***Exceptions to Acceptable Additional Declarations*** on **page 2-5-28**, and ***Prohibited Additional Declarations*** on **page 2-5-29**	**Important** This is a critical block; **never** correct information unless directed otherwise in the export summary. **Never** record official verifications on Federal plant export certificates. ◆ RECORD **only** those additional declarations that are specified by the foreign country in the export summary, on an import permit, or by the ECM ◆ USE English **only**, **except** for Latin binomial names of plants, plant products, and plant pests or plant diseases ◆ KEEP additional declarations to a minimum ◆ If there is more than one additional declaration, then PLACE each additional declaration within quotation marks to allow officials in the receiving country to distinguish between each AD ◆ If there is **not** enough space to list all additional declarations, then ENTER "See attachment" and create a continuation sheet unless directed otherwise in the export summary (see ***Continuation Sheets*** on **page 2-5-7**) ◆ LINE OUT unused space when an additional declaration is entered (see example below, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols ADDITIONAL DECLARATION "The cotton in this shipment originated from areas free from the pink bollworm, Pectinophora gossypiella." "The cotton bales in this shipment were compressed at a minimum of 28 pounds per cubic foot." 16. DATE ISSUED | 17. NAME OF AUTHORIZED OFFICER *(Type or Print)* | 18. SIGNATURE OF AUTHORIZED OFFICER ◆ LINE OUT the entire section when an additional declaration is **not** entered (see example below, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols) ADDITIONAL DECLARATION 16. DATE ISSUED | 17. NAME OF AUTHORIZED OFFICER *(Type or Print)* | 18. SIGNATURE OF AUTHORIZED OFFICER

TABLE 2-5-2: Instructions to Complete PPQ Form 577, Federal Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
AUTHORIZATION	
16. DATE ISSUED	◆ ENTER the date the certificate is prepared or validated by an ACO (in contrast to the date of inspection recorded in the HEADING) ◆ ENTER date in correct order (month, day, year); **never** use European format ◆ SPELL OUT the month (January 1, 2004); **never** use numbers for the month; **never** abbreviate the year **Important**: If the time limit between the inspection date (or issuance date) and the shipping date may be exceeded, then **do not** issue Federal plant export certificates.
17. NAME OF AUTHORIZED OFFICER *(Type or Print)*	TYPE or PRINT the name of the ACO who will sign the certificate **Important**: **DO NOT** ADD titles.
18. SIGNATURE OF AUTHORIZED OFFICER	◆ SIGN your name; **only** ACOs can authenticate Federal plant export certificates; stamped signatures are **not** permitted ◆ **Only** one original signature is authorized **Important**: **DO NOT** authenticate multiple copies of a certificate. If a number of originals are needed, then have the exporter make copies and suggest the copies be notarized by a Notary Public as true copies of the original.

Additional Declarations on PPQ Form 577

To supplement the above instructions to complete the *Additional Declaration* section of PPQ Form 577, see the following:

- Authority (for entering additional declarations)
- Acceptable Additional Declarations
- Exceptions to Acceptable Additional Declarations
- Prohibited Additional Declarations

Authority

ACOs have authority to enter additional declarations on Federal plant export certificates.

Exporters, shippers, or brokers are **not** allowed to enter additional declarations on Federal plant export certificates, **except** when the ACO's workload **does not** allow him or her to prepare the certificate. In these rare cases, the ACO **must** dictate the required additional declaration to the exporter and then check the wording for accuracy at the time the certificate is presented for authentication.

Acceptable Additional Declarations

Additional declarations may be entered on PPQ Form 577 in the following instances:

- Export summary specifically states that an additional declaration is required (see ***Exceptions to Acceptable Additional Declarations*** on **page 2-5-28**)
- Import permit, import license, or letter of authorization issued by the plant protection organization of the foreign country and presented by the exporter specifically states that an additional declaration is required. In this instance, ACOs are to add an additional declaration that states, "Import permit *[number on the permit, license, or letter]* was presented." (See ***Exceptions to Acceptable Additional Declarations*** on **page 2-5-28**)
- Importer is a government agency that has a commercial contract with the exporter. In this instance, ACOs are to add an additional declaration referring to the contract

ACOs enter additional declarations on PPQ Form 577 for the previously listed instances because they are specifically required by a foreign country.

The following instances are included as acceptable additional declarations because they imply that they are required by a foreign country: (They are examples of when information exists that ACOs believe the plant protection organization of the importing country should know.)

- Attach an official document to PPQ Form 577 because the document has a direct bearing on the description of the plants or plant products and is of a phytosanitary nature (in this instance, ACOs are to add an additional declaration referring to the attachment; see ***Continuation Sheets*** on **page 2-5-7**)
- Insufficient space in blocks on PPQ Form 577 to describe the consignment or enter additional declarations (see ***Continuation Sheets*** on **page 2-5-7**)

- Replace a previously-issued PPQ Form 577 because of an erroneous certificate, a lost certificate, or a cancelled certificate (see ***Replace Lost Federal Plant Export Certificates*** on **page 2-5-9** or ***Reissue Federal Plant Export Certificates*** on **page 2-5-10**)
- Required import permit was presented by the exporter for a nonprohibited, restricted product (see example below)
- Required import permit was **not** presented by the exporter for a nonprohibited, restricted product (see example below)

Important

An import permit **must** be presented for plants or plant products **prohibited** by the importing country.

EXAMPLE

"Import Permit Number 37620 was presented."

"**No** Import Permit was presented."

When allowed by the importing country, ACOs can amend an additional declaration that is required by a foreign country in the following two instances[4]:

- The first instance is when the plants or plant products are free from pests either based on inspection or based on the fact that the pest is **not** known to occur in the area of production (see examples below)

EXAMPLE

"Based upon inspection, the shipment is free from Colorado potato beetle, *Leptinotaria decemlineata*."

"Parent plants were inspected during active growth and found free from bacterial wilt, *Xanthomonas stewartii*."

"Japanese beetle, *Popillia japonica*, is **not** known to occur in the State of California."

- The second instance is when a pest of concern is **not** known to occur in the United States (ACOs **must** obtain information about pest distribution from reliable sources[5]; see the examples below)

EXAMPLE

"Potato wart, *Synchytrium endobioticum*, is **not** known to occur in the United States."

"The khapra beetle, *Trogoderma granarium*, is **not** known to occur in the United States."

4 Refer questions to Export Services through channels. See **Table 2-1-3 on page 2-1-20** under *Procedures, Preparation, Contact Protocol*.

Exceptions to Acceptable Additional Declarations

When ACOs are certifying shipments of bulk grain and a particular pathogen occurs in the United States, then ACOs **must never** attest to freedom or apparent freedom from plant disease causing organisms. USDA-APHIS-PPQ's policy prohibits making such statements as additional declarations, because inspecting parent plants during active growth in the field or analyzing selected grain samples in the laboratory is impractical. This prohibition applies regardless of whether the requirement is stated in an export summary, an import permit, or letter of contract.

ACOs may attest to freedom or apparent freedom from plant disease causing organisms **only** if the pathogen is **not** known to occur in the United States (see example below).

EXAMPLE "*Cephalosporium maydis* and *Peronosclerospora maydis* are **not** known to occur in the United States."

For bulk grain, ACOs may attest to an additional declaration against Karnal bunt of wheat (*Tilletia indica*), when that additional declaration is specifically listed in EXCERPT. This exception exists because of an ongoing national survey against Karnal bunt of wheat. For any other request to list an additional declaration against Karnal bunt of wheat in bulk grain, contact Export Services through channels. See **Table 2-1-3 on page 2-1-20** under *Procedures, Preparation, Contact Protocol*.

5 Reliable sources for pest distribution are as follows (refer doubtful instances to USDA-APHIS-PPQ Quarantine Policy Analysis and Support through channels):

- Link within the export summary to the CAPS (provided that all States have entered all survey information)
- Area identifiers
- Export Certification Specialists (ECS)
- National Agricultural Pest Information System (NAPIS)
- State or county regulatory personnel
- Riverdale (Biological and Technical Services) through your ECS
- Cooperative Extension Services
- Universities

Prohibited Additional Declarations

ACOs **must never** enter or authenticate an additional declaration on a Federal plant export certificate that refers to the following:

- Advice number
- Aflatoxins or other mycotoxins
- Authorization number (**not** to be confused with a letter of authorization from the plant protection organization of the importing country)
- Fitness for human consumption
- For bulk shipments of grain, freedom from plant disease-causing organisms, when a pathogen occurs in the United States
- Freedom from animal diseases and statements about animal health concerns[6]
- Grade and/or quality
- Genetic composition and/or disease resistance[7]
- Intended use (such as for scientific purposes)
- Import reference number
- Import tariff item number
- Letter of commitment number
- Letter of credit number
- Letter of credit requirements or other unofficial requests from buyers and sellers
- Levels of radioactivity, nuclear radiation, or radionuclides associated with a commodity[8]
- Official verification listed in an export summary or an import permit
- Pesticide or other chemical residues
- Purchase contract number
- References pertaining to a permit or a permit number issued by the Division of Management Authority for protected plant species
- References to artificially propagated or wild collected plants

6 APHIS' policy is to **not** attest to animal health concerns on Federal plant export certificates. Refer exporters to USDA-APHIS-PPQ Veterinary Regulatory Services for letterhead statements to attest to the freedom from specific animal diseases. **Do not** attach these statements to Federal plant export certificates.

7 For certifying genetic composition and/or disease resistance, refer exporters to GIPSA at 202-720-0252 or <http:www.aphis.usda.gov.biotech> for letterhead statements. **Do not** attach these statements to Federal plant export certificates.

8 For attesting to the absence of abnormal radioactive contaminant levels, refer exporters to Office of Food Safety and Technical Service, USDA/FAS OFSTS, Room 5545, South Agricultural Building, 14th and Independence Avenue, SW, Washington, DC 20250; phone 202-720-1301.

- Any other requested statement that is **not** of a phytosanitary nature, such as economic permits, quantity or quality restrictions, or methods of packaging

Distribution of PPQ Form 577

Use Table 2-5-3 to distribute copies of PPQ Form 577.

TABLE 2-5-3: Distribution of PPQ Form 577, Federal Phytosanitary Certificate

If the copy is:	Then:
Part 1—Shipper's Original (white with blue microprint background)[1]	GIVE the copies to the exporter, shipper, or broker **Important**: Special instructions for distributing the original and the exporter's copies will be in the export summary.
Part 2—Shipper's Copy (pink)	
Part 3—Record Copy (yellow)	1. ATTACH any pertinent information for that specific shipment[2] 2. SEND the record copy to your supervisor, Export Certification Specialist (ECS), or State Plant Health Director (SPHD) (to whom and when to send record copies is established by the ECS and SPHD. A rule-of-thumb is on a weekly basis gather and send forward copies of issued certificates)
Part 4—Issuing Office Copy (blue)	1. ATTACH any pertinent information for that specific shipment[2] 2. RECORD issuance on the Export Certification Record (see *Special Procedures*, ***User Fees*** on **page 3-11-1**) 3. FILE at the issuing office

1 Color of shipper's original will be the same for the Phytosanitary Certificate Issuance and Tracking database.

2 Such as import permit copy, application with inspection results, acceptable inspection certificate, State phytosanitary certificate, treatment information, continuation sheets (see ***Continuation Sheets*** on **page 2-5-7**). Attach to the Issuing Office copy an invoice or bill of lading that would substantiate the shipment's value in case of an audit.

Maintenance of PPQ Form 577

As with any accountable government form, Federal plant export certificates **must** be maintained following established policy and operational guidelines. This includes guidelines established for the following offices:

- Issuing Office
- Export Certification Specialist Office

Issuing Office

Issuing offices retain the Issuing Office Copy of PPQ Form 577 for 3 years. After 3 years, destroy these copies by incinerating or shredding.

Important

USDA-APHIS-PPQ Plant Inspection Stations and designated CITES ports retain the Issuing Office copies of PPQ Form 577 for 5 years for *protected plant material*. This is to maintain consistency with existing requirements to retain CITES/ESA documents and associated paperwork for 5 years.

Issuing office copies of PPQ Form 577 should be filed and maintained in numerical order by the certificate's accountability number along with the following, if applicable:

- Acceptable inspection certificate
- Attachments to the original (such as import permits and continuation sheets)
- Correspondence
- Import permit or other official documents that vary from EXCERPT guidelines or the export summary
- Invoice or bill of lading that would substantiate the shipment's value in case of an audit
- Inspection results
- PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export
- State phytosanitary certificate

Export Certification Specialist Office

ECSs retain the Record Copy of PPQ Form 577 until the forms are reviewed. ECSs are responsible for reviewing Federal plant export certificates to detect errors. (Generally, these copies are **not** forwarded to USDA-APHIS-PPQ Export Services; however, ECSs may keep the forms for training purposes. See *Procedures, Preparation, Roles and Responsibilities,* ***Review Guidelines for Federal Plant Export Certificates*** on **page 2-1-14**.)

PPQ Form 578, Export Certificate, Processed Plant Products

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0052. The time required to complete this information collection is estimated to average .03 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

FORM APPROVED
OMB NO. 0579-0052

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

EXPORT CERTIFICATE
PROCESSED PLANT PRODUCTS

FOR OFFICIAL USE ONLY

PLACE: SAMPLE

DATE:

NUMBER: P XXXXXX

NAME AND ADDRESS OF EXPORTER

SAMPLE

NAME AND ADDRESS OF CONSIGNEE

SAMPLE

MEANS OF CONVEYANCE

POINT OF ENTRY

DESCRIPTION OF CONSIGNMENT

PRODUCT *(Kind, Quantity, and Weight)*

SAMPLE SAMPLE

IDENTIFICATION

SAMPLE

ORIGIN

WARNING: Any alteration, forgery, or unauthorized use of this phytosanitary certificate is subject to civil penalties of up to $250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than $10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).

This is to affirm that, based upon inspection of submitted samples and/or by virtue of processing received, the plant products described above are believed to be free from injurious plant pests.

UNITED STATES DEPARTMENT OF AGRICULTURE

SAMPLE

NAME OF AUTHORIZED OFFICER
SAMPLE

SIGNATURE

No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

PPQ FORM 578 FEB 2001 Previous editions are obsolete **after** 6/30/01

PART 1 - SHIPPER'S ORIGINAL

FIGURE 2-5-3: Example of PPQ Form 578, Export Certificate, Processed Plant Products

Introduction to PPQ Form 578

PPQ Form 578, Export Certificate, Processed Plant Products, is an accountable certificate used to certify eligible processed products for which PPQ Form 577 or PPQ Form 579 **cannot** be issued. See Figure 2-5-3 on page 2-5-32 for an example of a blank PPQ Form 578.

Authorized Certification Officials (ACOs) are responsible for holding in strict confidence the information in these official documents, collecting user fees (if applicable), and maintaining an accountability system for tracking these documents. For details about these topics, see ***Accountability*** on **page 2-5-2**, ***Confidentiality*** on **page 2-5-5**, and ***User Fees*** on **page 3-11-1**.

Purpose of PPQ Form 578

The purpose of PPQ Form 578 is to assist U.S. exporters whose shipments may be placed in jeopardy if such a document is **not** issued. PPQ Form 578 was created by USDA-APHIS-PPQ to fill a void where **no** other USDA agency certification existed or could be adapted. **No** liability is attached to the USDA or to any of its representatives with respect to PPQ Form 578.

PPQ Form 578 may be issued **only** for those processed products specifically listed as eligible in EXCERPT, regardless of origin. However, there are some processed products listed as eligible for both PPQ Form 577 and PPQ Form 578. In these situations, check the requirements for the commodity in the export summary as some countries will specify that a PPQ Form 577 is required and this requirement would take precedence over issuing a PPQ Form 578 (examples include flour meal, soy flour). If a PPQ Form 577 is **not** required, then issue a PPQ Form 578.

Important

Inform exporters that PPQ Form 578 is **not** a phytosanitary certificate and may **not** serve as one for facilitating the entry of processed products.

Completion of PPQ Form 578

See Table 2-5-4 on page 2-5-35 for specific instructions, techniques, and examples about how to complete PPQ Form 578. For general guidelines, see ***General Guidelines for Completing Federal Plant Export Certificates*** on **page 2-5-6**.

Important

Additional declarations and official verifications are **prohibited** on PPQ Form 578. Therefore **do not** add a statements about a superseded certificate, even though ACOs may replace and void PPQ Form 578.

Treatments **cannot** be certified on PPQ Form 578.

If certifying freedom from animal diseases, refer exporters to USDA-APHIS-PPQ Veterinary Regulatory Services for letterhead statements to attest to freedom from specific animal diseases. **Do not** attach these statements to Federal plant export certificates.

If certifying radiation levels, refer exporters to Technical Office for International Trade, U.S. Department of Agriculture, Building 1070, BARC-EAST, Beltsville, Maryland 20705; phone 301-344-2845.

TABLE 2-5-4: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products

If the block is:	Then follow these instructions to complete PPQ Form 578:
PLACE	◆ ENTER the complete name of the city and State of the issuing office; **do not** abbreviate ◆ Each PPQ Form 578 is validated **only** by the issuing office accountable for that Federal plant export certificate ◆ VERIFY that the address is the correct issuing office is listed for prepaid PPQ Form 578 (this block is already completed)
DATE	◆ ENTER the date when the certificate is prepared or validated by an ACO ◆ ENTER date in correct order (month, day, year); **never** use European format ◆ SPELL OUT the month (January 1, 2004); **never** use numbers for the month and **never** abbreviate the year
NUMBER	**DO NOT** WRITE in this space; all PPQ Forms 578 are prenumbered to deter forgeries and to facilitate accountability
NAME AND ADDRESS OF EXPORTER	◆ ENTER the complete name and address of the exporter (street or P.O. Box, city, State); at a minimum, include name, city, and State ◆ SPELL OUT names of cities and States (preferred) **Important** **Never** enter more than one exporter's name and address. **Do not** use statements such as "In-care-of" (c/o), "Attention to", "Agent for", or "Notify". Exporter's address **must** be in the United States or a U.S. territory or commonwealth.
NAME AND ADDRESS OF CONSIGNEE	◆ ENTER the complete name and address of the consignee (person or company taking delivery of the commodity); at a minimum, include a name, city, and country ◆ SPELL OUT names of cities and countries (preferred) **Important** **Never** enter more than one consignee's name and address; doing so would violate USDA-APHIS-PPQ policy to enter one consignee's name. **Do not** use statements such as "In-care-of" (c/o), "Attention to", "Agent for", or "Notify". Consignee's address **must** be in the importing country.

TABLE 2-5-4: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products (continued)

If the block is:	Then follow these instructions to complete PPQ Form 578:
MEANS OF CONVEYANCE	◆ ENTER the airline or the name of the vessel ◆ ADD “or substitute” after a vessel’s name (acceptable) ◆ If the specific name of the means of conveyance is unknown, then ENTER as appropriate, “airfreight”, “ocean vessel”, “railroad”, or “truck line” ◆ If rail or truck shipments to Canada and Mexico, ENTER the name of the railroad or truck line, if known ◆ If mail shipments, ENTER “air mail”, “surface mail”, or “express mail”
POINT OF ENTRY	◆ ENTER the point (the first port of entry in the destination country) of entry declared by the exporter ◆ ENTER “unknown” if a specific point of entry is **not** declared by the exporter ◆ SPELL OUT the names of cities (preferred) ◆ ENTER multiple points of entry (acceptable)
DESCRIPTION OF CONSIGNMENT	
PRODUCT *(Kind, Quantity, and Weight)*	**Important** This is a critical block; **never** correct information. PPQ Form 578 can **only** be issued for eligible processed products listed in EXCERPT. ◆ ENTER the processed product name as identified on the list of Eligible Processed Products in EXCERPT; **do not** add scientific names ◆ LIST the amount and description of the shipping containers as declared by the exporter (see example below) **EXAMPLE** 11 wooden crates 123 cardboard cartons 5 burlap bags If the shipment is a bulk shipment, then enter “In Bulk" ◆ SPELL OUT abbreviations ◆ LIST the declared weight in kilograms; if impracticable, then LIST the weight in pounds ◆ LINE OUT unused space
IDENTIFICATION	**Important** This is a critical block; **never** correct information. **Never** ENTER “As Addressed” and “As Marked” ◆ ENTER the markings as declared by the exporter, which may include markings applied to containers, cartons, bags, boxes, products, truck licenses, or railway cars ◆ If there are **no** distinguishing marks, ENTER "NONE"

TABLE 2-5-4: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products (continued)

If the block is:	Then follow these instructions to complete PPQ Form 578:
ORIGIN	◆ ENTER the origin as declared by the exporter; **always** specify the country of origin when the processed product originates from a foreign country ◆ SPELL OUT names of counties, State(s), or countries (preferred)
WARNING This warning alerts all parties that any alteration, forgery, or unauthorized use of the Federal plant export certificate is subject to civil penalties or punishable by a fine or imprisonment.	

TABLE 2-5-4: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products (continued)

If the block is:	Then follow these instructions to complete PPQ Form 578:
AUTHORIZATION	
NAME OF AUTHORIZED OFFICER	TYPE or PRINT the name of the ACO who will sign the certificate **Important**: **Do not** ADD titles.
SIGNATURE	◆ SIGN your name; **only** ACOs can authenticate Federal plant export certificates; stamped signatures are **not** permitted ◆ **Only** one original signature is authorized **Important**: **DO NOT** sign multiple copies of a certificate. If a number of originals are needed, then have the exporter make copies and suggest the copies be notarized by a Notary Public as true copies of the original.

Distribution of PPQ Form 578

Use Table 2-5-5 to distribute copies of PPQ Form 578.

TABLE 2-5-5: Instructions to Distribute PPQ Form 578, Export Certificate, Processed Plant Products

If the copy is:	Then:
Part 1—Shipper's Original (white with blue microprint background)	1. If present and applicable, ATTACH a foreign phytosanitary certificate for foreign origin processed products 2. GIVE the copies to the exporter, shipper, or broker
Part 2—Shipper's Copy (white)	
Part 3—Record Copy (white)	1. ATTACH any pertinent information for that specific shipment[1] 2. SEND the record copy to your supervisor, Export Certification Specialist (ECS), or State Plant Health Director (SPHD) (to whom and when to send record copies is established by the ECS and SPHD. A rule-of-thumb is on a weekly basis gather and send forward copies of issued certificates)
Part 4—Issuing Office Copy (white)	1. ATTACH any pertinent information for that specific shipment[1] 2. RECORD issuance on the Export Certification Record (see *Special Procedures,* ***User Fees*** on **page 3-11-1**) 3. FILE at the issuing office

1 Such as application, foreign phytosanitary certificate, continuation sheets (see ***Continuation Sheets*** on **page 2-5-7**). Attach to the Issuing Office copy an invoice or bill of lading that would substantiate the shipment's value in case of an audit.

Maintenance of PPQ Form 578

As with any accountable government form, Federal plant export certificates **must** be maintained following established policy and operational guidelines. This includes guidelines established for the following offices:

- Issuing Office
- Export Certification Specialist Office

Issuing Office

Issuing offices retain the Issuing Office Copy of PPQ Form 578 for 3 years. After 3 years, destroy these copies by incinerating or shredding.

Important

USDA-APHIS-PPQ Plant Inspection Stations and designated CITES ports retain the Issuing Office copies of PPQ Form 578 for 5 years for *protected plant material.* This is to maintain consistency with existing requirements to retain CITES/ESA documents and associated paperwork for 5 years.

Issuing office copies of PPQ Form 578 should be filed and maintained in numerical order by the certificate's accountability number along with the following, if applicable:

- Attachments to original (such as continuation sheets)
- Correspondence
- Invoice or bill of lading that would substantiate the shipment's value in case of an audit
- Inspection results (if applicable)
- Foreign phytosanitary certificate
- PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export
- State phytosanitary certificate

Export Certification Specialist Office

ECSs retain photocopies of PPQ Form 578 until the forms are reviewed. ECSs are responsible for reviewing Federal plant export certificates to detect errors. (Generally, these copies are **not** forwarded to USDA-APHIS-PPQ Export Services; however, ECSs may keep the forms for training purposes. See Procedures, Preparation, Roles and Responsibilities, ***Review Guidelines for Federal Plant Export Certificates*** on **page 2-1-14**.)

PPQ Form 579, Phytosanitary Certificate for Reexport

No phytosanitary certificate can be issued until an application is completed (7 CFR 353)

See reverse for additional OMB information.

FORM APPROVED
OMB NO. 0579-0052

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

PHYTOSANITARY CERTIFICATE FOR REEXPORT

FOR OFFICIAL USE ONLY

PLACE OF ISSUE SAMPLE

NO. FPC XXXXXXX -R

TO: THE PLANT PROTECTION ORGANIZATION(S) OF

CERTIFICATION

This is to certify that the plants or plant products described below were imported into the United States from (Country of origin) _____ covered by Phytosanitary Certificate _____ ☐ original ☐ certified true copy of which is attached to this certificate. That they are ☐ packed ☐ repacked ☐ in original ☐ in new containers, that based on the ☐ original Phytosanitary Certificate ☐ and additional inspection, they are considered to conform with the current phytosanitary regulations of the importing country, and that during storage in the United States, the consignment has not been subjected to the risk of infestation or infection.

DISINFESTATION AND/OR DISINFECTION TREATMENT

1. DATE	2. TREATMENT
3. CHEMICAL *(active ingredient)*	4. DURATION AND TEMPERATURE
5. CONCENTRATION	6. ADDITIONAL INFORMATION

DESCRIPTION OF THE CONSIGNMENT

7. NAME AND ADDRESS OF THE EXPORTER SAMPLE	8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE SAMPLE
9. NAME OF PRODUCE AND QUANTITY DECLARED SAMPLE	10. BOTANICAL NAME OF PLANTS SAMPLE
11. NUMBER AND DESCRIPTION OF PACKAGES SAMPLE	12. DISTINGUISHING MARKS SAMPLE
13. PLACE OF ORIGIN	14. DECLARED MEANS OF CONVEYANCE
	15. DECLARED POINT OF ENTRY

WARNING: Any alteration, forgery, or unauthorized use of this phytosanitary certificate is subject to civil penalties of up to $250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than $10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).

ADDITIONAL DECLARATION

SAMPLE SAMPLE

16. DATE ISSUED	17. NAME OF AUTHORIZED OFFICER *(Type or Print)* SAMPLE	18. SIGNATURE OF AUTHORIZED OFFICER

No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

PPQ FORM 579 FEB 2001 Previous editions are obsolete after 6/30/01

PART 1 - SHIPPER'S ORIGINAL

FIGURE 2-5-4: Example of PPQ Form 579, Phytosanitary Certificate for Reexport (blank)

Introduction to PPQ Form 579

PPQ Form 579, Phytosanitary Certificate for Reexport, is an accountable inspection certificate used to certify foreign plants and unprocessed or unmanufactured plant products for re-export. See Figure 2-5-4 on page 2-5-40 for an example of a blank PPQ Form 579.

Authorized Certification Officials (ACOs) are responsible for holding in strict confidence the information in these official documents, collecting user fees (if applicable), and maintaining an accountability system for tracking these documents. For details about these topics, see ***Accountability*** on **page 2-5-2**, ***Confidentiality*** on **page 2-5-5**, or User Fees on **page 3-11-1**.

Purpose of PPQ Form 579

The purpose of PPQ Form 579 is to expedite the entry of foreign plants or unprocessed or unmanufactured plant products into a foreign country. ACOs certify that, based on an original foreign phytosanitary certificate and/or an additional inspection, the foreign plants or plant products officially entered the United States, are considered to conform to the current phytosanitary regulations of the importing country, and have been safeguarded against the risk of infestation or infection while in the United States. If safeguarding **cannot** be verified, then ACOs **must** perform a phytosanitary inspection.

If domestic and foreign commodities have been blended to the extent that their identity has been lost, then ACOs **must** issue a PPQ Form 579, **not** a PPQ Form 577.

EXAMPLE Wheat grain from the United States mixed with wheat grain from Canada is now a blended commodity. The blending can be in any proportion.

PPQ Form 579 may also be used to expedite entry into American Samoa, Federated States of Micronesia, Guam, Marshall Islands (islands affiliated with the United States), Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, St. John). This use is authorized because States **do not** have re-export certificates.

PPQ Form 579 **cannot** be issued for the following:

- Eligible processed products of foreign origin (see ***PPQ Form 578, Export Certificate, Processed Plant Products*** on **page 2-5-32**)
- Plants or plant products transiting the United States under U.S. Customs' bond (such shipments should be accompanied by an original, foreign phytosanitary certificate if certification is required by the destination country)

Completion of PPQ Form 579

ACOs access the export summary of the importing country for outright prohibitions and known import requirements. Keep in mind that specific requirements for the listed plants and plant products from countries of origin **other than** the United States may **not** be contained in the export summaries.

Follow the preferred method for finding import requirements in the export summary of the importing country using EXCERPT. First, look in the export summary under *General Information* for those plants or plant products that are **prohibited**. **Do not** issue a PPQ Form 579 for plants or plant products listed as prohibited entry by the foreign country unless a valid import permit is presented and all requirements can be met.

Second, look in the export summary under *General Information* and *Product Requirements* for known import requirements for the foreign plants or plant products. If the import requirements are unknown (**not** identifiable in the export summary), then inquire as to whether the exporter has an import permit.

ACOs need to determine if the requirements can be met by either declarations on an original or certified true copy of a foreign phytosanitary certificate from the originating country or by conducting supplemental inspections, monitoring or supervising treatments, or initiating laboratory testings. Some requirements such as pest conditions in the originating country, production area freedom, growing season and field inspections, virus indexing, etc., should be attested to on a foreign phytosanitary certificate as these types of requirements **cannot** be done in the intermediary country (the United States).

However, **do not** refuse to issue PPQ Form 579 if the importing country requires the plants or plant products to meet conditions such as active growth field inspection, area of production free from specified pests, or virus indexing in the originating country.

If the proper declarations are **not** on a foreign phytosanitary certificate from the country of origin, then an additional declaration may be placed on PPQ Form 579 indicating one of the following as appropriate:

- The shipment met the entry requirements of the United States
- United States **does not** require phytosanitary certification for the entry of the plants or plant products

ACOs can record the results of supplemental phytosanitary inspection, testing, and treatment on PPQ Form 579. Such supplemental inspection, testing, or treatment carried out for the purpose of providing phytosanitary certification for a foreign origin product **must** be tailored to the known import requirements of the intended receiving country. The import requirements **must** be available to PPQ either through published plant health legislation and/or by import permits issued by the country's official plant protection organization.

Existing policy that disallows PPQ certification relative to pest conditions, field inspection, laboratory testing, etc., in the originating country is **not** changed; the phytosanitary certification issued by the plant protection organization of the originating country **must** address these types of issues.

Supplemental phytosanitary inspections of foreign origin products **must** be officially conducted by ACOs. Laboratory testing, indexing, etc., **must** be accomplished by Federal, State, or accredited university laboratories approved by USDA-APHIS-PPQ.

Treatments **must** be performed following procedures specified in the USDA-APHIS-PPQ *Treatment Manual* and monitored by a Federal, State, or county plant quarantine official. (For the complete APHIS policy about attesting to treatments on Federal plant export certificates, see *Procedures, Import Requirements,* ***5. Do the plants or plant products require treatment in the country of origin as a condition of entry, or was a treatment conducted?*** on page 2-3-16.)]

Determine if Foreign Plants or Unprocessed or Unmanufactured Plant Products Are Eligible for Re-export Certification

An overview of the steps to follow for determining if foreign plants and unprocessed or unmanufactured plant products are eligible for re-export certification is listed in Figure 2-5-5. Details of the steps follow.

Step 1: Determine that the Shipment Has Officially Entered U.S. Commerce

Step 2: Review the Export Summary

Step 3: Process Foreign Plants or Plant Products With an Import Permit

Step 4: Verify Segregation and Safeguarding

Step 5: Visually Examine Foreign Plants or Plant Products

Step 6: Complete PPQ Form 579

Step 7: Distribution of PPQ Form 579

Step 8: Maintenance of PPQ Form 579

FIGURE 2-5-5: Overview of Steps for Issuing PPQ Form 579

Step 1: Determine that the Shipment Has Officially Entered U.S. Commerce

Some plants or plant products require a foreign phytosanitary certificate in order to enter the U.S. commerce. When these plants or plant products are presented for re-export certification, the exporter may have an original or certified true copy of the foreign phytosanitary certificate. If an original or certified true copy is present, then use it to validate official entry into U.S. commerce and to attest to known import requirements of the receiving country. If there is **no** foreign phytosanitary certificate, then ask if the exporter has an import permit from the originating country for the plant products, or any other supporting documents (Custom's entry papers, invoice) bearing a release stamp.

Use Table 2-5-11 to take the correct regulatory action based on supporting documents that would verify that the plants or plant products officially entered U.S. commerce.

Step 2: Review the Export Summary

Review the export summary of the importing country to see if the foreign plants and unprocessed or unmanufactured plant products offered for re-export are as follows:

- **Not** outright prohibited
- Have import requirements listed specifically for the plants or plant products from the originating country

Preferred Method for Finding Import Requirements in EXCERPT

Use the preferred method outlined below as a guide to find import requirements in EXCERPT. The preferred method acts as a filter to eliminate potentially conflicting or confusing information and helps ACOs find specific, high-priority information. While there are other possible shortcuts to navigating through export summaries, the following preferred method has proven to work well for training purposes. See **Table 2-5-10 on page 2-5-48** for regulating re-export shipments based on import requirements.

1. Login to EXCERPT at the following web site address and enter your user identification number and password[9]:

   <http://excerpt.ceris.purdue.edu/>

2. At the EXCERPT home page, check the following to identify recent changes or additions to import requirements for specific plants or plant products as well as alerts that may apply to all exports:
   - **A.** Messages and Alerts
   - **B.** Phytosanitary Notes
   - **C.** Recent Summary Changes
3. At the EXCERPT home page, select *Export Summary Inquiry*.
4. At the *Export Summary Inquiry* screen:
   - **A.** Type the name of the country in the *Country Name* block[10].
   - **B.** Click on the radio button next to #2 for *General Information*[11].
   - **C.** Type "prohibited" in the *Category Name* block or leave the block blank.
   - **D.** Click the *Submit Query* button at the bottom of the screen.

9 If you **do not** have an authorized user identification number and password, then go to *Preparation, Export Certification Product,* ***Request an EXCERPT Account*** on **page 2-1-6**.

10 If you are unsure about the country name, then see *Appendix C*, ***List of Countries*** on **page C-1-1**.

11 *General Information* of export summaries is the first place to find prohibitions and import requirements for foreign plants and plant products.

3

Export Certification Manual

Special Procedures

Accreditation Programs

Contents

Introduction **page 3-1-1**
Accreditation of Authorized Certification Officials **page 3-1-1**
- Initial Accreditation **page 3-1-2**
- Reaccreditation of ACOs **page 3-1-2**
- Review Process for Federal Plant Export Certificates **page 3-1-2**
- Inactivation and Reactivitation of ACOs **page 3-1-2**
- Suspension and Reactivitation of ACOs **page 3-1-2**
- Retesting **page 3-1-3**

Seed Health Accreditation Program **page 3-1-3**

Introduction

These special procedures contain an overview of USDA-APHIS-PPQ accreditation programs established to facilitate the exportation of commodities to foreign markets. Accreditation recognizes consistent levels of competency and confers specific authority. Accrediting trained personnel, organizations, facilities, and processes associated with phytosanitary functions enhances USDA-APHIS-PPQ's ability to protect plant resources and facilitate safe trade.

Direct questions about USDA-APHIS-PPQ accreditation programs to Mr. Michael Ward, National Accreditation Program Manager, by phone at 301-734-5227, by FAX at 301-734-3249, or by e-mail at <michael.d.ward@aphis.usda.gov>.

Two accreditation programs initiated by USDA-APHIS-PPQ are as follows:

- **Accreditation of Authorized Certification Officials**
- **Seed Health Accreditation Program**

Accreditation of Authorized Certification Officials

An accreditation program was initiated by USDA-APHIS-PPQ in order to comply with the North American Plant Protection Organization standard for the accreditation of individuals to sign Federal phytosanitary certificates. This ACO accreditation program will ensure that USDA-APHIS-PPQ and our cooperators strictly adhere to current regulations and policies for inspecting and certifying plants and plant products offered for export.

For details about individual responsibilities for obtaining and maintaining accreditation, see USDA-APHIS-PPQ's *ACO Quality Manual* located at the following web site address:

<http://www.aphis.usda.gov/ppq/pim/accreditation>

Initial Accreditation

ACOs are required to meet education, experience, and training qualifications before becoming accredited to issue Federal plant export certificates. Once all qualifications are met, Export Services grants accreditation and notifies all parties involved. The initial accreditation is valid for 3 years from date of issue. Section One of the *ACO Quality Manual* covers initial accreditation for PPQ officer candidates, while Section Two covers State or county cooperators.

Reaccreditation of ACOs

Before their initial accreditation expires, ACOs **must** be reaccredited. ACOs **must** complete refresher training and successfully pass a renewal exam. Reaccreditation is valid for 3 years from date of issue.

Review Process for Federal Plant Export Certificates

Supervisors of ACOs and Export Certification Specialists (ECSs) are responsible for regularly reviewing issued Federal plant export certificates for compliance with Federal regulations, policies and procedures, foreign import requirements, and USDA-APHIS-PPQ obligations to bilateral agreements, protocols, Memorandums of Understanding, and international standards. Major errors are documented by ECSs and communicated to ACOs and their supervisors to deter recurrences. If within a 12-month period an ACO makes three or more major errors or repeats the same major error after counseling, then that ACO's accreditation will be suspended.

Inactivation and Reactivitation of ACOs

ACOs can be placed in an inactive status if they fail to get reaccredited within a three-year period, fail to issue Federal plant export certificates within one year of initial accreditation, or fail to issue Federal plant export certificates within 3 years of initial accreditation or reaccreditation. ECSs place ACOs in the inactive status and notify the ACOs. When placed in an inactive status, ACOs are **not** allowed to issue or sign Federal plant export certificates. ACOs may be reactivated once they complete 60 days of regulatory experience under an active ACO, and refresher training.

Suspension and Reactivitation of ACOs

ACOs can be suspended from issuing Federal plant export certificates if they are suspected of knowingly or deliberately signing a fraudulent certificate with any intentional false statement or misrepresentation, or if within a 12-month period they make three or more major errors

or repeat the same major error after counseling. Supervisors, ECSs, or regional export program officials can recommend suspension, while the final determination to suspend an ACO's accreditation lies with the regional export program official. Suspension is for one year. Suspended ACOs can be reactivated once they complete Export Certification Training and successfully pass an exam.

Retesting

If a candidate or ACO fails an exam, then they have up to 45 days to retest. If a candidate or ACO fails a retest, then they have up to 45 days to pass a second retest. If the candidate or ACO fails the second retest, then they **must** complete one year of regulatory experience and retake the appropriate test.

Seed Health Accreditation Program

USDA-APHIS-PPQ in cooperation with the National Seed Health System initiated a process by which nongovernment entities can become accredited to perform the following testing and inspections for plants or plant products that are required for the issuance of Federal plant export certificates:

- Laboratory seed health testing (laboratory-based program to test seeds for plant pathogens using the standardized methods approved by the National Seed Health System)
- Phytosanitary field inspection (field-based inspections of seed producing fields, nurseries, or greenhouses for disease freedom using standardized methods approved by the National Seed Health System)
- Seed sampling for seed health laboratory testing (sampling of seeds using standardized methods approved by the National Seed Health System and forwarded by a traceable method to a government or accredited laboratory to conduct seed health laboratory tests)
- Visual inspections of seeds for phytosanitary certification (visual inspection of seed shipments using USDA-APHIS-PPQ approved methods at the exporter's facility for insects, weed seeds, soil, and other contaminants before issuing a Federal plant export certificate)

Each nongovernment entity is audited and evaluated by the National Seed Health System under the direct supervision of the National Accreditation Program Manager for USDA-APHIS-PPQ. Upon successful completion of the initial audit and with the approval of

USDA-APHIS-PPQ, the entity becomes accredited. Each entity is accredited to perform certain functions and is listed on a letter of accreditation that is issued by USDA-APHIS-PPQ.

Accredited entities provide a written report of their findings to the Authorized Certification Official (ACO). The written findings become part of the supporting documentation that is attached to the Issuing Office Copy of the Federal plant export certificates. ACOs **cannot** issue Federal plant export certificates for plants or plant products that underwent testing or inspection performed by an accredited entity for which that entity was **not** accredited to perform.

USDA-APHIS-PPQ's National Accreditation Program Manager oversees that accredited entities maintain compliance with the standards as specified in the Code of Federal Regulations through annual audits and proficiency testing. Accreditation is valid for 3 years and can be renewed after a thorough audit is performed by USDA-APHIS-PPQ and the National Seed Health System.

ACOs may accept documented results from the accredited entities for the accredited phytosanitary function(s) listed in **Figure 3-1-1 on page-3-1-5**. These documented results serve to determine eligibility to issue Federal plant export certificates for seeds intended for propagation.

Accredited entities are required to use **only** those tests and methods that are listed in *Reference Manual B* to perform the specified phytosanitary functions for which they are accredited to perform. For more information about these tests and methods, go to the following National Seed Health System web site address:

<http://excerpt.ceris.purdue.edu/htbin/exleave.com?addr=http://www.seedhealth.org>

Accredited Facility Name	Accredited for	Expiration Date
California Seed and Plant Lab 7877 Pleasant Grove Road Elverta, California 95626	See health testing for the following: ◆ Pepper and tomato for the pathogen *Xanthomonas campestris* pv. *vesicatoria* (Ishi vegetables method) ◆ *Brassica* sp. for the pathogen *Xanthomonas campestris* pv. *campeatris* (Ishi vegetables method) ◆ Tomato (*Lycopersicon esculentum*) for the pathogens: *Clavibacter michiginensis* pv *michiginensis* (Ishi-vegetables method), pepper mild mottle virus (Ishi vegetables method), *Psuedomonas syringae* pv. tomato (CDFA method), tobacco mosaic virus, and tomatoc mosaic virus ◆ Lettuce (*Lactuca sativa*) for the pathogen lettuce mosaic virus (Ishi vegetables method) ◆ *Citrullus lanatus* and *Cucumis melo* var. *cantalupensis* for the pathogens: *Acidiovorax avenae* spp. *citrulli* (seedling BioPCR) and *Acidiovorax avenae* ssp. *citrulli* (seedling grow-out) ◆ Cucurbitacea for the pathogen *Didymella bryoniae* (Ishi vegetables method) ◆ Carrot (*Daucus carota*) for the pathogens: *Alternaria dauci* (modified freeze blotter test) and *Xanthomonas campestris* pv. *carotae* (modified see wash) ◆ *Phaseolus* spp. for the pathogen *Xanthomonas axonopodis* pv. *phaseoli* (Ishi selective media assay (2000))	08-05-2007
Idaho Crop Improvement Association 55 SW Fifth Avenue Meridian, Idaho 83642	◆ Phytosanitary field inspection of *Phaeseolus vulgaris* and *Pisum sativum* ◆ Seed sampling for seed health laboratory testing	07-22-2005
Illinois Crop Improvement Association 3105 Research Road Champaign, Illinois 61829	Phytosanitary field inspection for the following crops: *Zea mays*, *Triticum* spp., *Sorghum* spp., *Glycine max*, *Gossypium* spp., and *Helianthus annuus*	04-29-2005
Indiana Crop Improvement Association 7700 Stockwell Road Lafayette, Indiana 47909	Phytosanitary field inspection of *Zea mays*	07-23-2005

FIGURE 3-1-1: Accredited Entities for Seed Inspection

Accredited Facility Name	Accredited for	Expiration Date
Iowa State University Seed Testing Laboratory 127 Seed Science Center Ames, Iowa 5001	Seed health testing for the following: ◆ Corn (*Zea mays*) for the pathogens: *Chochliobolus carbonum*, *Clavibacter michiganensis* ssp. *nebraskesis*, *Erwinia stewartii*, *Phomopsis/Diaporthe* ssp., *Pseudomonas syringae*, and *Stenocarpella maydis* ◆ Spinach (*Spinacia oleracea*) for the pathogen *Verticillium dahliae*	06-16-2007
Nebraska Crop Improvement Association 267 Plant Science Hall P.O. Box 830911 Lincoln, Nebraska 68583	Phytosanitary field inspection of *Zea mays*	08-19-2005
Pioneer Hi-Bred International Inc. 7301 NW 62nd Avenue Johnston, Iowa 50131	◆ Phytosanitary field inspection of *Zea mays* ◆ Visual seed inspection of field seed crops for phytosanitary inspection ◆ Seed sampling for seed health laboratory testing ◆ Laboratory seed health testing of *Zea mays* for the following pathogens: *Diplodia zeae*, *Cochliobolus carbonum*, *Cochliobolus heterostrophus*, *Ustilago maydis/Sphacelotheca reiliana*, *Sclerophthora sorphi*, *Gibberealia zeae*, *Fusarium moniliforme*, *Penicillium oxalicum*, *Cercospora sorphi* var. *maydis*, *Kabatiella zeae*, *Phyllosticta maydis*, *Clavibacter michiganensis* ssp. *nebraskensis*, *Erwinia stewarti*, mays dwarf mosaic virus, mays chlorotic mottle virus, and high plains virus	08-06-2005
Professional Seed Research 7 South 437 Dugan Road Sugar Grove, Illinois 60554	Seed health testing of *Zea mays* for the following pathogens: *Diplodia zeae*, *Cochliololus carbonum*, *Cochliobolus heterostrophus*, *Usalago maydis/ Spacelotheca reiilana*, *Clavibactor michiganensis* ssp. *nebraskensis*, and *Erwinia stewarti*	09-24-2005

FIGURE 3-1-1: Accredited Entities for Seed Inspection (continued)

Accredited Facility Name	Accredited for	Expiration Date
Seminis Inc. 2700 Camino Del Sol Oxnard, California 93030 Laboratory location: 37437 State Highway 16 Woodland, California 95695	Seed health testing for the following: ◆ *Bassica* sp. for the pathogen *Xanthomonas campestris* pv. *campestris* ◆ Pepper and tomato for the pathogen *Xanthomonas campestris* pv. *vesicatoria* ◆ Pepper for the pathogens: tobacco mosaic virus, tomato mosaic virus, pepper mild mottle virus ◆ Tomato for the pathogens: tobacco mosaic virus, tomato mosaic virus, pepper mild mottle virus, *Clavibacter michiganensis* pv. *michiganensis*, *Pseudomonas syringae* pv. tomato ◆ Lettus (*Latuca sativa*) for the pathogens: lettuce mosaic virus (*Ishi* test) and *Xanthomonas campestris* pv. *vitians* ◆ Carrot (*Daucus* sp.) for the pathogen *Xanthomonas campestris* pv. *carotae* ◆ Melon and squash for the pathogen squash mosaic virus ◆ Melon and watermelon for the pathogen *Acidovorax avenae* pv. *citrulli* ◆ Cucumber for the pathogen *Pseudomonas syringae* pv. *lachrymans* ◆ Watermelon, melon, cucumber, pumpkin, and squash for the pathogen *Didymella bryoniae*	12-05-2006

FIGURE 3-1-1: Accredited Entities for Seed Inspection (continued)

3

Export Certification Manual

Special Procedures

Compliance Agreements for Compressed, Baled Cotton

Contents

Introduction **page 3-2-1**
Instructions **page 3-2-1**
Example of a Commodity Treatment Compliance Agreement **page 3-2-3**

Introduction

These special procedures provide the criteria to cover when writing a compliance agreement for establishments that operate cotton compresses or warehouses for compressed, baled cotton. (USDA-APHIS-PPQ is currently updating a nationwide template for establishing compliance agreements with the cotton industry. The time line is October 31, 2004.)

There is little or **no** risk of spreading plant pests internationally through the movement of compressed, baled cotton. Therefore, establishments that operate cotton compresses and warehouses may perform phytosanitary inspection of compressed, baled cotton when operating under a compliance agreement.

Instructions

A written compliance agreement is attached to PPQ Form 519, Compliance Agreement. PPQ Form 519 has a variety of uses in both domestic and foreign quarantine programs. PPQ Form 519 is used to formalize agreements and provides a signed, written agreement of understanding of methods, conditions, and procedures necessary for compliance with regulations. The form is also used to submit as evidence for violation cases. See ***Appendix B, Forms***, PPQ Form 519, Compliance Agreement on **page B-1-5**, for an example of and instructions for completing PPQ Form 519.

Export Certification Specialists (ECSs) have the flexibility to add requirements to the following criteria that **must** be included on a compliance agreement written for establishments that operate cotton compresses and warehouses of compressed, baled cotton:

1. Ensure that compresses or warehouses **must** provide uniform, universal density, compressed baled cotton.

2. Inspect each shipment visually to ensure that the bales are free from the following:
   - **A.** Cottonseed
   - **B.** Live insects
   - **C.** Soil
   - **D.** Other contaminants

Important

Cotton industry representatives may **not** possess sufficient knowledge, ability, or authority to differentiate between quarantine, injurious, and innocuous organisms and objects. Therefore, insist on absolute freedom from cottonseed, live insects, soil, and other contaminants in baled cotton.

3. Load clearly-marked bales which have been segregated from flat cotton (uncompressed to universal density) into clean containers.
4. Maintain a file of shipping documents that specify the following information:
   - **A.** Marks
   - **B.** Number of bales
   - **C.** Signature of the manager or authorized representative

   Make this file available on request to USDA-APHIS-PPQ employees or State plant regulatory officials (SPROs).

Important

Some ACOs may prefer that the establishment use PPQ Form 572 in addition to the compress or warehouse records. When using PPQ Form 572, the exporter in cooperation with the compress or warehouse establishment **must** complete *Blocks 12* through *17.*

5. Contact the ACO prior to an export shipping date and present the supporting data necessary to complete a PPQ Form 577.
6. Allow periodic inspection of the operation and facilities by the ACO to ensure all elements of the compliance agreement are being satisfied.

Example of a Commodity Treatment Compliance Agreement

Figure 3-2-1 is an example of a commodity treatment compliance agreement that is an official compliance agreement when attached to a completed PPQ Form 519. See also ***Appendix B, Forms***, *PPQ Form 519, Compliance Agreement* on **page B-1-5**.

FRESNO COUNTY DEPARTMENT OF AGRICULTURE
COMMODITY TREATMENT COMPLIANCE AGREEMENT

_____ (Company Name)

_____ (Chamber Location)

_____ (Mailing Address)

_____ (City/State/Zip code)

_____ (City/State/Zip code)

(___)_____ (Phone Number)

Regulated Articles Handled:_____

I/WE agree that in authorizing and participating in these treatments as a basis for the certification of regulated articles, no liability shall be attached either to the State of California, Department of Food and Agriculture, California Environmental Protection Agency, Fresno County Department of Agriculture (FCDA), cooperating agencies, or to any of their employees in the event of injury to persons, property, or the regulated articles. To maintain and offer for inspection such records as may be required to carry out all additional conditions, treatments, precautions, and sanitary measures which may be required by the county regulatory official to obtain all necessary permits and licenses required for application of classified and/or restricted materials.

ADDITIONAL CONDITIONS:

1. Treatment shall be done by a Qualified Applicator Licensee in a manner to comply with all federal, state, and county regulations and requirements.

2. All fumigations shall be done in a manner as prescribed by the state or federal commodity treatment manual, as outlined in the USDA Export Certification Manual for specific commodity fumigation schedules or as outlined in specific workplans developed in conjunction with the USDA and the receiving foreign country.

3. Any alterations, changes or modifications to the approved chambers construction of fumigant delivery system shall void the certification. Such chambers must be reinspected and recertified.

4. FCDA Plant Quarantine Form 178 shall be completed in duplicate prior to fumigation by the applicator and be maintained at the treatment site. A copy of PQ 178 shall be attached to the state or federal phytosanitary certificate to be submitted to the FCDA Copy and Livestock Protection Division.

FIGURE 3-2-1: Example of a Commodity Treatment Compliance Agreement for Cotton (front)

5. The Fresno County Department of Agriculture shall be notified one (1) hour prior to all fumigations during regular working hours. If fumigation work is to be done after 5:00 PM or on weekends and/or holidays, the applicator shall notify the Fresno Office before 4:00 PM on the last working day preceding the fumigation.

6. In cases where FCDA monitoring is mandatory for fumigant introduction, the fumigant introduction will not commence any later than 10:00 PM without prior approval.

7. Unannounced, periodic monitoring of the fumigation process will be conducted by FCDA as deemed necessary.

8. This Agreement shall be suspended and all subsequent fumigations shall be conducted in the presence of an FCDA regulatory official if any of the previous conditions are violated. The decision to suspend this Agreement rests with the FCDA local district regulatory officials and is to be reviewed by the FCDA Crop and Livestock Protection Division.

I/WE HEREBY AGREE TO ABIDE BY THE ABOVE CONDITIONS:

_____ (Signature) _____ (Date signed)

_____ (Title/Position)

_____ (Name of Applicator) _____ (License Number)

Agreement No. 10-_____ _____ (Date of Agreement)

The affixing of the signature below will validate this Agreement which shall remain in effect until canceled, but may be revised as necessary or revoked for noncompliance.

_____ (County Official - Print Name) _____ (Print Title)

_____ (Signature)

PQ 182
Revised 6/29/95

FIGURE 3-2-2: Example of a Commodity Treatment Compliance Agreement for Cotton (back)

3

Export Certification Manual

Special Procedures

Containerized Oak Lumber

Contents

Introduction **page 3-3-1**
Inspection of Containerized Oak Lumber **page 3-3-1**

Introduction

These special procedures cover inspecting containerized oak lumber. The procedures are an acceptable basis for certification and should be adopted as a standard by all USDA-APHIS-PPQ work locations. These special procedures supplement the general inspection guidelines detailed under ***Procedures***, ***Inspection Guidelines*** on **page 2-4-1**.

Inspection of Containerized Oak Lumber

The preferred method of certifying oak lumber for export is to inspect the lumber before it is containerized. The fact that the lumber is tightly and neatly packed in containers **does not** negate the inspection function.

ACOs are **not** to accept as the basis for certifying containerized oak lumber an exporters' affidavit or industry certification stating the condition of the oak lumber. For all shipments of containerized oak lumber offered for export, ACOs **must** officially verify that the oak lumber is free from bark and that the exporter met one of the criteria for oak lumber.

If a shipment of containerized oak lumber is in noncompliance with the phytosanitary import requirements of the importing country, then provide the reason why certification was denied to the ACO located nearest the originating lumber mill. That ACO is responsible for visiting the lumber mill to correct practices that resulted in the denial of certification.

The standardized inspection procedures for certifying containerized oak lumber are as follow:

- Use a flashlight to help examine the lumber
- Inspect the containerized oak lumber as thoroughly as possible without removing any bundles of lumber from the container

- Concentrate on examining the exposed edges and butt ends of the lumber
- If there is evidence of bark or rounded surface tissue when certifying the oak lumber under the square-edged criteria, then refuse to certify
- If the readings are between 15-20 percent when determining the moisture content of containerized lumber, then apply the moisture meter prongs to the butt ends of the boards and take additional readings on the boards parallel to the grain

3

Export Certification Manual

Special Procedures

Federal-State Cooperative Program

Contents

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Introduction

The Federal and State Departments of Agriculture participate in cooperative agreements to more effectively perform phytosanitary export certification. The USDA-APHIS-PPQ phytosanitary export certification program is expanded to enable designated State cooperators to issue Federal plant export certificates at interior points of origin in the United States.

To obtain authority to issue Federal plant export certificates, a State plant regulatory agency **must** agree to sign a Memorandum of Understanding (MOU) with the USDA-APHIS-PPQ. The MOU is a formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the Federal and State Departments of Agriculture.

How States Enter the Federal-State Cooperative Program

To ensure a successful cooperative program for phytosanitary export certification, the following steps **must** be followed to officially enter the State into the Federal-State Cooperative Program (the Program):

1. Plant regulatory official of a State Department of Agriculture writes to the Deputy Administrator of USDA-APHIS-PPQ and asks to participate in the Program.
2. Written request is processed through USDA-APHIS-PPQ, Phytosanitary Issues Management, Exporter Services.
3. Export Services and USDA-APHIS, Marketing and Regulatory Programs Business Services, Financial Management Division's Agreements Services Center (ASC) develop a standardized Memorandum of Understanding (MOU). This document is

transmitted to PPQ regional directors under a cover memorandum providing relevant guidance. A copy of the letter is provided to ASC.

4. The PPQ regional office initiates an MOU with each State plant regulatory official, assigning regional control numbers. The same sequential control number is carried forward for those MOUs that are continuations for an additional 5-year period. The PPQ regional office submits three originals of the MOU to the State plant regulatory official for signature.
5. The State plant regulatory official signs all copies of the MOU and returns them to the PPQ regional office to be signed by the Regional Director. The MOU is effective upon date of final signature by the Regional Director for the period indicated in the MOU, **not** to exceed 5 years.
6. The PPQ regional office retains the original, sends one to the State, and the third to the Export Certification Specialist with oversight responsibility for the particular state. The PPQ regional office also provides a copy of the MOU to Export Services and the ASC. If additional copies are needed, contact the PPQ regional office.

Basic Requirements and Procedures for Nominating State Officials

Agents may conduct phytosanitary field inspections of seed crops in cooperation with and on behalf of those State plant regulatory agencies electing to use agents and maintain a MOU with USDA-APHIS-PPQ. The MOU **must** state that agents shall be used in accordance with the regulations in 7CFR 353.

The basic requirements and procedures for nominating state officials are as follows[1]:

1. The State submits a letter to their Export Certification Specialist (ECS) or other responsible officer (who might be a regional export program official or PPQ officer-in-charge) with the name of a State official (along with the official's experience and educational qualifications) to be designated as an agent of the Program. The candidate **must** meet or exceed the following basic requirements for the position of agent as listed in 7CFR 353.6, totaling 5 years.
   - **A.** Ability to recognize plant pests in those crops that are inspected, including symptoms and/or signs of disease-causing organisms of concern to importing countries

1 The basic requirements and procedures for nominating State officials are in accordance with USDA-APHIS-PPQ *ACO Quality Manual*. See also *Special Procedures, Accreditation*, ***Accreditation of Authorized Certification Officials*** on **page 3-1-1**.

B. Bachelor's degree in biological sciences and a minimum of 1 year's experience in identifying plant pests endemic to crops of commercial importance within the cooperating State, or one of the following combinations of higher education in the biological sciences[2] and experience in identifying such plant pests (years of education and experience **do not** have to be acquired consecutively)

EXAMPLE

Examples of acceptable qualifications are as follows:

- 0 years education and 5 years experience
- 1 year education and 4 years experience
- 2 years education and 3 years experience
- 3 years education and 2 years experience
- 4 years education and 1 year experience

C. Successfully complete annual training provided by the State plant regulatory agency as described in 7CFR 353.6

D. Have access to Federal or State laboratories for positive identification of plant epts detected

E. **No** agents shall inspect any plants or plant products in which they or a member of their family are directly or indirectly financially interested.

2. The ECS or other responsible officer reviews the candidate's qualifications to verify that the State official has met the experience and educational requirements as stated in the NAPPO standard section 2.4.2., 7CFR 353, and the *Export Certification Manual*.

3. The ECS forwards the candidate's name and summary of qualifications to Export Services for final approval.

4. Export Services gives the ECS either approval to proceed with administering Export Certification Training for the candidate's initial accreditation, or disapprove training for a candidate who is ineligible for accreditation due to **not** meeting the basic experience and educational requirements of the MOU.

Important

ECSs may administer Export Certification Training to a State official who is ineligible for accreditation for the purpose of providing knowledge of Federal regulations, which may improve the official's performance in issuing State phytosanitary certificates. However, these ineligible State officials will **not** be accredited to issue Federal plant export certificates until all the basic educational and experience requirements are met.

2 One year equals 12 credit units in the biological sciences. Examples of courses to meet educational requiremesnt cna be found in NAPPO standard #8, Accreditation of Individuals.

5. The ECS or designated export certification trainer administers Export Certification Training and exam to the candidate following guidelines in the *Instructor Guide for Export Certification Training*. The candidate **must** achieve a score of 80 percent or better to be accredited to issue Federal plant export certificates.

6. USDA-APHIS-PPQ Professional Development Center notifies Export Services of the training results.

7. State officials who successfully complete Export Certification Training are granted accreditation by Export Services and receive official documentation of accreditation. Their names, accreditation numbers, date of accreditation, and expiration date are entered into an ACO database. ECSs issue each ACO a PPQ Form 580, ACO Identification Card[3]. The process is as follows:

   A. Export Services sends to the USDA-APHIS-PPQ State Plant Health Director (SPHD) a letter of accreditation and two copies along with a self-addressed envelope. Export Services sends a courtesy copy to the ECS.

   B. SPHD notes the accreditation, then forwards to the State plant regulatory official (SPRO) the two copies of the letter of accreditation along with the self-addressed envelope.

   C. SPRO presents the letter of accreditation and self-addressed envelope to the State official. The State official signs one copy of the letter and sends the signed copy back to Export Services in the provided envelope.

8. Once the letter of accreditation and PPQ Form 580, ACO Identification Card, is signed by the State official, then the official is an accredited ACO, authorized to issue Federal plant export certificates. Initial accreditation is valid for 3 years from date of issue.

9. In order to maintain ACO accreditation, ACOs or their supervisors **must** request reaccreditation training from their ECS before their expiration date.

10. The ECS or designated export certification trainer administers reaccreditation training and a renewal exam to the ACO following guidelines in the *Instructor Guide for Export Certification Training*. The ACO **must** achieve a score of 80 percent or better to retain accreditation.

11. The ECS documents refresher training results in the ACO database and issues an updated PPQ Form 580 to the ACO. Reaccreditation is valid for 3 years from date of issue.

---

3 For ECS instructions to complete PPQ Form 580, see *Appendix B, Forms*, ***There is no other distribution of PPQ Form 572 as this form only serves as the application for certification and a worksheet for ACOs. PPQ Form 580, ACO Identification Card.*** on **page B-1-15**.

Maintenance of the Federal-State Cooperative Program

The Federal-State Cooperative Program is maintained as follows[4]:

1. Export Services maintains a current list of designated State cooperators in an ACO database. If there are questions concerning eligibility, qualifications, or designation of new State officials, direct them to Export Services through proper channels (see contact protocol in Table 2-1-3 on page 2-1-20).
2. State officials are responsible for notifying the ECS when a designated State cooperator retires or otherwise separates from State employment. The ECS is responsible for contacting Export Services via the ACO database.
3. Inactive ACOs are designated in the ACO database as on inactive status (unable to issue or sign Federal plant export certificates). They can be returned to the active status when the following has been completed:
   - **A.** 60-days of regulatory experience under an active ACO
   - **B.** Refresher training and renewal test

Memorandum of Understanding for the Program

Memorandum of Understanding (MOU) for the Program is a formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the State and Federal Departments of Agriculture. MOUs are effective when the USDA-APHIS-PPQ official signs the agreement. MOUs are renewed every 5 years. The content of the MOU is subject to change as directed by Export Services in collaboration with the Agreements Services Center. Amendments **must** be formally signed by the State plant regulatory official and the representative of USDA-APHIS-PPQ. See Figure 3-4-1 on page 3-4-6 through Figure 3-4-4 on page 3-4-9 for an example of the MOU for the Program.

4 See also, *Special Procedures, Accreditation Programs*, ***Accreditation of Authorized Certification Officials*** on **page 3-1-1**.

APHIS Agreement # XX-XX-XX-XXXX-MU

MEMORANDUM OF UNDERSTANDING
Between the
[INSERT NAME OF COOPERATOR] (STATE)
and
THE UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (SERVICE)

ARTICLE 1 - PURPOSE

This memorandum provides for cooperative participation between the parties to perform phytosanitary export certification of plants and plant products and to expand the system of issuance of Federal plant export certificates. For the purpose of this memorandum, Federal plant export certificates are defined as Phytosanitary Certificate (PPQ form 577), Export Certificate Processed Plant Products (PPQ form 578), Phytosanitary Certificate for Re-export (PPQ form 579), and Certificate of Heat Treatment (PPQ form 553). Under the expanded system, these listed certificates will be issued at interior United States points of origin, in particular, to cover containerized and door-to-door shipments intended for export. This Memorandum enhances the ability of the Service to provide Federal phytosanitary export certification to customers.

ARTICLE 2 - BACKGROUND

Historically, phytosanitary export certification was performed at points of export by Federal Inspectors. A need arose for certification of commodities at interior points of commodity origin. Representatives of the Service and States developed a Memorandum of Understanding that provided for phytosanitary certification at interior points of the United States by Inspectors from State Departments of Agriculture.

ARTICLE 3 - AUTHORITIES

This Memorandum cancels all previous memoranda for phytosanitary export certification between the parties. APHIS is authorized by the Plant Protection Act, Sec. 431(a), Public Law 106-224, to cooperate with other Federal agencies, the governments of foreign countries, international organizations or associations, states or their political subdivisions, farmer's associations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests or noxious weeds.

ARTICLE 4 - OBJECTIVES

This Memorandum will serve to establish the parties' responsibilities under the cooperative program, and to define in general terms the basis on which the parties concerned will cooperate.

FIGURE 3-4-1: Example of MOU for the Federal-State Cooperative Program (Page 1 of 4)

ARTICLE 5 - MUTUAL AGREEMENT

The cooperating parties agree:

a. Overall direction and control of this cooperative program is to be maintained by the Service. However, personnel of the State will remain administratively responsible to the State.

b. The State shall be responsible for conducting inspection and certification in accordance with the policies, directives *and* regulations of the Service and within the scope of the law.

c. The State will retain administrative responsibilities for its personnel certified to participate in the program.

d. To only issue Federal plant export certificates for international commerce.

ARTICLE 6 - STATE RESPONSIBILITIES

The state Agrees:

a. In conducting the Basic Phytosanitary Export Certification Program:

(1) To cooperate with the Service in the inspection and certification of plants and plant products for export.

(2) To nominate to the Service qualified State inspectors to perform inspection and certification work.

(3) That nominees for designation as inspectors under this Memorandum shall meet or exceed the basic requirements as defined in Export Certification regulations, 7CFR 353.6(b).

(4) To submit to the Service, for review and concurrence, the names and qualifications covering those personnel nominated for designation as inspectors.

(5) that State personnel authorized to issue Federal plant export certificates under this Memorandum shall participate, without cost to the Service, in an orientation and training program conducted by the Service.

b. In conducting the Phytosanitary Field Inspection of Seed Crops Program:

(1) To use only those agents that meet or exceed the basic requirements as defined in Export Certification regulations, 7CFR 353.6(a).

(2) To provide agents with training and resources in accordance with 7CFR 353.6(a)(2).

FIGURE 3-4-2: Example of MOU for the Federal-State Cooperative Program (Page 2 of 4)

(3) To terminate, after notification, an agent's participation in the inspection activities when the agent is identified as not following established procedures for proper recording or reporting of pest organisms found.

(4) To monitor inspection activities of designated agents during each growing season in cooperation with the Service.

ARTICLE 7 - APHIS RESPONSIBILITIES

The Service Agrees, in conducting the Basic Phytosanitary Export Certification Program:

a. To issue a letter of designation as an inspector or agent to those qualified State or county personnel who have complied with the requirements of article 6.

b. To conduct an orientation and training program for qualified State employees prior to designation.

c. To provide refresher training every three years for those qualified State employees designated as inspector.

d. To provide designated inspectors with an Export Certification Manual and such other information as is necessary and appropriate for the proper certification of products to be exported.

e. To provide program oversight by conducting field audits of facilities and personnel to ensure conformance with APHIS regulations, policies and procedures.

ARTICLE 8 - FINANCIAL OBLIGATION

This Memorandum does not constitute a financial obligation to serve as a basis for expenditures. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum. No transfer of Federal funds will be involved under this Memorandum.

ARTICLE 9 - LIMITATION OF COMMITMENT

The responsibilities assumed by each of the cooperating parties are contingent upon funds being available from which the expenditures may legally be met. This Memorandum and any continuation thereof shall be contingent upon the availability of funds appropriated by the congress of the United States. It is understood and agreed that any moneys allocated for purposes covered by this Memorandum shall be expended in accordance with its terms and in the manner prescribed b the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement must be developed by the parties.

FIGURE 3-4-3: Example of MOU for the Federal-State Cooperative Program (Page 3 of 4)

ARTICLE 10 - CONGRESSIONAL RESTRICTION

Under 41USC 22, no member of or delegate to, or Commissioner appointed by Congress shall be permitted to share in any part of this Memorandum or to derive benefit from it, unless the sharing and benefit was made for the benefit of the general public.

ARTICLE 11 - AMENDMENTS

This Memorandum may be amended at any time by mutual agreement of the parties in writing.

ARTICLE 12 - TERMINATION

This Memorandum may be terminated by either party upon thirty (30) days written notice to the other party.

ARTICLE 13 - EFFECTIVE DATE AND DURATION

This Memorandum of Understanding will be in effect upon date of final signature and will continue for 5 years from that date.

XXXXXXXXXX STATE DEPARTMENT OF AGRICULTURE

_____
Date

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

_____
Date

FIGURE 3-4-4: Example of MOU for the Federal-State Cooperative Program (Page 4 of 4)

Lists of Active MOUs for Federal-State Cooperative Programs

All States have entered into an MOU for Federal-State Cooperative Program. See Figure 3-4-5 on page 3-4-10 for a list of active Federal-State MOUs for Eastern States. See Figure 3-4-6 on page 3-4-11 for a list of active Federal-State MOUs for Western States.

Cooperating State	MOU Number	Date Signed
Alabama Department of Agriculture and Industries	02-8301-0058-MU	2/26/2002
Connecticut Agriculture Experiment Station	02-8210-0175-MU	3/12/2002
Delaware Department of Agriculture	02-8228-0179-MU	2/26/2002
Florida Department of Agriculture and Consumer Services	02-8312-0037-MU	2/28/2002
Georgia Department of Agriculture	02-8313-0038-MU	2/26/2002
Illinois Department of Agriculture	02-8233-0197-MU	3/20/2002
Indiana Department of Natural Resources	02-8232-0176-MU	2/28/2002
Kentucky-State Entomologist, University of Kentucky	02-8321-0044-MU	3/12/2002
Maine Department of Agriculture	02-8205-0043-MU	5/23/2002
Maryland Department of Agriculture	02-8224-0156-MU	6/21/2002
Massachusetts Department of Agriculture	98-8209-0192-MU	1/6/1998
Michigan Department of Agriculture	02-8231-0172-MU	3/20/2002
Minnesota Department of Agriculture	02-8235-0191-MU	3/20/2002
Mississippi Department of Agriculture and Commerce	02-8328-0039-MU	1/8/2002
New Hampshire Department of Agriculture	02-8208-0171-MU	4/16/2002
New Jersey Department of Agriculture	02-8218-0177-MU	3/14/2002
New York Department of Agriculture and Markets	02-8211-0180-MU	4/25/2002
North Carolina Department of Agriculture and Consumer Services	02-8337-0125-MU	2/26/2002
Ohio Department of Agriculture	02-8230-0170-MU	2/13/2003
Pennsylvania Department of Agriculture	02-8220-0174-MU	3/12/2002
Rhode Island Department of Environmental Management	02-8207-0181-MU	3/26/2002
South Carolina Department of Plant Industries	02-8345-0041-MU	2/26/2002
Tennessee Department of Agriculture	96-8347-0042-MU	6/21/1996
Vermont Department of Agriculture	02-8206-0185-MU	4/16/2002
Virginia Department of Agriculture and Consumer Services	02-8225-0178-MU	5/7/2002
West Virginia Department of Agriculture	02-8234-0055-MU	3/20/2002
Wisconsin Department of Agriculture	02-8234-0368-MU	3/12/2002

FIGURE 3-4-5: List of Active Federal-State MOUs for Eastern States

Cooperating State:	MOU Number:	Date Signed:
Alaska Department of Natural Resources	02-8560-0401-MU	4/4/2002
Arizona Department of Agriculture	96-8540-0396-MU	5/30/1996
Arkansas State Plant Health Board	9708440-0033-MU	4/3/1997
California Department of Food and Agriculture	02-8520-0398-MU	7/18/2002
Colorado Department of Agriculture	96-8564-0397-MU	5/30/1996
Hawaii Department of Agriculture	04-8510-0094-MU	4/14/2004
Idaho Department of Agriculture	02-8568-0529-MU	4/26/2002
Iowa Department of Agriculture and Land Stewardship	99-8450-0028-MU	4/22/1999
Kansas Department of Agriculture	98-8453-0130-MU	8/20/1998
Louisiana Department of Agriculture	96-8434-0029-MU	7/23/1996
Missouri Department of Agriculture	03-8447-0031-MU	1/16/2003
Montana Department of Agriculture	03-8572-0628-MU	1/14/2003
Nebraska Department of Agriculture	96-8456-0027-MU	9/12/1996
Nevada Division of Agriculture	96-8576-0400-MU	6/5/1996
New Mexico Department of Agriculture	96-8580-0402-MU	6/28/1996
North Dakota Department of Agriculture	02-8462-0096-MU	4/5/2002
Oklahoma Department of Agriculture	97-8444-0026-MU	6/6/1997
Oregon Department of Agriculture	96-8584-0405-MU	6/12/1996
South Dakota Department of Agriculture	97-8459-0097-MU	8/8/1997
Texas Department of Agriculture	96-8412-0142-MU	9/13/1996
Utah Department of Agriculture	96-8588-0408-MU	7/3/1996
Washington Department of Agriculture	99-8534-0097-MU	7/14/1999
Wyoming Department of Agriculture	96-8592-0399-MU	6/5/1996

FIGURE 3-4-6: List of Active Federal-State MOUs in Western States

3

Export Certification Manual

Special Procedures

Mail Exports

Contents

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Handling Inquiries for Obtaining Certification by Mail **page 3-5-1**
Inspecting and Certifying Plant Material in the Mail **page 3-5-1**
Exporter Procedures to Request PPQ Form 577 for Plant Material Exported by Mail **page 3-5-3**

Introduction

These special procedures cover how to process plant material offered for export by mail. Included at the end of these special procedures are suggested procedures for exporters to request a Federal plant export certificate by mail.

Handling Inquiries for Obtaining Certification by Mail

When an exporter asks about how to export plant material by mail, an Authorized Certification Official (ACO) should provide the exporter with the following information:

- Suggested procedures at the end of this section (see ***Exporter Procedures to Request PPQ Form 577 for Plant Material Exported by Mail*** on page 3-5-3)
- PPQ Form 572 plus completing instructions (see *Appendix B*, ***PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export*** on page B-1-13.

Before giving or sending the suggested procedures and form to the exporter, designate a port of exit address. Write or type the address of the designated port of exit in the appropriate step of the suggested procedures.

Inspecting and Certifying Plant Material in the Mail

When plant material arrives at a port of exit for processing, ACOs should perform the following:

1. Inspect the plant material. Use Table 3-5-1 to take the appropriate action.

TABLE 3-5-1: Action to Take Based on Inspection Results

If the plant material is found:	And:	Then:
Free from plant pests	Meets other import requirements of the receiving country	1. ISSUE PPQ Form 577 (see *Procedures, Export Certificates*, ***PPQ Form 577, Federal Phytosanitary Certificate*** on **page 2-5-15**) 2. GO to 2., below
	Does not meet the other import requirements of the receiving country	1. REFUSE to issue PPQ Form 577 2. SAFEGUARD the plant material 3. CONTACT the exporter by phone so that the exporter can request to either ◆ DISPOSE of the plant material, or ◆ RETURN the plant material to the exporter with a brief explanation of why the material **cannot** be certified (such returns are made at the Government's expense)
Infested or infected with plant pests or diseases	→	

2. Place the Shipper's Original (Part 1) of PPQ Form 577 inside the package.
3. Rewrap the package using the first wrapper.
4. Return the package to postal authorities for mailing to the foreign address.
5. Mail the Shipper's Copy (Part 2) and a photocopy of PPQ Form 577 to the exporter.
6. Distribute and maintain the remaining copies (Parts 3 and 4) of PPQ Form 577 as directed in Table 2-5-5 on page 2-5-38.

Exporter Procedures to Request PPQ Form 577 for Plant Material Exported by Mail

These are suggested procedures for an exporter who requests a Federal inspection and certification of plant material offered for export by mail.

Important

These suggested procedures are to be used **only** for mail shipments of plant material.

1. Complete PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export. (See the attached blank form and instructions.) Include your phone number on the form in case an Authorized Certification Official (ACO) needs to contact you.
2. Include with the plant material, the completed PPQ Form 572 and any State phytosanitary certificate that is required for the plant material.
3. Pack the plant material in the first of two boxes or wrappers. Close up the first box or wrapper so that it can be opened without defacing the address or postage. This first box or wrapper should have on the outside the following:
   - **A.** Foreign address
   - **B.** Customs Declaration Form 6059B (get from the local Post Office)
   - **C.** Postage to cover mailing the package from the United States to the foreign address

Important

The local Post Office should **not** cancel the postage on the first wrapper.

4. Pack the first box or wrapper containing the plant material into a second box or wrapper. Place enough postage on the second box or wrapper to cover mailing the package to the port of exit listed in 5., below.
5. Mail the package to the designated port of exit.

   The designated port of exit for this package is *[designated port of exit name and address]* (address entered by ACO).

For your information, the ACO at the port of exit will inspect the plant material. If the plant material is found free from plant pests and otherwise meets the import requirements of the foreign country, then the ACO will issue PPQ Form 577, Federal Phytosanitary Certificate. The original copy of PPQ Form 577 is placed in the package, and two copies are mailed to you. Your package will be rewrapped with the first wrapper and returned to the postal authorities for mailing to the foreign address.

If the plant material **cannot** be certified because it was found to be infested or otherwise **does not** meet the import requirements, the ACO will contact you by phone. Your package either will be returned to you or disposed of.

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Export Certification Manual

Special Procedures

Mill Certification Programs for Coniferous Sawn Wood

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Certificate of Debarking and Grub Hole Control **page 3-6-20**
Mill Certification Program Responsibilities **page 3-6-22**
Biannual Audit Checklist for Certification Programs **page 3-6-23**

Introduction

These special procedures provide information about the Memorandums of Understanding (MOUs) USDA-APHIS-PPQ has initiated with numerous lumber grading agencies, which provide the oversight of Mill Certification Programs. The purpose of the MOUs is to facilitate exports of coniferous sawn wood and to address the phytosanitary concerns of the importing country.

Coniferous sawn wood is an important export from the United States that is highly regulated because of various pests, including the pine wood nematode, *Bursaphelenchus xylophilus*. Therefore, the MOUs establish how the wood products will be inspected and treated at the mill and the documentation that the mill will supply to USDA-APHIS-PPQ for phytosanitary export certification of coniferous sawn wood.

Two of the MOUs eliminate the need to issue a Federal plant export certificate for coniferous sawn wood and allow participating lumber mills to issue their own certification for kiln dried coniferous lumber going to Member States of the European Union. The two MOUs are for the following situations:

- Coniferous sawn wood using heat treatment certification
- Debarking and grub hole control of coniferous sawn wood

Mill Certification Programs for coniferous sawn wood utilize the MOUs listed below and further detail:

- **Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union**
- **Kiln Dried Coniferous Sawn Wood Going to Non European Union Member States**
- **Debarking and Grub Hole Control of Coniferous Sawn Wood**
- **Biannual Audit Checklist for Certification Programs**

Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union

The Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union is the most widespread of the Mill Certification Programs. This program provides an industry certification system that is officially approved to meet the phytosanitary import requirements of the European Union for coniferous wood from the United States.

See **Figure 3-6-1 on page 3-6-3** and **Figure 3-6-2 on page 3-6-4** for an example of an MOU for a Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union.

Export shipments of wood from lumber mills that are **not** participating in a Mill Certification Program may be certified to Member States of the European Union with PPQ Form 577, if the mill meets the criteria specified in the export summary for the European Union.

Important

Advise exporters that shipments may be rejected or destroyed at destination if the wood has **not** been sawn or kiln dried and heat treated, and is **not** accompanied by the proper certificate.

3.2-34-85-0254-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)

ARTICLE 1

The Memorandum facilitates the implementation of an officially approved industry certification system to satisfy the legislation of the European Community derived from Plant Health Directive 77/93/EEC, as amended, with respect to heat treatment of coniferous sawn wood destined to the European Union.

ARTICLE 2

Authority exists under the Plant Protection Act of Section 431 (a), Public Law 106-224, for the Secretary of Agriculture to cooperate with the States of political subdivisions thereof, fam1ers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

a. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspectional personnel shall remain administratively responsible to the Association.

b. The basic control requirement for coniferous sawn wood under this system is heat treating/kiln drying to the extent that all parts of the wood, including the core, have reached a temperature of at least 133 degrees F (56 degrees C) for 30 minutes.

ARTICLE 4

The Association agrees to/that:

a. Heat treated/kiln dried coniferous sawn wood shipments shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as confirming to the certification statement imprinted on the Heat Treatment Certification Using a Kiln Facility Certificate. A sample of this certificate is annexed to this Document.

b. Shipments of coniferous sawn wood moving into export channels that have been heat treated/kiln dried according to the requirements of this system shall have bundles of coniferous wood in the shipment marked "HT" or "KD" at the preparing mill.

c. Maintain signed agreements with participating mills, a register of participating mills, a registry of employees/agents to issue the Heat Treatment Certification Using a Kiln Facility Certificate, a register of agency employees who are authorized to authenticate such certificates, and copies of all certificates issued.

d. Provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.

e. Make files and records available for review by APHIS in carrying out its responsibilities outlined in Article 5. Records will be retained for 3 years after the close of the Federal fiscal year.

ARTICLE 5

APHIS agrees to monitor the certification system for conformance by conducting random biannual inspections (minimally) at participating companies and at points of export and by reviews Lumber Grading Agency files and records.

FIGURE 3-6-1: : Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States (front)

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.

ARTICLE 7

Pursuant to Section 22, Title 41, United States Code, no member or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise there from.

ARTICLE 8

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either parity upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ _____
Date

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

[Signature] _____ _____
Regional Director Date

FIGURE 3-6-2: Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States (back)

Lumber Grading Agencies

Official control of Mill Certification Programs is maintained through MOUs established between USDA-APHIS-PPQ and lumber grading agencies. The participating lumber grading agencies formulate, publish, and maintain grading rules, and provide inspection facilities for softwood under the provisions of the American Softwood Lumber Standard.

See **Figure 3-6-3 on page 3-6-6** for a list of the lumber grading agencies that are participating in Mill Certification Programs for heat treatment of coniferous sawn wood going to Member States of the European Union.

USDA-APHIS-PPQ Region	Participating Lumber Grading Agency	Lumber Grading Agency Contact
Eastern	Northeastern Lumber Manufacturer's Association, Inc. 272 Tuttle Road Cumberland Center, Maine 04021	Jeff Easterling Executive Vice President Phone: 207-829-6901 FAX: 207-829-4293
	Renewable Resource Associates, Inc. 3091 Chaparral Place Lithonia, Georgia 30038	Lon J. Sibert President Phone/FAX: 404-482-9385 James E. Loy
	Southern Pine Inspection Bureau 4709 Scenic Highway Pensacola, Florida 32504	Tom S. Jones President Phone: 850-434-2611 FAX: 850-433-5594
	Timber Products Inspection, Inc. P.O. Box 919 Conyers, Georgia 30012	Kris Coman Grover Lumber Division East Phone: 770-922-8000 x171 FAX: 770-922-1290
Western	California Lumber Inspection Service P.O. Box 6989 San Jose, California 95150	George Reinking Vice President & General Mgr. Phone: 408-993-1633 FAX: 408-246-5415
	California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, #200 Novato, California 94949	Christopher Grover Executive Vice President Phone: 415-382-0662 FAX: 415-382-8531
	Pacific Lumber Inspection Bureau, Inc. P.O. Box 7235 Bellevue, Washington 98008	Jeff Fantozzi Secretary/General Manager Phone: 253-835-3344 FAX: 253-746-5522
	West Coast Lumber Inspection Bureau Box 23145 Portland, Oregon 97281-3145	Jim Neeber Executive Vice President Phone: 503-639-0651 FAX: 503-684-8928
	Western Wood Products Association 522 SW Fifth Avenue Portland, Oregon 97220	Jim Matthews Asst. Director of Quality Standards Phone: 503-224-3930 FAX: 503-224-3934
	Timber Products Inspection, Inc. 105 SE 124th Avenue Vancouver, Washington 98684	Casey Dean Chief Lumber Inspector Phone: 360-449-3138 FAX: 360-449-3953

FIGURE 3-6-3: Lumber Grading Agencies Participating in Mill Certification Programs for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States

Heat Treatment Certification Using a Kiln Facility

Lumber exported under a Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union **must** be accompanied by a mill certificate, "Heat Treatment Certification Using a Kiln Facility." The mill certificate attests that the wood has been properly heat treated.

Only sawn wood that has been kiln dried according to the provisions of the American Softwood Lumber Standard may be exported under this Mill Certification Program.

(See Figure 3-6-4 on page 3-6-8 for an example of Heat Treatment Certification Using a Kiln Facility.)

TIMBER PRODUCTS INSPECTION

HEAT TREATMENT CERTIFICATION USING A KILN FACILITY

CERTIFICATE NUMBER

NAME AND ADDRESS OF SUPPLYING MILL (or as indicated in DESCRIPTION OF CONSIGNMENT)	NAME AND ADDRESS OF CONSIGNEE

The lumber described below is certified to have undergone an appropriate heat treatment to achieve a minimum wood core temperature of 56 degrees C for 30 minutes.

DESCRIPTION OF CONSIGNMENT	VOLUME
INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT.	

This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No financial liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION

NAME (Print)	SIGNATURE	TITLE	DATE

AGENCY VALIDATION

SIGNATURE	TITLE	DATE

FIGURE 3-6-4: Example of Heat Treatment Certification Using a Kiln Facility

Mill Certification Program Responsibilities

When an MOU establishes a Mill Certification for heat treatment of coniferous sawn wood going to Member States of the European Union, then the lumber grading agencies, the participating lumber mills, and the USDA-APHIS-PPQ regional offices each have stipulated responsibilities. These program responsibilities are listed below for the following:

- Lumber Grading Agencies
- Lumber Mills
- USDA-APHIS-PPQ Regional Offices

Lumber Grading Agencies

The responsibilities of lumber grading agencies, as stipulated in the MOUs, are as follows:

- Check monthly the quality control of the Mill Certification Program
- Maintain copies of issued certificates
- Maintain a list of designated personnel at each participating lumber mill who are approved to issue mill certificates
- Maintain signed agreements with participating lumber mills
- Provide training to mill inspectors of participating lumber mills
- Validate mill certificates issued by participating lumber mills

Lumber Mills

The responsibilities of participating lumber mills, as stipulated under the MOUs, are as follows:

- Designate personnel to issue mill certificates (Heat Treatment Certification Using a Kiln Facility)
- Send issued mill certificates to the lumber grading agency for final review and validation
- Treat all shipments of coniferous sawn wood moving under a Mill Certification Program according to the American Softwood Lumber Standard for heat treated or kiln dried wood

USDA-APHIS-PPQ Regional Offices

The responsibilities of the designated USDA-APHIS-PPQ regional offices are as follows:

- Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- Maintain in the regional office those MOUs for Mill Certification Programs established in the region

- Randomly inspect participating lumber mills and shipments of wood at points of export for conformance to the Mill Certification Program
- Randomly review the files and records of participating lumber grading agencies
- Conduct biannual audits of each lumber grading agency for which an MOU is signed and of their participating lumber mills (see also ***Biannual Audit Checklist for Certification Programs*** on **page 3-6-23**)
  - Meet with each lumber grade agency and participating lumber mills to review documentation
  - Check at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certification Program are meeting its conditions
  - Collect and submit to Export Services the results of the biannual audit by October 1 of each year (see **Figure 3-6-13 on page 3-6-24** for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)

  Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity

Kiln Dried Coniferous Sawn Wood Going to Non European Union Member States

Memorandums of Understanding (MOUs) and Mill Certification Programs established for kiln dried coniferous sawn wood going to non European Union Member States are similar to those previously mentioned (for coniferous sawn wood going to Member States of the European Union), yet are different in that they cover **only** kiln dried coniferous sawn wood.

Wood that has been heat treated or merely debarked is **not** authorized under these MOUs.

See **Figure 3-6-5 on page 3-6-11** for an example of an MOU for kiln dried coniferous sawn wood.

12-34-8x-xxx-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)

ARTICLE 1

The Memorandum facilitates the implementation of an officially approved industry certification system to provide an alternative basis for the Federal phytosanitary certification of kiln dried coniferous sawn wood. This program does not apply to European Union (EU) member states.

ARTICLE 2

Authority exists under the Plant Protection Act of Section 431 (a), Public Law 106-224, for the Secretary of Agriculture to cooperate with the States of political subdivisions thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

a. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspectional personnel shall remain administratively responsible to the Association.

b. The basic control requirement for coniferous sawn wood under this system is kiln drying to the extent that all parts of the wood have reached a temperature of at least 160 degrees F (71 degrees C) and the moisture content of the wood has been reduced to less than 20 percent by weight.

ARTICLE 4

The Association agrees to/that:

a. Kiln dried coniferous sawn wood shipments shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as confirming to the certification statement imprinted on the **Mill Certificate of Kiln Drying**. A sample of this certificate is annexed to this document.

b. Shipments of coniferous sawn wood moving into export channels that have been kiln dried according to the requirements of this system shall have bundles of coniferous wood in the shipment marked "KD" or "Kiln Dried" at the preparing mill.

c. Maintain signed agreements with participating mills, a register of participating mills, including names and representatives approved to issue **Mill Certificates of Kiln Drying**, and copies of all certificates issued.

d. Provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.

e. Make files and records available for review by APHIS in carrying out its responsibilities outlined in Article 5. Records will be retained for 3 years after the close of the Federal fiscal year.

ARTICLE 5

APHIS agrees to monitor the certification system for conformance by conducting random biannual inspections (minimally) at participating companies and at points of export and by reviews Lumber Grading Agency files and records.

FIGURE 3-6-5: Example of MOU for Kiln Dried Coniferous Sawn Wood (front)

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.

ARTICLE 7

Pursuant to Section 22, Title 41, United States Code, no member or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise there from.

ARTICLE 8

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either parity upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ _____
Date

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

[Signature] _____ _____
Regional Director Date

FIGURE 3-6-6: Example of MOU for Kiln Dried Coniferous Sawn Wood (back)

Lumber Grading Agencies

USDA-APHIS-PPQ established MOUs with lumber grading agencies to facilitate the phytosanitary export certification of kiln dried coniferous sawn wood going to **non European** Union Member States. See Figure 3-6-7 on page 3-6-13 for a list of participating lumber grading agencies.

Lumber Grading Agency	Lumber Grading Agency Contact
California Lumber Inspection Service PO Box 6989 San Jose, California 95150	George Reinking Vice President & General Mgr. Phone: 408-993-1633 FAX: 408-993-1642
California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, No. 200 Novato, California 94949	Christopher Grover Executive Vice President Phone: 415-382-0662 FAX: 415-382-8531
Pacific Lumber Inspection Bureau Inc. P.O. Box 7235 Bellevue, Washington 98008	Jeff Fantozzi Secretary/Manager Phone: 253-835-3344 FAX: 253-746-5522
Timber Products Inspection, Inc. 105 SE 124th Avenue Vancover, Washington 98684	Casey Dean Chief Lumber Inspector Phone: 360-449-3138 FAX: 360-449-3953
West Coast Lumber Inspection Bureau Box 23145 Portland, Oregon 97281-3145	Jim Neeber Executive Vice President Phone: 503-639-0651 FAX: 503-684-8928
Western Wood Products Association 522 SW Fifth Avenue Portland, OR 97220	Jim Matthews Assistant Director of Quality Standards Phone: 503-224-3930 FAX: 503-224-3934

FIGURE 3-6-7: Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying of Coniferous Sawn Wood

Mill Certificate of Kiln Drying

All shipments of kiln dried coniferous sawn wood certified under these MOUs **must** have mill certificates that are validated by a participating lumber grading agency. The mill certificates **must** be presented to USDA-APHIS-PPQ for conversion to PPQ Form 577. (See Figure 3-6-8 on page 3-6-14 for an example of a Mill Certificate of Kiln Drying.)

MILL CERTIFICATE OF KILN DRYING

CERTIFICATE NUMBER

NAME AND ADDRESS OF SUPPLYING MILL

NAME AND ADDRESS OF CONSIGNEE

The lumber described below is certified to have been kiln dried to the extent that all parts of the wood have reached a temperature of at least 160 degrees F. (71 degrees C.) and the moisture content is less than 20 percent.

DESCRIPTION OF CONSIGNMENT	VOLUME
INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT (*Lot number and volume are required*).	

Mill Order No.:_____
Invoice No.:_____
Customer No.:_____

Number of Bundles.:_____
Marks on Bundles.:_____
Vessel.:_____

This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION

NAME*(Print)*	SIGNATURE	TITLE	DATE

AGENCY VALIDATION

AUTHORIZED SIGNATURE	TITLE	DATE

FIGURE 3-6-8: Example of Mill Certificate of Kiln Drying

Mill Certification Program Responsibilities

When an MOU is entered into establishing a Mill Certification Program for kiln drying of coniferous sawn wood moving to non-European Member States, then the lumber grading agencies, the lumber mills, and USDA-APHIS-PPQ each have stipulated responsibilities. These program responsibilities are listed below for the following:

- Lumber Grading Agencies
- Lumber Mills
- USDA-APHIS-PPQ Offices
- USDA-APHIS-PPQ Regional Offices

Lumber Grading Agencies

The responsibilities of lumber grading agencies are essentially the same as those listed for coniferous sawn wood going to Member States of the European Union, **except** that lumber grading agencies return mill certificates to the lumber mill for conversion to Federal plant export certificates. The lumber grading agencies' responsibilities are as follows:

- Check monthly the quality control of the Mill Certification Program
- Maintain copies of issued certificates
- Maintain a list of designated personnel at each lumber mill who are approved to issue mill certificates
- Maintain signed agreements with participating lumber mills
- Provide training to mill inspectors of participating lumber mills
- Validate mill certificates issued by participating lumber mills
- Return to lumber mills the validated mill certificates for conversion to Federal plant export certificates by USDA-APHIS-PPQ

Lumber Mills

The responsibilities of participating lumber mills are as follows:

- Designate personnel to issue mill certificates
- Certify shipments using a Mill Certificate of Kiln Drying for kiln dried coniferous wood being exported to non European Union Member States
- Send issued mill certificates to the lumber grading agency for final review and validation
- Present validated mill certificates to USDA-APHIS-PPQ for conversion to Federal plant export certificates

USDA-APHIS-PPQ Offices

The responsibilities of USDA-APHIS-PPQ Port Offices are as follows:

- Review validated mill certificates
- Verify that lumber grading agencies are participating in Mill Certification Programs
- Issue Federal plant export certificates for those shipments of kiln dried coniferous sawn wood covered by properly validated mill certificates
- Retain copies of validated mill certificates as supporting documentation for issued Federal plant export certificates

USDA-APHIS-PPQ Regional Offices

The responsibilities of the designated USDA-APHIS-PPQ regional offices are as follows:

- Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- Randomly inspect participating lumber mills and shipments of wood at points of export for conformance to the Mill Certification Program
- Randomly review the files and records of participating lumber grading agencies
- Conduct biannual audits of each lumber grading agency for which an MOU is signed and their participating lumber mills (see also ***Biannual Audit Checklist for Certification Programs*** on **page 3-6-23**)
  - Meet with each lumber grading agency and participating lumber mills to review documentation
  - Check at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certificate Program are meeting its conditions
  - Collect and submit to Export Services the results of the biannual audit by October 1 of each year (see **Figure 3-6-13 on page 3-6-24** for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)

  Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Debarking and Grub Hole Control of Coniferous Sawn Wood

The Mill Certification Program for debarking and grub control of coniferous sawn wood allows for certifying air dried coniferous sawn wood or kiln dried sawn wood of *Thuja* spp. going to Member States of the European Union.

XX-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)

Relative to

Preparation and Certification of Coniferous Sawn Wood of Thuja spp. Intended for Export to the European Member States

ARTICLE 1

The object of this Memorandum is to facilitate the implementation of an officially approved industry certification system to satisfy provisions of the national legislation of Member States of the European Union (EU) derived from Plant Health Directive 77/93/EEC, as amended, with respect to freedom from bark and grub holes on coniferous sawn wood originating in the United States. This program is applicable to Member States of the EU and to coniferous lumber pertaining to Thuja spp. only.

ARTICLE 2

This Memorandum is entered into by the Service by virtue of authority included in the Plant Protection Act of, Section 431 (a), Public Law 106-224, to cooperate with the States of political subdivision thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

a. The overall direction and control of this cooperative program is to be maintained by the Service. Inspectional personnel shall remain administratively responsible to the Association.

b. The basic control requirement for coniferous sawn wood (Thuja spp. only), including spacers or other attached dunage, is freedom from bark and grub holes larger than 3mm across associated with shipments, but the following conditions, if existing, shall not disqualify a shipment from certification:

1. Waney edges from which external bark has otherwise been totally removed
2. Ingrown bark, in particular, around knots
3. Bark/pitch pockets, as described in the National Grading Rules
4. Holes caused by Teredo worms (marine mollusks)
5.

ARTICLE 4

The Association agrees:

a. That unseasoned or air-dried coniferous sawn wood shipments, if not otherwise covered by a phytosanitary certificate, shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as meeting the wood control requirements of the importing country. A sample of a **Mill Certificate of Debarking and Grub Hole Control** is annexed into this document.

b. To maintain signed agreements with participating mills, and a registry of participating mills including names of representatives approved to issue certificates of debarking and grub hole control and copies of all certificates issued.

FIGURE 3-6-9: Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (front)

c. To provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.

ARTICLE 5

The Service agrees:

a. To conduct an orientation program for designated mill inspectors on the plant health requirements of receiving countries pertaining to coniferous wood.

b. To monitor the certification system for conformance via random biannual inspection at participating mills, points of export, and reviews of Association files and records.

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation to serve as a basis for expenditures. No transfer of Federal funds shall be involved under this Memorandum.

ARTICLE 7

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either parity upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ _____
Date

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

[Signature] _____ _____
Regional Director Date

FIGURE 3-6-10: Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (back)

Lumber Grading Agencies

See Figure 3-6-11 for a list of lumber grading agencies participating in the Mill Certification Program for debarking and grub control of coniferous sawn wood. These lumber grading agencies may certify air dried coniferous sawn wood or kiln dried sawn wood of *Thuja* spp.

Lumber Grading Agency	Lumber Grading Agency Contact
California Lumber Inspection Service P.O. Box 6989 San Jose, California 95150	George Reinking Vice President & General Manager Phone: 408-993-1633 FAX: 408-993-1642
California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, #200 Novato, California 94949	Christopher Grover Executive Vice President Phone: 415-382-0662 FAX: 415-382-8531
Pacific Lumber Inspection Bureau Inc. P.O. Box 7235 Bellevue, Washington 98008	Jeff Fantozii Secretary/Manager Phone: 206-747-6542 FAX: 206-746-5522
West Coast Lumber Inspection Bureau Box 23145 Portland, Oregon 97281-3145	Jim Neeber Executive Vice President Phone: 503-639-0651 FAX: 503-684-8928
Western Wood Products Association 522 SW Fifth Avenue Portland, Oregon 97220	Jim Matthews Assistant Director of Quality Standards Phone: 503-224-3930 FAX: 503-224-3934
Timber Products Inspection, Inc. P.O. Box 20455 Portland, Oregon 97220	Casey Dean Chief Lumber Inspector Phone: 503-254-0204 FAX: 503-252-9267

FIGURE 3-6-11: List of Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying, Debarking, and Grub Hole Control

Certificate of Debarking and Grub Hole Control

This Mill Certification Program allows for the certification of debarking and grub hole control for coniferous sawn wood of **only** *Thuja* spp. going to Member States of the European Union. Air dried coniferous sawn wood **must** have mill certification that the wood is free from bark and grub holes larger than 3 millimeters in diameter. The mill certificates **must** be presented to USDA-APHIS-PPQ for conversion to PPQ Form 577. (See Figure 3-6-12 on page 3-6-21 for an example of the Certificate for Debarking and Grub Hole Control.)

CERTIFICATE OF DEBARKING AND GRUB HOLE CONTROL

Issued in the U.S.A.

CERTIFICATE NUMBER

BILL OF LADING NUMBER

NAME AND ADDRESS OF SUPPLYING MILL

NAME AND ADDRESS OF CONSIGNEE *(Optional)*

DESCRIPTION OF CONSIGNMENT	VOLUME
INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT *(Lot number and volume are required).*	

The lumber in this shipment has been examined by a mill inspector or other authorized person and found to have been stripped of its bark and to be free of grub holes; and, to the best of his/her knowledge and belief, to be in conformance with the import requirements of the receiving country.

This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION

NAME *(Print)*	SIGNATURE	TITLE	DATE

AGENCY VALIDATION

AUTHORIZED SIGNATURE	TITLE	DATE

FIGURE 3-6-12: Example of Certificate of Debarking and Grub Hole Control

Mill Certification Program Responsibilities

When an MOU is entered into to establish a Mill Certification Program for debarking and grub hole control of *Thuja* spp. going to Member States of the European Union, then the lumber grading agency, the participating lumber mills, and the USDA-APHIS-PPQ offices each have stipulated responsibilities. These program responsibilities are listed below for the following:

- Lumber Grading Agencies
- Lumber Mills
- USDA-APHIS-PPQ Port Offices
- USDA-APHIS-PPQ Regional Offices

Lumber Grading Agencies

The responsibilities of lumber grading agencies are as follows:

- Check monthly the quality control of the Mill Certification Program
- Maintain copies of issued certificates
- Maintain a list of designated personnel at each participating lumber mill who are approved to issue mill certificates
- Maintain signed agreements with participating lumber mills
- Provide training to mill inspectors of participating lumber mills
- Validate mill certificates issued by participating lumber mills

Lumber Mills

The responsibilities of participating lumber mills are as follows:

- Designate personnel to issue mill certificates
- Certify unseasoned or air-dried coniferous sawn wood as meeting the requirements of the foreign country using a Certificate of Debarking and Grub Hole Control
- Send issued mill certificates to the lumber grading agency for final review and validation
- Inspect unseasoned or air-dried coniferous sawn wood

USDA-APHIS-PPQ Port Offices

The responsibilities of USDA-APHIS-PPQ offices are as follows:

- Review the validated mill certificates presented by the lumber mills
- Verify that lumber grading agencies are participating in Mill Certification Programs
- Issue Federal plant export certificates for those shipments of kiln dried coniferous sawn wood covered by properly validated mill certificates

- Retain copies of validated mill certificates as supporting documentation for issued Federal plant export certificates

USDA-APHIS-PPQ Regional Offices

The responsibilities of the designated USDA-APHIS-PPQ regional offices are as follows:

- Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- Randomly inspect participating lumber mills and shipments of wood at points of export for conformance to the Mill Certification Program
- Randomly review the files and records of participating lumber grading agencies
- Conduct biannual audits of each lumber grading agency for which an MOU is signed and of their participating lumber mills (see also ***Biannual Audit Checklist for Certification Programs*** on **page 3-6-23**) as follows:
  - Meet with each lumber grade agency and participating lumber mills to review documentation
  - Check at participating lumber miles or at points of export that the shipments of coniferous sawn wood moving under a Mill Certificate Program are meeting its conditions
  - Collect and submit to Export Services the results of the biannual audit by October 1 of each year (see **Figure 3-6-13 on page 3-6-24** for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)

  Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity

Biannual Audit Checklist for Certification Programs

How to conduct the biannual audits and work with the checklist. [To be provided by Export Services during final review.] (See **Figure 3-6-13 on page 3-6-24** for an example of a Biannual Audit Checklist for Mill Certification Programs.)

BIANNUAL AUDIT CHECKLIST
FOR THE WOOD MILL CERTIFICATION PROGRAMS

DATE OF AUDIT:_____

AGENCY or MILL AUDITED/address:

_____

_____

_____

CONTACT PERSON/ phone number:

_____

MOU(s) Audited	(check)
Coniferous Sawn Wood for Heat Treatment Moving to European Union (EU)	
Kiln Drying MOU	
Debarking, and Grub Hole Control of Thuja sp to European Union (EU)	

AUDIT RESULTS:	Yes	No	N/A
Agency maintains the signed agreements (MOU's) with the participating mills:			
Agency maintains a list of participating mills and their representatives that are approved to issue mill certificates:			
Maintains copies of all certificates issued:			
Training provided to mill inspectors:			
Agency maintains a list of Lumber Grading Agency employees eligible to validate mill certificates:			
Agency completes monthly review of the Certification Programs:			
Milled products shipped meet conditions of the programs:			

COMMENTS:_____

_____

_____

_____

_____

AUDITOR's SIGNATURE:_____DATE:_____

PRINT NAME:_____OFFICE:_____

FIGURE 3-6-13: Example of Biannual Audit Checklist for Mill Certification Programs

3

Export Certification Manual

Special Procedures

Plants in Growing Media and Containers to European Union

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Introduction

These special procedures explain the acceptable production and sanitation practices nurseries may establish and maintain for plants in growing media destined to the European Union. (See also the export summary for European Union.) These special procedures include those for certifying plants in containers from Florida destined to the European Union.

USDA-APHIS-PPQ's position is that if plants in growing media (may include soil in its entirety or in part) have been grown under sound production procedures, then phytosanitary export certification of these plants will provide the European Union with protection against noxious organisms (within the confines of the certifying statement on PPQ Form 577) and will adequately satisfy our obligation to international plant protection. Therefore, Authorized Certification Officials (ACOs) are authorized to issue PPQ Form 577 for plants in growing media to the European Union. That authorization is based on evidence that the plants were prepared according to the procedures of production and sanitation described in these special procedures.

Important

Do not follow these special procedures to certify plants in growing media if the plants are destined to the French overseas departments of French Guiana, Guadeloupe, Martinique, and Reunion. Follow the import requirements listed in EXCERPT for plant shipments offered for export to these French overseas departments.

Greenhouse Grown Nursery Stock

Greenhouse grown nursery stock **must** be grown under production and sanitation procedures as follows:

1. Nursery routinely disinfects the flats, benches, soil bins, and tools.
2. Plant cuttings are derived from healthy parent stock.
3. Plants are transplanted or repotted to sterile growing media (see ***Procedures to Certify Plants in Containers from Florida to the European Union*** on **page 3-7-3**).
4. If established plants are moved outdoors from a greenhouse, then the plants **must** be transferred to raised benches or to plastic sheeting on the ground.
5. Seeds and cuttings are rooted in sterile media in a greenhouse (see ***Procedures to Certify Plants in Containers from Florida to the European Union*** on **page 3-7-3**).
6. Plants contained in the shipment have been sampled and found to be negative for *Radopholus similis* (burrowing nematode), or are certified as originating in an area where *Radopholus similis* is **not** known to occur.
7. Shipments are supported by State phytosanitary certificates that attest to the conformity with the above procedures. State phytosanitary certificates **must** be converted to Federal plant export certificates (PPQ Form 577) before export.

Field Grown Nursery Stock

Field grown nursery stock **must** be grown under production and sanitation procedures as follows:

1. Containerized (potted) plants intended for export to the European Union **must** be segregated from other nursery stock and held in a readily identifiable area of the nursery until shipment.
2. *Corynebacterium sepedonicum* (potato bacterial ring rot), *Globodera pallida* (a potato cyst nematode), *Globodera rostochiensis* (golden nematode), and *Synchytium endobioticum* (potato wart), are **not** known to occur at the place of production.
3. Field grown nursery stock are to be washed completely free from soil in an area of the nursery where contamination of other nursery stock, sterile growing media, and holding areas will be avoided. The washing is to be done using clean water under pressure.

4. Nursery routinely disinfects the flats, benches, soil bins, and tools.
5. Nursery operator **must** give 48 hours advance notice to the ACO when a root washing and repotting operation is to begin. The ACO will decide whether to conduct random spot checks or to inspect the entire preparation process.
6. Plants **must** originate in a nursery currently inspected and certified by the plant regulatory branch of the State agriculture department.
7. If known to be hosts of *Radopholus similis* (burrowing nematode) or if host status is unknown, then the plants contained in the shipment **must** be sampled and found to be negative for *Radopholus similis*, or certified as originating in an area where *Radopholus similis* is **not** known to occur.
8. Plants are to be transplanted into clean containers using sterile growing media (see ***Procedures to Certify Plants in Containers from Florida to the European Union*** on **page 3-7-3**). The containers are to be transferred to raised benches or to plastic sheeting on the ground.
9. Shipments are supported by State phytosanitary certificates that attest to the conformity with the above procedures. State phytosanitary certificates **must** be converted to Federal plant export certificates (PPQ Form 577) before the export.

Procedures to Certify Plants in Containers from Florida to the European Union

State plant regulatory officials (SPROs) in Florida use a specific tagging procedure to certify containerized plants as containing approved growing media and as free of *Radopholus similis* (burrowing nematode). The tagging is done annually at the time of burrowing nematode certification. See also ***Approved Growing Media*** on **page 3-7-4**.

All plants potted in containers 21 inches or larger intended for export to European Union **must** be tagged by the Division of Plant Industry (DPI), Florida Department of Agriculture and Consumer Services. Untagged plants in containers 21 inches or larger **will not** be certified to the European Union.

Tags read "Eligible for EU Certification." SPROs write on each tag the date that the plant was certified free of *Radopholus similis* (burrowing nematode), which is valid for 1 year. The tags **only** indicate that the plants are eligible for certification; that is, the plants were potted in

approved growing media and were free of burrowing nematode. The plants will still need to meet the phytosanitary import requirements of the European Union at the time of Federal phytosanitary certification.

Tags are made of durable yellow plastic (5 x 2-11/16 inches) and are attached to the plant with a DPI plastic-numbered seal. There is a fee for each tag with seal; therefore, when an additional seal is needed for a large diameter trunk, there will be an additional fee.

Acceptable Sterile Media

For the purpose of supporting the nursery production and sanitation practices and containerized plant procedures described above, acceptable sterile media **must** be one of the following:

1. Growing medium that has been uniformly pasteurized by using aerated steam at 140 degrees Fahrenheit for 30 minutes or by using live steam at 180 degrees Fahrenheit for 30 minutes. Pasteurization should be conducted using premoistened media and should ensure that the densest portion receives the minimum temperature for the full 30 minutes.
2. Growing medium having component parts of unused peat (peat commercially harvested from a bog **not** previously used as farmland or any other agricultural purpose), clean sand, non-coniferous sawdust, or wood shavings (free of bark), and biologically inert fillers such as perlite or vermiculite. ACOs will determine if the growing media is acceptable for this category. Determination will be based on the ACO's observation and judgment of the sanitary practices used to store, handle, and use the growing media components by the formulator or the nursery.

Important

Growing media that falls outside the two categories listed above will **not** be eligible for certification. However, if the growing media appears to satisfy the general sterility requirement, then the sterilizing process should be referred to USDA-APHIS-PPQ Export Services for approval.

Approved Growing Media

Approved growing media for plants destined to the European Union are as follows:

- Biologically inert fillers (perlite, vermiculite, etc.)
- Clean sand
- Melaleuca

- Peat, unused that has been commercially harvested from a bog **not** previously used for farmland or for any other agricultural purpose
- Sawdust, non-coniferous
- Wood shavings or wood chips, bark free

Prohibited Growing Media

Prohibited growing media for plants destined to the European Union include isolated bark components and sawdust of the following genera:

- *Castanea* (chestnut)
- Coniferae (conifers including the more common genera of *Abies* (fir), *Larix* (larch), *Picea* (spruce), *Pinus* (pine), *Pseudotsuga, Tsuga* (hemlock)
- *Populus* (poplar)
- *Quercus* (oak)
- *Ulmus* (elm)

3

Export Certification Manual

Special Procedures

Processing Protected Plants

[*Currently Under Development*]

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Introduction

[Awaiting review by headquarters subject matter experts; **no** changes made.]

These special procedures provide PPQ officers[1] additional direction and guidance for validating and endorsing documents for protected plants and plant products and for processing violations of The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) or The Endangered Species Act (ESA). These additional tasks supplement the general procedures for certifying plants and plant products for export presented in the *Procedures* chapter of this manual.

Important

Continue with these procedures **only** after conducting a preliminary assessment through **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**.

This section divides the direction and guidance for processing protected plants offered for export into the following categories that PPQ officers **must** determine before proceeding:

- Protected Plants Other Than American Ginseng
- American Ginseng (Panax quinquefolius)
- Violations of ESA or CITES

Processing Protected Plants

The task of enforcing the legislation that protects plants from extinction requires that PPQ officers determine if the protected articles are moving in accordance with The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) or The Endangered Species Act (ESA).

1 **Only** active ACOs working at designated CITES ports are authorized to validate and to endorse CITES or ESA documents. Some designated CITES ports have established procedures that allow State or county cooperators to attest that the plants are artificially propagated and to complete a State phytosanitary certificate. Also, procedures have been established to allow PPQ officers at nondesignated ports to confirm that the exporter has a PPQ Form 622, USDA General Permit, and the proper CITES or ESA documents and that the paperwork agrees with the shipment. The exporter would then send the State certificate, an invoice, and specified copies of the CITES or ESA documents to the designated CITES port for validation and endorsement. Some designated CITES ports require as part of the paperwork that a PPQ Form 572 or a Federal plant export certificate that has been partially completed by the exporter.

If the protected articles are moving:	Then the ACO may:
In accordance with the legislation	◆ VALIDATE and ENDORSE documents issued by the Division of Management Authority (DMA) ◆ ISSUE a Federal plant export certificate based on whether the import requirements are met
In violation of the legislation	◆ MODIFY the inventory sheets if allowed and appropriate; otherwise, ◆ REFUSE to validate and endorse DMA documents ◆ REFUSE to certify [issue a Federal plant export certificate] ◆ DECIDE whether to initiate procedures to prosecute the violator

Validating and Endorsing DMA Documents

DMA documents are **not** valid for the export or re-export of protected plants until the documents are endorsed by a PPQ officer. The DMA documents are permits and certificates along with their continuation and inventory sheets, if appropriate. See ***Appendix C*** for descriptions and samples of these documents.

Important

Federal plant export certificates for CITES or ESA protected plants **must** be issued **only** at designated CITES ports; DMA documents issued for protected plants **must** be endorsed **only** at designated CITES ports.

Protected Plants Other Than American Ginseng

To validate and endorse document for protected plants **other than** American ginseng, *Panax quinquefolius*, follow the steps illustrated in Figure 3-8-1 followed by details to determine if articles are moving in accordance with the legislation that protects plants from extinction. To validate and endorse document for American ginseng, GO to American Ginseng (Panax quinquefolius).

Step 1: Determine if the Exporter Is Aware of the Legislative Requirements

Step 2: Collect All Associated Documents

Step 3: Determine Whether the Export Is Commercial

Step 4: Determine Which Permits, Certificates, and Other Documents Must Accompany the Export

Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate

Step 6: Review All Relevant Documents to Confirm That They Are Complete and Authentic

Step 7: Check for Alterations on the Documents

Step 8: Compare the Documents to Each Other and to the Actual Shipment

Step 9: Endorse and Distribute Documents

FIGURE 3-8-1: Overview of Steps for Validating and Endorsing Documents for Protected Plants Other Than American Ginseng

Step 1: Determine if the Exporter Is Aware of the Legislative Requirements

Determine if the exporter is aware of the legislation and the requirements of the legislation to substantiate if there was an obvious attempt to defraud the government or to violate the regulations.

[How does one determine the exporter's awareness? The paragraph doesn't give any additional guidance beyond the title.]

Step 2: Collect All Associated Documents

If **not** already done as part of your preliminary assessment, collect invoices, waybills, and other shipping document as well as the documents issued by DMA and PPQ.

Use these documents to verify weights, numbers, and kinds of articles. All protected plants **must** be invoiced, marked, or identified with the following marking requirements (Ref. 7CFR 355.21):

- Country or location where plants were collected or grown
- Identity of the plant to the appropriate taxon (genus and species required, together, with the word "hybrid") and the number being exported
- Name and address of the consignee
- Name and address of the exporter, shipper, or broker
- Shipper's mark and number
- Serial number of the permit or certificate issued for the product's export or re-export

For mail shipments, additional requirements **must** be prepared as follows:

- Material **must** be double wrapped with an unsealed inner wrapping addressed to the consignee
- Package **must** have sufficient postage to reach the foreign destination
- Package marking and identification **must** be shown on the outside of the package
- Name, address, and phone number of the intended recipient in the United States **must** be included on a separate sheet of paper placed inside the package (Ref: 7CFR 355.21)

Step 3: Determine Whether the Export Is Commercial

Determine whether the shipment is commercial or noncommercial. This determination influences your actions when certifying the protected plants and affects which document is issued, i.e. for CITES I material an export permit is issues while for CITES II material a certificate of artificial propagation is issued. See Table 3-8-2 for the criteria to determine wether a shipment is commercial.

TABLE 3-8-2: Determine Whether the Export Is Commercial

If the plants or plant plants offered for export:	Then consider the plants or plant products a:
Are known to be for sale or resale	Commercial[1] shipment
Are consigned to a nursery or a plant dealer	
Are of a volume and variety that exceed what can be reasonably considered for personal use	
Are from parties involved in commercial activities as evidenced by State registration, i.e., nursery, advertisements in trade journals and catalogs	
Do not apply to the above criteria	Noncommercial shipment

1 The definition of "Engaged in Business" according to 7CFR 355.2, which is one of the criterion for determining whether a shipment is commercial is as follows: Engaged in business as an importer, exporter, or re-exporter of terrestrial plants. To import, export, or re-export terrestrial plants for the purpose of selling, bartering, collecting, or otherwise exchanging or acquiring the plants as a livelihood or enterprise engaged in for gain or profit. This term shall **not** include persons engaged in business merely as carriers or customhouse brokers.

Step 4: Determine Which Permits, Certificates, and Other Documents Must Accompany the Export

Determine which permits, certificates, and other documents **must** accompany the export. For those required, then determine if they are present. Begin at Table 3-8-3.

TABLE 3-8-3: Determine Which Documents Must Accompany the Export Based on The Legislation and The Shipment

If the plants or plant products are protected:	And the shipment is:	Then:
Solely by CITES	Commercial	GO to **Table 3-8-4**
	Noncommercial	GO to **Table 3-8-5**
Solely by ESA	→	GO to **Table 3-8-6**
Both by CITES and ESA	Commercial	GO to **Table 3-8-6**
	Noncommercial	GO to **Table 3-8-8**

TABLE 3-8-4: Determine Which Documents Must Accompany Commercial Shipments of CITES Protected Plants and Plant Products

If the plants or plant products are:	And are:	Then:
Exempt[1] from the CITES permit requirements because of artificial propagation, but **not** exempt from the requirements for a certificate	CITES II	1. REQUIRE a PPQ Form 622, USDA General Permit, and 4 copies of the DMA-issued CITES II Certificate of Artificial Propagation 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
	CITES III	1. REQUIRE a PPQ Form 622, USDA General Permit, and 4 copies of the DMA-issued Certificate of Origin 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
Not exempt[1] from the CITES permit requirements	CITES I	1. REQUIRE a PPQ Form 622, USDA General Permit, and 4 copies of the DMA-issued CITES I Export Permit (or re-export certificate) with the attached permit from the country of destination 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
	CITES II	1. REQUIRE a PPQ Form 622, USDA General Permit, and 4 copies of the DMA-issued CITES II Export Permit (or re-export certificate) 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
	CITES III	1. REQUIRE a PPQ Form 622, USDA General Permit, and 4 copies of the DMA-issued Certificate of Origin 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**

1 Commercial exports are **not** allowed under certificates of exemption when the plants were acquired prior to the date that CITES applied to them, or they are being exchanged between registered scientists or scientific institutions.

TABLE 3-8-5: Determine Which Documents Must Accompany Noncommercial Shipments of CITES Protected Plants and Plant Products

If the plants or plant products are:	And are:	Then:
Exempt[1] from the CITES permit requirements	CITES I	1. REQUIRE 4 copies of the DMA-issued CITES I Certificate (certificate **must** be specific for the category exemption (artificial propagation, pre CITES, or exchange between registered scientific institutions)) 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
	CITES II	1. REQUIRE 4 copies of the DMA-issued CITES II certificate (certificate **must** be specific for the category exemption (artificial propagation, preCITES, or exchange between registered scientific institutions)) 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
	CITES III	1. REQUIRE 4 copies of the DMA-issued certificate of origin 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
Not exempt[1] from the CITES permit requirements	CITES I	1. REQUIRE 4 copies of the DMA-issued CITES I Export Permit (or re-export certificate) with the attached permit from the country of destination 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
	CITES II	1. REQUIRE 4 copies of the DMA-issued CITES II Export Permit (or re-export certificate) 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
	CITES III	1. REQUIRE 4 copies of the DMA-issued Certificate of Origin 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**

1 DMA grants exemptions for the following:

- Plants that were artificially propagated that are **not** a commercial export of plants or their derivatives listed under CITES I
- Plants that were acquired prior to the date CITES applied
- Plants that are being exchanged between registered scientists or scientific institutions

TABLE 3-8-6: Determine Which Documents Must Accompany ESA Protected Plants and Plant Products

If the plants or plant products are:	And are:	And are:	Then:
Commercial	Endangered	→	1. REQUIRE a PPQ Form 622, USDA General Permit, and 4 copies of the DMA-issued Permit for the Export of Endangered or Threatened Species 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
	Threatened	**Not** exempt[1] from the ESA permit requirements	
		Exempt[1] from the ESA permit requirements	1. REQUIRE **no** permits; for seed shipments, REQUIRE that a statement that the seeds are of "cultivated origin" accompanies the shipment 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
Noncommercial	Endangered	→	1. REQUIRE 4 copies of the DMA-issued Permit for the Export of Endangered or Threatened Species 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**
	Threatened	**Not** exempt[1] from the ESA permit requirements	
		Exempt[1] from the ESA permit requirements	1. REQUIRE **no** permits; for seed shipments, REQUIRE that a statement that the seeds are of "cultivated origin" accompanies the shipment 2. GO to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**

1 Artificially-propagated seeds of species treated as Threatened under the ESA, **do not** require a DMA Permit unless the specific species has special rules applied to the species. EXCERPT indicates which species have special rules.

TABLE 3-8-7: Determine Which Documents Must Accompany the Export of Commercial Shipments of Plants Protected Both by CITES and ESA

If the plant or product is:	And is:	Then you need:
Exempt[1] from the CITES permit requirement because of artificial propagation	CITES Appendix II	4 copies of the DMA-issued CITES I Certificate of Artificial Propagation amended in *Block 5* to authorize Endangered or Threatened species
	CITES Appendix III	4 copies of the DMA-issued Certificate of Origin amended in *Block 5* to authorize Endangered or Threatened species
Not exempt[1] from the CITES permit requirements	CITES Appendix I	4 copies of the DMA-issued CITES I Export Permit (or re-export certificate) with the attached permit from the country of destination (*Block 5* of the DMA permit **must** be amended to include Endangered or Threatened species)
	CITES Appendix II	4 copies of the DMA-issued CITES II Export Permit (or re-export certificate) amended in *Block 5* to include Endangered or Threatened species
	CITES Appendix III	4 copies of the DMA-issued Certificate of Origin amended in *Block 5* to authorize Endangered or Threatened species

1 Commercial exports are **not** allowed under certificates of exemption when the plant was acquired prior to the date that CITES applied to the plant or the plant is being exchanged between registered scientists or scientific institutions.

Go to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**.

TABLE 3-8-8: Determine Which Documents Must Accompany the Noncommercial Shipment of Plants Protected Both by CITES and ESA

If the plant or plant product is:	And is:	Then you need:
Exempt from the permit requirements[1]	CITES Appendix I or Appendix II	4 copies of the DMA-issued CITES certificate amended in *Block 5* to authorize Endangered or Threatened species (appropriate certificate **must** be specific for the category of exemption (artificial propagation, pre CITES, or exchange between registered institutions))
	CITES Appendix III	4 copies of the DMA-issued Certificate of Origin amended in *Block 5* to authorize Endangered or Threatened species
Not exempt from the permit requirements of CITES	CITES Appendix I	4 copies of the DMA-issued CITES I Export Permit (or Re-export Certificate) with the attached permit or Re-export Certificate from the country of destination (*Block 5* of the DMA permit **must** be amended to include Endangered or Threatened species)
	CITES Appendix II	4 copies of the DMA-issued CITES II Export Permit (or Re-export Certificate) amended in *Block 5* to include Endangered or Threatened species
	CITES Appendix III	4 copies of the DMA issued Certificate of Origin amended in *Block 5* to authorize Endangered or Threatened species

1 A plant may be exempt from the permit requirements when any of the following applies:

- Plant was artificially propagated
- Plant was acquired prior to the date CITES applied to the plant
- Plant is being exchanged between registered scientists or scientific institutions

Go to **Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate**.

Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate

To determine the action to take when the exporter is missing the required permits or certificate, go to Table 3-8-9.

TABLE 3-8-9: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate

If the exporter:	Then:
Lacks any of the permits or certificates required by CITES and/ or ESA	1. REFER the exporter to DMA[1] 2. REFUSE to issue PPQ Form 577, FPC 3. REFUSE to validate any DMA-issued documents until the exporter supplies the missing permit or certificate
Lacks a USDA General Permit (PPQ Form 622)	1. CONFIRM that the export is commercial 2. GIVE the exporter a copy of the application for a PPQ Form 622, General Permit[2] 3. REFUSE to issue PPQ Form 577, FPC 4. REFUSE to endorse any DMA-issued documents until the exporter gives you evidence that he or she holds a current General Permit
Has all the necessary documents	GO to **Step 6: Review All Relevant Documents to Confirm That They Are Complete and Authentic**

1 If exporters lack CITES or ESA documents, then the exporters may call DMA at 1-800-358-2104 for information. Address correspondence: U.S. Fish and Wildlife Service, Division of Management Authority, 4401 N. Fairfax Drive, Room 700, Arlington, VA 22203-3507.

2 If exporters need a General Permit or have questions related to General Permits, they should write to: PPQ-APHIS-USDA, Permit Unit, 4700 River Road, Riverdale, MD 20737.

Step 6: Review All Relevant Documents to Confirm That They Are Complete and Authentic

Review all relevant documents to confirm that they are complete and authentic as follows:

1. Verify that the document is current.

A. If the permit or certificate has expired, then tell the importer that the document **must** be replaced with a current one.[2]

B. Go to Table 3-8-10 to determine if the document has expired.

2 If the exporter needs to have the General Permit (PPQ Form 622, General Permit) renewed or has questions about renewals, then the exporter should contact the Permit Unit at 877-770-5990, FAX 301-734-8700, write to USDA-APHIS-PPQ, Permit Unit, 4700 River Road, Riverdale, MD 20737, or go to <http://www.aphis.usda.gov/ppq/permits/>.

If exporters need to have new CITES or ESA documents issued (DMA **does not** renew documents), the exporter should call DMA at 1-800-358-2104. Correspondence should be addressed to: U.S. Fish and Wildlife Service, Division of Management Authority, 4401 N. Fairfax Drive, Room 420 C, Arlington, VA 22203-3507.

TABLE 3-8-10: Locate the Expiration Date

If the document is:	Then the expiration date can be found:
CITES permit or certificate	In *Block 2* (upper right-hand corner of the form)
ESA permit	In *Block 7* (to the right of the block that identifies the permittee)
USDA General Permit (PPQ Form 622, General Permit)	On a line at the bottom left-hand side of the form

1. Confirm that CITES documents have been completed
   - **A.** On CITES forms, the exporter **must** fill in *Blocks, 4, 11, 13,* and *14* of the permit or certificate.
   - **B.** The exporter **does not** fill in any information on the ESA permit or General Permit.
2. Go to **Table 3-8-11**, and authenticate the document (verify that the document has an approved signature).

TABLE 3-8-11: Approved DMA and General Permit Signatures That Authenticate the Document

If the document is:	Then it must be signed by:
Issued by DMA	Mary Ellen Amtower Caroline Anderson Karen Anderson Bruce Babbitt Anna Barry Michael Carpenter Charlie R. Chandler Pamela Hall Marshall Jones Lisa J. Lierheimer Michael Moore Kristen Nelson Teiko Saito Kenneth Stansell Margaret Tieger Bruce Weissgold
PPQ Form 622, USDA General Permit	A person authorized to do so by the USDA-APHIS-PPQ-PHP, Permits and Risk Assessments (PRA) (If you have any questions, call the Permit Unit at 301-734-5055)

Step 7: Check for Alterations on the Documents

Check the documents for any alterations (such as erasures and forgeries) that may have been made to DMA- or PPQ-issued permits or certificates. Look for the following:

- Additional species have been added to the permit, certificate, or the continuation sheets and inventory sheets
- Date of issuance or expiration has been changed
- Species names and quantities have been changed

If a permit or certificate shows evidence of forgery or alteration, then document the evidence and begin processing the violation. Go to Table 3-8-12.

Step 8: Compare the Documents to Each Other and to the Actual Shipment

Compare documents to each other and to the actual shipment to find if there are any discrepancies, omissions, inconsistencies, or inaccuracies.

1. Compare the quantity of plants and plant derivatives against the quantity listed on the waybill and/or invoice to that identified in *Block 11* of the CITES permit or certificate or *Block 11* of the ESA permit (if limitations are prescribed).

TABLE 3-8-12: Verify the Quantity of Plants Listed on Shipping Documents

If the number of containers or quantity shown on the shipping documents:	Then:
Agrees with that on the DMA-issued permit or certificate	GO to 2. below
Is fewer than what is allowed on the DMA-issued permit or certificate	1. HAVE the exporter change the number of containers on the original copy of the DMA issued certificate or permit 2. GO to 2., below
Is more than what is allowed on the DMA-issued permit or certificate	1. REFUSE to issue PPQ Form 577, FPC 2. REFUSE to endorse any DMA-issued documents

1. Confirm that all special conditions listed on DMA Permits and Certificates have been met

   A. Verify that special conditions are as spelled out in *Block 5* of CITES permits and certificates and *Block 11* of ESA permits.

B. If any condition is **not** met, then refuse to endorse the documents and refuse to issue PPQ Form 577, FPC, until you resolve the noncompliance. Special conditions that may restrict the exportation follow:

- ➤ Particular sources
- ➤ Specific quantity or number of articles
- ➤ Times or exact dates

Blocks 5 and *11* will also alert you to whether or **not** the permit can be copied for repeated use.

2. Confirm that the plants and plant products being exported are those that are authorized by the DMA-issued permits and Certificates.

A. Compare what is listed on the shipping or mailing documents with what is listed on the accompanying permits and certificates (including the inventory sheets that may be accompanying CITES listed plants).

B. After you have confirmed that the DMA documents agree with the shipping documents, then look at the material being shipped to confirm that **only** authorized plants or plant products are being exported.

- ➤ If you are unable to identify the plants or plant products, then consult with someone at another designated port who may have experience with the plants being shipped.
- ➤ If you **cannot** find anyone with experience, then contact Export Services[3] (ES), in Riverdale, MD. Refuse to issue an FPC until the plants are correctly identified.

TABLE 3-8-13: Verify the Authorization of Shipments

If:	Then:
All plants and plant parts in the shipment are authorized	GO to ***Step 9: Endorse and Distribute Documents*** on **page 3-8-20**
Some or all of the plants or plant parts in the shipment are unauthorized	PROCEED to 4., below

1. Begin processing the violation.

A. If you determine that the unauthorized export is a repeat violation or you judge that there was an obvious attempt to mislead you or to conceal unauthorized material, then begin processing the violation.

3 USDA-APHIS-PPQ, Export Services, 4700 River Road, Unit 143, Riverdale, MD 20737; Phone 301-734-; FAX 301-

B. Refuse to issue PPQ Form 577, FPC.

C. Refuse to endorse the DMA-issued documents.

D. Make sure that all unauthorized material is removed from the shipment.

E. Go to ***Violations of ESA or CITES*** on **page 3-8-35**.

2. Line through unauthorized entries

A. If the exporter agrees to remove the illicit material and you decide that initiating violation procedures is inappropriate, then line through the unauthorized entry on the inventory sheet.

B. After lining through the unauthorized entry, write "**NOT** AUTHORIZED" across the entry. (See Figure 3-8-14 for marking unauthorized entries.)

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FIGURE 3-8-14: Example of How to Mark Unauthorized Entries on an inventory Sheet

Step 9: Endorse and Distribute Documents

When you are certain that a violation of ESA or CITES has **not** occurred, then endorse and distribute DMA-issued documents for the export of protected plants (see ***Violations of ESA or CITES*** on **page 3-8-35**).

Once the plants or plant products meet the requirements of ESA and/or CITES, then you may consider the items certifiable and eligible for a Federal Phytosanitary Certificate (FPC). However, before you can issue an FPC, import requirements (see Figure 2-3-1) and inspectional guidelines (see Figure 2-4-1) **must** be completed.

If the shipment contains material protected by CITES, then complete Form 3-201, *Blocks 13, 14,* and *15* . If there are any continuation and inventory sheets, complete Form 3-201, *Block 14* .

Endorse the documents following the directions from Table 3-8-15.

TABLE 3-8-15: Endorse DMA-issued Documents for the Export of Protected Plants

To endorse the:	Enter in the following blocks:
CITES permit or certificate	◆ *Block 13*—the actual quantities of plants being exported in each letter code ◆ *Block 14*—the bill of lading or air waybill number, the port of export, and the total number of shipping containers (verify the entry if the block is already filled in) ◆ *Block 15*—the date (spell out month), your signature, and stamp "released"
Continuation sheet	◆ *Block 14*—the letter code and actual quantities of plants being exported under each code ◆ *Along the bottom*—the port of export, the date, your signature, and stamp "released" ◆ *Block 15*—the bill of lading or waybill number
Inventory (if an invoice is used, it **must** be stamped, dated, and signed)	*Block 14*—the port of export, the date, your signature, and stamp "released"
ESA permit	*Block 11*—stamp "released" in the bottom right-hand corner of the block, then sign and date.

Distribution of Documents

Distribute the documents as follows:

1. Send the **original** endorsed documents along with the shipment (include inventory and continuation sheets if appropriate).
2. Return one set of the endorsed documents marked "COPY" to exporters for their records.
3. Take another set of the endorsed copies and securely staple them together. Send this set to DMA at the following address:

   U.S. Fish and Wildlife Service
   Division of Management Authority
   4401 North Fairfax Drive, Room 700
   Arlington, VA 22203-3507
4. Keep one set of the endorsed documents for your port files.
5. Discard any remaining copies.

Important

If the plants or plant products meet the requirements of ESA and/or CITES, then return to Step 1: Regulating Prohibited Plants or Plant Products on **page 2-3-7**.

American Ginseng (*Panax quinquefolius*)

This section contains the procedures to validate and endorse documents for American ginseng *(Panax quinquefolius)*. Procedures to follow to determine if American ginseng is moving in accordance with or in violation of CITES are referenced in Figure 3-8-16.

Documents are **not** valid for the export or re-export of American ginseng until they are endorsed by a PPQ officer. The documents you endorse are permits, certificates, and export reports. (See page-C-1-1 for a description of these forms.)

Before you begin endorsing documents for the export or re-export of American ginseng, go to Table 3-8-17 to determine if the article is protected by CITES.

Step 1: Judge Whether the Exporter Is Aware of CITES and CITES Requirements

Step 2: Collect All Required Documents That Are Associated With the Export or Re-export

Step 3: Determine if the Export Is Commercial or Noncommercial

Step 4: Determine Which Permits, Certificates, and Other Documents Must Accompany the Export

Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate

Step 6: Determine if the American Ginseng Roots Were Legally Taken in a State Approved for That Harvest Season

Step 7: Review All Relevant Documents to Confirm That They Are Authentic, Complete, and Current

Step 8: Look for Any Alterations

Step 9: Compare the Documents to Each Other and to the Actual Shipment

Step 10: Endorse and Distribute the Documents

FIGURE 3-8-16: Overview of Steps to Validate and Endorse Documents for American Ginseng *(Panax quinquefolius)*

TABLE 3-8-17: Identify Ginseng That Is Regulated by CITES

If the plant or plant product is or was collected or harvested from:	And is:	And:	Then:
American ginseng (*Panax quinquefolius*)	Whole plant	→	GO to **Step 1: Determine if the Exporter Is Aware of the Legislative Requirements**; the movement of the article is regulated
	Roots (or from the roots)	Whole or broken	
		Root hairs	EXIT these procedures; the article is **not** regulated by CITES ◆ For domestic origin ginseng, GO back to **Import Requirements** to identify import requirements and determine if an FPC can be issued ◆ For foreign origin ginseng, GO back to ***PPQ Form 579, Phytosanitary Certificate for Reexport*** to issue a re-export certificate
		Extract or derivative	
	Leaf, stem, flower, or seed (or from these structures)	→	
◆ Chinese ginseng (*Panax ginseng*) ◆ Ginseng (*Panax pseudo ginseng*), ◆ Siberian ginseng (*Eleutherococcus senticosus*) (**Excluding** *Panax ginseng* from Russia)	→		

Step 1: Judge Whether the Exporter Is Aware of CITES and CITES Requirements

You need to know whether the exporter is aware of the legislation as they relate to the export of American ginseng to substantiate if there was an obvious attempt to defraud you or to violate the regulations.

Step 2: Collect All Required Documents That Are Associated With the Export or Re-export

In addition to the certificates, permits, and export reports issued by DMA and PPQ, collect the following:

- Invoices
- State certificates
- Waybills
- Other shipping documents

Use the shipping documents to verify weights, numbers, and kinds of articles being exported.

All American ginseng **must** be invoiced by the exporter and marked or identified with the following:

- Identity of the plant, American ginseng *(Panax quinquefolius)*
- Name and address of the consignee
- Name and address of the exporter, shipper, or broker
- Serial number of the permit or certificate issued for export or re-export of the products
- Shipper's mark and number
- State where the American ginseng was collected or cultivated

Additional Requirements for Mail Shipments

Mail shipments **must** be packaged as follows:

- Product **must** be double wrapped
- Package **must** have an unsealed inner wrapping addressed to the consignee
- Package **must** have sufficient postage to reach the foreign destination
- Package marking and identification **must** be shown on the outside of the package
- Name, address, and phone number of the intended recipient in the United States **must** also be included on a separate sheet of paper placed inside the package (Ref: 7CFR 355.21)

Step 3: Determine if the Export Is Commercial or Noncommercial

Determine if the shipment is commercial or noncommercial. This will influence the actions you take to certify protected plants. In addition to reviewing the documents and interviewing the exporter, use the criteria in Table 3-8-18 to separate commercial from noncommercial shipments.

TABLE 3-8-18Determine Whether a Shipment Is Commercial or Noncommercial

If:	Then consider the export:
American ginseng or its products are known to be for sale or resale	Commercial
Products are consigned to a trading company, wholesaler, or dealer	
Volume and variety of roots or ginseng products exceed what can be reasonably considered for personal use	
Parties are involved in commercial activities (as evidenced by State registration, a business, or advertisements in periodicals and catalogs)	
None of the above criteria apply	Noncommercial

Step 4: Determine Which Permits, Certificates, and Other Documents Must Accompany the Export

Determine which documents **must** accompany the export, then determine which (if any) documents are missing. Use Table 3-8-19 to determine if the export or re-export is appropriately documented.[4]

TABLE 3-8-19: Determine the Documentation Requirements for the Export

If the American ginseng is being:	And was:	Then use:
Exported	Collected from the wild	**Table 3-8-20**
	Harvested from cultivated plants	**Table 3-8-21**
Re-exported	→	**Table 3-8-22**

Exporters need separate CITES export permits for American ginseng collected from different harvest seasons.

EXAMPLE If a person or company is exporting roots collected between June 2002 and June 2003, then two export permits specific to the harvest season[1] **must** be presented.

1 The *Wild Ginseng Export Report* lists the States authorized for export for a particular harvest season.

4 Wild and cultivated roots may **not** be exported under the same Federal and State documents, as each type of root has different export criteria.

TABLE 3-8-20: Determine the Required Documents for the Export of American Ginseng Collected From the Wild

If the export is:	Then you need to have:
Commercial	All of the following: ◆ Evidence that the exporter has a USDA General Permit (PPQ Form 622, General Permit) ◆ Copy of the invoice ◆ Original plus 3 copies of the DMA-issued Export Permit for each harvest season ◆ Original and a copy of the Wild Ginseng Export Report (the original will be attached to the Federal Export Permit) ◆ Original[1] and a copy of the State-issued American Ginseng Export Certificate
Noncommercial	All of the following: ◆ Original plus 3 copies of the DMA-issued Export Permit for each harvest season ◆ Original and a copy of the Wild Ginseng Export Report (the original will be attached to the Federal Export Permit) ◆ Original[1] and a copy of the State-issued American Ginseng Export Certificate

1 In general, accept **only** the original State Certificate. However, if the exporter or dealer modified the State Certificate by writing the lower weight of ginseng being exported, and certified this change with the written words, "I made these changes on *[date]*" followed by the full legal signature of the dealer or exporter, then a photocopy of the original State Certificate may be used. This certificate **must** be modeled in accordance with Federal Regulations. (See the example in **Figure 3-8-25 on page-3-8-29**.)

To determine when to allow the exporter the opportunity to supply any missing documents, see Table 3-8-23.

The exporter **must** present, in addition to the Certificate of Artificially Propagated Ginseng and the American Ginseng Export Report, a document[5] from the State that certifies the American ginseng was cultivated (artificially propagated).

5 The *Cultivated Ginseng Export Report* lists the approved State(s) of origin.

TABLE 3-8-21: Determine the Required Documents for the Export of American Ginseng Collected from Cultivated Plants

If the export is:	Then you need to have:
Commercial	All of the following: ◆ Evidence that the exporter has a USDA General Permit (PPQ Form 622, General Permit) ◆ One copy of the invoice ◆ Original and 3 copies of the DMA issued Certificate of Artificially Propagated Ginseng ◆ Original and a copy of the Cultivated Export Report (this will be attached to the Federal Certificate identified above) ◆ Original and a copy of the State issued American Ginseng Export Certificate
Noncommercial	All of the following: ◆ Original and 3 copies of the DMA issued Certificate of Artificially Propagated Ginseng ◆ Original and a copy of the Cultivated Export Report (this will be attached to the Federal Certificate identified above) ◆ Original and a copy of the State issued American Ginseng Export Certificate

Go to Table 3-8-23 to allow the exporter the opportunity to supply any missing documents.

The re-export of foreign cultivated American ginseng requires a DMA-issued CITES Reexport Certificate. Go to Table 3-8-23.

TABLE 3-8-22: Determine the Required Documents for the Re-export of American Ginseng

If the export is:	Then you need to have:
Commercial	All of the following: ◆ Evidence that the exporter has a USDA General Permit (PPQ Form 622, General Permit) ◆ Copy of the invoice ◆ Original and a copy of the DMA-issued Certificate of Re-export ◆ Copy of the foreign document (permit, certificate or in-lieu-of permit) that proves legal import into the United States
Noncommercial	All of the following: ◆ Original and a copy of the DMA-issued Certificate of Re-export ◆ Copy of the foreign document (permit, certificate or in-lieu-of permit) that proves legal import into the United States

Step 5: Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate

Determine if you should allow the exporter the opportunity to supply any missing documents. See Table 3-8-23 to determine the action to take when the exporter is missing required permits or certificates.

TABLE 3-8-23: Determine When to Allow the Exporter the Opportunity to Supply Missing Documentation

If the exporter:	Then:
Lacks any of the permits, certificates, or export reports issued by DMA	1. REFER the exporter to DMA[1] 2. REFUSE to issue PPQ Form 577, FPC 3. REFUSE to validate any DMA-issued documents until the exporter supplies the missing permit, certificate, or report
Lacks a USDA General Permit (PPQ Form 622, General Permit)	1. CONFIRM that the export is commercial 2. GIVE the exporter a copy of the application for PPQ Form 622, General Permit[2] 3. REFUSE to issue PPQ Form 577, FPC 4. REFUSE to endorse any DMA-issued documents until the exporter gives you evidence that he or she holds a current General Permit (PPQ Form 622, General Permit)
Lacks a State Export Certificate[3]	1. REFUSE to issue PPQ Form 577, FPC 2. REFUSE to endorse any DMA-issued documents until the appropriate State Certificate is presented
Has the necessary documentation	GO to ***Step 6: Determine if the American Ginseng Roots Were Legally Taken in a State Approved for That Harvest Season*** on **page 3-8-29**

1 If the exporter lacks CITES or ESA documents, then the exporter may call DMA at 703-358-2093 or 703-358-2095 for information. Address correspondence to: U.S. Fish and Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, VA 22203-3507.

2 If the exporter needs a USDA General Permit (PPQ Form 622, General Permit) or has questions related to General Permits, then the exporter should contact the Permit Unit at 877-770-5990, FAX 301-734-8700, write to USDA-APHIS-PPQ, Permit Unit, 4700 River Road, Riverdale, MD 20737, or go to <http://www.aphis.usda.gov/ppq/permits/>.

3 In general, accept **only** the original State Certificate. However, if the exporter or dealer modified the State Certificate by writing the lower weight of ginseng being exported and certified this change with the written words," I made these changes on *[date]*" followed by the full legal signature of the dealer or exporter, then a photocopy of the original State Certificate may be used. This certificate **must** be modeled in accordance with Federal Regulations (see the example in XX).

Step 6: Determine if the American Ginseng Roots Were Legally Taken in a State Approved for That Harvest Season

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FIGURE 3-8-24: Example of an American Ginseng Export Report

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FIGURE 3-8-25: Example of State American Ginseng Export Report

To determine if the American ginseng roots were legally taken in a State approved for that harvest season, compare the *American Ginseng Export Report* with the accompanying *State American Ginseng Export Certificate*. (See the examples in Figure 3-8-24 and Figure 3-8-25 above.)

1. Make sure the roots were legally taken in a State approved for that harvest season[6]. Remember that the report lists the States authorized for export for that particular season and that wild roots collected from different harvest seasons need separate permits and reports.
2. Make sure that the State Certificate and the Export Report match in weight of roots and harvest season authorized. If there is a match, then the roots were legally taken. If the ginseng was legally taken and appropriately documented, proceed to Step 7: Review All Relevant Documents to Confirm That They Are Authentic, Complete, and Current

6 If the exporter needs to know the State populations for which the export may be permitted, then refer the exporter to 50CFR 23.51 (Subpart F—Export of American Ginseng).

If all, or a portion of the ginseng was illegally taken, and you judge that the export is a repeat violation, or an obvious attempt to mislead you, or an obvious attempt to conceal the fact that the roots were collected from the wild, then begin processing the violation. Refuse to issue PPQ Form 577, FPC, and refuse to endorse the DMA-issued documents. Make sure that all illegally collected material is removed from the shipment. Go to ***Violations of ESA or CITES*** on **page 3-8-35**.

If the exporter, shipper, or broker agrees to remove the illegally collected root, and you decide that initiating forfeiture procedures is inappropriate, then line through the unauthorized entry on the invoice and write "**NOT** AUTHORIZED" across the unauthorized entry. Make sure that all illegally-collected material is removed from the shipment.[7] Go to **Step 7: Review All Relevant Documents to Confirm That They Are Authentic, Complete, and Current**.

Step 7: Review All Relevant Documents to Confirm That They Are Authentic, Complete, and Current

Review all relevant documents to confirm that they are completed, authenticated, and **not** expired. See **Table 3-8-26** to find the location of the expiration date on each document and

1. Verify that the document is current.
2. If the permit or certificate has expired, then tell the exporter that the document **must** be replaced with a current one.[8]

TABLE 3-8-26: Verify Location of Expiration Date on Documents

If the document is a:	Then the expiration date can be found:
CITES permit or certificate	In *Block 2* (upper right-hand corner of the form)
USDA General Permit (PPQ Form 622, General Permit)	On a line at the bottom left-hand side of the form

7 If it is impracticable to separate the exact illegal roots from the legal roots because they were commingled from more than one source, then remove just the weight of the roots that is equivalent to the weight moving in violation of CITES.

8 If exporter needs to have new CITES documents issued (DMA **does not** renew documents), then the exporter should call DMA at 703-358-2093 or 703-358-2095. Correspondence should be addressed to U.S. Fish and Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, VA 22203-3507.

If the exporter needs to have a USDA General Permit (PPQ Form 622, General Permit) renewed or has questions about renewals, the exporter should contact the Permit Unit toll free 877-770-5990; FAX 301-734-8700; or USDA-APHIS-PPQ, Permit Unit, 4700 River Road, Riverdale, MD 20737, or the following URL: <http://www.aphis.usda.gov/ppq/permits/>.

1. See that CITES Permits and Certificates have been completed. On these forms, the exporter **must** fill in *Blocks 4* and *11*. The exporter **does not** fill in any information on PPQ Form 622, General Permit.
2. See that the Ginseng Export Report (for both wild and cultivated American ginseng) has been completed. The exporter fills in all the information on this form and signs his or her name (**not** the company name). The exporter **does not** fill in any information in the endorsement block.
3. Go to Table 3-8-27 and authenticate the document by confirming that the approved signature is on the document.

TABLE 3-8-27: Verify that Document Authorization Is Authentic

If the shipment is:	Then the document must be signed by:	
Issued by DMA	**One** of the following:	Marshall Jones
	Mary Ellen Amtower	Lisa Lierheimer
	Caroline Anderson	Michael Moore
	Karen Anderson	Kristen Nelson
	Bruce Babbitt	I. Teiko Saito
	Anna Barry	Kenneth Stansell
	Michael Carpenter	Margaret Tieger
	Charlie R. Chandler	Bruce Weissgold
	Pamela Hall	
PPQ Form 622, General Permit	A person authorized to do so by the USDA, APHIS, PPQ, PHP, Permits and Risk Assessments (PRA) (If you have any questions, please call the permit unit at 301-734-5055)	

Step 8: Look for Any Alterations

Look for any alterations (like erasures and forgeries) that may have been made to State, DMA, or PPQ-issued permits or certificates.

Check for the following:

- Date of issuance or expiration has been changed
- Authorized weights have been altered on the State American Ginseng Report Certificates or CITES forms
- State American Ginseng Export Certificate lists both wild and cultivated roots

Important

Both wild and cultivated roots **cannot** be listed on the same certificate.

If a permit or certificate shows evidence of forgery or alteration, then document and begin processing the violation. Refuse to issue PPQ Form 577, FPC and refuse to endorse any DMA-issued documents. Go to***Violations of ESA or CITES*** on **page 3-8-35**.

Step 9: Compare the Documents to Each Other and to the Actual Shipment

Compare the shipment documents, DMA-issued documents, and CITES permits or certificates to determine if there are any discrepancies, omissions, inconsistencies, or inaccuracies, as follows:

1. Compare the quantity.

A. Compare the number of containers listed on the waybill and/or invoice to that identified in *Block 14* of the CITES permit or certificate.

B. See that the weights authorized on the DMA-issued documents and the total of weights shown on the State export certificates are what is actually being shipped.

See Table 3-8-28.

TABLE 3-8-28: Verify the Quantity of Plants Being Exported

If the weight of the roots actually being exported:	**Then:**
Matches that shown on the State and Federal issued permits and/or certificates	GO to Step 2, below
Is **less** than what is allowed on the DMA issued permit or certificate	1. ALLOW the exporter to draw a line through the original weight on the State certificate and write, by numbers, the lower weight 2. HAVE the exporter certify the change by writing (in ink) the statement, "I made these changes on *[date]*" followed by the full legal signature of the dealer or exporter, and 3. GO to Step 9, 2., below
Is **more** than what is allowed on the DMA issued permit or certificate	1. REFUSE to issue PPQ Form 577, FPC 2. REFUSE to endorse any DMA-issued documents

1. Confirm that all special conditions listed on DMA Permits and Certificates have been met. Special conditions are spelled out in *Block 5* of CITES permits and certificates.

A. If any condition is unmeet, then refuse to endorse the documents and to issue PPQ Form 577, FPC until you resolve the noncompliance.

B. The following special conditions may restrict the exportation:

- ➤ Fixed times or exact dates
- ➤ Particular sources
- ➤ Specific quantity or number of articles

Blocks 5 and *11* will alert you to whether or **not** the permit can be copied for repeated use.

2. Confirm that the plants and plant products being exported are those that are authorized by DMA-issued Permits and Certificates.

A. Compare what is listed on the shipping or mailing documents with what listed is on the accompanying permits and certificates.

B. If the export is identified as American ginseng that has been cultivated, then make sure that it is **not** wild collected ginseng. Use Table 3-8-29 to help make a subjective discrimination between wild and cultivated American ginseng. Use Table 3-8-30 to determine the appropriate action for processing authorized and illicit shipments of ginseng.

Wild American Ginseng	Cultivated American Ginseng
◆ Dense when squeezed	◆ Less dense when squeezed
◆ Gnarled	◆ Less gnarled
◆ Darker, earthier color	◆ Lighter color
◆ If broken, the interior is a darker color with few air spaces	◆ If broken, the interior is a lighter color with numerous air spaces
◆ Growth rings are close together and continuous	◆ Growth rings are farther apart and **not** continuous
◆ More than 4-6 bud scars on the neck of the root (see Special Conditions in *Block 5* of permit)	◆ Rarely more than 4-6 bud scars on the root's neck

FIGURE 3-8-29: Characteristics of Wild American Ginseng and Cultivated American Ginseng

TABLE 3-8-30: Regulate the Shipment of American Ginseng

If:	Then:
All American ginseng roots or their parts are as authorized	GO to **Step 10: Endorse and Distribute the Documents**
Wild ginseng was substituted for cultivated ginseng or quantities were **not** authorized	GO to ***Violations of ESA or CITES*** on **page 3-8-35**[1]

1 Begin Processing the Violation–If you determine that the unauthorized export is a repeat violation or you judge that there was an obvious attempt to mislead you or to conceal unauthorized material, then begin processing the violation. Refuse to issue PPQ Form 577, FPC and refuse to endorse the DMA issued documents. Make sure that all unauthorized material is removed from the shipment.

1. Write in the final, legal weight. If the exporter, shipper, or broker agrees to remove the illicit material and you decide that initiating forfeiture procedures is inappropriate, then write in the final, legal weight being exported on the appropriate line in *Block 13* of the Export Permit or Certificate of Artificially Propagated Ginseng.

Step 10: Endorse and Distribute the Documents

If the plants or plant products meet the requirements of ESA and/or CITES and you are certain that a violation of ESA and/or CITES has **not** occurred, then you may consider the items certifiable and eligible for a Federal Phytosanitary Certificate. (see ***Violations of ESA or CITES*** on **page 3-8-35**).

However, before you can issue a Federal Phytosanitary Certificate, import requirements (see **Figure 2-3-1**) and inspectional guidelines (see **Figure 2-3-1**) **must** be completed.

See **Table 3-8-31** to endorse the following:

- *Blocks 13*, *14*, and *15* on the DMA-issued Export Permit or Certificate of Artificially Propagated Plants
- CITES Permit or Certificate and Export Report

TABLE 3-8-31: Endorse the CITES Permit or Certificate and the DMA Export Report

To endorse the:	Do the following:
CITES Permit or Certificate	1. ENTER in *Block 13* the actual quantities of ginseng roots being exported in each letter code 2. ENTER in *Block 14* the waybill number, the port from where the ginseng roots are being exported, and the total number of shipping containers 3. ENTER in *Block 15* the date (spell out month), your signature, and stamp “released”
DMA Export Report	1. ENTER your signature 2. STAMP “RELEASED”

Distribution of Documents

Distribute the documents as directed in Table 3-8-32.

TABLE 3-8-32: Distribution of Documents

Collect:	And:
One set of endorsed documents, including the **original** DMA-issued permit or certificate with the accompanying Export Report	FORWARD with the shipment **Important**: **Never** allow the State American Ginseng Export Certificate to go forward with the shipment.
One set of the endorsed documents and mark "COPY" across each page	RETURN to the exporter for the exporter's records
One set of the following: ◆ Endorsed copy of the DMA-issued permit or certificate with the accompanying Ginseng Export Report ◆ Original American Ginseng Export Certificate[1] issued by the State ◆ Waybill signed by the carrier and the invoice	SEND to: U.S. Fish and Wildlife Service Division of Management Authority 4401 North Fairfax Drive, Room 700 Arlington, VA 22203-3507
One set of the endorsed documents, including a document that describes the contents of the shipment	KEEP for your port files
Any remaining copies	DISGARD

1 In general, accept **only** the original State Certificate. However, if the exporter or dealer modified the State Certificate by writing the lower weight of ginseng being exported and certified this change with the written words, "I made these changes on *[date]*" followed by the full legal signature of the dealer or exporter, then a photocopy of the **original** State certificate may be used. This certificate **must** be modeled in accordance with Federal Regulations (see XX).

Important

If the plants or plant products meet the requirements of ESA and/or CITES, then return to XX.

Violations of ESA or CITES

The following procedures for processing violations of ESA or CITES are for plant material . (Additional procedures have been established for the forfeiture of nonplant material (such as equipment shipped with the plant material or the means of conveyance) when the exporter is found violating ESA or CITES.)

The following are violations of ESA and CITES:

- Commercially exporting protected plants **without** a USDA General Permit issued by PPQ (PPQ Form 622, General Permit)
- Exporting protected plants out of a port that has **not** been designated for the movement of protected plants
- Exporting protected plants without the documents required by ESA or CITES and issued by DMA
- Failing to keep records required by 7CFR 355.23 or refusing to make reports from these records when requested by PPQ
- Falsifying export documents to hide the actual identification of the plant, the number or weight of the shipment, the location where the plant was grown, etc.

The steps to take to process violations of ESA and CITES are referenced in Figure 3-8-33.

Step 1: Set Up a System for Filing the Violations

Step 2: Confirm That the Violation Warrants Prosecution

Step 3: Seize the Plant or Plant Product

Step 4: Estimate the Retail Value of the Plant or Plant Product That Is Moving in Violation of the Legislation

Step 5: Start Forfeiture Procedures

Step 6: Safeguard the Seized Material

Step 7: Take Custody of Forfeited or Abandoned Material That Was Seized

Step 8: Start the Process for Getting Forfeited or Abandoned Live Plants to a Rescue Center

FIGURE 3-8-33: Overview of Steps for Processing Violations of ESA and CITES

Step 1: Set Up a System for Filing the Violations

The principle document you will be filing is PPQ Form 624, Notice of Seizure and Proposed Forfeiture. The purpose of the filing system is to:

- Allow you to have immediate access to what actions were taken on seized property (in case you are asked questions about a particular action)
- Facilitate a civil or criminal proceeding
- Identify repeat offenders

To set up your filing system, do the following:

1. Make a separate file folder for each shipment found in violation of the legislation

2. Number each file consecutively from the first seizure for the fiscal year. In your numbering, first list your port and the year (see Figure 3-8-34), add a hyphen, and then list the seizure number.

Miami 03-01

FIGURE 3-8-34: Example of Filing System Numbering Configuration for Violations

3. Place Part 4 of PPQ Form 624 at the front of each file and update as necessary
4. Retain each file for 5 years after the last documented action is taken

Step 2: Confirm That the Violation Warrants Prosecution

See Table 3-8-35 below to confirm that the violation warrants prosecution.

TABLE 3-8-35: Confirm That the Violation Warrants Prosecution

If you have:	Then:
Repeat violation	1. CONTINUE processing the violation since it warrants prosecution 2. GO to **Step 3: Seize the Plant or Plant Product**
Evidence that a permit, certificate, or other official document was altered or forged to gain advantage	
Obvious attempt to mislead you or to conceal unauthorized material	
Violation that meets **none** of the criteria described in the three cells above[1]	1. DISCONTINUE processing the violation 2. MAKE CERTAIN the unauthorized material is removed from the shipment

1 The lack of ESA/CITES documents, the lack of a USDA General Permit (PPQ Form 622, General Permit), or the attempt to export out of a nondesignated port may, in part, be due to the exporter's lack of knowledge of the regulations. If there is **no** obvious attempt to defraud or violate the regulations, then provide the exporter with the required information and/or refer the exporter to a designated port for clarification.

Step 3: Seize the Plant or Plant Product

If you have **not** already done so, seize the plant or plant product that is moving in violation of the legislation.

Step 4: Estimate the Retail Value of the Plant or Plant Product That Is Moving in Violation of the Legislation

Estimate the retail value of the plants or plant products that is moving in violation of the legislation as follows:

- If the plants or plant products are sold in the United States, use the price asked or given for the items from the nearest retailer to estimate the value of the plants/plant products

- If there is **no** market for the plants or their products in the United States, then use the invoiced value or any other reasonable means to estimate the retail value

TABLE 3-8-36: Regulate Seized Material Based on Estimated Value

If you estimate the value of the seized material to be:	Then:
More than $10,000	GO **Step 5: Start Forfeiture Procedures**, **Forfeiture Procedures When the Value of Seized Material Exceeds $10,000** for procedures to be used when the value of the material exceeds $10,000
$10,000 or less	GO to **Step 5: Start Forfeiture Procedures**,***Forfeiture Procedures When the Value of the Material Seized is $10,000 or Less*** on **page 3-8-39**

Step 5: Start Forfeiture Procedures

The following forfeiture procedures will allow you to gain legal custody of the material seized and to facilitate prosecution by DMA.

Forfeiture Procedures When the Value of Seized Material Exceeds $10,000

When the value of the material seized exceeds $10,000, then follow the steps listed below and continue processing the violation:

1. Complete PPQ Form 624, Notice of Seizure and Proposed Forfeiture; edit the completed form so that there are **no** inaccuracies in *Blocks 3* and *4* (these blocks are used to describe the property, why the property was seized, and your authority for the seizure).
2. Make sure that all relevant documents have been collected and filed. Update the file as necessary.
3. Post *Part 2* of PPQ Form 624 **immediately** as follows
   - **A.** Post in a conspicuous place accessible to the public at the PPQ office where the plants were seized
   - **B.** Keep the form posted for 21 days
   - **C.** Record the date and time of the posting on *Parts 3* and *4* of the worksheet to PPQ Form 624
4. Make sure that you have recorded the file number of the violation on PPQ Form 624, Notice of Seizure and Proposed Forfeiture

5. Send using Certified Mail with a return receipt requested, the following forms to the last known addresses of all people believed to be owners or agents of the seized materials.
   - ❖ PPQ Form 624, Notice of Seizure and Proposed Forfeiture, *Part 3* (and copies of *Part 3*)
   - ❖ PPQ Form 625, Claim and Bond
   - ❖ PPQ Form 626, Petition for Remission or Mitigation of Forfeiture
6. Record the names of the people to whom you mailed PPQ Form 624, *Part 3,* and the accompanying documents listed on PPQ Form 624, *Part 3*.
7. Write a narrative report of all relevant facts and circumstances of the violation. Include the names of any witnesses. Cite the laws believed to have been violated. If you need additional guidance, contact the Export Services staff in Riverdale, MD; Phone 301-734-8537; FAX 301-734-3249.
8. Within 5 working days, send the following documents to the Assistant District Attorney in the district where the plants or their products were seized
   - ❖ Documents that accompanied the shipment
   - ❖ PPQ Form 624, Notice of Seizure and Proposed Forfeiture, original and *Part 4*
   - ❖ Your report

   Send copies of all documents (sent to the Assistant District Attorney above), to Export Services at USDA-APHIS-PPQ, Export Services, 4700 River Road, Unit 140, Riverdale, MD 20737[9], and to the regional director where the violation occurred.
9. Go to ***Step 6: Safeguard the Seized Material*** on **page 3-8-41**.

Forfeiture Procedures When the Value of the Material Seized is $10,000 or Less

When the value of the seized material is $10,000 or less, then follow the steps listed below and continue processing the violation:

1. Reconfirm that the violation warrants prosecution.
   - **A.** In order to continue processing the violation you **must** have encountered an obvious attempt to defraud you or to violate the regulations. If such was the case, continue to the next step.
   - **B.** If there was **no** obvious attempt to defraud or violate the regulations, then give the exporter the required information and/or refer the exporter to a designated port for clarification.

9 Phone 301-734-8537; FAX 301-734-3249.

Do not continue processing the violation. The lack of ESA/CITES documents, the lack of a USDA General Permit (PPQ Form 622, General Permit), or the attempt to export out of a nondesignated port may, in part, have been due to the exporter's lack of knowledge of the regulations.

2. Allow the owner the opportunity **either** to waive title to the material moving in violation of the legislation or to challenge the forfeiture of that material.
3. Advise the owner that the material becomes forfeit after 21 days. If, after 21 days, a PPQ Form 625, Claim and Bond, or a PPQ Form 626, Petition for Remission, is **not** received by the Deputy Administrator, then the U.S. Government takes title to the material moving in violation of the legislation.

TABLE 3-8-37: Regulate Seized Material Valued at $10,000 or Less

If the owner:	Then:
Agrees to waive title to the material	1. HAVE the owner COMPLETE and SIGN PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property 2. MAKE sure the owner reads both sides of the form 3. CONTINUE processing the violation
Returns to challenge the forfeiture of the material	1. GIVE PPQ Form 625 and PPQ Form 626 to the owner 2. CONTINUE processing the violation
Is absent	1. MAIL PPQ Form 625 and PPQ Form 626 to the owner 2. CONTINUE processing the violation

1. Complete PPQ Form 624, Notice of Seizure and Proposed Forfeiture, for material seized under CITES and ESA legislation,
2. File the original at the PPQ office where the material was seized.
3. Post PPQ Form 624, *Part 2* **only** as follows:
   - Place *Part 2* in a conspicuous place accessible to the public at the PPQ office where the plants were seized
   - Keep the form posted for 21 days
   - Record the date and time of the posting on *Parts 3* and *4* of the worksheet to PPQ Form 624
4. After you have filled in the file number, then give *Part 3* of PPQ Form 624 to the owner. If you are unable to hand the form to the owner of the seized material, then mail *Part 3* to the owner at the last known address. Use certified or registered mail with a return receipt requested.
5. Keep PPQ Form 624 *Part 4* as a worksheet to know what has happened, who was notified, and when the next step is to be taken.
6. Go to **Step 6: Safeguard the Seized Material**.

Step 6: Safeguard the Seized Material

Safeguard the seized material, and keep the plants alive until they leave your care. Make sure that nothing is lost and that live plants are kept alive and healthy. Do whatever you can to enhance the plants' survival.

Step 7: Take Custody of Forfeited or Abandoned Material That Was Seized

You may take custody of the seized material if, after 21 days both the following occur:

- Claim and Bond was **not** received by the Deputy Administrator
- Exporter did **not** provide the required CITES or ESA documents or a USDA General Permit (PPQ Form 622, General Permit)

Follow these steps to take custody of the seized plants:

1. Complete PPQ Form 627, Declaration of Forfeiture (see PPQ Form 624 (worksheet) Parts 1 and 4), to complete PPQ Form 627).
2. Send a copy of PPQ Form 627 using registered or certified mail with a return receipt requested, to the owner of the forfeited material.

Important

The plants are now the property of the U.S. Government.

3. Record on PPQ Form 624, *Part 4*, *Block 7(d)* (worksheet) the date and time you mail PPQ Form 627, Declaration of Forfeiture.

Step 8: Start the Process for Getting Forfeited or Abandoned Live Plants to a Rescue Center

To start the process for moving the forfeited or abandoned live plants to a rescue center[10], do as follows:

10 A rescue center is a place (generally a public institution), that will grow the forfeited or abandoned plants to ensure the plants' survival.

1. Phone Quarantine Policy Analysis and Support (QPAS), in Riverdale, MD and provide the following information:
   - ❖ Location where the plants were grown
   - ❖ Name of the port and the file number
   - ❖ Number and kind of plants
   - ❖ Whether the material is mailable

   QPAS will relay the information to DMA, who will then select the rescue center. QPAS will give you the name of the rescue center.
2. Send the plants to the rescue center.
   - **A.** If the shipment is too large to be mailed, QPAS will arrange for the rescue center to pay for shipping.
   - **B.** Once arrangements are made to pay for the shipping, you will be advised.
3. Record PPQ Form 624 in PPQ Form 624, *Part 4*, *Block 7(d)* (worksheet), the date and time you sent the plants to the rescue center.

3

Export Certification Manual

Special Procedures

United States-Canada Greenhouse Certification Program

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Introduction

These special procedures provide the requirements of the United States and Canadian Greenhouse Certification Program (referred to throughout this appendix as the Program).

USDA-APHIS-PPQ and the Canadian Food and Inspection Agency (CFIA) entered into a Memorandum of Understanding (MOU). The MOU provides a modified phytosanitary certification program for the expeditious movement of commercial shipments consisting of eligible low-risk decorative plants between the two countries.

The Program allows for growers to enter into Compliance Agreements (see ***Suggested Compliance Agreement Elements*** on **page 3-9-9**) with their respective State plant regulatory agencies. The Compliance Agreements establish a cyclical inspection process for growers to follow, which replaces the need to inspect and certify individual shipments. Growers participating in the Program **must** implement measures to ensure that eligible plants are grown, stored, packed, and shipped free from quarantine pests[1] of concern to Canada.

1 Each importing country identifies their own quarantine pests and are listed as prohibited pests in the importing country's plant quarantine import requirements. They are pests that are of potential economic importance to the area endangered, and are **not** present, or present but **not** widely distributed and being officially controlled.

Federal plant export certificates are replaced with label certificates bearing a registration number assigned by the State plant regulatory agency. The label certificates are affixed to one of the shipping documents (bill of lading, air waybill, etc.). Label certificates and other aspects of the Program satisfy the phytosanitary import requirements of Canada. (See ***Export Certification Label*** on **page 3-9-12**.)

Eligible Plants

Eligible plants are those that are commonly known and recognized as indoor foliage and flowering plants and those categorized as bedding plants intended for planting either indoors or outdoors.

The majority of eligible plants fall into the following categories:

- Bedding plants
- Cacti
- Flowering plants
- Foliage plants
- Orchids
- Potted bulb plants
- Succulents

Trade in protected plant species is subject to CITES and ESA requirements. See ***Processing Protected Plants*** on **page 3-8-1** for instructions on handling protected plants.

Excluded Plants

The following plants **cannot** be shipped to Canada under the Program:

- *Abies* spp.
- *Acer* spp.
- *Aesculus* spp.
- *Ajania* spp.
- *Allium* spp.
- *Arbutus* spp.
- *Artctostaphylos* spp.
- *Berberis* spp.
- *Capsicum* spp.

- *Castanea* spp.
- *Chaenomeles* spp.
- *Chrysanthemum* spp. (**except** finished pot mums)
- *Corylus* spp.
- *Crataegus* spp.
- *Cydonia* spp.
- *Dendranthema* spp. (**except** finished pot mums)
- *Elodea densa*
- *Gayfussacia* spp.
- *Heteromeles* spp.
- *Hydrilla verticillata*
- *Juniperus* spp.
- *Larix* spp.
- *Leucanthemella* spp.
- *Lithocarpus* spp.
- *Lonicera* spp.
- *Lycopersicon* spp.
- *Mahoberberis* spp.
- *Mahonia* spp.
- *Malus* spp.
- *Myriophyllum* spp.
- *Nicotiana tabacum*
- *Nipponanthemum* spp.
- *Picea* spp.
- *Pinus* spp.
- *Pittosporum* spp.
- *Prunus* spp.
- *Pseudotsuga* spp.
- *Pyrus* spp.
- *Quercus* spp.
- *Rhamnus* spp.
- *Rhododendron* spp.
- *Rhubus* spp.

- *Rhus* spp.
- *Sequoia* spp.
- *Solanum* spp.
- *Trapa* spp.
- *Ttientalis* spp.
- *Ulmus* spp.
- *Vaccinium* spp.
- *Viburnum* spp.
- *Vitis* spp.
- *Zelkova* spp.

Propagative Origin

All plants shipped to Canada under the Program **must** originate in the United States.

Propagative plant material originating from offshore sources shall remain segregated at the establishment until the plants complete a cycle of vegetative growth.

Phytosanitary Standards

Nursery establishments **must** met the following phytosanitary standards in order to participate in the Program:

1. If the nursery establishment is located in Japanese beetle (*Popillia japonica*) infested areas, then it will be governed by the provisions of the Canada-United States Japanese Beetle Harmonization Plan

Important

The Canada-United States Japanese Beetle Harmonization Plan is in Canada's export summary under *General Information*.

2. Cultural and/or pest control practices **must be** adequate to prevent any possible infestation with the following plant pests of quarantine significance to Canada:
   - **A.** Apple maggot (*Rhagoletis pomonella*)
   - **B.** Blueberry maggot (*Rhagoletis mendax*)
   - **C.** Brown garden snail (*Helix aspersa*)

D. Columbia root-knot nematode (*Meloidogyne chitwoodi*)

E. Gypsy moth (*Lymantria dispar*)

F. Japanese beetle (*Popillia japonica*)

G. Soybean cyst nematode (*Heterodera glycines*)

H. Other plant pests of quarantine concern to Canada

See also Canada's export summary for pest mitigation measures applicable to the State of origin.

3. **Must** be considered practically free[2] from other injurious plant pests.
4. Maintain a zero tolerance for quarantine pests[3] in the greenhouses and/or screenhouses.
5. If a nursery establishment is found in noncompliance with the sanitation criteria, then the nursery establishment will be removed from the Program and its Compliance Agreement will be canceled.
6. Nursery establishments that are sanctioned for noncompliance will **not** be eligible for reinstatement in the Program until subsequent official inspections indicate the pest problems were eliminated.

Responsibilities

See the following responsibilities of those entities participating in the Program:

- **Nursery Establishments**
- **Brokers**
- **State Plant Regulatory Agency**
- **USDA-APHIS-PPQ**
- **Canadian Food and Inspection Agency**

2 Practically free means **not** to exceed a 2 percent infestation level of non quarantine pests unless otherwise stated by Canada. The practically free condition represents a judgement that the pests are **not** in excess of the amount expected to result from, and be consistent with, good culturing and handling practices used in producing and marketing the commodity.

3 Each importing country identifies its quarantine pests that are listed as prohibited in the importing country's plant quarantine import requirements (export summary). Quarantine pests are of potential economic importance to the area endangered, and are **not** present, or present but **not** widely distributed are being officially controlled.

Nursery Establishments

Nursery establishments are responsible for meeting all of the following:

1. Be under compliance agreement with their applicable State plant regulatory agency and **must** use State-approved practices for nursery sanitation and pest control. Nursery establishments that are in compliance will be denoted as designated facilities.
2. Receive regular phytosanitary inspections by the State plant regulatory agency. The frequency of inspections will be specified in a Compliance Agreement.
3. Have a competent staff capable of carrying out the requirements of the Program.
   - **A.** At least one staff member **must** have a thorough understanding of the Program and **must** be able to demonstrate the capability to carry out the requirements of the Program and shall be designated as the Facility Contact Person.
   - **B.** All other staff members should be aware of the phytosanitary standards and trained, if deemed necessary, to carry out certain functions of the Program.
4. Have a pest management program in effect that will assure consistent compliance with the phytosanitary standards of this Program.
   - **A.** The pest management program may be one that is established and recommended by the State plant regulatory agency or by industry, or may be specifically developed by the nursery establishment.
   - **B.** Program procedures **must** be documented for review by the State plant regulatory agency.
5. When new plant material is brought into the greenhouse, then hold the material for inspection before moving the material into the main production area. If pests are found, then eradication measures should be taken immediately.
6. Have qualified personnel inspect the plant material at a frequency specified in the pest management program.
   - **A.** If pests are detected, then control measures **must** be taken to ensure compliance with the phytosanitary standards.
   - **B.** When preparing shipments for export, examine the plants and shipping areas to prevent pest contamination and to ensure that the phytosanitary standards are met.

C. When requested by the State plant regulatory agency, PPQ, or CFIA make available inspection reports that include the inspection date, the names of plants inspected, the inspection results, and any corrective actions.

7. May use other pest detection methods to obtain early warnings of pest infestations (e.g. sticky traps, pheromone traps), because eradication may be more easily achieved if infestations are detected when the pest population is small or in juvenile stages. Immediately notify the State plant regulatory agency of any uncommon pest damage or symptoms or when quarantine pests are detected or suspected.

8. Maintain records and include the origin for all nursery-grown plants exported under the Program.

A. Records **must** list the names of all exported plants and the serial numbers of export certification labels used.

B. Records **must** be maintained for at least 1 year and **must** be made available when requested by the State plant regulatory agency, PPQ, or CFIA.

9. Shipments of plant material destined to Canada **must** have an approved export certification label bearing the grower's assigned registration number, and be affixed to one of the shipping documents (bill of lading, air waybill, etc.) (see ***Export Certification Label*** on **page 3-9-12**).

Brokers

Brokers, and nursery establishments who ship plants produced in other designated facilities, are responsible for the following:

1. **Must** record the sources of the plants including the source identification number.

2. Prior to exportation, **must** submit a trace-back plan to the State plant regulatory agency for approval.

3. **Must** have a designated facilities apply an export certification label to the invoice issued to the broker or nursery establishment shipping the product.

4. When plants sourced from non-designated facilities are shipped with an export certification label, then an inspection report **must** be prepared by the State plant regulatory agency and **must** be maintained for at least 1 year from the shipping date.

State Plant Regulatory Agency

Responsibilities of the State plant regulatory agency are as follows:

1. Conduct the initial inspection of a nursery establishment that has applied to participate in the Program, to ensure that the nursery can meet the Program requirements.
2. Conduct phytosanitary inspections of participating nursery establishments at the frequency specified in their Compliance Agreement.
   - **A.** If a quarantine pest is found during an inspection, the certification status of the nursery will be revoked immediately.
   - **B.** The identifying mark affixed to export certification labels is the property of the State plant regulatory agency. Therefore, if a nursery's certification is revoked, then the nursery **must** surrender export certification labels to the State plant regulatory agency.
   - **C.** After eradication of the pest, the facility operator **must** notify the Agency and arrange for reinspection. This follow-up inspection is **required** to verify eradication of the pest from the facility.
   - **D.** If an inspection reveals a significant population of a non quarantine pest, the certification status of the nursery establishment will be revoked until a follow-up inspection confirms that the pest problem has been controlled. Export certification labels may **not** be used until certification is reinstated. While under suspension, a nursery establishment may obtain Federal plant export certificates if the subject non quarantine pest has been eradicated from the plant material destined for export.
   - **E.** If an inspection reveals a population of non quarantine pests at low and commonly accepted level, then record the pest findings and advise the nursery establishment operator to take immediate control measures. Export certification labels may be used for plants meeting the phytosanitary standards at the time of shipment. However, if the nursery establishment **cannot** maintain satisfactory phytosanitary controls, then the nursery establishment will lose its designated status and will become ineligible for the Program.
3. Conduct audit inspections to ensure that the nursery establishment is exporting **only** eligible plants and is following approved Program procedures.

4. Provide a list of designated nursery establishments to the responsible PPQ State Plant Health Director (SPHD). The list should include for each nursery establishment, its name, address, and designated number.
5. Notify the responsible PPQ SPHD of any revocations along with the identification number of the affected nursery establishment.
6. Upon request, provide PPQ with pertinent information regarding Program operations in their respective State. Pertinent information includes the following and would be provided to CFIA by PPQ as necessary:
   - **A.** Export statistics
   - **B.** Names of participating nursery establishment and its assigned registration number
   - **C.** Violations of Program conditions and resultant sanctions, if any

USDA-APHIS-PPQ

Responsibilities of USDA-APHIS-PPQ are as follows:

1. Monitor Program operation throughout the United States.
2. Effect necessary changes to maintain the viability and integrity of the Program.
3. Send by SPHDs the information on participating nursery establishments and revocations to Export Services.
4. Send by Export Services a list of participating nurseries to Canada and notify the CFIA of revocations.

Canadian Food and Inspection Agency

The Canadian Food and Inspection Agency (CFIA) has the privilege of conducting an on-site inspection of any participating nursery establishment. Therefore, the CFIA is responsible for providing advance notice to PPQ of its intention to conduct an on-site inspection.

Suggested Compliance Agreement Elements

The suggested elements of compliance agreements established under the Program are as follows (see Figure 3-9-1 on page 3-9-11 for an example of a Compliance Agreement for the export of greenhouse-grown decorative plants to Canada):

1. Attach to the compliance agreement a list of excluded plants so the participating nursery establishment is aware of the plants that are **not** to be exported to Canada under the Program.

2. Plants **must** be grown in a growing area (greenhouse and/or screenhouse) approved by the State plant regulatory agency.
3. The nursery establishment **must** use sanitation measures and cultural and pest control practices approved by the State plant regulatory agency. Such practices **must** be designed to prevent the introduction and establishment of any pest of quarantine concern to Canada.
4. If the nursery establishment is located in a Japanese beetle infested area, then the establishment will be governed by the provisions of the Canada-United States Japanese Beetle Harmonization Plan.
5. The State plant regulatory agency and/or PPQ will conduct phytosanitary inspections of participating nursery establishments at a minimum of once per month. A reduction in this frequency may be considered when a record of standards compliance is established. Timing of inspections should be influenced by the type of plant material being grown in greenhouses and/or screenhouses at the nursery establishment and the potential for pest infestations.
6. The State plant regulatory agency and/or PPQ will conduct audit inspections to ensure that **only** approved plants are being exported and that approved program procedures are being followed.
7. An export certification label bearing the nursery's assigned registration number **must** be affixed to one of the shipping documents (bill of lading, air waybill, etc.) in a manner to be readily visible to an inspector at the Canadian point of entry.
8. Records of plant inventories, including origin of plants, and date of receipt of any nursery-grown plant shipped under the Program are to be maintained at the nursery premises for at least 1 year after shipment. Upon request, these records are to be made available to the State plant regulatory agency and Canadian Food and Inspection Agency (CFIA).
9. The Compliance Agreement should include a notation to the effect that the Plant Protection Division, CFIA has the right, following advance notification, to conduct an on-site inspection of any establishment in the United States that is participating in the Program.
10. Violation of any stipulation of the Compliance Agreement will be grounds for termination of the Agreement. If a violation occurs, then the participating nursery establishment will be suspended immediately for a period agreed to by PPQ and CFIA.
11. Each Compliance Agreement is to be countersigned by a PPQ SPHD or authorized representative.

FLORIDA

COMPLIANCE AGREEMENT

EXPORT OF GREENHOUSE-GROWN DECORATIVE PLANTS TO CANADA

I/We agree that no liability shall be attached to the Florida Department of Agriculture and Consumer Services (FDACS), Division of Plant Industry (DPI), or any of their employees in the event of injury to property or personnel. I/We further agree to carry out sanitary measures which may be required by the DPI and to carry out and abide by the following stipulations:

1. This agreement will be evaluated on a quarterly basis. If the time expended on an inspection of the nursery is greater than what would be incurred on inspections of individual shipments during that quarter, this agreement will be revoked.
2. This agreement shall pertain **only** to shipments of those plants comm known and recognized as house plants and are grown solely for indoor decorative purposes. The majority of eligible plant types fall into the following categories:
   - ◆ bedding plants
   - ◆ cacti
   - ◆ flowering plants
   - ◆ foliage plants
   - ◆ orchids
   - ◆ potted bulb plants
   - ◆ succulents
3. No plants on the excluded list (see attached list) are to be shipped to Canada under this program.
4. Eligible decorative plants purchased from other Florida nurseries intended for shipment to Canada under this agreement must originate from nurseries under compliance (U.S./Canada Greenhouse Certification Program) or be inspected and certified by an authorized representative of DPI at the time of shipment.
5. Plant material originating from offshore sources shall remain segregated at this establishment until such time as the plants have completed a significant cycle of vegetative growth.
6. Certification of plant material regulated under the Convention on the International Trade of Endangered Species (CITES) must be processed through designated USDA/PPQ ports. Authorized Florida CITES ports are:

   Miami Inspection StationOrlando Inspection Station
   USDA-APHIS-PPQUSDA-APHIS-PPQ
   P.O. Box 592136 9317 Tradeport Drive
   Miami, Florida 33159 Orlando, Florida 32827
   Tel: (305) 525-2825 Tel: (407) 648-6856
7. This nursery establishment must use approved nursery sanitation and pest control practices, receive quarterly inspections by an authorized representative of DPI and the cost of such inspections may be borne by this establishment.
8. Plants must be grown in a DPI approved growing area.
9. Plants must be grown in a manner to prevent any possible infestation with soybean cyst nematodes, Heterodera glycines.
10. A sticker or label bearing an assigned grower's number and stamp certification (which will serve as the required certificate of inspection) must be affixed to the shipping documents (bill of lading, air waybill, etc.) accompanying each shipment so as to be readily visible to an inspector at the Canadian port of entry.

FIGURE 3-9-1: Example of Compliance Agreement for the Export of Greenhouse Grown Decorative Plants to Canada

11. Records of plant inventories, including origin of plants, of any nursery grown plant shipped under this program are to be maintained at the nursery premises for at least 1 year after shipment. These records are to be made available on request to DPI and the Plant Protection Division (PPD), CFIA.
12. Representatives of DPI and/or PPQ will conduct audit inspections to ensure that **only** approved plants are being exported and that approved program procedures are being followed. Audit inspections will be conducted during normal business hours.
13. PPD, CFIA has the right, following advance notification, to conduct an on-site inspection of the establishment covered under this Compliance Agreement.
14. Violation of any stipulation of this agreement is grounds for suspension and may result in prosecution as provided by Sections 581.141 and 581.211 Florida Statutes.

Items not eligible for export under this cooperative program must be inspected and certified by DPI on a shipment-by-shipment basis using the standard State of Florida phytosanitary certificate.

I,_____, the owner/person in possession, care or control of the above named establishment have read and understand all of the conditions and obligations stated herein by which I may export specific species of foliage plants, in accordance with the Greenhouse Inspection Program which governs the movement of greenhouse plants between the United States and Canada.

_____
SIGNATURE TITLE DATE

_____
INSPECTOR DATE
DIVISION OF PLANT INDUSTRY
FLORIDA DEPARTMENT OF AGRICULTURE & CONSUMER SERVICES

WITNESSED BY:

_____
Inspector
Animal and Plant Health Inspection Service
United States Department of Agriculture

FIGURE 3-9-1: Example of Compliance Agreement for the Export of Greenhouse Grown Decorative Plants to Canada

Export Certification Label

Export certification labels serve as Federal plant export certificates for eligible plants and plant products exported to Canada from nursery establishments participating in the Program (see Figure 3-9-2 on page 3-9-13 for an example of an export certification label). Each nursery establishment is assigned an identification number. The identification number, as well as a label serial number, appears on each export certification label issued to the nursery establishment. These numbers make each export certificate label unique. In addition, export certification labels bear the following statement:

> This shipment of greenhouse-grown plants meets the import requirements of Canada and is believed to be free from injurious plant pests.

The participating nursery establishment is responsible for paying all costs associated with obtaining export certification labels, although the labels remain the property of the State plant regulatory agency. The export certification labels **must** meet the specifications as shown in Figure 3-9-2. The State plant regulatory agency authorizes the printing of the export certification labels and provides the identification number and serial number to be used. In this example, the nursery's identification number is prefaced by the two-letter State abbreviation, which is FL that stands for Florida. The serial numbers are to be **only** used once.

FIGURE 3-9-2: Example of USDA-APHIS Export Certification Label

Each export certification label **must** be affixed to an air waybill, bill of lading, or other shipping document that accompanies each shipment.

Participating nursery establishments **must** exercise strict control over the use of export certification labels. Records **must** be kept of label serial numbers that are in stock and that have been used. Under **no** circumstances should export certification labels be given to anyone **other than** a person authorized by and employed by the participating nursery establishment. Failure to do so results in immediate suspension from the Program.

All plants shipped under the Program **must** have been propagated and produced in a participating nursery establishment or inspected by the State plant regulatory agency. If plants sourced from a non-designated facility are mixed with plants from a designated facility, then the plants **must** be inspected by the State plant regulatory agency. The participating nursery establishment **must** keep a copy of the State inspection report with their documentation. If the entire shipment contains plants that were from a non-designated facility, then a normal inspection is required and would be certified with a Federal plant export certificate (PPQ Form 577).

3

Export Certification Manual

Special Procedures

U.S. Export Standards for Seed Potatoes

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Introduction

These special procedures cover the export standards for seed potatoes and how official State seed potato certification agencies can certify seed potatoes for export.

U.S. export seed potatoes are seed potatoes that have been certified by an official State seed potato certification agency as meeting the requirements described in these special procedures. Affixed to each container of seed potatoes will be an official tag or indicia that has been approved by the Potato Association of America.

Export Standards for Seed Potatoes

The export standards for seed potatoes are mandatory, but should **not** take the place of official State standards that apply to domestic seed potatoes.

When a grower requests export certification of seed potatoes, then the official State seed potato certification agency should consult USDA-APHIS-PPQ's *Export Certification Manual*.

Certification Basis

Export certification of seed potatoes is based solely on visually inspecting a sample from each lot, which **must** meet the prescribed tolerances in these special procedures unless otherwise provided by a higher authority.

Visually inspect seed potatoes at least twice during each planting to ensure compliance with prescribed tolerances.

Limited Generation System

Export certification of seed potatoes is in conformance with the limited generation system specified by these special procedures.

Planting Site

Growers apply to the official State seed potato certification agency for their approval of each field designated as a planting site. Fields **must** be at least 50 meters from any other potato planting in order to be eligible for producing U.S. export seed potatoes. This also helps to prevent exposure to infection by disease-causing pathogens.

Planting Maintenance

Plantings **must** be kept in a good growing condition, and general insect and seed pests **must** be kept under effective control.

Suitable precautions **must** be taken to guard against the spread of disease and insect pests into or within plantings when cultivating, irrigating, digging, grading, moving, using equipment and when performing other farming practices.

Storage Facilities

Each lot of U.S. export seed potatoes **must** be stored so as to preclude intermixing with any other class of certified seed potatoes.

U.S. export seed potatoes shall **not** be stored in the same storage facility with potatoes found to be infected with bacterial ring rot, *Clavibacter michiganensis* subsp. *sepedonicus*.

Containers

Containers used for harvesting, storing, and handling U.S. export seed potatoes **must** be new or cleaned and disinfected to the satisfaction of the official State seed potato certification agency.

Containers used for packaging and shipping U.S. export seed potatoes **must** be new.

State Authority

State authority for certifying seed potatoes resides with the State agency granted the authority by State law to carry out these regulatory functions.

Contact the Department of Agriculture of the State from which the seed potatoes originate for the name and address of the official State agency that possesses certification authority.

Responsibilities

USDA-APHIS-PPQ will periodically review the U.S. export standards to ensure that they keep current with biological information and requirements of international trade. In cooperation with State and industry representatives, USDA-APHIS-PPQ will effect necessary changes in order to maintain viability and integrity of the U.S. export standards.

Official State Seed Potato Certification Agency

The official State seed potato certification agency is responsible for verifying that the requirements of these special procedures have been met within the limitations imposed by accepted State and industry standards.

Participating Growers

A participating grower **must** be a qualified seed potato grower raising certified seed potatoes in accordance with official State certification regulations. Farming, sanitation, and other seed production practices **not** addressed in these special procedures are the responsibility of the participating grower. If a participating grower fails to comply with the requirements of the U.S. export standards, then that grower's seed potatoes will be ineligible for export as U.S. export seed potatoes.

The participating grower **must** select the planting site for and properly maintain plantings of seed potatoes that are being grown subject to the provisions of the U.S. export standards.

Participating growers **must** maintain the identity and grade of each lot of certified seed potatoes in their possession in a manner approved by the official State seed potato certification agency.

Requirements for Classes of Certified Seed Potatoes

When a class of seed potatoes is specified as being eligible for certification, then the stock was previously certified as the specified class by an official seed potato certification agency. That certification **must** be the same as specified in the U.S. export standards. All seed potatoes that are certified as such **must** be visually monitored in the field for trueness to plant type, and the tubers **must** be visually inspected after harvesting to verify plant type.

Pre Nuclear Stock Seed Potatoes

To be eligible for certification as pre nuclear (in-vitro production) stock seed potatoes, each explant **must** have been disease-tested. Plantlets and microtubers **must** be produced in aseptic culture. During normal business hours, records **must** be available for inspection by representatives of the official State seed potato certification agency.

Nuclear Stock Seed Potatoes

To be eligible for certification as nuclear (greenhouse or controlled environment production) stock seed potatoes, plant material **must** have met the pre nuclear requirements.

At least 5 percent of this increase **must** be disease-tested, **except** when there are fewer than 20 plants or minitubers. When there are fewer than 20 plants or minitubers, at least 5 plants or minitubers **must** be disease-tested.

Plants or minitubers selected for disease testing may be bulked following acceptable methods for test purposes. In the event that a test is positive for disease infection, the whole clone, together with any progeny, will be ineligible for certification. Testing and regeneration records **must** be maintained and made available for inspection at all reasonable times.

Generation 1—U.S. Export Seed Potatoes

Generation 1 plant material that has met the requirements for pre nuclear or nuclear stock will be eligible for certification as Generation 1—U.S. export seed potatoes.

Each cultivar and field should be individually tested for PVX in the laboratory by randomly collecting from separate plants a minimum of 250 leaflets or one percent of the hills. The tolerance for PVX is zero (0) percent.

Plants **must** be inspected at least twice while growing and found to be free of all other potato diseases that may be discovered visually.

Generation 2—U.S. Export Seed Potatoes

Generation 2 plant material that has met the requirements for Generation 1 or earlier increases will be eligible for certification as Generation 2—U.S. export seed potatoes.

Plants **must** be sampled and PVX tested during the growing season. Randomly collect from separate plants, 250 leaflets from each 10 acres or portion thereof. **Not** more than one plant of the 250 leaflets tested shall be PVX infected (0.40 percent). Plants **must** be inspected at least twice while growing and found to be in compliance with the tolerances specified in Figure 3-10-1.

Factor	First Field Inspection	Second Field Inspection
Potato Spindle Tuber	0	0
Bacterial Ring Rot	0	0
Blackleg	0.10	0
Wilts	0.10	0
Total, All Viruses	0.25	0.10
Varietal Mixture	0.10	0

FIGURE 3-10-1: Tolerances for Generation 2—U.S. Export Seed Potatoes

Generation 3—U.S. Export Seed Potatoes

Generation 3 plant material that has met the requirements for Generation 2 or earlier generations will be eligible for certification as Generation 3—U.S. export seed potatoes.

Each planting **must** be inspected visually at least twice and found to be in compliance with the tolerances specified in Figure 3-10-2.

Factor	First Field Inspection	Second Field Inspection
Potato Spindle Tuber	0	0
Bacterial Ring Rot	0	0
Blackleg	0.25	0.10
Wilts	0.20	0.10
Total, All Viruses	0.25	0.10
Varietal Mixture	0.25	0.10

FIGURE 3-10-2: Tolerances for Generation 3—U.S. Export Seed Potatoes

Generation 4—U.S. Export Seed Potatoes

Generation 4 plant material that has met the requirements for Generation 3 or earlier generations will be eligible for certification as Generation 4—U.S. export seed potatoes.

Each planting **must** be inspected visually at least twice and found to be in compliance with the tolerances specified in Figure 3-10-3.

Factor	First Field Inspection	Second Field Inspection
Potato Spindle Tuber	0	0
Bacterial Ring Rot	0	0
Blackleg	0.50	0.25
Wilts	0.50	0.25
Total, All Viruses	0.50	0.25
Varietal Mixture	0.50	0.25

FIGURE 3-10-3: Tolerances for Generation 4—U.S. Export Seed Potatoes

Generation 5—U.S. Export Seed Potatoes

Generation 5 plant material that has met the requirements for Generation 4 or earlier generations will be eligible for certification as Generation 5—U.S. export seed potatoes.

Each planting **must** be inspected visually at least twice and found to be in compliance with the tolerances specified in Figure 3-10-4.

Factor	First Field Inspection	Second Field Inspection
Potato Spindle Tuber	0	0
Bacterial Ring Rot	0	0
Blackleg	1.00	0.50
Wilts	1.00	0.50
Total, All Viruses	1.00	0.50
Varietal Mixture	0.75	0.50

FIGURE 3-10-4: Tolerances for Generation 5—U.S. Export Seed Potatoes

Refusal, Cancellation, and Rejection

Failure to comply with any provision of the U.S. export standards will constitute cause for refusal of certification services, cancellation of any approvals already granted, or rejection of seed potatoes entered for certification as a class of U.S. export seed potatoes.

In addition, the following incidents are specific causes for refusal, cancellation, or rejection:

1. Any field, storage, or other condition which an official State seed potato certification agency determines may be detrimental to the U.S. potato industry or to the U.S. seed potato export market, or

which may hinder or prevent accurate determination of whether the disease, varietal purity, grade, or other requirements of the U.S. export standards have been met

2. Any seed potatoes entered for certification which are verified to be infested or infected with a serious pest that is exotic or has a limited distribution in the United States. Note that gangrene, *Phoma exigua* pv. *foveata*, and wart, *Synchytrium endobioticum*, **do not** occur in the United States.
3. Any seed potatoes which are determined to be infested with root-knot nematode, *Meloidogyne* spp.; potato rot nematode, *Ditylenchus destructor*; cyst nematode, *Globodera* spp.; or brown rot, *Pseudomonas solanacearum*. United States' quarantine restrictions **do not** permit the growing of seed potatoes in any golden (cyst) nematode-infested area.
4. The basis for and scope of a refusal, cancellation, or rejection and reinstatement following such actions will be determined by the official State potato certification agency in the State where the U.S. export seed potatoes are produced.

Grade and Identification

U.S. export seed potatoes **must** be:

- Graded to meet U.S. No. 1 Seed Potato Grade[1]
- Identified by a blue-colored tag
- Identified by official State certification tags or other official indicia affixed to each container that are approved by the Potato Association of America

1 United States Standards for Grades of Seed Potatoes, effective March 6, 1987, reprinted January 1997 are located at the following web site address: <http://www.ams.usda.gov/standards/potatosd.pdf>.

3

Export Certification Manual

Special Procedures

User Fees

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Introduction

These special procedures provide guidance to Federal Authorized Certification Officials (ACOs) for collecting user fees when issuing nonprepaid Federal plant export certificates and for recording the charges on APHIS Form 80-R, Export Certification Record, when issuing both nonprepaid and prepaid Federal plant export certificates. State or county ACOs should see their local policy for collecting user fees when issuing Federal plant export certificates.

The revenue from USDA-APHIS-PPQ's phytosanitary export certification program is generated directly by user fees. Therefore, collecting user fees is a crucial task for ACOs, in order to maintain financial soundness of USDA-APHIS-PPQ's phytosanitary export certification program.

User fees are collected for the following Federal plant export certificates:

- PPQ Form 577, Federal Phytosanitary Certificate
- PPQ Form 578, Export Certificate, Processed Plant Products
- PPQ Form 579, Phytosanitary Certificate for Reexport

Important

Federal plant export certificates cost $50.

Government agencies are charged $23 for Federal plant export certificates.

There is **no** charge for PPQ Form 579 for noncommercial shipments.

Exporters may pay for a Federal plant export certificate at the time of service or they may prepay for a block of Federal plant export certificates. Each ACO work location has an inventory of accountable certificates. When a block of certificates are prepaid by an exporter, then an APHIS Form 80-R is completed and used to track the accountable certificates. See ***Prepaid Federal Plant Export Certificates*** on **page 3-11-16** for instructions about how exporters can purchase prepaid Federal plant export certificates.

If an exporter pays for an issued certificate at the time of service, then the ACO collects from the exporter a personal check, money order, cashier's check, certified check, or traveler's check for the correct amount, made payable to USDA, APHIS.[1]

Regardless of whether an issued Federal plant export certificate is prepaid, once the certificate is issued an ACO **must** record the appropriate information on APHIS Form 80-R (see **Figure 3-11-13 on page 3-11-28**).

Charges for Federal plant export certificates issued to other USDA agencies can be collected through an interagency agreement. If a USDA agency or facility requests such an arrangement, then an interagency agreement **must** be signed before issuing Federal plant export certificates.[2]

1 The following information should appear on the face of the check: complete mailing address and phone number; social security, driver's license, or taxpayer identification number.

In addition to charging a user fee for a Federal plant export certificate, USDA-APHIS-PPQ will also charge for an exporter's request to inspect plants or plant products on overtime (outside of duty hours). USDA-APHIS-PPQ user fee and overtime charges conform to 7CFR 354, Overtime Services Relating to Imports and Exports and User Fees.

ACOs should have the following official forms to collect and maintain user fees for issued Federal plant export certificates[3]:

- APHIS Form 47, Transmittal and Receipt for Accountable Items for transferring accountability of Federal plant export certificates (see **Figure 3-11-12 on page 3-11-27**)
- APHIS Form 80-R, Export Certification Record for tracking issued Federal plant export certificates (see **Figure 3-11-13 on page 3-11-28**)
- APHIS Form 89, Report of Reimbursable Inspection and Quarantine Service
- APHIS Form 94, Record of Public Funds Received, for remitting fees to a lock box (see **Figure 3-11-14 on page 3-11-29**)
- PPQ Form 575, Monthly Summary of Export Certificates Issued, for reporting results (See **Figure 3-11-15 on page 3-11-30**)
- SF Form 1164, Claim for Reimbursement for Expenditures on Official Business
- SF Form 1165 (book of blank receipts)

Located at the end of these special procedures are ***Quick Reference Guides for Applying User Fees*** on **page 3-11-31**.

See **Figure 3-11-1 on page 3-11-3** for a list of the main steps associated with collecting user fees followed by detailed guidelines.

Step 1: Set User Fee
Step 2: Collect User Fee
Step 3: Record Collected User Fees and Prepaid Federal Plant Export Certificates
Step 4: Remit Collected User Fees

FIGURE 3-11-1: Overview of the Steps to Collect User Fees

2 To set up an interagency agreement, the agency or facility should contact the Agreement Services Center at USDA-APHIS-PPQ headquarters in Riverdale, Maryland. Check with USDA-APHIS-PPQ Export Services, 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301-734-8537; FAX 301-734-3249, at the beginning of each fiscal year (October) to identify the agencies and facilities that have valid agreements.

3 Example of APHIS and PPQ listed forms are located at the end of these special procedures (see ***Forms Used for Collecting User Fees*** on **page 3-11-26**) and are available for downloading from the following web site address: <http://www.aphis.usda.gov/library/forms>.

Step 1: Set User Fee

Use Table 3-11-1 to identify the correct steps to follow when determining how much to charge for issuing a Federal plant export certificate. This determination is based on when the federal plant export certificate is issued; that is, during regular time, contiguous reimbursable overtime, or noncontagious reimbursable overtime.

TABLE 3-11-1: Identify the Correct Steps to Set the User Fee Based on Time Status

If the Federal plant export certificate is issued during:	Then:
Regular time	GO to ***Federal Plant Export Certificates Issued on Regular Time or Contiguous, Reimbursable Overtime*** on **page 3-11-4**
Contiguous, reimbursable overtime	
Noncontiguous, reimbursable overtime	GO to ***Federal Plant Export Certificates Issued on Noncontiguous, Reimbursable Overtime*** on **page 3-11-6**

Federal Plant Export Certificates Issued on Regular Time or Contiguous, Reimbursable Overtime

If export certification service is performed on regular time or contiguous, reimbursable overtime; then USDA-APHIS-PPQ charges for both the services performed on overtime and the certificate fee.

When an exporter presents a prepaid certificate, then there is **no** need to set a user fee. SKIP to ***Step 3: Record Collected User Fees and Prepaid Federal Plant Export Certificates*** on **page 3-11-7**.

When an exporter purchases a Federal plant export certificate at the time of service, then set the user fee. Setting the user fee is based on the following factors:

- Which Federal plant export certificate is issued: PPQ Form 577, PPQ Form 578, or PPQ Form 579
- Shipment status and invoiced value: commercial valued at or greater than $1,250, commercial valued less than $1,250, or noncommercial

Commercial shipments are those being traded for gain or profit. Official samples are considered to be commercial shipments. Look at invoices or other support documents to determine whether the invoiced value of commercial shipments is at or exceeds $1,250.

Noncommercial shipments are those moving for neither gain nor profit. Consider shipments under an Agricultural Stabilization and Conservation Service (ASCS) Program as noncommercial[4].

Important

ACOs **must** use their professional judgment and the shipment's accompanying documentation to establish the shipment's value and to discriminate commercial shipments from noncommercial shipments.

See Table 3-11-2 for instructions about how to set the user fee for Federal plant export certificates issued on regular time or contiguous, reimbursable overtime.

TABLE 3-11-2: Set User Fee for Federal Plant Export Certificates Issued on Regular or Contiguous, Reimburseable Overtime

If the issued Federal plant export certificate is:	And the shipment is:	And the invoiced value is:	Then:
PPQ Form 577	Commercial	Less than $1,250[1]	1. SET the fee at $23[2] 2. GO to ***Step 2: Collect User Fee*** on **page 3-11-7**
		At or greater than $1,250	1. SET the fee at $50 2. GO to ***Step 2: Collect User Fee*** on **page 3-11-7**
	Noncommercial	→	1. SET the fee at $23[2] 2. GO to ***Step 2: Collect User Fee*** on **page 3-11-7**
PPQ Form 578	→		1. SET the fee at $50 2. GO to ***Step 2: Collect User Fee*** on **page 3-11-7**
PPQ Form 579	Commercial	At or greater than $1,250	
		Less than $1,250[1]	1. SET the fee at $23[2] 2. GO to ***Step 2: Collect User Fee*** on **page 3-11-7**
	Noncommercial	→	**DO NOT** CHARGE

1 The importer **must** provide a commercial invoice in order to receive the reduced fee. Furthermore, the quantity of produce declared and the number and the description of packages on the certificate **must** exactly match those found on the invoice. Attach a copy of the invoice to the Issuing Office Copy of the Federal plant export certificate.

2 Currently, there are **no** provisions for allowing a company to purchase prepaid certificates at the $23 rate.

4 To qualify for the noncommercial rate, the exporter, shipper, or broker **must** present one of the following documents: CCC 512, Notice of Commodity Availability; KC 269, Notice to Deliver; KC 269-A, Forwarding Notice.

Federal Plant Export Certificates Issued on Noncontiguous, Reimbursable Overtime

ACOs should confirm whether the exporter is using a prepaid Federal plant export certificate. Exporters may choose either to use one of their prepaid certificates or to pay for one in USDA-APHIS-PPQ's inventory. ACOs **cannot** mandate the use of prepaid certificates.

When an exporter presents a prepaid certificate, then the ACO needs the associated APHIS Form 80-R that contains that certificate's serial number. The exporter is due a credit since USDA-APHIS-PPQ **does not** charge for both the prepaid certificate and for services performed during reimbursable overtime.

See Table 3-11-3 for instructions about how to process Federal plant export certificates issued on noncontiguous, reimbursable overtime.

TABLE 3-11-3: Process Federal Plant Export Certificates Issued on Noncontiguous, Reimbursable Overtime

If the exporter chooses to:	Then:
Use a prepaid Federal plant export certificate	1. RETRIEVE the APHIS Form 80-R that lists the certificate's serial number 2. RECORD the following on the APHIS Form 80-R ◆ ENTER the date in *Block 16* (adjacent to the certificate's serial number) ◆ CHECK *Block 20* to show that a $43 credit is due (because the certificate is issued on reimbursable overtime) ◆ ENTER $43 in *Block 22* ◆ CHECK *Block 17* ◆ INITIAL *Block 23* to show that the certificate was used 3. Charge ROT on an APHIS Form 89 recording the certificate's serial number in *Block 12* 4. FOLLOW standard billing or cash on delivery (c.o.d.) procedures
Use a Federal plant export certificate in USDA-APHIS-PPQ inventory	1. WAIVE the user fee (inspection is performed on reimbursable overtime and charged accordingly) 2. RECORD the following on the APHIS Form 80-R ◆ ENTER the date in *Block 16* (adjacent to the certificate's serial number) ◆ CHECK *Block 17* ◆ INITIAL *Block 23* to show that the certificate was used ◆ WRITE "Issued on ROT" across *Blocks 18* through *22* 3. Charge ROT on an APHIS Form 89 recording the certificate's serial number in *Block 12* 4. FOLLOW standard billing or c.o.d. procedures

Step 2: Collect User Fee

Collect a check or money order payment for Federal plant export certificates issued when service is rendered (as opposed to a prepaid certificate).

Accept a personal check **only** if the total amount due is $100 or less. If the total amount due is more than $100, then the payment **must** be by cashier's check, certified check, traveler's check, or money order **only**. The following information should appear on the face of all checks: complete mailing address and phone number; Social Security, driver's license, or taxpayer identification number.

Important

Do not accept a personal check for user fees totalling more than $100.

Do not accept cash unless absolutely necessary. If absolutely necessary to accept cash, then inform the exporter that you will accept cash once **only** and the next time the exporter **must** have a check or money order made payable to: USDA, APHIS. If the exporter asks for a receipt for cash payment, then issue SF Form 1165 (a generic receipt form).

Checks drawn on foreign banks **must** be payable in U.S. funds and **must** be marked as payable in U.S. dollars.

If a check is returned by the bank for non-sufficient funds and the exporter fails to settle the balance, then refuse export certification service until the outstanding balance is paid.

Once the user fee is collected, go to Step 3: Record Collected User Fees and Prepaid Federal Plant Export Certificates.

Step 3: Record Collected User Fees and Prepaid Federal Plant Export Certificates

Record collected user fees and record prepaid Federal plant export certificates on APHIS Form 80-R, Export Certificate Record, for certificates issued on regular time or contiguous reimburseable overtime. If the exporter used a prepaid Federal plant export certificate, then go to Table 3-11-4 on page 3-11-8. If the exporter paid at the time service was rendered for a Federal plant export certificate in USDA-APHIS-PPQ inventory, then go to Table 3-11-5 on page 3-11-9.

Record Prepaid Federal Plant Export Certificates

When an exporter uses a prepaid Federal plant export certificate, then record your actions on the APHIS Form 80-R that was used to purchase the certificates and has their serial numbers listed.

See Table 3-11-4 for instructions on completing APHIS Form 80-R. If the associated APHIS Form 80-R is located at a different physical office within the work unit, then contact that office and have the results of your actions documented on the APHIS Form 80-R and have the person recording the information initial *Block 23* for you.

TABLE 3-11-4: Record Prepaid Federal Plant Export Certificates

If the fee was:	Then after retrieving the APHIS Form 80-R that lists the certificate's serial number, record the following:
$23	1. ENTER the date in *Block 16 (*adjacent to the certificate's serial number) 2. CHECK *Block 21* to show that an $27 credit is due (the fee difference between a commercial shipment and a low value commercial shipment or a noncommercial shipment) 3. ENTER $27 in *Block 22* 4. CHECK *Block 17* 5. INITIAL *Block 23* to show that the certificate was used
$50	1. ENTER the date in *Block 16* (adjacent to the certificate's serial number) 2. CHECK *Block 17* 3. INITIAL *Block 23* to show that the certificate was used
Not charged	1. ENTER the date *Block 16* (adjacent to the certificate's serial number) 2. ENTER $43 in *Block 22* ($50 value minus $7 administrative charge) 3. WRITE "N/C, Noncommercial Re-export" across *Blocks 18* through *21* 4. CHECK *Block 17* 5. INITIAL *Block 23* to show that the certificate was used

Record Nonprepaid Federal Plant Export Certificates

When you collect a user fee for a Federal plant export certificate from the exporter at the time of service (**not** prepaid certificates), then document your actions on APHIS Form 80-R.

If an ACO accepts cash[5], then the ACO needs to get a money order made payable to USDA-APHIS. ACOs **must never** pay for the money order from the cash received. ACOs may get reimbursed for the cost of a money order by completing and submitting SF Form 1164, Claim for Reimbursement for Expenditures on Official Business.

See Table 3-11-5 for instructions on completing APHIS Form 80-R. If the associated APHIS Form 80-R is located at a different physical office within the work unit, then contact that office and have the results of your actions documented on the APHIS Form 80-R and have the person recording the information initial *Block 23* for you.

5 **Do not** accept cash unless absolutely necessary. If absolutely necessary to accept cash, then inform the exporter that you will accept cash once **only** and the next time the exporter **must** have a check or money order made payable to USDA-APHIS. If the exporter asks for a receipt for cash payment, then issue SF Form 1165 (a generic receipt form).

TABLE 3-11-5: Record Inventoried Federal Plant Export Certificates

If the fee was:	Then after retrieving the APHIS Form 80-R that lists the certificate's serial number, record the following:
$23	1. WRITE $23 in *Block 17* for each issued certificate 2. TOTAL the charge for the number of certificates issued 3. If cash was received, GET a money order payable to USDA-APHIS 4. ENTER the date issued in *Block 16* (adjacent to the certificate's serial number) 5. INITIAL *Block 23* to show that the certificate was used 6. GO to ***Step 4: Remit Collected User Fees*** on **page 3-11-10**
$50	1. WRITE $50 in *Block 17* 2. TOTAL the charge for the number of certificates issued 3. If cash was received, GET a money order payable to USDA-APHIS 4. ENTER the date issued in *Block 16* (adjacent to the certificate's serial number) 5. INITIAL *Block 23* to show that the certificate was used 6. GO to ***Step 4: Remit Collected User Fees*** on **page 3-11-10**
Not charged	1. WRITE "N/C" in *Block 17* (there is **no** charge for noncommercial re-export shipments) 2. ENTER the date issued in *Block 16* (adjacent to the certificate's serial number) 3. INITIAL *Block 23* to show that the certificate was used 4. GO to ***Step 4: Remit Collected User Fees*** on **page 3-11-10**

Step 4: Remit Collected User Fees

After collecting user fees, then complete APHIS Form 94, Record of Public Funds Received[6]. More than one transaction can be recorded an APHIS Form 94 for remitting collected user fees. See Chapter 10 of *APHIS Budget and Accounting Manual* for detailed instructions about how to complete APHIS Form 94. This section provides supplemental guidelines for remitting collected user fees on APHIS Form 94 for issued Federal plant export certificates.

Before completing an APHIS Form 94, ensure the following:

- If cash was collected, then convert the cash to a money order payable to USDA-APHIS

Important

Do not remit cash.

Do not convert cash to a personal check.

Never take the cost of the money order from the cash received.

- All checks and money orders are payable to USDA-APHIS
- All checks drawn on foreign banks are payable in U.S. dollars[7]
- 10-digit accounting code written in the lower, left corner on the front of each check or money order

Important

Do not write below the memo and signature lines on a check as the writing can interfere with processing if it is too close to the micro line at the bottom of a check (account and bank routing numbers).

Do not write on the back of checks or money order.

Do not endorse checks or money orders with a stamp.

- Photocopy each check or money order for the work location records

When completing APHIS Form 94, do the following:

1. Write the complete mailing address of the originating office in *Block 4.*
2. For each transaction (collected fee for a Federal plant export certificate), enter the date the Federal plant export certificate was purchased in *Block 5.*
3. For each transaction, enter the 10-digit accounting code and 4-digit revenue source code (0250) in *Block 9.*

6 APHIS Form 94 is available for downloading from the following web site address: <http://www.aphis.usda.gov/library/forms>.

7 If possible, send foreign checks on a separate APHIS Form 94 as they are processed differently.

4. Clip (**do not** staple) checks and/or money orders to the original and one copy of APHIS Form 94.
5. Keep another copy of APHIS Form 94 until a receipted copy returns from the Minneapolis Financial Services Branch (MFSB). (After the MFSB receives the APHIS Form 94 from the lock box in St. Louis, they will return the receipted copy APHIS Form 94 to the originating office address in *Block 4*.)
6. Send (see important note below) the original and one copy of APHIS Form 94 with the clipped checks and/or money orders to the address printed in *Block 3* and listed below.

Important

If practical, send the collected fees within 24 hours; but, **never** send the collected fees later than the second workday from date you received the fees. Use the date of the first transaction on APHIS Form 94 as a guide.

USDA-APHIS
P. O. Box 952180
St. Louis, MO 63195-2180

7. File the receipted copy. If you **do not** receive a receipted copy within 3 weeks of your submission, then notify the Minneapolis Financial Services Branch

Reissue and Replace Federal Plant Export Certificates

Federal plant export certificates are reissued or replaced because of an error caused either by USDA-APHIS-PPQ or the exporter, or because the exporter requests a reissuance or replacement. Instructions for recording reimbursement and payment for reissued or replaced Federal plant export certificates are divided based on the cause of the error or the reason the original certificate needs to be reissued or replaced.

If the error was caused by USDA-APHIS-PPQ, then go to ***Action to Take When Errors Are Made by USDA-APHIS-PPQ*** on **page 3-11-12**. If the error was caused by the exporter or the exporter is requesting changes, then go to ***Action to Take When Errors Are Made or Changes Are Requested by the Exporter*** on **page 3-11-13**.

Action to Take When Errors Are Made by USDA-APHIS-PPQ

Never charge exporters user fees for Federal plant export certificates that are reissued because of errors made by USDA-APHIS-PPQ. See Table 3-11-6 for the correct action to take.

TABLE 3-11-6: Action to Take When the Errors Are Caused by USDA-APHIS-PPQ

If the error is on a:	And the exporter chooses to replace with:	Then do the following on APHIS Form 80-R to record the reissuance or replacement:
Prepaid Federal plant export certificate	Another prepaid Federal plant export certificate	1. On the APHIS Form 80-R listing the reissued or replaced Federal plant export certificate: ◆ SCRATCH across *Block 15* through *Block 23* that identifies the certificate ◆ In the margin, WRITE "Voided due to USDA-APHIS-PPQ error" ◆ FILE the voided Federal plant export certificate at the issuing office 2. On the APHIS Form 80-R listing the new Federal plant export certificate: ◆ ENTER the date in *Block 16* (adjacent to the certificate's serial number) ◆ INITIAL *Block 23* to show that the certificate was used ◆ WRITE "PPQ issuing error" across *Block 17* through *Block 21* ◆ WRITE $50 in *Block 22* to show the credit due
	Federal plant export certificate from USDA-APHIS-PPQ inventory	1. On the APHIS Form 80-R listing the reissued or replaced Federal plant export certificate: ◆ SCRATCH through the certificate's serial number in *Block 15* ◆ ENTER in *Block 15* the serial number of the new Federal plant export certificate ◆ FILE the voided Federal plant export certificate at the issuing office 2. On the APHIS Form 80-R listing the new Federal plant export certificate: ◆ ENTER the date in *Block 16* (adjacent to the certificate's serial number) ◆ INITIAL *Block 23* to show that the certificate was used ◆ WRITE "N/C" in *Block 17* ◆ WRITE "PPQ issuing error, replace certificate #[*certificate number*]" and "*[company's name to which a new Federal plant export certificate is reissued]* "across *Block 18* through *Block 23*
Federal plant export certificate from USDA-APHIS-PPQ inventory	→	

Action to Take When Errors Are Made or Changes Are Requested by the Exporter

USDA-APHIS-PPQ can charge user fees for Federal plant export certificates reissued or replaced because of an error caused by the exporter, or because the exporter requests a reissuance or replacement. Instructions for charging user fees for reissuing or replacing a Federal plant export certificate at the exporter's request are divided as follows:

- Reissuances
- Replacements

Reissuances

For Federal plant export certificates reissued because of errors caused by the exporter, see Table 3-11-7 for the correct action to take.

TABLE 3-11-7: Action to Take When Errors Are Caused by the Exporter

If the exporter chooses to:	Then:
Use a prepaid Federal plant export certificate	1. On the APHIS Form 80-R listing the new, prepaid Federal plant export certificate: ◆ ENTER the date in *Block 16* (adjacent to the certificate's serial number) ◆ CHECK *Block 18* (give credit for one replacement due to exporter's error on the replaced certificate[1]) ◆ INITIAL *Block 17* and *Block 23* to show that the certificate was used ◆ WRITE $43 in *Block 22* to show credit due 2. VOID the original Federal plant export certificate that was reissued or replaced 3. FILE the voided Federal plant export certificate at the issuing office
Pay for a Federal plant export certificate at time of service	1. On the APHIS Form 80-R listing the new, inventoried Federal plant export certificate: ◆ ENTER the date in *Block 16* (adjacent to the certificate's serial number) ◆ ENTER $7 in *Block 17* (administrative charge for one replacement due to exporter's error on the replaced certificate[1]) ◆ INITIAL *Block 23* to show that the certificate was used 2. GET a check or money order made payable to USDA-APHIS for $7 3. VOID the original Federal plant export certificate that was reissued or replaced 4. FILE the voided Federal plant export certificate at the issuing office

1 There is a difference between a one-time change for an erroneous Federal plant export certificate (credit due or $7 administrative charge) and an exporter's request for a second and third replacement to a certificate because the shipment has been split. When an exporter requests additional certificates, then charge the regular user fee. See ***Replacements*** on **page 3-11-14**.

Replacements

When an exporter requests replacement of a Federal plant export certificate, charge according to whether the request is for a single (one) replacement or is for splitting the shipment and needing additional certificates.

1. If the exporter requests a single (one) replacement, then charge $7.

Important

There is **always** a $7 charge for replacing a Federal plant export certificate on a one-to-one basis, regardless of the number of times the certificate is replaced. However, the shipment **cannot** be split, and the quantity **cannot** be changed to an amount greater than the amount that was actually certified and listed on the original Federal plant export certificate.

2. After the first replacement, charge the full amount, as appropriate. (See ***Step 1: Set User Fee*** on **page 3-11-4** to determine the appropriate user fee to charge.) See also Table 3-11-8 for how to calculate the total user fee cost if an exporter requested three replacements for a previously issued Federal plant export certificate because the shipment had been split.
3. If the exporter is paying for the replacement Federal plant export certificate by check or money order, then collect the user fee. (See ***Step 2: Collect User Fee*** on **page 3-11-7**.) After collecting the user fee, then complete APHIS Form 94, Record of Public Funds Receive Record. (See ***Step 4: Remit Collected User Fees*** on **page 3-11-10**.)
4. Record collected user fees and log in prepaid Federal plant export certificates on APHIS Form 80-R, Export Certificate Record. (See ***Step 3: Record Collected User Fees and Prepaid Federal Plant Export Certificates*** on **page 3-11-7**.)

TABLE 3-11-8: Calculate the Total Cost for Three Replacement Federal Plant Export Certificates for a Split Shipment

If the domestic origin shipment is:	And the Federal plant export certificate is the:	Then charge the following cost for the replacement certificates:
Commercial with an invoiced value of $1,250 or greater	First replacement	$ 7
	Second replacement	$ 50
	Third replacement	$ 50
	Total User Fee Charge	$107
Noncommercial	First replacement	$ 7
	Second replacement	$ 23
	Third replacement	$ 23
	Total User Fee Charge	$ 53

Maintain Accountability

To maintain the credibility of the USDA-APHIS-PPQ phytosanitary export certificate program, an accountability system was established to deter forgeries and to control public misuse of Federal plant export certificates. As part of the accountability system, Federal plant export certificates are prenumbered in the top, right corner.

Federal plant export certificates can be ordered from USDA's Beltsville Supply Center (BSC). This is an administrative function and requires a customer number, which is an 8-digit number starting with 34 that represents the agency's work location. Federal plant export certificates can be ordered on-line at the following web site address:

<http://www.bsc.usda.gov>

A second option or backup when the web site is **not** working is order directly from BSC by FAX at 301-394-0300. The FAX should include the following information:

- Customer ID number (34. . . . . .)
- Form number and form name
- Quantity needed (certificates are packaged 300/box; the unit of issue is BX)
- Name of person ordering the forms and a phone number
- Complete mailing address where the forms are to be mailed

Ordered forms should be sent within 7 to 10 days. If forms are **not** received, then check your order by e-mailing Karen Stratchko of USDA-APHIS Forms, Records, Issuance, and Management (karen.a.stratchko@aphis.usda.gov) with the order number and date ordered.

Once a USDA-APHIS-PPQ office acquires an inventory of Federal plant export certificates, then accountability **must** be maintained for the following:

- **Prepaid Federal Plant Export Certificates**
- **Federal Plant Export Certificates Issued to Other USDA-APHIS-PPQ Offices**
- **Federal Plant Export Certificates Issued to State or County Offices**

Prepaid Federal Plant Export Certificates

Exporters can prepay a block of Federal plant export certificates in lieu of paying at the time of service. Prepayment **must** be in U.S. funds. Procedures for accepting prepayment for a block of Federal plant export certificates are as follows:

1. Advise the exporter that the cost is $50 for each Federal plant export certificate.

Important

Federal plant export certificates can **only** be prepaid at a $50 rate. There are **no** provisions for allowing exporters to purchase prepaid Federal plant export certificates at the $23 rate, even if they exclusively use Federal plant export certificates that meet the criteria for charging this reduced rate (commercial shipments with an invoice value of less than $1,250).

2. Ask how many Federal plant export certificates the exporter wishes to prepay, keeping in mind that exporters are limited to prepaying for a 3-month supply. This supply limit helps prevent difficulties that may arise if the rates of user fees change.
3. Total the cost by multiplying the requested number of Federal plant export certificates by $50.
4. Record prepaid Federal plant export certificates using APHIS Form 80-R. (See ***Step 3: Record Collected User Fees and Prepaid Federal Plant Export Certificates*** on **page 3-11-7**.)
5. Give the block of Federal plant export certificates to the exporter. List or stamp the name and address of the issuing office on each prepaid Federal plant export certificate in the block or space indicated by *PLACE* or *PLACE OF ISSUE*.

Important

Inform the exporter that prepaid Federal plant export certificates **must** be signed **only** at the issuing office where the certificates were prepaid.

6. Get a check or money order made payable to USDA-APHIS.
7. If the exporter requests a copy of the APHIS Form 80-R, then photocopy the form and mark "COPY"[8]. Otherwise, **do not** give the exporter a copy of APHIS Form 80-R.
8. Instruct the exporter about how to partially complete a Federal plant export certificate; that is, how to complete the DESCRIPTION OF CONSIGNMENT.

8 At some work locations, marking the form as a COPY is automatically performed by a computer system.

9. Inform the exporter that an administrative charge of $7 will be assessed for all returned, unused Federal plant export certificates.

Important

If a check is returned by the bank for nonsufficient funds (NSF) and the exporter fails to settle, then refuse export certification service until the outstanding balance is paid.

10. At the end of each quarter of the Fiscal Year (December, March, June, September), review the APHIS Form 80-R for prepaid, unused Federal plant export certificates.

A. Consult with the exporter to determine the status of the unused Federal plant export certificates.

B. If the Federal plant export certificates are **not** going to be used in the near future, then recover them. Reimburse the exporter $43 and retain $7 (administrative fee) for each prepaid, unused Federal plant export certificates that is recovered. (See ***Handle Refunds and Credits*** on **page 3-11-20**.)

C. If there are long-standing, unused Federal plant export certificates listed on an APHIS Form 80-R, then **do not** allow the export to prepay for future Federal plant export certificates.

TABLE 3-11-9: Instructions to Complete APHIS Form 80-R When Exporters Prepay Federal Plant Export Certificates

If the block is:	Then complete APHIS 80-R for a block of prepaid Federal plant export certificates as follows:
1. FIRM NAME AND ADDRESS	ENTER the name and address of the export, person, office, or firm to whom the Federal plant export certificates are assigned. If the export is using an agent, then enter the responsible person's name in *Block 11* and phone number in *Block 12*
2. PREPAYMENT DATE	ENTER the date that prepayment is received
3. CHECK IDENTIFICATION NUMBER	◆ If payment is by check, then ENTER the last 5 digits of the check number and the last 5 digits of the bank account number ◆ If payment is by money order, then ENTER the last 10 digits of the money order number
4. Certificates	Enter the total amount of Federal plant export certificates being prepaid
6. Total	◆ ENTER the total cost by multiplying the number in *Block 4* by $50 ◆ At some work locations this calculation is performed automatically by a computer system
7. Credit Brought Forward	◆ If the exporter is due a credit brought forward from previous transactions, then ENTER a credit amount ◆ At some work locations this calculation is performed automatically by a computer system ◆ GIVE credit **only** when every Federal plant export certificate has been recorded and accounted for on APHIS Form 80-R to facilitate record keeping
9. Credit Balance	◆ If the exporter chooses to apply credit brought forward, then subtract the amount in *Block 7* from the total in *Block 6* ◆ Inform the exporter of a credit balance or amount due ◆ At some work locations this calculation is performed automatically by a computer system
10. Amount Paid	◆ ENTER the total amount due ◆ At some work locations this calculation is performed automatically by a computer system
11. RESPONSIBLE AGENT	If the exporter is using an agent, then ENTER the name of the individual representing the exporter
12. PHONE NUMBER	◆ If the exporter is using an agent, then ENTER the phone number of individual representing the exporter
13. SERIAL RANGE	◆ ENTER the serial number range of the Federal plant export certificates from USDA-APHIS-PPQ inventory ◆ At some work locations this calculation is performed automatically by a computer system
14. ISSUING OFFICER	Sign as issuing official

Federal Plant Export Certificates Issued to Other USDA-APHIS-PPQ Offices

When a controlling official (Export Certification Specialist, Officer-in-charge, State plant health director, or other designated PPQ regulatory official) transfers a block of Federal plant export certificates to another USDA-APHIS-PPQ office under his or her jurisdiction, then the controlling official **must** record the transfer using APHIS 80-R, Export Certification Record, or APHIS Form 47, Transmittal and Receipt for Accountable Items. Federal plant export certificates **must** be transferred to an accountable individual within the receiving USDA-APHIS-PPQ office.

Instructions to Complete APHIS Form 80-R

TABLE 3-11-10 Instructions to Record on APHIS Form 80-R the Transfer of Federal Plant Export Certificates to Other USDA-APHIS-PPQ Offices

Block:	When an APHIS Form 80-R Is Used to Record the Transfer of the Federal Plant Export Certificates, do as follows:
1. FIRM NAME AND ADDRESS	Enter the address of the USDA-APHIS-PPQ office to which the Federal plant export certificates are being transferred
11. RESPONSIBLE AGENT	List the accountable individual's name
12. PHONE NUMBER	List the accountable individual's phone number
13. SERIAL RANGE	List the range of serial numbers for the Federal plant export certificates issued
14. ISSUING OFFICER	List the controlling official's name

Distribution and Maintenance of APHIS Form 80-R

The accountable individual in receiving USDA-APHIS-PPQ field offices **must** maintain APHIS Form 80-R and record all transactions pertaining to the Federal plant export certificates that were transferred. (See ***Step 3: Record Collected User Fees and Prepaid Federal Plant Export Certificates*** on page 3-11-7.)

Important

Two sets of records are kept. One set is kept by the issuing office (either an APHIS Form 80-R or APHIS Form 47); the other is kept by the receiving office where the Federal plant export certificates will be issued (**always** keep APHIS Form 80-R). The issuing office fills in *Block 11* through *Block 14* of APHIS Form 80-R.

Federal Plant Export Certificates Issued to State or County Offices

When a controlling official (Export Certification Specialist, Officer-in-charge, State plant health director, or other designated PPQ regulatory official) transfers a block of Federal plant export certificates to a State or county office under his or her jurisdiction, then the controlling official **must** record the transfer using APHIS Form 47, Transmittal and Receipt for Accountable Items.

Instructions to Complete APHIS Form 47

When an APHIS Form 47 is used to record the transfer of the Federal plant export certificates, then complete the forms as in Table 3-11-11.

TABLE 3-11-11 Complete APHIS Form 47 when a Controlling Official Transfers a Block of Federal Export Certificates

Block:	Instructions:
2. TO	Enter the name and address of the designated State or county official
3. FROM	Enter the name and address of the controlling official
4. ACCOUNTABLE FORMS	Complete as listed below
A. FORM NO.	Enter the form number (PPQ Form 577, PPQ Form 578, or PPQ Form 579)
B. TITLE	Enter the form title (Phytosanitary Certificate; Export Certificate, Processed Plant Products; or Phytosanitary Certificate for Reexport respectively)
C. QUANTITY	Enter the quantity of Federal plant export certificates
D. UNIT OF ISSUE	Enter "Each"
E. SERIAL NOS. (inclusive)	Enter the range (from and through) of serial numbers
7. REMARKS	List the name and phone number of the accountable individual to whom the Federal plant export certificates are transferred
8. SIGNATURE OF CERTIFYING OFFICIAL	Sign
9. TITLE	Enter official title
10. DATE	Enter date of transfer

Include the completed APHIS Form 47 with the Federal plant export certificates being transferred.

Handle Refunds and Credits

If an exporter has a voided or returned unused Federal plant export certificate, then either record a credit due on APHIS Form 80-R or arrange for a refund from USDA-APHIS Financial Management Division, Minneapolis Financial Services Branch (MFSB). The voided or returned unused certificates **must** be filed at the issuing office (accountability point). Returned unused Federal plant export certificates can be reissued.

Important

Only give refunds and credits for Federal plant export certificates that were previously issued from your office.

Never give a refund or a credit for State certificates or certificates issued by other Federal agencies, even though exporters were charged for the documents.

Once a Federal plant export certificate has been issued and the exporter decides **not** to export the commodity, then the user fee is **no** longer refundable. **Do not** refund or credit any of the fee.

If the exporter requests reimbursement for voided or returned unused Federal plant export certificates, then perform the following steps:

1. Accept the voided or unused certificates that are being returned.
2. Make sure that you have the exporter's name, address, social security number (or tax identification number), and phone number.
3. Give the exporter a receipt for the returned certificates using SF 1165. **Only** reimburse $43 per certificate ($50 (value of certificate) - $7 (administrative charge) = $43).
4. Send a message (memo, FAX, or e-mail) to MFSB requesting the refund and include the following information:
   - ❖ Amount to be refunded
   - ❖ Accounting code the payment was posted against
   - ❖ Exporter's name and address
   - ❖ Exporter's phone number
   - ❖ Exporter's Social Security number (or tax identification number)
   - ❖ PPQ contact in case there are questions

   Send the message to the following office:

   USDA-APHIS-FMD, MFSB
   P.O. Box 3334
   Minneapolis, MN 55403
   E-mail: ABSHelpline@aphis.usda.gov
   FAX: 612-370-2293
   Phone: 612-370-2291

Manage Records

Authorized Certification Officials (ACOs) **must** maintain an audit trail since USDA-APHIS-PPQ phytosanitary export certification program is one where money is collected and handled directly. In order to sufficiently maintain an audit trail each issuing office **must** perform the following:

- Monthly Reports
- Annual Maintenance

Monthly Reports

Monthly reporting about Federal plant export certificates issued allows for the following:

- USDA-APHIS, Financial Management Division, User Fee Section in Riverdale, Maryland, is able to track the collected fees and reconcile the funds between the Minneapolis Financial Services Branch (MFSB) and USDA-APHIS-PPQ work units
- USDA-APHIS-PPQ is able to accurately determine the number of certificates issued

Work Units

The Officer-in-charge or State Plant Health Director is accountable for preparing and submitting PPQ Form 575, Monthly Summary of Export Certificates Issued[9]. Complete PPQ Form 575 within 5 working days after the month has ended. Use the instructions on the reverse side of the form along with the following supplemental guidelines:

9 Example of PPQ Form 575 is at the end of these special procedures (see ***Forms Used for Collecting User Fees*** on **page 3-11-26**) and are available for downloading from the following web site address: <http://www.aphis.usda.gov/library/forms>.

TABLE 3-11-12 Instructions for Completing PPQ Form 575

Block:	Instructions:
1. WORK UNIT AND STATION NAME	Enter the name of your work unit and any work station assigned to the work unit
4. TYPE OF CERTIFICATE	Enter in *Blocks 4(A)* through *4(F)*, the total number of certificates purchased and the total dollar amount collected and sent to MFSB for each Federal plant export certificate
	Use *Block 4(B)* to record the number of Federal plant export certificates and related dollar amounts sent to MFSB for those issued to other USDA or government agencies
	Enter in *Blocks 4(G)* through *4(J)* only the number of certificates issued for each type of certificate. **No** fee is collected for these Federal plant export certificates
8. REMARKS	Record in *Block 8* the government agencies to which Federal plant export certificates were issued along with the number of certificates issued to each agency. Federal plant export certificates issued to other agencies are charged at the $23 rate and need to be accounted for on PPQ Form 525. PPQ Agreement Services Center will work with agencies outside the Federal government to develop an interagency agreement to pay for Federal plant export certificates issued to them
	If you had **no** export certification activity during the past month, then send a negative report. Indicate in *Block 8, Remarks*, that this is a negative report
	Record certificates which were pre-purchased at the $50 rate, but qualified for the $23 rate when issued, in *Block 8*. Record the number of certificates originally sold for $50 and the number that qualified for $23

Important

There may be a difference between the number of certificates purchased and the dollar amount sent to MFSB because of the credits given to exporters who prepay for a block of certificates. The credits are recorded when the certificates are used and then are applied against a dollar amount owed when an exporter returns to purchase another block of certificates. A difference should appear **only** in *Block 4(A)* of PPQ Form 575. Record in *Block 8,* the total credit amount applied; **do not** separate credits by exporters.

EXAMPLE

In January, Exporter XYZ prepaid for a block of 10 Federal plant export certificates at $50 each for a total of $500.

At the end of January, 25 Federal plant export certificates were purchased, which included the block of 10 prepaid by Exporter XYZ.

Recorded on PPQ Form 575 for January under *Block 4(A)* is 25 for the number purchased, and $1,250 for the amount sent to MFSB (25 certificates x $50 each).

In April, Exporter XYZ prepaid for another block of 10 Federal plant export certificates at $50 each for a total of $500.

After checking the APHIS 80-R, you notice that 2 certificates from the January block qualified for the $23 rate when a credit of $27 each was given, and 1 certificate was issued under reimbursable overtime when a credit of $43 was given. Currently, Exporter XYZ has a credit balance of $97 ($27 + $27 + $43). Therefore, you charge Exporter XYZ $403 for the block of 10 certificates ($500 - $97).

At the end of April, 30 Federal plant export certificates were purchased, which included the second block of 10 certificates prepaid by Exporter XYZ.

Recorded on PPQ Form 575 for April under *Block 4(A)* is 30 for the number purchased, and $1,403 for the amount sent to MFSB (30 x $50 - $97 credit). Record in *Block 8,* an explanation of why there is a difference between the number purchased and the dollar amount sent to MFSB.

Forward the completed, original PPQ Form 575 to your Regional Office.

Regional Office

The regional office is responsible for collecting all original PPQ Forms 575 from their work units and preparing a cover memorandum. The regional office will do the following:

1. Monitor receiving an original PPQ Form 575 from each work unit within the region before the 20th of each month.
2. Prepare a cover memorandum to forward the PPQ Forms 575 to USDA-APHIS, Financial Management Division (FMD), User Fee Section in Riverdale, Maryland. The memorandum should include the statement "This is to transmit all monthly summaries of export certificates issued for the month of *[name of month]*."
3. Forward all of the original PPQ Forms 575 received from the work units along with the cover memorandum to the following address by the 20th of each month:

   USDA-APHIS-FMD, User Fee Section
   4700 River Road Unit 55
   Riverdale, MD 20737
   ATTN: Donna Ford

User Fee Section

USDA-APHIS-FMD, User Fee Section summarizes the information received from the regions and provides Export Services with an annual summary of export certification activities.

Important

Work units should **not** report the number of Federal plant export certificates issued on the WADS system. The annual summary prepared by the User Fee Section replaces the WADS system for tracking export certification activities.

Annual Maintenance

Collect and maintain records and files as follows:

1. Collect the issuing office copies of both APHIS Form 80-R and APHIS Form 94 used to send user fee money for Federal plant export certificates listed on APHIS Form 80-R.
2. Highlight on APHIS Form 94 the amounts that pertain to Federal plant export certificates listed on APHIS Form 80-R.
3. Attach the associated Federal plant export certificates and APHIS Form 94 to the corresponding APHIS Form 80-R.
4. File the assembled records for the current fiscal year (October 1 to September 30). After closing out a fiscal year, the records **must** be stored on site for 2 complete fiscal years, plus the current fiscal year.
5. At the end of the third year (1 year in current files, 2 years in storage on site), send those records stored the longest to a Federal Archives and Records Center for storage and final disposition. Follow the directions in the *APHIS Records Management Handbook* when performing the following tasks:
   - **A.** Completing SF-135, Records Transmittal and Receipt
   - **B.** Locating the appropriate Federal Archives and Records Center
   - **C.** Retiring records to Federal Archives and Records Center
   - **D.** Shipping records to Federal Archives and Records Center

EXAMPLE

At the end of Fiscal Year 2004, you should have both the records for Fiscal Years 2002 and 2003 in storage on site. All records for Fiscal Year 2002 should then be sent to a Federal Archives and Records Center for further storage and final disposition.

Forms Used for Collecting User Fees

ACOs should have the following official forms to collect and maintain user fees for issued Federal plant export certificates[10]:

- APHIS Form 47, Transmittal and Receipt for Accountable Items (for transferring accountability of Federal plant export certificates) (see **Figure 3-11-12 on page 3-11-27**)
- APHIS Form 80-R, Export Certification Record (for tracking issued Federal plant export certificates) (see **Figure 3-11-13 on page 3-11-28**)
- APHIS Form 94, Record of Public Funds Received (for remitting fees to a lock box) (see **Figure 3-11-14 on page 3-11-29**)
- PPQ Form 575, Monthly Summary of Export Certificates Issued (for reporting results) (See **Figure 3-11-15 on page 3-11-30**)
- SF Form 1164, Claim for Reimbursement for Expenditures on Official Business
- SF Form 1165 (book of blank receipts)

10 Example of APHIS and PPQ listed forms are at the end of these special procedures (see ***Forms Used for Collecting User Fees*** on **page 3-11-26**) and are available for downloading from the following web site address: <http://www.aphis.usda.gov/library/forms>.

APHIS Form 47, Transmittal and Receipt for Accountable Items

USDA-APHIS

TRANSMITTAL AND RECEIPT FOR ACCOUNTABLE ITEMS

1. DATE PREPARED

ISSUING OFFICE: Complete applicable items 1 through 9. Original and one copy to accompany the items to the receiving office. Retain one copy.
RECEIVING OFFICE: Complete items 11 through 15 and return original to issuing office in item 3.

2. TO:

3. FROM:

4. ACCOUNTABLE FORMS ENCLOSED

A. FORM NO.	B. TITLE	C. QUANTITY	D. UNIT OF ISSUE	E. SERIAL NOS. *(Inclusive)* FROM	THROUGH
SF-1103	U.S. Government Bill of Lading				
AD-107	Report of Transfer or Other Disposition of Construction of Property - For Sales				
APHIS-89	Report of Reimbursable Inspection and Quarantine Service				
	Identification Card				

5. CREDIT CARDS - LICENSE PLATES ENCLOSED

A. TYPE	B. NAME OF ISSUING COMPANY	C. NO. ENCLOSED	D. CREDIT CARD OR LICENSE PLATE NOS. FROM	THROUGH
Telephone Toll Credit Card				
Auto Rental Credit Card				
GSA National Credit Card (Service station use) (Return expired credit cards being replaced)				
License Plates				
APHIS Decals				

6. ACCOUNTABLE ITEMS

A. DESCRIPTION	B. QUANTITY	C. SERIAL NOS. *(Inclusive)* FROM	THROUGH

7. REMARKS

8. SIGNATURE OF ISSUING OFFICIAL	9. TITLE	10. DATE

ACKNOWLEDGMENT OF RECEIPT
I acknowledge receipt of the above items except as noted in item 11 below.

11. EXCEPTIONS

12. "X" IF EXPIRED CREDIT CARDS ARE ATTACHED ☐	13. SIGNATURE OF ACCOUNTABLE OFFICER	14. TITLE	15. DATE RECEIVED

APHIS FORM 47
(APR 2001)

Previous editions may be used.

FIGURE 3-11-12: Example of APHIS Form 47, Transmittal and Receipt for Accountable Items (blank)

APHIS Form 80-R, Export Certificate Record

EXPORT CERTIFICATE RECORD

1. FIRM NAME AND ADDRESS	2. PREPAYMENT DATE	3. CHECK IDENTIFICATION NUMBER

4. Certificates	6. x $50	6. Total	7. Credit Brought Forward d	8. Credit used this page	9. Credit Balance	10. Amount Paid

11. RESPONSIBLE AGENT	12. PHONE NUMBER	13. SERIAL RANGE	14. ISSUING OFFICER

CERTIFICATE RETURNED *(Check appropriate box)*

15. SERIAL NUMBER	16. DATE	17. SIGNED	18. CR $43 REISSUED	19. CR $43 VOID/ UNUSED	20. CR $43 REIMBURSABLE OVERTIME	21. CR $27 NON COMM OR LOW VALUE	22. CREDIT DUE	23. INITIALS
TOTALS			24. CR $43 X $	25. CR $43 X $	26. CR $43 R O/T X $	27. CR $27 X $	28. TOTAL CREDIT DUE $	29. PREVIOUS CREDIT BALANCE $

TOTAL CREDIT TO BE BROUGHT FORWARD $

APHIS FORM 80-R (MAR 96) *(Local Reproduction Authorized)*

PAGE _____ OF _____

FIGURE 3-11-13: Example of APHIS Form 80-R, Export Certificate Record (blank)

APHIS Form 94, Record of Public Funds Received

RECORD OF PUBLIC FUNDS RECEIVED USDA-APHIS

1. TRANSMITTAL NO.

INSTRUCTIONS: See page two. For detailed instructions refer to APHIS Budget and Accounting Manual.

2. DATE FORWARDED

3. TO
USDA-APHIS
P.O. Box 952180
St. Louis, MO 63195-2180

4. FROM

5. DATE RECEIVED	6. FOR MRP-BS-MBS USE ONLY	7. AMOUNT	8. REMITTER	9. PURPOSE/ACCOUNTING CODE

PPQ Form 575, Monthly Summary of Export Certificates Issued

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

MONTHLY SUMMARY OF EXPORT CERTIFICATES ISSUED

1. WORK UNIT NAME AND STATION NAME	2. REGION 3. MONTH AND YEAR

4. TYPE OF CERTIFICATE	NUMBER		DOLLAR AMOUNT COLLECTED AND FORWARDED TO ASD
	PURCHASED	ISSUED	
A. Commercial Phytosanitary Certificates invoiced valued at or greater than $1,250 (PPQ Form 577)			$
B. All Non-commercial & Commercial Phytosanitary Certificates invoiced valued less than $1,250 (PPQ Form 577)			$
C. Export Certificate, Processed Plant Products (PPQ Form 578)			$
D. Commercial Phytosanitary Certificates for Re-export (PPQ Form 579)			$
E. Commercial Phytosanitary Certificates for Re-export invoiced valued at less than $1,250 (PPQ Form 579)			$
F. Re-issued Certificates (Non-prepaid)			$
G. Re-issued Certificates (Prepaid)			
H. Number of Voided or Unused Certificates			
I. Number of Certificates Issued under Non Contiguous Reimbursable Overtime			
J. Number of State and County Issued Certificates PPQ Form 577_____ PPQ Form 578_____ PPQ Form 579_____			

CERTIFICATION

I certify that the foregoing Export Certificates were purchased or issued during the month of _____ and all monies collected were forwarded to MRP Business Services, ASD, Minneapolis.

5. SIGNATURE	6. PRINT NAME AND TITLE *(PD or Designee)*	7. DATE

8. REMARKS

NEGATIVE REPORT

I certify that the foregoing Export Certificates were purchased or issued during the month of _____ and all monies collected from previous certificates have been forwarded to MRP Business Services, ASD, Minneapolis.

9. SIGNATURE	10. PRINT NAME AND TITLE (PD or Designee)	11. DATE

PPQ FORM 575
JAN 2002

☐ **PART 1-APHIS USER FEES BRANCH** ☐ **PART 2-WORK UNIT** ☐ **PART 3-REGIONAL OFFICE**

FIGURE 3-11-15: Example of PPQ Form 575, Monthly Summary of Export Certificates Issued

Quick Reference Guides for Applying User Fees

QUICK REFERENCE GUIDE FOR APPLYING USER FEES--INITIAL ISSUE CERTIFICATES

(See reverse side for reissued certificates)

Certifying officials may use this Quick Reference Guide to quickly determine the user fee charge when responding to questions. More detailed guidelines on how to document and process each transaction is detailed in Appendix A of the Export Certification Manual.

If your time status is:	And the requested certificate is:	And the status of the shipment is:	Then the user fee charge is:	Actions for each **nonprepaid** certificate:	Actions for each **prepaid** certificate:
Regular tour of duty (TOD) or contiguous reimbursable overtime (ROT)	PPQ 577	Commercial valued more than $1,250	$30	1. COLLECT $30 2. COMPLETE Blocks 15, 16, 17 (enter $30), 23 of APHIS 80-R (Export Certificate Record) 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
		Commercial valued at or less than $1,250	$19	1. COLLECT $19 2. COMPLETE Blocks 15, 16, 17 (enter $19), 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 21, 22 (enter $11), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in BLock 12
		Noncommercial			
	PPQ 578		$30	1. COLLECT $30 2. COMPLETE Blocks 15, 16, 17 (enter $30), 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
	PPQ 579	Commercial valued more than $1,250			
		Commercial valued at or less than $1,250	$19	1. COLLECT $19 2. COMPLETE Blocks 15, 16, 17, 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 21, 22 (enter $11), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
		Noncommercial	No charge	1. COMPLETE Blocks 15, 16, 17 (enter "N/C"), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18-21 (enter "N/C, Non-commercial Reexport"), 22 (enter $24), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
Noncontiguous ROT	PPQ 577		No charge because you're conducting the work on ROT	1. COMPLETE Blocks 15, 16, 17, 18-22 (enter "Issued on ROT"), 23 of APHIS 80-R 2. CHARGE ROT on APHIS 89, recording certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 20, 22 (enter $24), 23 of APHIS 80-R 2. CHARGE ROT on APHIS 89, recording certificate's serial number in Block 12
	PPQ 578				
	PPQ 579	Commercial			
		Noncommercial			

FIGURE 3-11-16: Quick Reference Guide for Applying User Fees–Initial Use Certificates

QUICK REFERENCE GUIDE FOR APPLYING USER FEES--REISSUED CERTIFICATES

(See reverse side for initial issue certificates)

If your time status is:	And the error is the responsibility of:	And the requested certificate is:	And the status of the shipment is:	Then the user fee charge is:	Actions for each **nonprepaid** certificate:	Actions for each **prepaid** certificate:
Regular tour of duty (TOD) or contiguous reimbursable overtime (ROT)	PPQ			No charge	1. On the APHIS 80-R which lists the erroneous certificate: a. SCRATCH through the number of the erroneous certificate in Block 15 b. ENTER in Block 15 the number of the replacement certificate c. FILE the voided certificate at the issuing office 2. On the APHIS 80-R which lists a new certificate: COMPLETE Blocks 15, 16, 17 (enter "N/C"), 18-22 (enter "PPQ issuing error, replace certificate #____," and show company's name), 23 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	**FROM THE EXPORTER's STOCK:** 1. On the APHIS 80-R which lists the erroneous certificate: a. SCRATCH through the entire line b. ENTER "Voided due to PPQ error" in the margin c. FILE the voided certificate at the issuing office 2. On the APHIS 80-R which lists a new certificate: COMPLETE Blocks 16, 17-21 (enter "PPQ issuing error"), 22 (enter $30), 23 **FROM YOUR STOCK:** FOLLOW the actions listed for nonprepaid certificates
	The exporter or their representative	PPQ 577	Commercial valued more than $1,250	• $6 for the first reissued certificate; • $30 for multiple certificates*	1. COLLECT $6 and $30, if appropriate 2. COMPLETE Blocks 15, 16, 17 (enter $6/$30), 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18, 22 (enter $24 and then no credit, if appropriate), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in BLock 12
			Commercial valued at or less than $1,250	• $6 for the first reissued certificate; • $19 for multiple certificates*	1. COLLECT $6 and $19, if appropriate 2. COMPLETE Blocks 15, 16, 17 (enter $6/$19), 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18, 22 (enter $24 and then enter $11, if appropriate), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
			Noncommercial			
		PPQ 578		• $6 for the first reissued certificate; • $30 for multiple certificates*	1. COLLECT $6 and $30, if appropriate 2. COMPLETE Blocks 15, 16, 17 (enter $6/$30), 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18, 22 (enter $24 and then no credit, if appropriate), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
		PPQ 579	Commercial valued more than $1,250			
			Commercial valued at or less than $1,250	• $6 for the first reissued certificate; • $19 for multiple certificates*	1. COLLECT $6 and $19, if appropriate 2. COMPLETE Blocks 15, 16, 17 (enter $6/$19), 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18, 22 (enter $24 and then enter $11, if appropriate), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
			Noncommercial	No charge	1. COMPLETE Blocks 15, 16, 17 (enter "N/C"), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18-21 (enter "N/C, Noncommercial Reexport"), 22 (enter $24), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
Noncontig-uous ROT	PPQ			No charge because you're conducting the work on ROT	1. COMPLETE Blocks 15, 16, 22 (enter "PPQ issuing error"), 23 of APHIS 80-R 2. CHARGE ROT on APHIS 89, recording certificate's serial number in Block 12	1. COMPLETE Blocks 16, 22 (enter $30), 23 of APHIS 80-R 2. CHARGE ROT on APHIS 89, recording certificate's serial number in Block 12
	The exporter or their representa-tive	PPQ 577		No charge because you're conducting the work on ROT	1. COMPLETE Blocks 15, 16, 17, 18-22 (enter "Issued on ROT"), 23 of APHIS 80-R 2. CHARGE ROT on APHIS 89, recording certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 20, 22 (enter $24), 23 of APHIS 80-R 2. CHARGE ROT on APHIS 89, recording certificate's serial number in Block 12
		PPQ 578				
		PPQ 579	Commercial			
			Noncommercial			

* When multiple certificates are requested to replace one certificate, see page A-12 of the Export Certification Manual for a detailed explanation.

FIGURE 3-11-17: Quick Reference Guide for Applying User Fees–Reissued Certificates

A

Export Certification Manual

Appendix A

EXCERPT Emergency Response Plan

Contents

Introduction **page A-1-1**
Notification of the Plan **page A-1-1**
Responsibilities of Emergency Response Locations **page A-1-2**
List of Emergency Response Locations **page A-1-3**

Introduction

This appendix contains guidance for activating EXCERPT's Emergency Response Plan (the Plan), the responsibilities of emergency response locations, and a list of those locations.

The Plan is designed to continue supplying export summary information to ACOs while EXCERPT **cannot** be accessed because of a total system shutdown. The Plan is activated by Export Services using an e-mail notification and is utilized until EXCERPT is returned to online status.

The Plan provides the responsibilities of notification and of emergency response locations (delegated to provide backup export summary information during a total system shutdown), and contacts for ACOs.

The Plan allows for the Center for Environmental and Regulatory Information Systems (CERIS) of Purdue University to provide emergency response locations with a backup CD-ROM (CD) containing export summaries. Designated contacts at each emergency response location should be prepared to load the backup CD into a local computer.

While the Plan is activated, ACOs need to contact their emergency response location to obtain export summary information. ACOs should limit their inquires to immediately needed information. Requests for routine information should be processed after the Plan is deactivated.

Notification of the Plan

When the Plan is activated, the following notification procedures will be followed:

1. CERIS will notify Export Services and private industry when EXCERPT totally shuts down.
2. Export Services will use USDA-APHIS-PPQ's electronic bulletin board to notify ACOs when EXCERPT totally shuts down and the Plan is to be activated.
3. Export Certification Specialists (ECSs) and supervisors will notify those ACOs under their jurisdiction who lack access to USDA-APHIS-PPQ's electronic bulletin board.
4. CERIS will provide backup CDs to emergency response locations on a regular basis, at least monthly.
5. CERIS will notify Export Services and private industry when EXCERPT is returned to online status.
6. Export Services will use USDA-APHIS-PPQ's electronic bulletin board to notify ACOs when EXCERPT is returned to online status.

Responsibilities of Emergency Response Locations

Emergency response locations include both Federal and State offices in the field delegated to provide backup export summary information during a total system shutdown. USDA-APHIS-PPQ regional directors will designate personnel and locations based on the need to provide adequate emergency service when the Plan is activated.

Emergency response locations are responsible for the following:

1. Have the following resources available when the Plan is activated:
   - **A.** Computer with word processing software
   - **B.** Phone
   - **C.** Knowledgeable EXCERPT user to answer inquiries
   - **D.** Computer printer (optional)
   - **E.** FAX machine (optional)
2. Designated response personnel to load each backup CD into the designated computer for access **only** when the Plan is activated.

List of Emergency Response Locations

While the Plan is activated, ACOs need to contact their emergency response location to obtain export summary information. ACOs should limit their inquiries to immediately needed information. Requests for routine information should be processed after the Plan is deactivated.

Contact the designated emergency response location that services your work location. If you **do not** get a response, then contact any other location listed within the USDA-APHIS-PPQ region.

See Figure A-1-1 for emergency response locations in the Eastern Region. See Figure A-1-2 for emergency response locations in the Western Region.

Emergency Response Locations in the Eastern Region	Designated Response Personnel	Phone and FAX numbers	Coverage
USDA-APHIS-PPQ 920 Main Campus Drive Suite 200 Raleigh, NC 27606	Laney Campbell	Phone 919-855-7314 FAX 919-855-7391 Cell 919-637-2201	USDA-APHIS-PPQ Eastern region
USDA-APHIS-PPQ 1498 Klondike Road Suite 200 Conyers, GA 30094	Michael McDonald	Phone 770-922-9894 FAX 770-922-4079 Cell 770-490-5078	Alabama Georgia Mississippi
USDA-APHIS-PPQ 930 Main Campus Drive Suite 200 Raleigh, NC 27606	Susan Kostelecky	Phone 919-855-7602 FAX 919-835-0317 Cell 919-522-6273	North Carolina South Carolina
USDA-APHIS-PPQ Miami Inspection Station 3500 NW 62nd Avenue Miami, FL 33122	Rodolfo Castaneda	Phone 305-526-2825 FAX 305-871-4205	Florida Puerto Rico
FDOACS P.O. Box 147100 Gainesville, FL 32614	Tyson Emery	Phone 352-372-3505 x155 FAX 352-334-3816	Florida
USDA-APHIS-PPQ 2300 East Devon Suite 222 Des Plaines, IL 60018	Jeff Davidson	Phone 847-299-6939 FAX 847-299-6046	Illinois Michigan Minnesota Wisconsin

FIGURE A-1-1: List of Emergency Response Locations in the Eastern Region

Emergency Response Locations in the Eastern Region	Designated Response Personnel	Phone and FAX numbers	Coverage
USDA-APHIS-PPQ 1 Winners Circle Suite 203 Albany, NY 12205	Bruce McDowell	Phone 518-438-3896 FAX 518-438-7675	Connecticut Maine Massachusetts New Hampshire New York Rhode Island Vermont
MD Dept. of Agriculture 50 Harry S. Truman Parkway Annapolis, MD 21401	Matt Travis	Phone 410-841-5920 FAX 410-841-5835	Delaware Maryland Pennsylvania West Virginia
USDA-APHIS-PPQ 1005 Beaver Grade Road P.O. Box 1156 Coraopolis, PA 15108-1005	Tim Hall	Phone 412-299-0462 FAX 412-299-9370	Maryland Delaware Pennsylvania New Jersey
USDA-APHIS-PPQ 8001 Centerview Parkway Cordova, TN 38018	Kathleen Henry	Phone 901-309-6434 FAX 901-309-8670	Indiana Kentucky Tennessee
USDA-APHIS-PPQ 2702 Charles City Road Richmond, VA 23231-4536	Joy Brown	Phone 804-275-7493 FAX 804-275-8973	Ohio Virginia West Virginia

FIGURE A-1-1: List of Emergency Response Locations in the Eastern Region (continued)

Emergency Response Locations in the Western Region	Designated Response Personnel	Phone and FAX numbers	Coverage
USDA-APHIS-PPQ 2150 Centre Ave., Bldg. B Ft. Collins, CO 80526	Robert Bailey	Phone 970-494-7569 FAX 970-494-7501	USDA-APHIS-PPQ Western region
USDA-APHIS-PPQ 320 N. Main Street Room 119 McAllen, TX 78501	Vacant	Phone 901-309-6434 FAX 901-309-8670	Texas
USDA-APHIS-PPQ 423 Canal Street Room 312 New Orleans, LA 70130	Adelaide Short	Phone 504-589-6731 FAX 504-589-6726	PPQ and State cooperators in Arkansas Louisiana Missouri
USDA-APHIS-PPQ 3658 E. Chipman Road Phoenix, AZ 85040	Tessie Williams	Phone 602-431-8930 ext. 211 FAX 602-438-0977	Arizona Nevada New Mexico Utah
CDFA Pest Exclusion Branch 1220 North Street Room A-372 Sacramento, CA 95814	Brian Cahill	Phone 916-653-1440 Fax 916-654-0986	California (northern)
CDFA Pest Exclusion Branch 2889 N. Larkin Avenue Suite 101 Fresno, CA 93727	Abel Valenzuela	Phone 209-445-5033 FAX 209-445-6880	California counties of Amador, Calaveras, Fresno, Inyo, Kern, Kings, Madera, Mariposa, Merced, Mono, Monterey, San Benito, San Joaquin, Stanislaus, Tulare, Tuolumne
CDFA Pest Exclusion Branch 13915 Saticoy Street Van Nuys, CA 91402 CDFA Pest Exclusion Branch 7845 Lemon Grove Way Lemon Grove, CA 91945	Nawal Sharma John Blasius	Phone 818-901-7242 FAX 818-901-1424 Phone 619-698-1046 FAX 619-698-1347	California counties of Imperial, Los Angeles, Orange, Riverside, San Bernardino, San Diego, San Luis Obispo, Santa Barbara, Ventura
USDA-APHIS-PPQ 11 Golden Shore Suite 200 Long Beach, CA 91945	Eddie Lugo	Phone 562-499-6200 ext. 122 FAX 562-499-6008	California counties of Long Beach and Orange

FIGURE A-1-2: List of Emergency Response Locations in the Western Region

Emergency Response Locations in the Western Region	Designated Response Personnel	Phone and FAX numbers	Coverage
USDA-APHIS-PPQ 11840 S. La Cienega Blvd. Hawthorne, CA 90250	Musa Abdelshife	Phone 310-725-1944 FAX 310-725-1922	California counties of Los Angeles, San Luis Obispo, Santa Barbara, Ventura
USDA-APHIS-PPQ Plant Inspection Station 389 Oyster Point Blvd. Suite 2 San Francisco, CA 94080	Mike Telson	Phone 650-867-9093 FAX 650-867-9008	California counties of Alameda, Alpine, Amador, Butte, Calaveras, Colusa, Contra Costa, Del Norte, El Dorado, Fresno, Glenn, Humboldt, Kern, Kings, Lake, Lassen, Madera, Marin, Mariposa, Mendocino, Merced, Modoc, Monterey, Napa, Nevada, Placer, Plumas, Sacramento, San Benito, San Francisco, San Joaquin, San Mateo, Santa Clara, Santa Cruz, Shasta, Sierra, Siskiyou, Solano, Sonoma, Stanislaus, Sutter, Tehama, Trinity, Tulare, Tuolumne, Yolo, Yuba
ODA 635 Capitol Street NE Salem, OR 97310-0110	Lorri Cooper	Phone 503-986-4594 FAX 503-986-4737	Oregon
USDA-APHIS-PPQ 6135 NE 80th Avenue Suite A-5 Portland, OR 97218-4033	Craig Southwick	Phone 503-326-2914 FAX 503-326-2969	Oregon
Washington State Dept. of Agriculture Commodity Division P.O. Box 42560 Olympia, WA 98504-2560	Jim Quigley	Phone 360-902-1833 FAX 360-902-2085	Alaska Washington
USDA-APHIS-PPQ P.O. Box 81866 Lincoln, NE 68501	Roy Roggenbuck	Phone 402-434-2333 FAX 402-434-2330	Colorado Iowa Kansas Nebraska Oklahoma

FIGURE A-1-2: List of Emergency Response Locations in the Western Region (continued)

Emergency Response Locations in the Western Region	Designated Response Personnel	Phone and FAX numbers	Coverage
IDA P.O. Box 790 Boise, ID 83701	Michael Cooper	Phone 208-332-8620 FAX 208-334-2283	Idaho
USDA-APHIS-PPQ 1710 S 24th Avenue Yakima, WA 98902	Paul McCarthy	Phone 509-249-5568 FAX 509-249-5570	Alaska Washington
USDA-APHIS-PPQ 9134 West Blackeagle Dr. Boise, ID 83709	Curt Thornburg	Phone 208-378-5797 FAX 208-378-5794	Idaho Montana North Dakota South Dakota Wyoming
USDA-APHIS-PPQ 1308 Robin Hood Drive Suite 20 Stockton, CA 95207	Holly Pyle	Phone 209-472-1077 FAX 209-472-1074	California Hawaii

FIGURE A-1-2: List of Emergency Response Locations in the Western Region (continued)

B

Export Certification Manual

Appendix B

Forms

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Introduction

This appendix includes official forms that are used as part of the phytosanitary export certification process that Authorized Certification Officials (ACOs) or exporters may complete (wholly or partially), sign, and distribute. In the interest of legibility, the forms in this appendix have been typed; however, most forms may be completed by legibly hand printing in ink.

Important

These forms are supplemental to the Federal plant export certificates that ACOs issue for certifiable plants and plant products offered for export.

Directions for completing, endorsing, distributing, and maintaining Federal plant export certificates are located under *Procedures,* ***Export Certificates*** on **page 2-5-1**.

APHIS Form 7060, Official Warning, Violation of Federal Regulations

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

OFFICIAL WARNING
VIOLATION OF FEDERAL REGULATIONS

CASE NO.

VIOLATOR

ADDRESS *(Street, City, State, Zip Code)*

The Department of Agriculture has evidence that on or about _____, 19_ you or your organization committed the following violation of Federal Regulations:

Titles 7 & 9 Code of Federal Regulations were promulgated to help prevent the spread of animal and plant pests and diseases and assure the humane treatment of animals. Since the violations of the regulations can have serious and costly impact detrimental to the public interest, you are warned of this violation. Any further violation of these regulations may result in the assessment of a civil penalty or criminal prosecution. If you have any questions concerning this warning or violation, please contact the listed APHIS official.

APHIS OFFICIAL *(Name, Title)*

OFFICE ADDRESS:

SIGNATURE

DATE ISSUED

TELEPHONE NO. AC ( )

FOR PERSONAL SERVICE - RECEIVED BY: *(Name and signature)*

DATE RECEIVED:

FOR CERTIFIED MAIL - RECEIPT NO:

APHIS FORM 7060 Previous editions may be used 3222 Greenberg Rev. 07/06/1999

FIGURE B-1-1 Example of APHIS Form 7060, Official Warning, Violation of Federal Regulations (blank)

Purpose of APHIS Form 7060

APHIS Form 7060, Official Warning, Violation of Federal Regulations, is issued by USDA-APHIS-PPQ Officers-in-Charge when the violation **does not** warrant further action and **only** after consultation with local or regional Investigative and Enforcement Services (IES) officials. USDA-APHIS-PPQ Officers-in-Charge use APHIS Form 7060 to do the following:

- Inform the exporter or agent of the violation
- Advise the exporter or agent of the correct procedure to follow for making changes to a Federal plant export certificate
- Inform the exporter or agent of the consequences for failing to follow procedures

APHIS Form 7060 may be used instead of pursuing an investigation for the following prohibited practices that could result in a foreign government rejecting a Federal plant export certificate and therefore rejecting the shipment. These prohibited practices should **not** warrant a criminal investigation, and unless an attempt to defraud is apparent, these first-time violations would warrant issuance of APHIS Form 7060.

- Addition of a letter of credit or other commercial reference
- Corrections to the number (generally **only** decreases) and description of packages, or distinguishing marks
- Correction to or deletion of botanical names of plants
- Correction to the means of conveyance
- Correction to the name of the exporter or consignee
- Decrease in the quantity declared

If the exporter is apparently seeking certification of a shipment that has **not** been inspected, then APHIS Form 7060 **cannot** be used.

Instructions to Complete APHIS Form 7060

See Table B-1-1 on page B-1-4 for instructions on how to complete APHIS Form 7060.

Important

If APHIS Form 7060 is issued, then **no** further action may be taken by IES on the incident.

TABLE B-1-1 Instructions to Complete APHIS Form 7060, Official Warning, Violation of Federal Regulations

If the block is:	Then follow these instructions to complete APHIS Form 7060:
Case No.	Leave blank; for IES use
Violator	List the name of the violator and/or company
Address	List the violator's street address, city, state, and zip code
Description of Violation	◆ In the pre-printed statement, fill in the date of the violation ◆ Briefly describe the certification violation **EXAMPLE** Unauthorized change made to a Federal phytosanitary certificate that is in violation of 7CFR Part 353 and may be prosecuted under Plant Protection Act (7USC 7701) and other applicable laws.
APHIS Official	Enter the name and title of the USDA-APHIS-PPQ official that will sign the APHIS Form 7060
Office Address	Enter the USDA-APHIS-PPQ official's office address and phone number
Signature	USDA-APHIS-PPQ official signs
Date Issued	List the date the APHIS Form 7060 was signed
For Personal Service - Received By	List the name and signature of the violator's receiving official (violator entry)
Date Received	List the date APHIS Form 7060 is received by the violator (violator entry)
For Certified Mail - Receipt No.	List the certified mail receipt number for APHIS Form 7060

Distribution of APHIS Form 7060

Before issuing the completed APHIS Form 7060 to the violator, make two copies of the form. Send via FAX or mail, one copy to the local or regional IES official[1] and one copy to IES headquarters at the following address:

USDA-APHIS-IES
ATTENTION: Alan Christian, Director
4700 River Road, Unit 85
Riverdale, Maryland 20737
FAX: 301-734-4328
Phone: 301-734-8684

1 For local and regional IES contacts, see web site address: <http://www.aphis.usda.gov/ies/contacts.html>

PPQ Form 519, Compliance Agreement

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE PROGRAMS

COMPLIANCE AGREEMENT

1. NAME AND MAILING ADDRESS OF PERSON OR FIRM	2. LOCATION
Continental Cotton Warehouse P.O. Box 1330 Memphis, TN	3440 Fountain Blvd. Memphis, TN (615) 555-3434

3. REGULATED ARTICLE(S)
Cotton Bales

4. APPLICABLE FEDERAL OR STATE COOPERATIVE DOMESTIC QUARANTINE(S) OR REGULATIONS	5. WILL RECEIVE FOREIGN SHIPMENTS
7 CFR 353	YES NO Branch offices to receive foreign shipments are indicated by asterisk on attachment

6. I/We agree to the following:

That in authorizing and participating in the treatment of uniform universal density compressed baled cotton as a basis for the certification of regulated articles, no liablity shall be attached either to the United States Department of Agriculture, to cooperating agencies, or to any of their employees in the event of injury to the property or the regulated articles; to handle, process, and move regulated articles in accordance with the provisions of applicable plant and pest quarantines; to use all permits and certificates in accordance with instructions; to maintain and offer for inspection such records as may be required; to carry out all additional conditions, treatments, procedures, precautions, and sanitary measures which may be required by the Plant Protection and Quarantine (PPQ) Officer in the following stipulations:

A. To only export COTTON requiring phytosanitary certification in bales compressed to universal density.
B. To visually inspect each shipment to ascertain that the bales are free from living insects, cottonseed, soil, or other contaminants.
C. To load only clearly marked bales that have been kept segregated from uncompressed cotton into clean containers.
D. To maintain files of shipping documents showing the number of bales, marks, and the signature of the manager or their or their authorized agent. Such files will be available for inspection upon request by federal or state plant regulatory officials.
E. To contact PPQ prior to an expected shipping date by using a PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, for each shipment.
F. Compliance agreements are non-transferable. If the individual leaves his/her present employer or company, he/she must notify the local USDA office promptly. With the signature below, the person undertakes the responsibility for compliance for all consitions in the Compliance Agreement for all persons he/she directly supervises who may be involved with the regulated articles.
G. (List other conditions as required).

7. SIGNATURE	8. TITLE	9. DATE SIGNED
	Manager	December 4, 2001

The affixing of the signatures below will validate this agreement which shall remain in effect until cancelled, but may be revised as necessary or revoked for noncompliance.

10. AGREEMENT NO.

11. DATE OF AGREEMENT

12. PPQ OFFICIAL (Name and Title)	13. ADDRESS
Robert Willis, Officer-In-Charge	USDA, APHIS, PPQ 3240 Lee Highway Brentwood, TN 38000
14. SIGNATURE	
15. STATE AGENCY OFFICIAL (Name and Title)	16. ADDRESS
William J. Jones, Director	Tennessee Department of Agriculture Plant Industries Division 440 Garfield Place
17. SIGNATURE	Nashville, TN 31000

PPQ FORM 519
AUG. 1977

REPLACES PPQ 274, 519, 560, AND AQI 83, WHICH ARE OBSOLETE

* SUPERCEDES PREVIOUS AGREEMENTS

FIGURE B-1-2: Example of PPQ Form 519, Compliance Agreement

Purpose of PPQ Form 519

PPQ Form 519, Compliance Agreement, is used to formalize agreements and to provide signed, written agreement of methods, conditions, and procedures necessary for compliance with regulations. PPQ Form 519 has a variety of uses in both domestic and foreign quarantine programs. PPQ Form 519 is also used to submit as evidence for violation cases.

Instructions to Complete PPQ Form 519

Review compliance agreements at least annually, but preferably twice a year. Amend compliance agreements as appropriate.

Any oral cancellation of a compliance agreement **must** be confirmed in writing as soon as possible. The establishment has 10 days to appeal the cancellation. Appeals **must** be made to USDA-APHIS-PPQ Deputy Administrator.

Complete PPQ Form 519 as instructed in Table B-1-1. See also ***Compliance Agreements for Compressed, Baled Cotton*** on **page 3-2-1**.

TABLE B-1-1: Instructions to Complete PPQ Form 519, Compliance Agreement

Block	Instructions
1. NAME AND MAILING ADDRESS	List the name and mailing address of the person or establishment with whom the agreement is being made
2. LOCATION	List the location of the specific property(ies) for which the agreement is signed
3. REGULATED ARTICLE(S)	List the specific regulated articles to which the agreement applies, such as "Cotton Bales"
4. APPLICABLE FEDERAL OR STATE COOPERATIVE DOMESTIC QUARANTINE(S) OR REGULATIONS	List the legislative titles, parts, and subparts for the regulated articles, such as "7CFR 353"
5. WILL RECEIVE FOREIGN SHIPMENTS	Circle Yes or No based on the warehouse
6. I/WE AGREE TO THE FOLLOWING	1. Outline the stipulations which apply to the establishment for each XX or regulation affecting the establishment 2. Make clear to the establishment that stipulations in the compliance agreement **do not** preclude compliance with other sections of a quarantine or regulation 3. If there is **not** enough space to list the stipulations, then write "See attached sheets" (attach the sheets to the original PPQ Form 519 and all its copies)
7. SIGNATURE	Have the responsible official of the establishment sign
8. TITLE	List the responsible official's title
9. DATE SIGNED	List the date the establishment official signed the agreement
10. AGREEMENT NO.	Assign a compliance agreement number
11. DATE OF AGREEMENT	List the date of the agreement
12. PPQ OFFICIAL (NAME AND TITLE)	List the name and title of the USDA-APHIS-PPQ official executing this agreement
13. ADDRESS	List the USDA-APHIS-PPQ address
14. SIGNATURE	USDA-APHIS-PPQ Officer-in-Charge signs (at a minimum)
15-17	**Important** Complete Blocks 15-17 **only** when the State is involved in cooperating with enforcing Federal quarantines.
15. STATE AGENCY OFFICIAL	List the name and title of the State official
16. ADDRESS	List the State agency's name and address
17. SIGNATURE	Have the State official sign

Distribution of PPQ Form 519

Distribute PPQ Form 519 as follows in Table B-1-2:

TABLE B-1-2: Distribution of PPQ Form 519, Compliance Agreement

If the compliance agreement:	Then:
Affects one work unit	1. GIVE the original to the establishment 2. KEEP a copy for PPQ files in the area where the establishment is located
Affects **more** than one work unit	1. GIVE the original to the establishment 2. GIVE copies to all work units affected by the agreement 3. KEEP a copy for PPQ files in the area where the establishment is located

PPQ Form 553, Conifer Solid Wood Packing Material to the People's Republic of China

WARNING: No changes, corrections, alterations, nor additions are permitted to this Form. Failure to comply is a violation of 7 CFR Part 353 and/or other applicable regulations or laws, is subject to civil and criminal penalties under 7 U.S.C. s 7734, and may be prosecuted under 18 U.S.C. s 1001 and/or other applicalbe laws.

OMB No. 0579-0147

U.S. DEPARTMENT OF AGRICULTURE **Animal and Plant Health Inspection Service** **Plant Protection and Quarantine**	**Conifer Solid Wood Packing Material to the People's Republic of China**

CERTIFICATE OF HEAT TREATMENT

TO: State Administration for Entry-Exit Inspection and Quarantine (SAIQ) of the People's Republic of China

This is to certify that the conifer packing material in this shipment has been heat treated through a treatment process that increased the minimum core wood temperature to 56 degrees Celsius for 30 minutes.

SHIPMENT INFORMATION

1. Name and Address of Exporter:	**2. Name and Address of Consignee:**
3. Signature of Exporter	

By signing block 3, the exporter acknowledges any intentional false statement in this Certificate of Heat Treatment or misrepresentation relative to this heat treatment certificate is a violation of law, subject to civil penalties of up to $250,000 (7 U.S.C. s 7734(b)), punishable by a fine of not more than $10,000, or imprisonment of not more than 5 years, or both. (18 U.S.C. s1001)

SHIPMENT IDENTIFICATION

4. Description of Consignment:

ENDORSEMENT OF CERTIFICATION ***(Official Use Only)***

(Official Stamp)	**5. Date of Issue**
	6. Issuing Office ***(City and State)***
	7. Other Information

8. Signature of Endorsing Official

No financial liability shall attach to the United States Department of Agriculture or to any officer or representative of the service with respect to this certificate.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0147. The time required to complete this information collection is estimated to average .017 minutes/hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

PPQ FORM 553 (DEC 2003)

FIGURE B-1-3: Example of PPQ Form 553, Certificate of Heat Treatment (blank)

Purpose of PPQ Form 553

PPQ Form 553 is an official document used to certify the heat treatment of coniferous solid wood packing material associated with plants or unprocessed or unmanufactured products for export to the People's Republic of China.

The purpose of PPQ Form 553 is to endorse the exporter's statement that the coniferous packing materials have been heat treated in the United States or in Canada by being subjected to a minimum core temperature of 56 degrees Celsius for 30 minutes.

Hong Kong addresses are acceptable if the U.S. exporter indicates that the materials exported to Hong King will be reshipped to other regions of China by the Hong Kong consignee.

Exporter Instructions to Partially Complete PPQ Form 553

The exporter is responsible for completing those parts of PPQ Form 553 that cover shipment information and shipment identification.

PPQ Form 553 is available for public use from the USDA-APHIS-PPQ web site address:

<http://www.aphis.usda.gov/oa/chinaswp/ppq553.pdf>[2].

ACOs endorse a partially completed original and one (1) copy of PPQ Form 553 presented by an exporter, shipper, or broker. See **Table 2-5-1 on page 2-5-13** under *Procedures, Export Certificates*, for specific instructions on how ACOs endorse a partially completed PPQ Form 553.

Use **Table B-1-3 on page B-1-11** (or the reverse side of the form) for specific instructions, techniques, and examples about how to partially complete PPQ Form 553.

2 The word spacing on this official document may vary depending on the printer used to download this document; therefore, the exporter may need to adjust the printer margins to 0.5 inches for consistent results.

TABLE B-1-3: Exporter Instructions to Partially Complete PPQ Form 553, Certificate of Heat Treatment

Block:	Then follow these instructions to partially complete PPQ Form 553:
WARNING This warning alerts all parties that any alternation, forgery, or unauthorized use of the Federal plant export certificate is subject to civil penalties or punishable by a fine or imprisonment.	
SHIPMENT INFORMATION	
1. Name and Address of Exporter	◆ ENTER the complete name and mailing address of the exporter (street or P.O. Box, city, State) ◆ SPELL OUT names of cities and States (preferred) **Important**: Exporter's address **must** be in the United States or a U.S. territory or commonwealth, which includes American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and U.S. Virgin Islands.
2. Name and Address of Consignee	ENTER the complete name and physical address of the ultimate consignee in the People's Republic of China **Important**: Consignee's address **must** be in the People's Republic of China. Hong Kong addresses are acceptable if the materials exported to Hong Kong will be reshipped to other regions of China by the Hong Kong consignee.
3. Signature of Exporter	SIGN your name as the exporter; your signature attests to the accuracy of the heat treatment and certifies that the treatment was performed and documented
SHIPMENT IDENTIFICATION	
4. Description of Consignment	◆ ENTER a complete description of the shipment including quantity, weight, goods, and packaging ◆ The description should include the number of **coniferous** solid wood packing materials in the shipment (see examples below) **EXAMPLE**: 52 **conifer** pallets with 240 cardboard cartons of automobile spare parts or 2 **conifer** crates containing turbine assemblies.
ENDORSEMENT OF CERTIFICATION	
5 through 8	LEAVE BLANK; endorsed by ACO

Distribution of PPQ Form 553

Present a partially completed original of PPQ Form 553 to the nearest ACO for endorsement. To avoid potential delays, exporters are encouraged to have their certificates of heat treatment endorsed by an ACO as close to the initial point of shipment as possible and they should **not** wait for endorsement at the final port of export. After endorsing the certificate, the ACO will return the endorsed PPQ Form 553 and one copy to the exporter.

See local USDA-APHIS-PPQ offices at web site address:

<http://www.aphis.usda.gov/travel/aqi.html>

See local USDA-APHIS-PPQ cooperator offices at web site address:

<http://www.aphis.usda.gov/npb/npbmemb.html>

Maintenance of PPQ Form 553

Exporters are responsible for keeping documentation of heat treatment for 1 year after date of issuance and upon request **must** have the documentation available for official review.

PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export

FORM APPROVED OMB NO. 0579-0052

reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

APPLICATION FOR INSPECTION AND CERTIFICATION OF PLANTS AND PLANT PRODUCTS FOR EXPORT

INSTRUCTIONS: **APPLICANT** - Forward original to the Officer in Charge where inspections, treatment, and certification will be given (Item 4). Complete items 1 thru 11. **OFFICER** - Complete items 12 thru 17.

1. NAME AND ADDRESS OF EXPORTER

3. *NAME AND ADDRESS OF APPLICANT (or exporter's agent)*

AREA CODE AND PHONE NO.

2. NAME AND ADDRESS OF FOREIGN CONSIGNEE

4. PLACE WHERE ARTICLES WILL BE MADE AVAILABLE FOR INSPECTION AND/OR TREATMENT AND CERTIFICATION *(Port and location)*

5. APPROX. DATE OF DEPARTURE

6. PORT OF EXPORT

7. DESCRIPTION OF ARTICLES TO BE CERTIFIED

a. QUANTITY AND NAME OF PRODUCE AND BOTANICAL NAME

b. NUMBER AND DESCRIPTION OF PACKAGES

c. DISTINGUISHING MARKS

d. CERTIFIED ORIGIN

8. DECLARED MEANS OF CONVEYANCE

I certify that the origin (place where grown) of the articles listed is as represented.

9. DECLARED POINT OF ENTRY

10. SIGNATURE *(applicant or exporter's agent)*

11. DATE

EXPORT INSPECTION DATA - *(To be filled in by Plant Protection and Quarantine Officer)*

12. LOCATION OF ARTICLES

13. % OF MATERIALS EXAMINED

14. % OF MATERIALS INFESTED

15. FINDINGS AND/OR TREATMENT GIVEN *(Use reverse if necessary)*

16. SIGNATURE

17. DATE AND TIME INSPECTED

PPQ FORM 572
(DEC 99)

(The FEB 81 edition may be used.)

FIGURE B-1-4: Example of PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export

Purpose of PPQ Form 572

PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, is an exporter's application for services, and is utilized by Authorized Certification Officials as a worksheet to prepare Federal plant export certificates and to record inspection results. Although this form is required by regulation and is the preferred method to request phytosanitary export certification, in practice alternative methods are used to obtain the necessary information for inspection and certification.

Exporter Instructions to Complete PPQ Form 572

PPQ Form 572[3] is available for public use from the following web site address:

<http://www.aphis.usda.gov/library/forms>

PPQ Form 572 is recommended for those exporters who infrequently export plants or plant products, or who **must** send plants or plant products to USDA-APHIS-PPQ offices for inspection. Exporters who partially complete PPQ Forms 577 and PPQ Forms 579 to apply for inspection may **not** be required to submit an application using PPQ Form 572.

ACO Instructions to Complete PPQ Form 572

ACOs record the results of inspection in the section titled Export Inspection Data. Inspection results may include discrepancies found in the description of articles to be certified (i.e., quantity, name, number, description of packages, distinguishing marks, or certified origin). See Table B-1-4 for instructions to complete the Export Inspection Data of PPQ Form 572.

Important

ACOs are responsible for holding in strict confidence the information on PPQ Form 572.

3 This application may be available online at locations piloting the Phytosanitary Certificate Issuance Tracking System (PCIT); contact the PCIT Coordinator of USDA-APHIS-PPQ Export Services for further information.

TABLE B-1-4: Instructions to Complete PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export

If the block is:	Then follow these instructions to complete PPQ Form 572:
1-11	1. Exporter, shipper, or broker completes *Blocks 1-11* 2. ACOs check these blocks for legibility, accuracy, and completeness in order to complete a Federal plant export certificate
Export Inspection Data (to be completed by ACOs)	
12. LOCATION OF ARTICLES	LIST the place where you inspected the plants or plant products
13. % OF MATERIALS EXAMINED	LIST the percentage (how much) of plants or plant products that were inspected
14. % OF MATERIALS INFESTED	LIST the percentage of plants or plant products that were infested or infected
15. FINDINGS AND/OR TREATMENT GIVEN (use reverse side of form if necessary)	LIST all findings and/or treatments given as a result of your inspection, which may include the following: 1. Pest or disease if infested or infected 2. Details of the treatment if treated 3. Exporter actions to meet the phytosanitary import requirements (e.g., repackaging, reconditioning, or debarking) 4. Unique or unusual situation about the shipment such as additional declarations to be entered on the Federal plant export certificate 5. Supporting documents provided by the exporter such as import permit copy, acceptable inspection certificate, State phytosanitary certificate, treatment information 6. Intended use of commodity if needed to determine the phytosanitary requirements of the importing country (e.g., wheat grain or wheat seeds)
16. SIGNATURE	SIGN your name (ACO)
17. DATE AND TIME INSPECTED	ENTER the date and time the plants or plant products were inspected

Distribution of PPQ Form 572

Once the Federal plant export certificate is issued, then attach PPQ Form 572, with inspection results, to the Issuing Office Copy.

There is **no** other distribution of PPQ Form 572 as this form **only** serves as the application for certification and a worksheet for ACOs. PPQ Form 580, ACO Identification Card.

PPQ Form 580, ACO Identification Card

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE
WASHINGTON, DC 20250
ACO IDENTIFICATION CARD

AUTHORIZED CERTIFICATION OFFICIAL (ACO) (Signature)	ACO ID NO.	
NAME *(typed or printed)*	DATE ISSUED	DATE EXPIRED

The above-named person has been designated as an Authorized Certification Official (ACO) by Plant Protection and Quarantine (PPQ), Animal and Plant Health Inspection Service (APHIS), U.S. Department of Agriculture, to serve without additional compensation and is hereby authorized to perform phytosanitary export certification of plants and plant products and to issue APHIS, PPQ plant export certificates in accordance with APHIS policies, directives, and regulations.

Export Certification Specialist (ECS)

PPQ FORM 580 (NOV 2002)

FIGURE B-1-5: Example of PPQ Form 580, ACO Identification Card

Purpose of PPQ Form 580

PPQ Form 580, ACO Identification Card, is used to provide Authorized Certification Officials (ACOs) with an official document of authorization that they can carry with them while certifying plants and plant products offered for export.

PPQ Form 580 is issued to State cooperators and PPQ officers who meet the educational and work experience requirements for an agent or for an inspector and who successfully pass Export Certification Training, making them eligible to be designated as ACOs in the USDA-APHIS-PPQ phytosanitary export certification program. The requirements for agents (state cooperators) and for inspectors (PPQ officers) are in accordance with 7CFR 353.6 and the North American Plant Protection Organization Standard for the Accreditation for Individuals to Sign Federal Phytosanitary Certificates (RSPM #8).

PPQ Form 580 is valid for 3 years.

Important

PPQ regional offices will maintain a supply of ACO Identification Cards. PPQ Form 580 should **not** be issued to ACOs until the ACO database is operational. If ECSs issue PPQ Form 580s to ACOs with their current identification numbers before the ACO database is operational, then the cards will have to be reissued when new identification numbers are assigned.

Instructions to Complete PPQ Form 580

Export Services grants accreditation once the work experience, educational, and training requirements are met. The ACOs date of authorization is entered in the ACO database. Once accreditation is granted, the ECS completes PPQ Form 580 for ACOs under their jurisdiction. See Table B-1-5 for instructions to compete PPQ Form 580.

TABLE B-1-5: Instructions to Complete PPQ Form 580, ACO Identification Card

If the block is:	Then follow these instructions to complete PPQ Form 580:
AUTHORIZED CERTIFICATION OFFICIAL (ACO) (Signature)	Leave blank and direct the ACO to sign the card upon receipt because the card is **not** official until signed
ACO ID NO.	Enter the identification number generated by the ACO database
NAME *(typed or printed)*	Type or print the ACO's name
DATE ISSUED	Enter the date
DATE EXPIRED	Enter the date the ACO's accreditation will expire (3 years from the date of accreditation)
Export Certification Specialist (ECS)	Sign your name (ECS)
ACO CONTACT INFORMATION (Reverse side)	1. Cross out "ACO" and replace with "ECS" (printing error) 2. Fill out your contact information using pencil (allowing for changes within the 3 years)

Distribution of PPQ Form 580

ECSs may mail or personally give the ACO ID Card to each individual, reminding the ACOs that the card is **not** official until the ACOs apply their signature to the card.

Maintenance of PPQ Form 580

Each ACO is responsible for keeping their ID Card for 3 years. Prior to the expiration date, ACOs or their supervisors should contact their ECS to schedule reaccreditation training.

All ACOs **must** successfully pass reaccreditation training and a renewal exam in order to maintain their accreditation. Once completed, they will be issued a new ACO ID card with an updated expiration date.

C

Export Certification Manual

Appendix C

List of Countries

Contents

Introduction **page C-1-1**
List of Countries and Their Codes, Approved Name, and Summary Reference **page C-1-2**

Introduction

This appendix contains an alphabetical list of official names of countries, alternative names of countries, dependencies, and other areas of special phytosanitary interest (**not** all inclusive). Use this appendix to identify the following for listed countries (in order of the columns in Figure 2-2-1):

1. Official name of countries, islands, or dependencies
2. Two-letter code
3. Three-letter code
4. Approved name
5. Summary reference

The two-letter code is the country's nationality abbreviation provided in the International Organization for Standardization (ISO) publication 3166 and may be used for the purpose of completing operational forms.

The three-letter code is the country's nationality abbreviation provided in EXCERPT's Country Code List.

The approved name of the country is the country name entered on Federal plant export certificates and is maintained at the title of export summaries in EXCERPT.

The summary reference is the location or status of the import requirements of the country in EXCERPT. See Table C-1-1 on page C-1-2 to understand the different summary references you will find in this appendix.

TABLE C-1-1: Identify Summary References

If you find under the Summary Reference column:	Then:
Same country name as is listed in the first column (i.e., Canada)	FIND import requirements in the export summary which bears the same name
Name of a different country or country group (i.e., European Union, Inter-African Group)	FIND the import requirements in the export summary which bears a different name than the one listed in the first column
None issued	FOLLOW the contact protocol in **Table 2-1-3 on page 2-1-20** under *Procedures, Preparation, Contact Protocol*
Contact Export Services	1. CONTACT Export Services by phone 301-734-8537 or FAX 301-734-3249 2. FOLLOW-UP with your Export Certification Specialist about Headquarters' guidance
Federal plant export certificate **not** authorized	1. CONSIDER the plants or plant products **not** certifiable and **ineligible** for a Federal plant export certificate when going to U.S. territories and possessions 2. REFER exporter to the respective State Department of Agriculture for certification using a State certificate

List of Countries and Their Codes, Approved Name, and Summary Reference

Use **Figure C-1-1** to identify country codes, approved names, and summary references for countries, islands, and dependencies.

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Afghanistan, Islamic State of	AF	AFG	Afghanistan	Afghanistan
Aland Islands	AX			European Union
Albania, People's Socialist Republic	AL	ALB	Albania	Albania
Algeria, People's Democratic Republic	DZ	DZA	Algeria	Algeria
American Samoa (U.S. dependency)	AS	ASM	American Samoa	Federal plant export certificate **not** authorized
Andorra (dependent state of Spain)	AD	AND	Andorra	Andorra
Angola, People's Republic of	AO	AFR	Angola	Inter-African Group
Anguilla (part of the Leeward Islands and a dependent state of the United Kingdom of Great Britain and Northern Ireland)	AI	AIA	Anguilla	Anguilla
Antarctica (territory south of 60 degrees south latitude)	AQ	ATA	Antarctica	Antarctica
Antigua and Barbuda (includes Redound and formerly Antigua)	AG	ATG	Antigua and Barbuda	Antigua and Barbuda
Argentina, Republic of	AR	ARG	Argentina	Argentina

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Armenia, Republic of (formerly part of U.S.S.R.)	AM	SUN	Armenia	Former Soviet Republics
Aruba (dependent state of the Netherlands)	AW	ABW	Aruba	Aruba
Ashmore Reef			Australia	Australia/Nauru
Australia, Commonwealth of	AU	AUS	Australia	Australia/Nauru
Austria, Republic of	AT	EUN	Austria	European Union
Azerbaijan Republic (formerly part of U.S.S.R.)	AZ	SUN	Azerbaijan	Former Soviet Republics
Bahamas, Commonwealth of the	BS	BHS	Bahamas	Bahamas
Bahrain, State of	BH	BHR	Bahrain	Bahrain
Bangladesh, People's Republic of	BD	BGD	Bangladesh	Bangladesh
Barbados (part of the Windward Islands)	BB	BRB	Barbados	Barbados
Bassas da India			India	India
Belarus, Republic of	BY	SUN	Belarus	Former Soviet Republics
Belgium, Kingdom of	BE	EUN	Belgium	European Union
Belize (British Honduras)	BZ	BLZ	Belize	Belize
Benin, The People's Republic of	BJ	AFR	Benin	Inter-African Group
Bermuda (dependent state of the United Kingdom of Great Britain and Northern Ireland)	BM	BMU	Bermuda	Bermuda
Bhutan, Kingdom of	BT	BTN	Bhutan	Bhutan
Bolivia, Republic of	BO	BOL	Bolivia	Bolivia
Bosnia and Herzegovina, Republic of (formerly part of Yugoslavia)	BA	BIH	Bosnia and Herzegovina	Former Republics of Yugoslavia
Botswana, Republic of	BW	AFR	Botswana	Inter-African Group
Bouvet Island (Bouvetoya)	BV	BVT	Bouvet Island	Bouvet Island
Brazil, Federative Republic of	BR	BRA	Brazil	Brazil
British Indian Ocean Territory (Chagos Archipelago)	IO	IOT	British Indian Ocean Territory	British Indian Ocean Territory
Brunei Darussalam	BN	BRN	Brunei Darussalam	Brunei Darussalam
Bulgaria, Republic of	BG	BGR	Bulgaria	Bulgaria
Burkina Faso	BF	AFR	Burkina Faso	Inter-African Group
Burma, Union of (Myanmar, Myanma)		MYA	Burma	Myanmar
Burundi, Republic of	BI	AFR	Burundi	Inter-African Group
Cambodia	KH	KHM	Cambodia	Cambodia
Cameroon, Republic of	CM	AFR	Cameroon	Inter-African Group
Canada	CA	CAN	Canada	Canada
Canal Zone		PAN	Panama	Panama
Canary Islands		ESP	Canary Islands	Contact Export Services

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Cape Verde, Republic of (includes Boa Vista, Brava, Fogo, Maio, Sal, Santo Antao, Sao Nicolau, Sao Tiago, and Sao Vicente)	CV	CPV	Cape Verde	Cape Verde
Cartier Island			Australia	Australia/Nauru
Cayman Islands (dependent state of the United Kingdom of Great Britain and Northern Ireland and includes the islands of Cayman Brac, Grand Cayman, and Little Cayman)	KY	CYM	Cayman Islands	Cayman Islands
Central African Republic	CF	AFR	Central African Republic	Inter-African Group
Ceuta		CEU	Ceuta	Ceuta
Chad, Republic of	TD	AFR	Chad	Inter-African Group
Channel Islands (includes islands of Alderney, Herm, Guernsey, Sark, and others islands; dependent state of United Kingdom of Great Britain and Northern Ireland)		EUN	United Kingdom	European Union
Chile, Republic of (includes Easter Island, Juan Fernandez Islands, Sala y Gomez, and San Felix)	CL	CHL	Chile	Chile
China, People's Republic of	CN	CHN	People's Republic of China	China, People's Republic of
Christmas Island (dependent state of Australia)	CX	CXR	Christmas Island	Christmas Island
Cocos (Keeling) Islands (dependent state of Australia)	CC	CCK	Cocos (Keeling) Islands	Australia/Nauru
Colombia, Republic of (includes Malpelo Islands, Roncador Bank, San Andres y Providencia, Serrana Bank, and Serranilla Bank)	CO	COL	Colombia	Colombia
Comoros, Islamic Federal Republic Of (includes Anjouan, Grande Comore, Moheli, and other islands)	KM	COM	Comoros	Comoros
Congo, Democratic Republic of the (Zaire)	CD	AFR	Democratic Republic of the Congo (Zaire)	Inter-African Group
Congo, Republic of	CG	AFR	Congo	Inter-African Group
Cook Islands (dependent state of New Zealand and includes the isalnds of Aitutaki, Atiu, Mangaia, Manuae, Mauke, Mitiaro, Rarotonga, and Takutea)	CK	COK	Cook Islands	Cook Islands/Niue
Costa Rica, Republic of	CR	CRI	Costa Rica	Costa Rica
Cote d'Ivoire, Republic of (Ivory Coast)	CI	AFR	Cote d'Ivoire	Inter-African Group
Croatia, Republic of (formerly part of Yugoslavia)	HR	HRV	Croatia	Croatia
Cuba, Republic of	CU	CUB	Cuba	Cuba
Curacao (island of Netherlands Antilles, dependent state of The Netherlands)	AN	ANT	Netherlands Antilles	Netherlands Antilles

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Cyprus, Republic of	CY	CYP	Cyprus	European Union
Czech Republic (formerly part of Czechoslovakia)	CZ	CSK	Czech Republic	European Union
Denmark, Kingdom of	DK	EUN	Denmark	European Union
Djibouti, Republic of	DJ	DJI	Djibouti	Djibouti
Dominica, Commonwealth of	DM	DMA	Dominica	Dominica
Dominican Republic	DO	DOM	Dominican Republic	Dominican Republic
East Timor (includes the exclave of Oe-Cussi)		IDN	East Timor	Indonesia
Ecuador, Republic of (includes Galapagos Islands (Archipelago de Colon))	EC	ECU	Ecuador	Ecuador
Egypt, Arab Republic of	EG	EGY	Egypt	Egypt
El Salvador, Republic of	SV	SLV	El Salvador	El Salvador
England (Great Britain, part of United Kingdom of Great Britain and Northern Ireland)	GB	GBR	United Kingdom	European Union
Equatorial Guinea, Republic of (includes Annobon, Bioko, Corisco, Elobey Chico, Elobey Grande, and Rio Muni)	GQ	AFR	Equatorial Guinea	Inter-African Group
Eritrea (formerly part of Ethiopia)	ER	ERI	Eritrea	Eritrea
Estonia, Republic of (formerly part of U.S.S.R.)	EE	EST	Estonia	European Union
Ethiopia, People's Democratic Republic of	ET	ETH	Ethiopia	Ethiopia
Europa Island			Reunion	Contact Export Services
Falkland Islands (Malvinas) (includes East Falkland, South Georgia, South Sandwich Islands, and West Falkland and is a dependent state of United Kingdom of Great Britain and Northern Ireland)	FK	FLK	Falkland Island (Malvinas Islas)	Falkland Island
Faroe Islands (dependent state of the Kingdom of Denmark)	FO	FRO	Faroe Islands	None issued
Fiji, Republic of (includes Rotuma Islands, Vanua Levu, and Viti Levu)	FJ	FJI	Fiji	Fiji
Finland, Republic of	FI	EUN	Finland	European Union
France, Metropolitan (European part of France)	FR	EUN	France	European Union
French Guiana, Department of Guiana (dependent state of France)	GF	GUF	French Guiana	French Overseas Departments
French Polynesia (dependent state of France and includes Austral Islands (including Tubai), Marquezas Islands, Society Archipelago (includes Tahiti), and Tuamotu Archipelago (includes Gambier Islands))	PF	PYF	French Polynesia	French Polynesia

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
French Southern Territories (includes Amsterdam, Crozet Islands (ile aux Cochons, ile de l'Est, ile de la Possession, ile de Pingouins, and iles des Apotres), Kerguelen Islands, and St. Paul)	TF	ATF	French Southern Territories	French Southern Territories
Futuna Island		FTI	Futuna Island	Contact Export Services
Gabon, Gabonese Republic of	GA	AFR	Gabon	Inter-African Group
Gambia, The Republic of	GM	AFR	Gambia	Inter-African Group
Gaza Strip		ISR	Israel	Israel
Georgia, Republic of (formerly part of U.S.S.R.)	GE	SUN	Georgia	Former Soviet Republics
Germany, Republic of	DE	EUN	Germany	European Union
Ghana, Republic of	GH	AFR	Ghana	Inter-African Group
Gibraltar (dependent state of the United Kingdom of Great Britain and Northern Ireland)	GI	GIB	Gibraltar	Gibraltar
Glorioso Islands		REU	Reunion	Contact Export Services
Great Britain (United Kingdom of Great Britain and Northern Ireland and includes England, Scotland, Wales, and Isle of Man)	GB	EUN	United Kingdom	European Union
Greece (now Hellenic Republic and includes Aegean Islands, Crete, Dodecanese Islands, Ionian Islands, and the Mount Athos autonomous area)	GR	EUN	Greece	European Union
Greenland (dependent state of the Kingdom of Denmark)	GL	GRL	Greenland	Greenland
Grenada (includes Southern Grenadine Islands and is part of the Windward Islands)	GD	GRD	Grenada	Grenada
Guadeloupe, Department of (dependent state of the France and includes Basse Terre, Desirade, Grande Terre, Iles de la Petite Terre, Les Saintes, Marie Galante, Northern St. Martin, Saint-Barthelemy)	GP	GLP	Guadeloupe	French Overseas Departments
Guam (U.S. dependency)	GU	GUM	Guam	Federal plant export certificate **not** authorized
Guatemala, Republic of	GT	GTM	Guatemala	Guatemala
Guernsey, Bailiwick of (part of Channel Islands and dependent state of United Kingdom of Great Britain and Northern Ireland)		EUN	United Kingdom	European Union
Guinea, Republic of	GN	AFR	Guinea	Inter-African Group
Guinea-Bissau, Republic of	GW	AFR	Guinea-Bissau	Inter-African Group
Guyana, Republic of	GY	GUY	Guyana	Guyana
Haiti, Republic of	HT	HTI	Haiti	Haiti
Heard Island and McDonald Island	HM	HMD	Heard and McDonald Islands	Heard and McDonald Islands

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Holy See (Vatican City State)	VA	EUN	Vatican City State	European Union
Honduras, Republic of (includes Swan Islands)	HN	HND	Honduras	Honduras
Hong Kong (administrative area of China and includes the island of Hong Kong, Kowloon peninsula, and the New Territories)	HK	HKG	Hong Kong	Hong Kong
Hungary, Republic of	HU	HUN	Hungary	European Union
Iceland, Republic of	IS	ISL	Iceland	Iceland
Iles de Hoorn		IDH	Iles de Hoorn	Contact Export Services
India, Republic of (includes Anadaman Islands, Amindivis, Laccadives, Minicoy, Nicobar Islands, Sikkim)	IN	IND	India	India
Indonesia, Republic of	ID	IDN	Indonesia	Indonesia
Iran, Islamic Republic of	IR	IRN	Iran	Iran
Iraq, Republic of	IQ	IRQ	Iraq	Iraq
Ireland	IE	EUN	Ireland	Euopean Union
Ireland, Republic of (United Kingdom of Great Britain and Northern Ireland)		EUN	United Kingdom	European Union
Isle of Man (United Kingdom of Great Britain and Northern Ireland; part of Great Britain)		EUN	United Kingdom	European Union
Israel, State of	IL	ISR	Israel	Israel
Italy, Republic of	IT	EUN	Italy	European Union
Jamaica	JM	JAM	Jamaica	Jamaica
Jan Mayen (dependent state of Kingdom of Norway)		NOR	Jan Mayen	Norway/Svalbard and Jan Mayen Islands
Japan	JP	JPN	Japan	Japan
Jersey, Bailiwick of (United Kingdom of Great Britain and Northern Ireland; part of Channel Islands)		EUN	United Kingdom	European Union
Jordan, Hashemite Kingdom of	JO	JOR	Jordan	Jordan
Juan de Nova Island			Reunion	Contact Export Services
Kazakhstan (formerly part of U.S.S.R.)	KZ	SUN	Kazakhstan	Former Soviet Republics
Kenya, Republic of	KE	KEN	Kenya	Kenya/Tanzania/ Uganda
Kiribati (includes Abaiang, Abemama, Aranuka, Arorae, Butaritar, Banaba, Beru, Kuria, Maiana, Makin, Mura Kei, Nunuati, Tarawa, Tabiteupa)	KI	KIR	Kiribati	Kiribati
Korea, Democratic People's Republic of (North)	KP	PRK	Democratic People's Republic of Korea	Democratic People's Republic of Korea
Korea, Republic of (South)	KR	KOR	Republic of Korea	Republic of Korea
Kosovo (Serbia and Montenegro; formerly Yugoslavia))	YU	YUG	Yugoslavia	Federal Republic of Yugoslavia (Serbia-Montenegro)

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Kuwait, State of	KW	KWT	Kuwait	Kuwait
Kyrgyzstan (formerly part of U.S.S.R.)	KG	KGZ	Kyrgyzstan	Former Soviet Republics
Lao People's Democratic Republic	LA	LAO	Lao People's Democratic Republic	Lao People's Democratic Republic
Latvia, Republic of (formerly part of U.S.S.R.)	LV	LVA	Latvia	European Union
Lebanon	LB	LBN	Lebanon	Lebanon
Lesotho, Kingdom of	LS	AFR	Lesotho	Inter-African Group
Liberia, Republic of	LR	AFR	Liberia	Inter-African Group
Libyan Arab Jamahiriya	LY	LBY	Libya	Libyan Arab Jamahiriya
Liechtenstein, Principality of	LI	CHE	Liechtenstein	Switzerland/ Liechtenstein
Lithuania, Republic of (formerly part of U.S.S.R.)	LT	LTU	Lithuania	European Union
Luxembourg, Grand Duchy of	LU	EUN	Luxembourg	European Union
Macau, Special Administrative Region (includes Taipa and Coloane islands)	MO	MAC	Macau	Macau
Macedonia, Former Yugoslav Republic of (formerly part of Yugoslavia)	MK	BIH	Macedonia	Former Republics of Yugoslavia
Madagascar, Republic of	MG	MDG	Madagascar	Madagascar
Malawi	MW	MWI	Malawi	Malawi
Malaysia (includes Peninsular Malaysia, Sabah, and Sarawak)	MY	MYS	Malaysia	Malaysia
Maldives, Republic of	MV	MDV	Maldives	Maldives
Mali, Republic of	ML	AFR	Mali	Inter-African Group
Malta	MT	MLT	Malta	European Union
Marshall Islands, Republic of (includes Kwajalein and Majuro Islands)	MH	MHL	Marshall Islands	Marshall Islands
Martinique, Department of (dependent state of the France and part of the Windward Islands)	MQ	MTQ	Martinique	Contact Export Services
Mauritania, Island Republic of	MR	AFR	Mauritania	Inter-African Group
Mauritius, Republic of	MU	MUS	Mauritius	Mauritius
Mayotte, Territorial Entity of (includes the Island Communities of Grande Terre (Acoua, Bandraboua, Bandrele, Boueni, Chiconi, Chirongui, Dembeni, Kani-Keli, Koungou, Mamoudzou, Mtsamboro, M'tsangamouji, Ouangani, Sada, and Tsingoni) and Petite Terre (Dzaoudzi-Labattoir, and Pamandzi) and is dependent state of France but agricultural ties are with Africa)	YT	XYO	Mayotte	Mayotte
Melilla		MEL	Melilla	Melilla
Mexico (United Mexican States)	MX	MEX	Mexico	Mexico

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Micronesia, Federated States of (Caroline Islands **except** the Palau Islands group; includes Kosrae, Chuuk, Pohnpei, and Yap)	FM	FSM	Federated States of Micronesia	Federated States of Micronesia
Midway Islands (U.S. dependency)			Midway Islands	Federal plant export certificate **not** authorized
Miquelon, Territorial Collective of Saint Pierre and (an overseas department of France)	PM	SPM	Saint Pierre and Miquelon	Saint Pierre and Miquelon
Moldova, Republic of (formerly part of U.S.S.R.)	MD	SUN	Moldova	Former Soviet Republic
Monaco, Principality of	MC	EUN	Monaco	European Union
Mongolia	MN	MNG	Mongolia	Mongolia
Montenegro (Serbia and Montenegro; formerly the Federal Republic of Yugoslavia (Serbia-Montenegro))	YU	YUG	Serbia and Montenegro	Serbia and Montenegro
Montserrat (Part of the Leeward Islands; Dependent State of the United Kingdom of Great Britain and Northern Ireland)	MS	MSR	Montserrat	Montserrat
Morocco, Kingdom of	MA	MAR	Morocco	Morocco
Mozambique, Republic of	MZ	AFR	Mozambique	Inter-African Group
Myanmar (Myanma), Union of Burma	MM	MYA	Burma	Myanmar
Namibia, Republic of	NA	NAM	Namibia	Namibia
Nauru, Republic of	NR	AUS	Nauru	Australia/Nauru
Nepal, Kingdom of	NP	NPL	Nepal	Nepal
Netherlands, The	NL	EUN	Netherlands	European Union
Netherlands Antilles (dependent state of The Netherlands and includes the islands of Bonaire, Curacoa, Leeward Islands, Saba, Sint Eustatius (or Statia), Southern Sint Maarten, Windward Islands)	AN	ANT	Netherlands Antilles	Netherlands Antilles
New Caledonia (autonomous provinces of Loyaute, Nord, Noumea, and Sud and dependent state of France)	NC	NCL	New Caledonia	New Caledonia
New Zealand	NZ	NZL	New Zealand	New Zealand
Nicaragua, Republic of	NI	NIC	Nicaragua	Nicaragua
Niger, Republic of	NE	AFR	Niger	Inter-African Group
Nigeria	NG	NGA	Nigeria	Nigeria
Niue (dependent state of New Zealand)	NU	COK	Niue	Cook Islands/Niue
Norfolk Island (dependent state of Australia)	NF	NFK	Norfolk Island	Australia/Nauru
North Korea (Democratic People's Republic of Korea)	KP	PRK	Democratic People's Republic of Korea	Democratic People's Republic of Korea

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Northern Ireland (United Kingdom of Great Britain and Northern Ireland)		EUN	United Kingdom	European Union
Northern Mariana Islands, Commonwealth of (**except** Guam) (U.S. dependency)	MP	MNP	Northern Mariana Islands	Federal plant export certificate **not** authorized
Norway, Kingdom of	NO	NOR	Norway	Norway/Svalbard and Jan Mayen Islands
Oman, Sultanate of (includes Kuria Muria Islands)	OM	OMN	Oman	Oman
Pakistan, Islamic Republic of	PK	PAK	Pakistan	Pakistan
Palau, Republic of (Belau)	PW	PLW	Palau	Palau
Panama, Republic of	PA	PAN	Panama	Panama
Papua New Guinea, Independent State of (includes Admiralty Islands, Bismarck Archipelago, Bogainville, Buka)	PG	PNG	Papua New Guinea	Papua New Guinea
Paraguay, Republic of	PY	PRY	Paraguay	Paraguay
Peru, Republic of	PE	PER	Peru	Peru
Philippines, Republic of	PH	PHL	Philippines	Philippines
Pitcairn Islands (includes Ducie, Henderson, Pitcairn and Oeno islands; overseas territory of the United Kingdom of Great Britain and Northern Ireland)	PN	PCN	Pitcairn	Pitcairn
Poland, Republic of	PL	POL	Poland	European Union
Portugal, Republic of	PT	EUN	Portugal	European Union
Puerto Rico (U.S. dependency)	PR	PRI	Puerto Rico	Federal plant export certificate **not** authorized
Qatar, State of	QA	QAT	Qatar	Qatar
Reunion, State of (departments of Saint-Benoit, Saint-Denis, Saint-Paul, and Saint-Pierre; dependent state of France but agricultural ties are with Africa)	RE	REU	Reunion	Contact Export Services
Romania (Rumania)	RO	ROM	Romania	Romania
Russian Federation (formerly part of U.S.S.R.)	RU	SUN	Russian Federation	Former Soviet Republics
Rwanda, Rwandese Republic	RW	AFR	Rwanda	Inter-African Group
Saint Helena (dependent state of the United Kingdom of Great Britain and Northern Ireland but agricultural ties are with Africa; and includes the islands of Ascension, Gough Island, Inaccessible, Nightingale Islands, and Tristan da Cunha)	SH	SHN	Saint Helena	Saint Helena
Saint Kitts (or Saint Christopher) and Nevis (part of Leeward Islands, Lesser Antilles)	KN	KNA	Saint Kitts and Nevis	Saint Kitts and Nevis
Saint Lucia (part of the Windward Islands)	LC	LCA	Saint Lucia	Saint Lucia

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Saint Martin		STM	Saint Martin	Saint Martin
Saint Martin, Southern (an island in the Netherlands Antilles and territory of Kingdom of the Netherlands)	AN	ANT	Netherlands Antilles	Netherlands Antilles
Saint Pierre and Miquelon, Territorial Collectivity of (an overseas department of France)	PM	SPM	Saint Pierre and Miquelon	Saint Pierre and Miquelon
Saint Vincent and the Grenadines (includes Northern Grenadine Islands)	VC	VCT	Saint Vincent and the Grenadines	St. Vincent and the Grenadines
Samoa, Independent State of	WS	WSM	Western Samoa	Samoa
San Marino, Republic of	SM	EUN	San Marino	European Union
Sao Tome and Principe, Democratic Republic of	ST	STP	Sao Tome and Principe	Sao Tome and Principe
Saudi Arabia, Kingdom of	SA	SAU	Saudi Arabia	Saudi Arabia
Scotland (United Kingdom of Great Britain and Northern Ireland; part of Great Britain)		EUN	United Kingdom	European Union
Senegal, Republic of	SN	AFR	Senegal	Inter-African Group
Serbia and Montenegro (formerly the Federal Republic of Yugoslavia (Serbia-Montenegro)	YU	YUG	Serbia and Montenegro	Serbia and Montenegro
Seychelles, Republic of (independent but agricultural ties are with Africa)	SC	SYC	Seychelles	Seychelles
Sierra Leone, Republic of	SL	AFR	Sierra Leone	Inter-African Group
Singapore, Republic of	SG	SGP	Singapore	Singapore
Slovakia, Slovak Republic (formerly part of Czechoslovakia)	SK	SVK	Slovakia	European Union
Slovenia, Republic of (formerly part of Yugoslavia)	SI	SVN	Slovenia	European Union
Society Archipelago (part of French Polynesia; dependent state of France)	PF	PYF	French Polynesia	French Polynesia
Solomon Islands (islands east of Bougainville Island)	SB	SLB	Solomon Islands	Solomon Islands
Somalia Democratic Republic	SO	AFR	Somalia	Inter-African Group
South Africa, Republic of	ZA	ZAF	South Africa	South Africa
South Georgia, (an island in the Falkland Islands and dependent state of the United Kingdom of Great Britain and Northern Ireland; formerly part of Falkland Islands)	GS	FLK	Falkland Islands	Falkland Islands
South Korea (Republic of Korea)	KR	KOR	Republic of Korea	Republic of Korea
South Sandwich Islands (islands in the Falkland Islands and dependent state of the United Kingdom of Great Britain and Northern Ireland; formerly part of Falkland Islands)	GS	FLK	Falkland Islands	Falkland Islands
Spain, Spanish State	ES	EUN	Spain	European Union
Spratly Islands				

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
Sri Lanka, Democratic Socialist Republic of	LK	LKA	Sri Lanka	Sri Lanka
Sudan, Republic of the	SD	SDN	Sudan	Sudan
Suriname, Republic of	SR	SUR	Suriname	Suriname
Svalbard (Spitzergen; dependent state of the Kingdom of Norway)	SJ	NOR	Svalbard	Norway/Svalbard and Jan Mayen Islands
Swaziland, Kingdom of	SZ	AFR	Swaziland	Inter-African Group
Sweden, Kingdom of	SE	EUN	Sweden	European Union
Switzerland (Swiss Confederation)	CH	CHE	Switzerland	Switzerland/ Liechtenstein
Syrian Arab Republic (Syria)	SY	SYR	Syria	Syria
Tahiti (part of Society Islands; dependent state of France)	PF	PYF	French Polynesia	French Polynesia
Taiwan, Province of China	TW	TWN	Taiwan	Taiwan
Tajikistan, Republic of (formerly part of U.S.S.R.)	TJ	SUN	Tajikistan	Former Soviet Republic
Tanzania, United Republic of	TZ	KEN	Tanzania	Kenya/Tanzania/ Uganda
Thailand, Kingdom of	TH	THA	Thailand	Thailand
Togo, Republic of	TG	AFR	Togo	Inter-African Group
Tokelau (dependent state of New Zealand)	TK	TKL	Tokelau	Tokelau
Tongo, Kingdom of	TO	TON	Tongo	Tonga
Trinidad and Tobago, Republic of	TT	TTO	Trinidad and Tobago	Trinidad and Tobago
Tromelin Island		REU	Reunion	Contact Export Services
Tunisia, Republic of	TN	TUN	Tunisia	Tunisia
Turkey, Republic of	TR	TUR	Turkey	Turkey
Turkmenistan	TM	SUN	Turkmenistan	Former Soviet Republics
Turks and Caicos Islands (island groups in the West Indies and dependent state of the United Kingdom of Great Britain and Northern Ireland)	TC	TCA	Turks and Caicos Islands	Turks and Caicos Islands
Tuvalu (includes the islands of Funafuti, (Fonafale), Nanumanga, Nanomea, Niulakita, Niutao, Nui, Nukufetau, Nukulaelae, Vaitupu)	TV	TUV	Tuvalu	Tuvalu
Uganda, Kingdom of	UG	KEN	Uganda	Kenya/Tanzania/ Uganda
Ukraine (formerly part of U.S.S.R.)	UA	SUN	Ukraine	Former Soviet Republics
Upper Volta (Burkina Faso)	BF	AFR	Burkina Faso	Inter-African Group
United Arab Emirates	AE	ARE	United Arab Emirates	United Arab Emirates

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

Country/Island/Dependency Name	2-Letter Code	3-Letter Code	Approved Name	Summary Reference
United Kingdom (of Great Britain and Northern Ireland and includes Channel Islands, Isle of Man, Orkney, Scotland, Shetland Islands, and Wales)	GB	EUN	United Kingdom	European Union
Uruguay, Oriental Republic of	UY	URY	Uruguay	Uruguay
Uzbekistan, Republic of	UZ	SUN	Republic of Uzbekistan	Former Soviet Republics
Vanuatu, Republic of	VU	VUT	Vanuatu	Contact Export Services
Vatican City State (Holy See)	VA	EUN	Vatican City State	European Union
Venezuela, Republic of	VE	VEN	Venezuela	Venezuela
Viet Nam, Socialist Republic of	VN	VNM	Viet Nam	Viet Nam
Virgin Islands (British) (dependent state of the United Kingdom of Great Britain and Northern Ireland; includes the islands of Anegada, Jost Van Dyke, Tortola, and Virgin Gorda)	VG	VGB	British Virgin Islands	British Virgin Islands
Virgin Islands (U.S. dependency and includes Saint Croix, Saint John, and Saint Thomas)	VI	VIR	Virgin Islands (U.S.)	Federal plant export certificate **not** authorized
Wake Island (U.S. dependency)				Federal plant export certificate **not** authorized
Wales (United Kingdom of Great Britain and Northern Ireland; part of Great Britain)		EUN	United Kingdom	European Union
Wallis and Futuna Islands (island group that is an overseas department of France and includes Iles Wallis (Uvea), and Iles de Hoorn (Alofi and Futuna))	WF	WLF	Wallis and Futuna Islands	Wallis and Futuna Islands
West Bank (and Gaza Strip)		ISR	Israel	Israel
Western Sahara	EH	ESH	Western Sahara	Western Sahara
Western Samoa, Independent State of	WS	WSM	Western Samoa	Samoa
Yemen, Republic of (includes islands of Kamaran, Perim, and Socotra)	YE	YEM	Republic of Yemen	Yemen
Zambia, Republic of	ZM	ZMB	Zambia	Zambia
Zimbabwe, Republic of	ZW	AFR	Zimbabwe	Inter-African Group

FIGURE C-1-1: List of Countries and Their Codes, Approved Names, and Summary Reference (continued)

D

Export Certification Manual

Appendix D

Inspection Certificates

[*Currently Under Development*]

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Introduction

This appendix contains a list of inspection certificates issued by other federal agencies, which are accepted by USDA-APHIS-PPQ in place of inspection, along with examples of acceptable and unacceptable certificates and reports.

USDA-APHIS-PPQ, through Memorandums of Understanding, cooperates with other federal agencies to conduct the phytosanitary inspection of specified commodities. Currently, USDA-APHIS-PPQ works cooperatively with Grain Inspection, Packers and Stockyards Administration (GIPSA), Federal Grain Inspection Service (FGIS), to inspect grain and some grain products. These official inspections are documented on inspection certificates. Use this appendix as a resource to compare inspection certificates presented by exporters in order to validate the certificates' acceptability. See also, *Procedures, Inspection Guidelines, General Inspection Guidelines*, ***Step 1:***

Determine if the Exporter Has an Acceptable Inspection Certificate That Would Preclude an Additional Inspection on page 2-4-4.

Important

All official GIPSA certificates will show the FGIS seal in the center of the certificate. The seal indicates that the grain was officially sampled and inspected by FGIS or an official agency working under GIPSA authority.

The FGIS seal is **not** on the certifictes used for rice and pulses (dry beans, peas, lentils).

An inspection certificate can be accepted **only** if both the following conditions are met:

- Agency's or organization's inspectional procedures are routinely monitored by USDA-APHIS-PPQ personnel
- Inspection certificate is the original (a faxed copy of the original is acceptable when the certificate is faxed directly from the issuing agency and the accountable number was marked on the original Federal plant export certificate before being faxed)

Authorized Certification Officials and Export Certification Specialists should determine their local GIPSA, FGIS contact. See the following web site address:

<http://www.usda.gov/gipsa/aboutus/servicemap/usmap.htm>

Acceptable Inspection Certificates

This appendix provides ACOs with examples of **acceptable** inspection certificates issued by Agricultural Marketing Service (AMS), Federal Grain Inspection Service (FGIS), and individual states as follows:

- **AMS Form FV 146, Certificate of Quality and Condition (Processed Foods)**
- **AMS Form FV 147, Certificate of Quality and Condition (Processed Foods), Quality Assurance**
- **AMS Form FV 149, Certificate of Quality and Condition (Processed Foods), Continuous Inspection**
- **AMS Form FV 294, Report on Sanitary Inspection**
- **FGIS Form FGIS 905-1, Official Grain Inspection, Official Sample-Lot Inspection**
- **FGIS Form FGIS 909, Official Export Grain Inspection Certificate**

- FGIS Form FGIS 909-1, Official Export Grain Inspection Certificate-Divided Lot
- FGIS Form FGIS 909-2, Official Export Grain Inspection Certificate
- FGIS Form FGIS 921-2, Inspection Report-Insects in Grain
- FGIS Form FGIS 956, Rice Inspection Services Certificate
- FGIS Form FGIS 993, Commodity Inspection Certificate
- FGIS Form FGIS 993, Commodity Inspection Certificate
- State Certificates and Reports

AMS Form FV 146, Certificate of Quality and Condition (Processed Foods)

AMS Form FV 146, Certificate of Quality and Condition (Processed Foods) may be used in place of inspection.

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FIGURE D-1-1: Example of AMS Form FV 146, Certificate of Quality and Condition (Processed Foods)

AMS Form FV 147, Certificate of Quality and Condition (Processed Foods), Quality Assurance

AMS Form FV 147, Certificate of Quality and Condition (Processed Foods), Quality Assurance may be used in place of inspection.

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FIGURE D-1-2: Example of AMS Form FV 147, Certificate of Quality and Condition (Processed Foods), Quality Assurance

AMS Form FV 149, Certificate of Quality and Condition (Processed Foods), Continuous Inspection

AMS Form FV 149, Certificate of Quality and Condition (Processed Foods), Continuous Inspection may be used in place of inspection.

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FIGURE D-1-3: Example of AMS Form FV 149, Certificate of Quality and Condition (Processed Foods), Continuous Inspection

AMS Form FV 294, Report on Sanitary Inspection

AMS form FV 294, Report on Sanitary Inspection may be used in place of inspection.

UNITED STATES DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE
FRUIT AND VEGETABLE DIVISION

REPORT ON SANITARY INSPECTION

To Accompany
EXPORT FORM CERTIFICATE
No. _____

To the Plant Protection and Quarantine Program, Animal and Plant Health Inspection Service

This is to report that representative samples of not less than two percent (2%) of the _____ containers of _____ ☐ in car ☐ trailer ☐ State lot _____

were inspected at _____ on _____

for _____
(NAME AND ADDRESS OF APPLICANT)

and were found to be free from plant diseases and apple-blueberry maggot, cherry fruit flies, fall webworm, grape phylloxera, Japanese beetle, Mediterranean fruit fly, Mexican fruit fly, oriental fruit moth, plum curculio, San Jose scale and woolly aphis and substantially free from other insects and from mites except as follows:

(Give here an exact statement of the percent of fruit found to be infested or infected with each of the various plant pests found to occur in the shipment. See instructions issued to shipping-point inspectors on the preparation of Export Form Certificates and Various Sanitary Memoranda.)

_____ (DATE) _____ (INSPECTOR)

WARNING

This report is not a sanitary certificate and must not be used to accompany shipments of fruit to foreign countries. It is merely a statement of findings which will enable inspectors of the Plant Protection and Quarantine Program to issue sanitary certificates without the necessity of making an extra inspection at the port of departure. For limitations on the acceptability of this report as a basis for foreign certification, see instructions on issuing Export Form Certificates and Various Sanitary Memoranda and information issued by the Plant Protection and Quarantine Program on the Import Restrictions on Fruits and Vegetables of some Foreign Countries.

FV FORM 294 (4/81) REPLACES FVQ FORM 294 (11/78), WHICH MAY BE USED UNTIL EXHAUSTED

FIGURE D-1-4: Example of AMS Form FV 294, Report on Sanitary Inspection

FGIS Form FGIS 905-1, Official Grain Inspection, Official Sample-Lot Inspection

FGIS form FGIS 905-1, Official Grain Inspection, Official Sample-Lot Inspection may be used in place of inspection. FGIS 905 L is a similar inspection certificate generated from a computer to a laser printer.

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FIGURE D-1-5: Example of FGIS Form FGIS 905-1, Official Grain Inspection, Official Sample-Lot Inspection

FGIS Form FGIS 909, Official Export Grain Inspection Certificate

FGIS form FGIS 909, Official Export Grain Inspection Certificate, may be used in place of inspection. The shield printed on this form is gradually being phased out. Currently both forms of this certificate are acceptable, with or without the shield.

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FIGURE D-1-6: Example of FGIS Form FGIS 909, Official Grain Inspection Certificate

FGIS Form FGIS 909-1, Official Export Grain Inspection Certificate-Divided Lot

FGIS form FGIS 909-1, Official Export Grain Inspection Certificate-Divided Lot, may be used in place of inspection. This form looks almost exactly like FGIS Form FGIS 909, **except** FGIS 909-1 contains the words "Divided Lot" in the upper right corner to be used for a split shipment. FGIS 909-1L is a similar inspection certificate generated from a computer to a laser printer.

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FIGURE D-1-7: Example of FGIS Form FGIS 909-1, Official Export Grain Inspection Certificate-Divided Lot

FGIS Form FGIS 909-2, Official Export Grain Inspection Certificate

FGIS form FGIS 909-2, Official Export Grain Inspection Certificate, may be used in place of inspection. However, this form is **only** used at interior locations that are loading export shipments and is **never** used at export elevators. This form has blanks for rating quality factors. (Compare with FGIS Form FGIS 909.)

FORM FGIS-909-2
(3-92)
(Prev editions may be used)

APPROVED OMB NO. 0580-001
EXPIRATION: 6/30/94

UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

ORIGINAL
NOT NEGOTIABLE

U.S. GRAIN STANDARDS ACT
OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE

US- 104501

(ISSUED AT) (DATE OF SERVICE)

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act, with the following results.

☐ ORIGINAL INSPECTION ☐ REINSPECTION ☐ APPEAL INSPECTION ☐ BOARD APPEAL INSPECTION

QUANTITY *(This is NOT a Weight Certificate)*	IDENTIFICATION OF CARRIER	
LOCATION	METHOD OF SAMPLING	DATE SAMPLED

GRADE AND KIND *(In accordance with the Official Grain Standards of the United States)*

VOID

Test weight per bushel	Lbs	Broken corn and foreign material	%
Moisture	%	Broken kernels, foreign material, & other grains	%
Damaged kernels (total)	%	Heat-damaged kernels	%
Foreign material	%	Splits	%
Shrunken and broken kernels	%	Contrasting classes	%
Defects (total)	%	Wheat of other classes (total)	%

REMARKS

VOID

APPEAL NO *(If applicable)*	APPLICANT	NAME AND SIGNATURE

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or the weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transshipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law.
WARNING: ***Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws, is subject to criminal, civil, and administrative penalties.***
The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.

FIGURE D-1-8: Example of Form FGIS 909-2, Official Export Grain Inspection Certificate (blank)

FGIS Form FGIS 921-2, Inspection Report-Insects in Grain

FGIS form FGIS 921-2, Inspection Report-Insects in Grain, may be used in place of inspection, but should also be used with the log and/or appropriate certificate.

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FIGURE D-1-9: Example of FGIS Form FGIS 921-2, Inspection Report-Insects in Grain

FGIS Form FGIS 956, Rice Inspection Services Certificate

FGIS form FGIS 956, Rice Inspection Services Certificate, may be used in place of inspection. FGIS 956-1 is used for a split shipment, while FGIS 956 L is a similar inspection certificate generated from the computer to a laser printer.

OMB NO. 0580-0013

ORIGINAL

U.S. DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

F- 189165

RICE INSPECTION SERVICES CERTIFICATE

(ISSUED AT) (DATE OF ISSUANCE)

TYPE OF INSPECTION

a. ☐ ORIGINAL ☐ APPEAL ☐ BOARD APPEAL

b. ☐ LOT ☐ MULTIPLE LOT ☐ SPECIAL ☐ OTHER (Specify) _____

SERVICE PERFORMED *(See Parts II, III, or IV for Results)*

☐ QUALITY INSPECTION ☐ CONDITION INSPECTION ☐ OTHER (Specify) _____ (See Part IV for Results)

PART I - IDENTIFICATION *(Use reverse if necessary; indicate PART I)*

QUANTITY

LOCATION

MARKINGS

IDENTIFICATION	SEAL NUMBERS	DATE SAMPLED	QUANTITY	IDENTIFICATION	SEAL NUMBERS	DATE SAMPLED	QUANTITY

VOID

PART II - RESULTS OF INSPECTION FOR QUALITY *(Use reverse if necessary; indicate PART II)*

GRADE DESIGNATION, CLASS, OR KIND

PART III - CONDITION INSPECTION *(Use reverse if necessary; indicate PART III)*

CONDITION OF CONTAINERS: ☐ GOOD ☐ OTHER (See below)

CONDITION OF COMMODITY: ☐ GOOD ☐ OTHER (See below)

CONDITION OF CARRIER: ☐ CLEAN ☐ OTHER (See below)

PART IV - SPECIAL INSPECTION SERVICES, SPECIAL STATEMENTS, FACTOR INFO., OR REMARKS *(Use reverse if necessary; indicate PART IV)*

I CERTIFY THAT THE SERVICES SPECIFIED ABOVE WERE PERFORMED WITH THE RESULTS STATED.

NAME AND SIGNATURE OF INSPECTOR

This certificate is issued under the authority of the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621 et seq.), and the regulations thereunder (7 CFR 68.1 et seq.), and is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal laws.
WARNING: Sec. 203(h) of the Agricultural Marketing Act of 1946 provides that anyone who shall knowingly falsely make, issue, alter, forge, or counterfeit any official certificate, or aid, assist, or be a party to such actions, is subject to a fine of not more than $1,000 or imprisonment for not more than 1 year, both.
The conduct of all services and the licensing of inspection/grading/sampling/personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.

FORM FGIS-956 (1-92) (Previous edition may be used.)

FIGURE D-1-10: Example of Form FGIS-956, Rice Inspection Services Certificate

FGIS Form FGIS 993, Commodity Inspection Certificate

FGIS form FGIS 993, Commodity Inspection Certificate, may be used in place of inspection and replaces FGIS 912 and FGIS 953; however, FGIS 912 and FGIS 953 can be used until the supply is exhausted. FGIS 993 L is a similar inspection certificate generated from the computer to a laser printer.

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FIGURE D-1-11: Example of FGIS Form FGIS 993, Commodity Inspection Certificate

State Certificates and Reports

The following inspection certificates and reports issued by the individually named states are acceptable in place of inspection:

- Florida Export Citrus Fruit Inspection Certificate (FV 185-C)
- Oregon State Seed Laboratory Inspection Report
- Washington Phytosanitary Grain Inspection Report

Unacceptable Inspection Certificates

This appendix provides ACOs with examples of unacceptable inspection certificates as follows:

- **AMS Form FV 184, Federal-State Inspection Certificate**
- **FGIS Form FGIS 914, Official Certificate, Submitted Sample Inspection**
- **FGIS Form FGIS 915, Official Stowage Examination Certificate**
- **FGIS Form FGIS 916, Official Certificate**
- **FGIS Form FGIS 994, Commodity Certificate, Submitted Sample Inspection**
- **FGIS Form IN 415, Official Certificate, Warehouseman's Sample-Lot Inspection**

Important

The inspection certificates listed in this section are unacceptable (**not** acceptable) in place of inspection.

AMS Form FV 184, Federal-State Inspection Certificate

AMS form FV 184, Federal-State Inspection Certificate, is unacceptable (**not** accepted) in place of inspection. This form is used for sampling commodities such as beans, hops, lentils, and peas.

U.S. DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE
FRUIT AND VEGETABLE DIVISION

S-

FEDERAL-STATE INSPECTION CERTIFICATE

☐ SUBLOT

INSPECTION STARTED: M M D D Y Y Hour Min. A\P M

INSPECTION COMPLETED: M M D D Y Y Hour Min. A\P M

This certificate is issued pursuant to the Agricultural Marketing Act of 1946, as amended and is admissible as prima facie evidence in all courts of the United States.
WARNING: Any person who knowingly shall falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, is subject to a fine of not more than $1,000 or imprisonment for not more than one year, or both.

APPLICANT: CITY/ STATE: PLI:

INSPECTION POINT: OTHER ID:

CONVEYANCE NO.: TYPE: NOTESHEET NO.:

PRODUCT/*VARIETY	*NUMBER AND SIZE OF CONTAINER	DESCRIPTION OF PRODUCT (Brand, Markings, Size, Quality/Condition, etc.)	GRADE	

ABOVE PRODUCTS MEET REQUIREMENTS OF MARKETING ORDER

* VARIETY OF PRODUCT AND NUMBER OF CONTAINERS ARE PROVIDED BY THE APPLICANT AND ARE NOT BEING CERTIFIED BY THE INSPECTOR UNLESS OTHERWISE NOTED

FOR DATA ENTRY ONLY

CORRECTS FV-184 CERTIFICATE NUMBER

APPLICANT

21

CWT

INSPECTED BY

ON-SITE HOURS

O.T. (hrs.)

TRAVEL MILES

O.T. (hrs.)

OTHER

$

REMARKS :

I, the undersigned, a duly authorized inspector of the United States Department of Agriculture, do hereby certify that samples of the herein described product were inspected and the grades as shown by said samples were as herein stated.

FEE: $

O.T.: $

EXP.: $

ESTIMATED TOTAL

$

INSPECTOR'S SIGNATURE

DATE ISSUED

FV-184 (10-93) *(Previous versions may be used)*

FIGURE D-1-12: Example of AMS Form FV 184 Federal/State Inspection Certificate (Unacceptable)

FGIS Form FGIS 914, Official Certificate, Submitted Sample Inspection

FGIS form FGIS 914, Official Certificate, Submitted Sample Inspection, is unacceptable (**not** accepted) in place of inspection.

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FIGURE D-1-13: Example of FGIS Form FGIS 914, Official Certificate, Submitted Sample Inspection (Unacceptable)

FGIS Form FGIS 915, Official Stowage Examination Certificate

FGIS form FGIS 915, Official Stowage Examination Certificate, is unacceptable (**not** accepted) in place of inspection.

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FIGURE D-1-14: Example of FGIS Form FGIS 915, Official Stowage Examination Certificate (Unacceptable)

FGIS Form FGIS 916, Official Certificate

FGIS form FGIS 916, Official Certificate, in unacceptable (**not** accepted) in place of inspection. This form is reserved for special use.

FIGURE D-1-15: Example of FGIS Form FGIS 916, Official Certificate (Unacceptable)

FGIS Form FGIS 994, Commodity Certificate, Submitted Sample Inspection

FGIS form FGIS 994, Commodity Certificate, Submitted Sample Inspection, is unacceptable (**not** accepted) in place of inspection. This form is used for sampling commodities such as beans, hops, lentils, and peas.

FIGURE D-1-16: Example of FGIS Form FGIS 994, Commodity Certificate, Submitted Sample Inspection (Unacceptable)

FGIS Form IN 415, Official Certificate, Warehouseman's Sample-Lot Inspection

FGIS form IN 415, Official Certificate, Warehouseman's Sample-Lot Inspection, is unacceptable (**not** accepted) in place of inspection.

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FIGURE D-1-17: Example of FGIS Form IN 415, Official Certificate, Warehouseman's Sample-Lot Inspection (Unacceptable)

Export Certification Manual

Appendix E

Certificates, Permits, and Reports for Exporting Protected Plant Species

[*Currently Under Development*]

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Introduction

[This appendix goes along with the special procedures for certifying protected plants; which is being reviewed by headquarters subject matter experts; **no** changes have been made.]

The certificates, permits, and reports included in this appendix are related to the special procedures for exporting protected plant species. The examples are divided into the following eight categories:

- USDA General Permit that makes exporting or re-exporting commercial shipments of plants protected by ESA and CITES legal
- Permits that make exporting plants protected by The Endangered Species Act (ESA) legal
- Document that makes exporting or re-exporting plants protected by ESA legal
- Anatomy of a multipurpose form used to construct permits and certificates that authorize trade in plants protected by The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
- Documents that make exporting plants protected by CITES legal
- Document that makes exporting wild American ginseng protected by CITES legal
- Document that makes exporting cultivated American ginseng protected by CITES legal
- Document that makes exporting American ginseng protected by CITES legal

PPQ Form 622, USDA General Permit

No. _____

United States Department of Agriculture

Animal and Plant Health Inspection Service

Plant Protection and Quarantine

General Permit

To engage in the business of

importing, exporting or reexporting terrestrial plants

listed in 50 CFR 17.12 or 23.23

Issued to:

Expiration Date Approving Official

PPQ FORM 622
(APR 95)

PART 1 – PERMITTEE

FIGURE E-1-1: Example of PPQ Form 622, General Permit

Purpose

PPQ Form 622, General Permit, (USDA General Permit) is the general permit that is issued for all commercial imports, exports, and re-exports of protected plants. The exporter **must** hold a USDA General Permit,[1] issued by PPQ, for all commercial exports and re-exports of protected plants.

1 If the exporter needs to have the General Permit renewed or has questions about renewals, then have the exporter contact the Permit Unit, USDA-APHIS-PPQ, 4700 River Road, Riverdale, MD 20737; phone 877-770-5990; FAX 301-734-8700; or at the following URL: <http://www.aphis.usda.gov/ppq/permits>.

Endorsement

PPQ Form 622, General Permit, **must** be endorsed by a person authorized to do so by the USDA-APHIS-PPQ-PHP, Permits and Risk Assessments (PRA) to be valid. (If you have any questions, call the Permit Unit at 301-734-5055.)

Permits That Make Legal the Export of Plants Protected By the Endangered and Threatened Species Act (ESA)

FWS Form 3-201, Federal Fish and Wildlife Permit

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

3-201
(1/97

FEDERAL FISH AND WILDLIFE PERMIT

1. PERMITTEE

DR. M. F. MARCONE
DEPARTMENT OF FOOD SCIENCE
UNIVERSITY OF GUELPH
GUELPH, ONTARIO, N1G 2W1
CANADA

2. AUTHORITY-STATUTES
16 USC 1539 (A)
16 USC 1533 (D)

REGULATIONS *(Attached)*
50 CFR 17.62
50 CFR 17.72

3. NUMBER
MA044611-0

4. RENEWABLE
☐ YES
☒ NO

5. MAY COPY
☒ YES
☐ NO

6. EFFECTIVE
11/20/2001

7. EXPIRES
11/19/2006

8. NAME AND TITLE OF PRINCIPAL OFFICER *(If #1 is a business)*

9. TYPE OF PERMIT
ENDANGERED & THREATENED SPECIES- PLANTS

0. LOCATION WHERE AUTHORIZED ACTIVITY MAY BE CONDUCTED
IMPORT AND RE-EXPORT THROUGH ANY PORT LISTED IN 50 CFR 24.12.

1. CONDITIONS AND AUTHORIZATIONS:

A. GENERAL CONDITIONS SET OUT IN SUBPART D OF 50 CFR 13, AND SPECIFIC CONDITIONS CONTAINED IN FEDERAL REGULATIONS CITED IN BLOCK #2 ABOVE, ARE HEREBY MADE A PART OF THIS PERMIT. ALL ACTIVITIES AUTHORIZED HEREIN MUST BE CARRIED OUT IN ACCORD WITH AND FOR THE PURPOSES DESCRIBED IN THE APPLICATION SUBMITTED. CONTINUED VALIDITY, OR RENEWAL, OF THIS PERMIT IS SUBJECT TO COMPLETE AND TIMELY COMPLIANCE WITH ALL APPLICABLE CONDITIONS, INCLUDING THE FILING OF ALL REQUIRED INFORMATION AND REPORTS.

B. THE VALIDITY OF THIS PERMIT IS ALSO CONDITIONED UPON STRICT OBSERVANCE OF ALL APPLICABLE FOREIGN, STATE, LOCAL OR OTHER FEDERAL LAW.

C. VALID FOR USE BY PERMITTEE NAMED ABOVE.

D. Acceptance of this permit serves as evidence that the permittee understands and agrees to abide by the "General Permit Conditions for Endangered and Threatened Plants".

E. Authorized to re-import and re-export specimens (seeds, plants and/or derivatives) of seabeach amaranth (Amaranthus pumilus) of cultivated origin for the purpose of scientific research:
Accession numbers PI 553080 (DB 8905; Ames 10818)
PI 553081 (DB 8905; Ames 10819)
PI 553082 (DB 8907; Ames 10820)
PI 553083 (DB 8908; Ames 10821)
PI 553084 (DB 8909; Ames 10822)
PI 553085 (DB 8911; Ames 10824)

F. Authorized to re-import and re-export specimens (seeds, plants and/or derivatives) of round-leafed chaff-flower (Achyranthes splendens var. rotundata) of cultivated origin for the purpose of scientific research. Accession numbers 92.0256 and 90s150.

G. Authorized to re-import and re-export specimens (seeds, plants and/or derivatives) of kulu'l (Nototrichium humile) of cultivated origin for the purpose of scientific research. Accession numbers 93c267 and 93s47.

H. Authorized to conduct scientific analyses at various U.S. facilities as described in the application.

I. Permittee may not release any of the plants, seeds, or derivatives into the wild.

☐ ADDITIONAL CONDITIONS AND AUTHORIZATIONS ALSO APPLY

:. REPORTING REQUIREMENTS

ISSUED BY (s) Charlie Chandler
TITLE CHIEF, BRANCH OF PERMITS, DMA
DATE 11/20/2001

FIGURE E-1-2: Example of FWS Form 3-201, Federal Fish and Wildlife Permit (DMA Permit issued under the authority of ESA for Endangered and/or Threatened Species Plants)

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

3-201
(1/97)

FEDERAL FISH AND WILDLIFE PERMIT

1. PERMITTEE

U.S. FISH & WILDLIFE SERVICE
WESTERN WASHINGTON OFFICE
510 DESMOND DRIVE SE, SUITE 102
LACEY, WA 98503

2. AUTHORITY-STATUTES
16 USC 1533 (D)

REGULATIONS *(Attached)*
50 CFR 17.72

3. NUMBER
MA035697-0

4. RENEWABLE
☐ YES
☒ NO

5. MAY COPY
☐ YES
☒ NO

6. EFFECTIVE
12/06/2000

7. EXPIRES
12/05/2001

8. NAME AND TITLE OF PRINCIPAL OFFICER *(if #1 is a business)*
GERRY JACKSON

9. TYPE OF PERMIT
THREATENED SPECIES - PLANTS

10. LOCATION WHERE AUTHORIZED ACTIVITY MAY BE CONDUCTED

11. CONDITIONS AND AUTHORIZATIONS:

A. GENERAL CONDITIONS SET OUT IN SUBPART D OF 50.CFR 13, AND SPECIFIC CONDITIONS CONTAINED IN FEDERAL REGULATIONS CITED IN BLOCK #2 ABOVE, ARE HEREBY MADE A PART OF THIS PERMIT. ALL ACTIVITIES AUTHORIZED HEREIN MUST BE CARRIED OUT IN ACCORD WITH AND FOR THE PURPOSES DESCRIBED IN THE APPLICATION SUBMITTED. CONTINUED VALIDITY, OR RENEWAL, OF THIS PERMIT IS SUBJECT TO COMPLETE AND TIMELY COMPLIANCE WITH ALL APPLICABLE CONDITIONS, INCLUDING THE FILING OF ALL REQUIRED INFORMATION AND REPORTS.

B. THE VALIDITY OF THIS PERMIT IS ALSO CONDITIONED UPON STRICT OBSERVANCE OF ALL APPLICABLE FOREIGN, STATE, LOCAL OR OTHER FEDERAL LAW.

C. VALID FOR USE BY PERMITTEE NAMED ABOVE.

D. Acceptance of this permit serves as evidence that the permittee understands and agrees to abide by the "General Permit Conditions for Endangered and Threatened Plants". The reporting requirements of Condition 8 are not applicable and no report need be submitted.

E. Authorized to import 4,000 to 6,000 seeds of golden paintbrush, *Castilleja levisecta*, collected from wild populations of the plant at Trials Island and Alpha Islet, British Columbia, Canada, for use as described in permittee's application file.

F. Half of the imported seeds must be stored at the Berry Botanic Garden, Portland, Oregon, for future use as determined by the U.S. Fish and Wildlife Service.

☒ ADDITIONAL CONDITIONS AND AUTHORIZATIONS ALSO APPLY

12. REPORTING REQUIREMENTS

ISSUED BY	TITLE	DATE
(s) Charlie Chandler	CHIEF, BRANCH OF PERMITS, DMA	12/06/2000

FIGURE E-1-3: Example of FWS Form 3-201, Federal Fish and Wildlife Permit (DMA-issued permit issued under the authority of ESA for Threatened Species Plants

Purpose

FWS Form 3-201, Federal Fish and Wildlife Permit, is a multipurpose form used to issue permits and certificates, to authorize certain activities involving endangered and/or threatened species[2].

When this permit is issued for threatened species-plants, it is legal to export and/or sell or offer for sale threatened species plants in foreign commerce. Use of this permit for threatened species authorizes **only** plants and plant derivatives of species listed solely as threatened.

Permits are approved **only** for scientific research, enhancement of propagation, survival of the species, horticultural or botanical exhibition, educational purposes, or special purposes consistent with ESA.

Instructions

Important

Seeds of cultivated threatened species **do not** require a permit if those seeds are labeled with the name of the species and a statement that the seeds are of cultivated origin.

Permit Endorsement

Important

All conditions listed in FWS Form 3-201, *Block 11* **must** be followed; otherwise the movement of the threatened plant or its derivatives is illegal.

If the permit[3] is authentic and all conditions listed on FWS Form 3-201 are met, then stamp “RELEASED” in the bottom right-hand corner of FWS Form 3-201, *Block 11*, sign, and date.

2 A threatened species is one likely to become endangered and is afforded less protection than an endangered species.

3 If the exporter needs to have the General Permit renewed or has questions about renewal, then the exporter should contact the Permit Unit by phone at 877-770-5990, or FAX 301-734-8700, or write to USDA-APHIS-PPQ Permit Unit, 4700 River Road, Riverdale, MD 20737, or <http://www.aphis.usda.gov/ppq/ss>.

Distribution of Form 3-201

Distribute endorsed copies of this permit as follows:

- Send the original endorsed documents along with the shipment (if appropriate, include the inventory and continuation sheets)
- Return one set of the endorsed documents marked "COPY" to the exporter
- Send another set of the endorsed documents, securely stapled, to DMA at the following address:

  US. Fish and Wildlife Service
  Division of Management Authority
  4401 North Fairfax Drive, Room 700
  Arlington, VA 22203-3507

- Keep one set of the endorsed documents for your port files

Document That Makes the Export or Re-export Plants Protected By CITES Legal

FWS 3-201A, Federal Fish and Wildlife Permit

XX

FIGURE E-1-4: Example of FWS 3-201A, Federal Fish and Wildlife Permit (DMA-issued multipurpose form used to issue CITES permits and certificates) (blank)

Purpose

The FWS Form 3-201A, Federal Fish and Wildlife Permit, is a multipurpose form that is used by FWS DMA to issue CITES permits and certificates. FWS Form 3-201A can be issued as an export permit, re-export certificate, or other certificate (as specified).

Export Permit

When FWS 3-201A is issued as an export permit, the permit is issued for the export of CITES Appendix I, Appendix II, and Appendix III species that are **not** excluded from CITES prohibitions. An endorsed permit allows trade in protected species that would ordinarily be prohibited. CITES Export permits can **never** be valid for longer than 6 months.

EXAMPLE Artificially propagated CITES Appendix I plants that are being commercially traded would be issued a certificate, **not** a permit.

Re-export Certificates

When FWS 3-201A is issued as a re-export certificate, the certificate is issued for protected species that were legally imported into the United States and are being re-exported.

Important The articles or material that qualifies for an exception **must** still be accompanied by DMA issued documents.

FWS Form 3-201A, Federal Wildlife Permit (DMA-issued CITES Export Permit)

FIGURE E-1-5: Example of Form 3-201A, Federal Wildlife Permit (DMA Issued CITES Export Permit to Authorize Movement of CITES Protected Articles

Purpose

FWS Form 3-201A, Permit or Certificate Issued by the DMA to Authorize Movement of CITES Protected Articles, is a multipurpose form used to construct permits and certificates that authorize trade in plants protected by CITES. This document is an export permit and **not** a Certificate for Artificially Propagated Plants. This export permit authorizes multiple shipments and copying of the permit. This form is a permit, **not** a certificate, because certificates **cannot** be issued for

CITES Appendix I plants that were artificially propagated for commercial purposes, even though *Block 5* identifies the specimens as artificially propagated.

Important

This document is a Certificate of Artificially Propagated Plants and **not** an export permit because the CITES Appendix I plants were artificially propagated (*Block 10*) and *Block 5* shows that they were propagated for noncommercial purposes. Contrast this certificate with the permit in **Figure E-1-5 on page-1-E-11**.

Export Permit

When Form 3-201A is issued as an export permit for the export of CITES Appendix I, II, and III species that are **not** excluded from CITES' prohibitions, the Export Permit will be selected at the top of the form.

EXAMPLE

Artificially propagated CITES Appendix I plants that are being traded commercially would be issued a permit, **not** a certificate. Export Permits are **never** valid for longer than 6 months.

Re-export Certificate

When Form 3-201A is issued as a re-export certificate for protected species then the Re-export Certificate block at the top of the form will be selected.

XX

FIGURE E-1-6: Example of XX, Re-export Certificate Issued for the Export of CITES Appendix I, II, and III species that Are Not Excluded from CITES Prohibitions

Other Certificates

When Form 3-201A is issued as an Other Certificate, and the block at the top of the form will be selected to indicate Other Certificate. Other Certificates are issued on this form as follows:

- Plant was acquired prior to the date that CITES applied to it (Preconvention Certificate)
- CITES Appendix II plants were artificially propagated or are a part or derivative of an artificially propagated plant (Certificate for Artificially Propagated Plants)
- CITES Appendix I plants were artificially propagated or are a part or derivative of an artificially propagated plant, as long as the Appendix I material was **not** propagated for commercial activities (Certificate for Artificially Propagated Plants)
- Plant is exported or re-exported as a noncommercial loan, donation, or exchange between registered scientists or scientific institutions (Certificate of Scientific Exchange)

- Appendix III material that has **not** been listed by the United States is being exported or re-exported (Certificate of Origin)

Important

If the unnumbered block to the right of the CITES logo, "OTHER CERTIFICATES" has been checked, then *Block 9* specifies the kind of certificate being issued. In this case, the certificate is being issued for artificially propagated plants, a category of exception.

Instructions

A permit or certificate is **not** valid until endorsed by a PPQ Officer. The PPQ Officer **must** stamp "RELEASED" and sign and date (spell out name of the month) for the permit or certificate to be valid. See Table E-1-1 for directions on completing this form.

TABLE E-1-1: Instructions for Completing FWS 3-201A, Permit Issued By DMA to Authorize Movement of Protected Articles

Block	Instructions
Export Permit, Re-export Certificate, Other Certificate	Completed by DMA. (Checkbox identifies type of document issued. If Other Certificate is checked, then the kind of certificate will be specified in *Block 9)*
1	Completed by DMA. (Identifies the number of the document used for control purposes)
2	Completed by DMA. (Tells when the permit or certificate expires)
3	Completed by DMA. (Identifies to whom the permit is issued)
4	Completed by DMA. (Identifies to whom the articles are going. Since this document is an export permit, the consignor is crossed out)
5	Completed by DMA. (Specifies any and all conditions that have to be met before the movement of the articles is legal. Specifies if the document may be copied or if multiple shipments are allowed. May be amended to authorize the movement of plants or their derivatives that are also protected by ESA as endangered or threatened.)
6	Completed by DMA. Identifies the individual issuing the permit and the date of issue. Original permits or certificates have a sticker that is sealed and embossed by DMA in this block. Earlier issues of this form had the symbol of an eagle printed in this block. See XX for a list of individuals who are authorized to sign this form)
7	Completed by DMA. Specifies what plants (or their derivatives) are authorized to move. If the document is a certificate **other than** a re-export certificate, then this block will specify the kind of certificate (see also the unnumbered block to the right of the CITES logo).
8	Completed by DMA. Specifies what plants (or their derivatives) are authorized to move. If the document is a certificate **other than** a re-export certificate, then this block will specify the kind of certificate (see also the unnumbered block to the right of the CITES logo).
9	XX

TABLE E-1-1: Instructions for Completing FWS 3-201A, Permit Issued By DMA to Authorize Movement of Protected Articles (continued)

Block	Instructions
10	Completed by DMA. Specifies for each entry the Appendix under which that entry is moving, I, II, or III, using the following abbreviations: (W) Specimens taken from the wild (R) Specimens originating from a ranching operation (D) Appendix I plants artificially propagated for commercial purposes, as well as parts and products thereof (A) Plants artificially propagated (C) Animals bred in captivity (F) Fl-Generation animals born in captivity (U) Source unknown (I) Confiscated or seized specimens
11	Completed by DMA or the permittee. Specifies the number or amount that is being allowed to be traded, or will incorporate one or more inventory sheets. If the document is an export permit, then DMA will complete this block. If the document is a Certificate of Artificial Propagation, and hybrids are being exported, then the permittee completes this block.
12	Completed by DMA. For exported plants that were grown, collected, or harvested in the United States, "U.S.A." is specified. The document number is the same as in *Block 1*.
	Blocks 13-17 are completed by the PPQ Officer
13	PPQ officer endorses the quantity of plants moving as specified for each entry in *Block 7* (may be less, but **never** more than was authorized in *Block 7*)
14	PPQ officer records the bill of lading number, port of exportation (be a designated port), and the number of containers being shipped
15	PPQ officer at a designated port stamps and endorses (signs and dates) this block to authorize the movement of the articles protected by CITES

XX

FIGURE E-1-2: Example of Form 3-201A, DMA Issued Certificate to Authorize Movement of Artificially Propagated CITES Plants

Form 3-201A, CITES Export Permit to Authorize Movement of CITES Protected Articles

XX

FIGURE E-1-3: Example of FWS Form 3-201A, Endorsed DMA Issued CITES Document to Authorize Movement of CITES Protected Articles

Documents That Make the Export of Plants Protected By CITES Legal

FWS Form 3-201A, Export Permit for CITES Protected Flora

XX

FIGURE E-1-4: Example of FWS Form 3-201A, Export Permit for CITES Protected Flora

Purpose—FWS Form 3-201A, Export Permit for CITES Protected Flora, is used to authorize the export of protected species. The species may be listed under one of three CITES Appendixes. Currently the United States has **no** listing under CITES Appendix III.

Export permits are issued for the export of protected plants that are listed in CITES Appendix I or CITES Appendix II and **do not** qualify for an exception. Plant species protected under CITES Appendix I that are artificially propagated for commercial purposes **must** be issued an export permit, **not** a certificate of artificial propagation. Export permits are valid **only** for 6 months but may authorize multiple shipments.

Important

All conditions listed in *Block 5* **must** be followed, otherwise the movement of the protected plant or its derivatives is illegal. *Block 5* will show whether multiple shipments are authorized and if the permit may be copied.

Endorsement of Export Permits—To endorse export permits, do as follows:

- In *Block 13,* list the quantity of plants being exported
- In Block 14, list the information requested

FWS Form 3-201A, Other Certificate (Issued as Certificate for Artificially Propagated Plants)

XX

FIGURE E-1-5: Example of FWS Form 3-201A, Certificate for Artificially Propagated Plants

Purpose—FWS Form 3-201A, Certificate for Artificially Propagated Plants, is used to authorize the export of protected species that are artificially propagated (a category of exception). The species may be listed under one of three CITES Appendixes. Currently the United States has **no** listing under CITES Appendix III.

Certificates for Artificially Propagated Plants may be used for all but CITES Appendix I plants that were propagated for commercial purposes. These **must** be issued a permit.

Certificates may be valid for any appropriate length of time. Currently Certificates for Artificially Propagated Plants are issued for 2 years for plants listed in CITES Appendix II. Certificates for non-commercially propagated CITES Appendix I species are issued on a shipment-by-shipment basis.

Important

All conditions listed in *Block 5* **must** be followed; otherwise the movement of the protected plant or its derivatives is illegal. *Block 5* will show whether multiple shipments are authorized and if the certificate may be copied.

Endorsement of Export Certificates—Endorse export certificates as follows:

1. Fill in the quantity of plants being exported in *Block 13*.
2. Fill in *Block 14* with the information requested.
3. Sign, stamp, and date *Block 15*. Use your “RELEASE” stamp and, when dating, spell out the month.

FWS Continuation Sheet to Accompany CITES Documents

CITES

EXPORT / RE-EXPORT CONTINUATION SHEET

OFFICE OF MANAGEMENT AUTHORITY
U.S. FISH AND WILDLIFE SERVICE
DEPARTMENT OF THE INTERIOR
WASHINGTON, D.C. 20240
UNITED STATES OF AMERICA

Page 2 of 3

1. Original Permit/Certificate No.
00US816220/9

Management Authority

5b. Security Stamp No.
US9249958

6. U.S. Management Authority
WASHINGTON, D.C. — PLACE
08/15/2000 — Issuing Date

7/8. Common Name and Scientific name (genus and species) of Animal or Plant	9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)	10. Appendix No. and Source
C. Common Name HYBRID LADY'S SLIPPER Scientific Name PAPHIOPEDILUM HYBRID	9. CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS WHOLE PLANTS	10. 1 A 11. Quantity (including units) 11a. Total Exported/Quota

12. Country of Origin	Permit/Certificate No.	Date of Issue	12b. Breeding Operation No.
U.S.A	00US816220/9	08/16/2000	
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition

Common Name / Scientific Name	9.	10. / 11. Quantity (including units) / 11a. Total Exported/Quota
12. Country of Origin	Permit/Certificate No.	Date of Issue / 12b. Breeding Operation No.
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue / 12c. Pre-Convention: Date of Acquisition

Common Name / Scientific Name	9.	10. / 11. Quantity (including units) / 11a. Total Exported/Quota
12. Country of Origin	Permit/Certificate No.	Date of Issue / 12b. Breeding Operation No.
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue / 12c. Pre-Convention: Date of Acquisition

Common Name / Scientific Name	9.	10. / 11. Quantity (including units) / 11a. Total Exported/Quota
12. Country of Origin	Permit/Certificate No.	Date of Issue / 12b. Breeding Operation No.
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue / 12c. Pre-Convention: Date of Acquisition

13. Export / Re-export Endorsement:
The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.

See Block 7	Quantity
C	

14. Bill of Lading/Air Way-Bill Number

Port of Exportation / Re-exportation

Total No. of Shipping Containers

15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.
RELEASED
HILO, HI
U.S. DEPARTMENT OF AGRICULTURE
ANIMAL & PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION & QUARANTINE
Lloyd Hopkins September 24, 2001
Inspecting Official's Stamp, Signature and Date

FIGURE E-1-6: Example of Endorsed FWS Export/Re-Export Continuation Sheet to Accompany CITES Documents

Purpose—FWS, Continuation Sheet to Accompany CITES Documents, is used to allow more than four entries on a permit or certificate issued under the authority of CITES. Note that *Block 7/8* on Form 3-201A has space for **only** four entries—A through D.

The continuation sheet becomes a part of the permit or certificate and therefore **must** be validated by a PPQ officer to authorize movement of the articles listed on it.

Endorsement of Continuation Sheets to Permits and Certificates— Endorse the continuation sheet as follows:

1. Fill in the quantity of plants being exported and the Port of Exportation (be a designated port) in *Block 14*.
2. Fill in the waybill number in *Block 15*.
3. Sign, stamp, and date in the appropriate lines in *Block 14*. Use your "RELEASE" stamp and, when dating, spell out the month.

FWS CITES Inventory Sheet to Accompany CITES Documents

INVENTORY SHEET

Office of Management Authority
U.S. Fish and Wildlife Service
Department of the Interior
Washington, D.C. 20240
UNITED STATES OF AMERICA

Page 4 of 4.

1. Original Permit/Certificate No.

01US684398/9

5/6. THIS PERMIT IS ISSUED UNDER AUTHORITY OF THE ENDANGERED SPECIES ACT OF 1973 (16 U.S.C. 1531 et seq.) BY:

U59261783
Security Stamp or Paper No.

WASHINGTON, D.C.
Place

08/03/2001
Issuing Date

United States Management Authority

PERMITTEE: **ARID LANDS GREENHOUSES**
(Quantity and species from approved list to be listed by permittee)
BLOCK 7/8

A, B, C, D, E, F	QUANTITY	SPECIES
A	2	Euphorbia actinoclada -c
A	3	Euphorbia ambroseae
A	3	Euphorbia barnhartii
A	2	Euphorbia boranensis
A	3	Euphorbia buruana- c
A	3	Euphorbia cactus
A	3	Euphorbia classenii
A	4	Euphorbia dawei
A	2	Euphorbia dissitaspina
A	2	Euphorbia elegantissima
A	3	Euphorbia fortissima -c
A	2	Euphorbia graniticola
A	2	Euphorbia griseola zambiensis
A	3	Euphorbia inarticulata
A	2	Euphorbia nigrispina
A	3	Euphorbia parciramulosa
A	2	Euphorbia proballyana
A	3	Euphorbia pseudoburuana
A	3	Euphorbia quadrialata
A	2	Euphorbia samburuensis
A	2	Euphorbia tescorum Lav. 12516
A	3	Euphorbia vallaris -c
A	2	Euphorbia viduiflora
A	2	Euphorbia vulcanorum
A	3	Euphorbia williamsonii
	64	Total Plants

PLANT INSPECTION STATION RELEASED SEP 06 2001 DATE & INITIALS USDA-APHIS-PPQ NOGALES, ARIZONA

15. EXPORT/RE-EXPORT/IMPORT ENDORSEMENT: I, the inspecting official, certify that the information provided above is accurate. This document is valid only with inspecting official's ORIGINAL stamp, signature and date in this block.

PPQ

Inspecting Official's Stamp, Signature and Date

1

FIGURE E-1-7: Example of Endorsed FWS Inventory Sheet to Accompany CITES Documents

Purpose—The FWS Inventory Sheet to Accompany CITES Documents is used specify the species being traded. Inventory sheets are used when the exporter requests authorization for more than four species or for a whole genus or family. Thus, an inventory sheet would be required to export a single plant if the permit was for a whole genus or family. The inventory sheet serves as an invoice. The inventory sheet becomes a part of the permit or certificate and therefore **must** be validated by a PPQ officer to authorize movement of the articles listed on it. If there is an inventory sheet attached to XX, then *Block 11* of the permit, certificate, or continuation sheet will show "Inventory attached."

Important

The exporter can enter additional species to the inventory sheet as long as those entries **do not** supersede what is authorized on the permit or certificate.

Endorsement of Inventory Sheets—Endorse inventory sheets as follows:

1. In *Block 14*, list the Port of Exportation (be a designated port)
2. In Block 14, sign, stamp, and date (spell out the month) in the appropriate lines.
3. Use your "RELEASE" stamp.

FWS Wild Ginseng Export Report

CATEGORIES OF GINSENG

	WILD		ARTIFICIALLY PROPAGATED	
	Wild	Wild simulated	Cultivated	Cultivated Woodsgrown
Origin	Naturally occuring	Seeds or roots planted in natural habitat	Cultivated seed or roots	Cultivated seed or roots
Habitat	Within natural range, in suitable ginseng habitat	Within natural range, in suitable ginseng habitat	Grown in fields	Grown in woods similar to natural habitat
Cultivation	None	Planting of seeds or roots only	Intensive	When planted, largest rocks removed and drainage ditches may be dug around the beds
Fungicide	None	None	Extensive	Extensive
Harvest Methods	Dug by hand	Dug by hand	Often dug by mechanical means	Dug by hand

WILD GINSENG EXPORT REPORT FOR 2000 HARVEST SEASON

NOTE: permittee must supply the following information and attach original State Certificates for the ginseng in this shipment.

States Authorized for 2000 Export:

STATE	WEIGHT Wild	WEIGHT Wild Simulated
Alabama		
Arkansas		
Georgia		
Illinois		
Indiana		
Iowa		
Kentucky		
Maryland		
Minnesota		
Missouri		
New York		
N. Carolina	81	
Ohio		
Pennsylvania	3	
Tennessee		
Vermont		
Virginia		
West Virginia		
Wisconsin		

Total Weight of this Shipment 84 lbs.

Revised August 2000

PORT OF EXPORT BALTIMORE-WASHINGTON INTL

DATE OF EXPORT OCTOBER 26, 2001

CONSIGNEE LEE HOONG KEE LIMITED
17 QUEEN'S ROAD WEST,
GROUND FLOOR
HONG KONG

U.S. PERMIT # 01US029057/9

SHIPMENT # 1
(start with # 1 each year)

FOR: HERSHEY'S INTERNATIONAL, INC.
Glenda A. McGonnell
(PERMITTEE'S SIGNATURE)

Endorsement:
RELEASED BY USDA
10/30/01 Signature of APHIS/PPQ Inspector 3288
DATE INSPECTOR BADGE #
1 CONTAINERS & PKGS. OPENED
REMOVED SEAL # Official APHIS/PPQ Stamp
RESEALED WITH # #57996

FIGURE E-1-8: Example of Endorsed FWS Wild Ginseng Export Report (listing special conditions for the export of wild ginseng)

Purpose—FWS Wild Ginseng Export Report is used to identify the special conditions for the export of wild American ginseng. The completed form is attached to the export permit (since Wild Ginseng is a wild root).

Instructions —The bottom left-hand portion of the Wild Ginseng Report lists the States eligible for export of wild American ginseng for a particular season. **Except** for the *Endorsement* block, the form is completed by the exporter. The exporter **must** write in the by State, the weight of the root being exported.

Endorsement of Wild Ginseng Export Report—If the permit that accompanies the Wild Ginseng Report is authentic, all special conditions are met, and the State certificate(s) and the DMA-issued permit matches the report, then stamp "RELEASED" on the line at the bottom of the endorsement block; sign and date, spell out the month.

FWS Cultivated Ginseng Export Report

CATEGORIES OF GINSENG

	WILD		ARTIFICIALLY PROPAGATED	
	Wild	Wild simulated	Cultivated	Cultivated Woodsgrown
Origin	Naturally occuring	Seeds or roots planted in natural habitat	Cultivated seed or roots	Cultivated seed or roots
Habitat	Within natural range, in suitable ginseng habitat	Within natural range, in suitable ginseng habitat	Grown in fields	Grown in woods similar to natural habitat
Cultivation	None	Planting of seeds or roots only	Intensive	When planted, largest rocks removed and drainage ditches may be dug around the beds
Fungicide	None	None	Extensive	Extensive
Harvest Methods	Dug by hand	Dug by hand	Often dug by mechanical means	Dug by hand

CULTIVATED GINSENG EXPORT REPORT

NOTE: permittee must supply the following information and attach original State Certificates for the ginseng in this shipment.

States Authorized for Cultivated Ginseng Export:

State	Weight: Cultivated	Weight: Cultivated Woodsgrown
Alabama		
Arkansas		
Georgia		
Idaho		
Illinois		
Indiana		
Iowa		
Kentucky		
Maine		
Maryland		
Michigan		
Minnesota		
Missouri		
New York		
N. Carolina		
N. Dakota		
Ohio		
Oregon		
Pennsylvania		
Tennessee		
Vermont		
Virginia		
Washington		
West Virginia		
Wisconsin	1180	

Total Weight of this Shipment 1180 LBS.

PORT OF EXPORT CHICAGO. ILL

DATE OF EXPORT 10-16-01

CONSIGNEE Wing Joo Loong GINSENG
31 NORTH CANAL RD
SINGAPORE 0105

U.S. PERMIT # 696378

SHIPMENT # 03
(start with # 1 each year)

(PERMITTEE'S SIGNATURE)

Endorsement:

Paul V. Cryer, October 18, 2001
Signature of APHIS/PPQ Inspector
RELEASED
CHICAGO, IL
U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

Revised 10-22-99

FIGURE E-1-9: Example of FWS Cultivated Ginseng Export Report

Purpose—FWS Cultivated Ginseng Export Report is used to identify the special conditions for the export of cultivated American ginseng. This form is attached to the Certificate for Artificially Propagated Plants, since cultivated ginseng is a cultivated root.

Instructions—Except for the lines for endorsement in the lower right-hand corner, the form is completed by the exporter. The exporter **must** write in the weight, by State, of the root being exported.

Endorsement of Cultivated Ginseng Export Reports—If the permit that accompanies the Report is authentic, all special conditions are met, and the State certificate verifies that the root was cultivated, then stamp "RELEASED" on the line at the bottom of the endorsement block; then sign and date (spell out the month).

American Ginseng Export Certificate (State-issued)

(State) Dealer Registration Number_____

Certification Number_____

Shipment Number_____

S T A T E O F I S S U A N C E

AMERICAN GINSENG EXPORT CERTIFICATE

This is to certify that to the best of my knowledge, the American ginseng root in this shipment consisting of:

_____pounds_____ounces of wild root

_____pounds_____ounces of cultivated root

were legally collected in accordance with State and Federal law in (State) as approved for the (current) harvest season by the Office of the Scientific Authority of The U.S. Fish and Wildlife Service of The U.S. Department of the Interior. This certification is based on permanent records of commerce in ginseng dealings as required by the State of registration.

_____
Signature of Registered Dealer

_____
Address of Registered Dealer

_____
Date of Certification by Dealer

_____
State Inspector (if required by the State)

_____
Date of Inspection

SAMPLE

Note: Dealers must be registered in the States from which they purchase the ginseng described in the certificate.

This certificate must accompany each shipment of ginseng upon and after the first sale of the ginseng.

A Federal Export Permit is required to export wild ginseng from the United States. Artificially Propagated Plant certificates are necessary for international shipment of cultivated ginseng. These documents are available from the Wildlife Permit Office, P.O. Box 3654, Arlington, VA 22203. Apply at least 60 days prior to date of export.

A valid federal export permit or certificate of Artificial Propagation and copies of these State Certificates listing the ginseng in the shipment are required to export wild or cultivated ginseng from the U.S.

FIGURE E-1-10: Example of American Ginseng Export Certificate (State-issued certificate of origin)

Purpose—The American Ginseng Export Certificate is a State-issued certificate used to certify that the root was either legally collected or cultivated in the State identified on the certificate.

Endorsement

The American Ginseng Export Certificate **must** be an original, signed by a State regulatory official, and completed as follows:

- Both wild and cultivated American ginseng **cannot** be listed on the same certificate
- If the exporter is exporting **only** a portion of the roots authorized on the Certificate, then allow the exporter to mark the balance on the certificate
- Changes **must** be signed and dated by the exporter
- **Never** allow the State certificate to go forward with the exported roots

Distribution

This certificate **must** be sent to DMA after it is endorsed by a PPQ officer.

F

Export Certification Manual

Appendix F

Maintenance of the Manual

Contents

Introduction **page F-1-1**
Revisions to Manuals **page F-1-1**
- Advance Notices **page F-1-1**
- Immediate Updates **page F-1-2**
- New Editions **page F-1-2**
- Supersede Statements **page F-1-2**

Keeping the Export Certification Manual Current **page F-1-3**
- Transmittals **page F-1-3**
- Control Data **page F-1-3**
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Responsibilities of Manual Users **page F-1-3**
Adding and Changing Addresses and Copy Counts **page F-1-4**
Ordering Additional Manuals and Revisions **page F-1-5**

Introduction

This appendix contains information about revisions to manuals and the procedures and responsibilities for users to maintain the *Export Certification Manual (ECM)*. The ECM is issued and maintained in paper copy and is manually kept current by the users. The ECM is also available electronically on PPQ's Manuals Unit web site (see the web site address below) and from the EXCERPT home page.

<http://www.aphis.usda.gov/ppq/manuals/online_manuals.html>

Revisions to Manuals

Changes in policy and regulations and errors in manuals that would lead to incorrect actions are immediately corrected and updated. Revisions are **not** issued solely to correct a minor typographical error.

The PPQ Manuals Unit issues transmittals (e-mails or memorandums) for advance notices, immediate updates, and new editions of manuals.

Advance Notices

Advance notices are issued when the revisions are **not** urgent or are extensive (more than 6 pages). Transmittals (e-mails or memorandums) for advance notices usually contain the following information:

- Transmittal number (used to track revisions)
- Alert to users that the manual has been updated
- Purpose of the revision
- Supersede statement
- List of updated pages
- Instructions to add new pages and to remove old pages and replace with new ones

Immediate Updates

Immediate updates are issued when the revisions are urgently needed and cover 6 pages or less.

Transmittals (e-mails or memorandums) for immediate updates usually contain the following information:

- Transmittal number (used to track revisions)
- Purpose of the immediate update
- Supersede statement
- List of the updated pages
- Instructions to add new pages and to remove old pages and replace with new ones
- Attached pages

New Editions

In general, new editions are issued when the percentage of revised pages exceeds 30 percent of an entire manual. For new editions to online manuals, transmittal e-mails are issued. For new editions to paper manuals, transmittal memorandums are issued.

Supersede Statements

Supersede statements identify existing official documents that are **no** longer valid or accurate because they have been incorporated into the manual. Supersede statements are included in transmittals (e-mails or memorandums).

PPQ's Manuals Unit is obligated to identify all existing official documents that are superseded. If manual users accessed outdated information that was **not** formally superseded, then the agency may be liable. Therefore, supersede statements are critical from a legal standpoint.

Keeping the *Export Certification Manual* Current

Manual users can keep track of manual revisions from transmittals, control data, and update records.

Transmittals

Transmittals are the correspondence that accompany advance notices, immediate updates, and new editions. Transmittals are either e-mails or memorandums that explain the manual revision. Each transmittal has a unique number usually identified in the subject line, which can be used to track revisions. New editions **always** start with the transmittal number of -01 and the number increases by one for each revision made during the life of the edition.

Control Data

Control data are the numbers located at the bottom of most pages opposite the page number, which can be used to track revisions. Control data contain the month, year, and transmittal number for that page (see Figure F-1-1).

09/2004-01	◆ 09/2004 is the month and year when the manual page was issued ◆ -01 is the transmittal number

FIGURE F-1-1: Example of Control Data

Update Records

Update records are located on the reverse side of the manual's title page. When transmittals are received, record the transmittal number and date received in the Update Record. Keeping track of transmittal numbers helps identify missing revisions, especially if users find that the transmittal numbers are out-of-sequence.

Responsibilities of Manual Users

Those who receive a paper copy of the manual should continue below to understand their responsibilities to keep their manual up to date. Otherwise, online manuals are maintained by PPQ's Manuals Unit and reside on PPQ's Manuals Unit web site.

The **ECM must** be kept up-to-date in order to effectively maintain a paper copy and to enhance professionalism. When an outdated manual is used, then you risk making decisions that could jeopardize the phytosanitary export certification program. Your diligence is a crucial part of maintaining the **ECM**.

When you receive each revision, do the following:

1. Read the transmittal to understand the purpose of the revision. **Except** for changes to the index, all changes are marked with a change bar as located to the left of this sentence.
2. Record the transmittal number and date received in the ***Update Record***. If you have missed a revision, check PPQ's Manuals Unit web site.
3. Add new pages or remove old pages and replace them with the revised ones on the same day you receive the revision.
4. If required locally, numerically file the transmittal (e-mail or memorandum).
5. If you receive a paper copy of the manual, then communicate, through proper channels, changes to addresses and copy counts on the mailing label (see ***Adding and Changing Addresses and Copy Counts***).

Adding and Changing Addresses and Copy Counts

Paper copies of some manuals are mailed from the APHIS Printing, Distribution, and Mail Branch located in Riverdale, Maryland. If you receive a paper copy, then be sure to communicate, through proper channels, changes to addresses and copy counts for the mailing list.

When updating mailing lists, **always** provide the following information:

- Distribution code: 34041
- Access code from a label used to mail the manual (line of letters and numbers directly above the address on the label), for changes and deletions
- Old address, if applicable
- New address, if applicable
- Contact person with phone and FAX numbers

Mail, FAX, or e-mail the request to the following address:

USDA, APHIS, PDMB
Printing, Distribution, and Mail Branch
7400 River Road, Unit 1
Riverdale, Maryland 20737-1229
Attn: Ed Lawson
FAX: 301-734-8455
E-mail: <edward.s.lawson@aphis.usda.gov>

Ordering Additional Manuals and Revisions

When ordering additional manuals or revisions, **always** provide the following information:

- Organization
- P. O. Box or street address (include room or suite number)
- City, State, and nine-digit zip code
- Contact person with phone and FAX numbers
- Manual title: *Export Certification Manual*
- Transmittal number, if known
- Number of copies needed

Mail, FAX, or e-mail the request to the following address:

USDA, APHIS, PDMB
Printing, Distribution, and Mail Branch
4700 River Road, Unit 1
Riverdale, Maryland 20737-1229
Attn: Mary L. Kellington
FAX: 301-734-8455
E-mail: <mary.l.kellington@aphis.usda.gov>

Export Certification Manual

Glossary

Introduction

Use this *Glossary* to find the meaning of specialized words, abbreviations, acronyms, and terms used in export certification. To locate where in the manual a given definition, term, or abbreviation is mentioned, use the Index.

Some definitions have references such as CEPM, FAO, ICPM, IPPC, and ISPM. These definitions are taken directly from the Glossary of Phytosanitary Terms, which was developed to provide a harmonized internationally agreed vocabulary associated with the implementation of the International Plant Protection Convention and International Standards for Phytosanitary Measures (ISPM). These definitions are published in ISPM Pub. Nº 5 dated April, 2002.

Definitions, Terms, and Abbreviations

Accreditation—official recognition of proficiency resulting in the approval and authority to perform specific tasks or provide specific services in full or partial support of fulfilling official obligations [NAPPO, 1999]. See also *Special Procedures*, ***Accreditation Programs*** on **page 3-1-1**.

Accountability system—system established to maintain the credibility of PPQ's entire phytosanitary Export Certification Program, to deter forgeries and control public misuse of the export certificates. See also *Procedures, Export Certificates*, ***Accountability*** on **page 2-5-2**.

ACO—See Authorized Certification Official (ACO).

AD—See Additional Declaration (AD).

Additional Declaration (AD)—statement that is required by an importing country to be entered on a phytosanitary certificate and which provides specific additional information pertinent to the phytosanitary condition of a consignment [FAO, 1990].

Advisory—of or pertaining to giving information and especially a warning.

Affiliated Island—island associated with the United States but **not** fully integrated as a State (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands). Affiliated islands are insular areas monitored by the U.S. Department of the Interior.

Agent—individual who meets the eligibility requirements set forth in 7CFR 353.6, and who is designated by USDA-APHIS to conduct phytosanitary field inspections of seed crops to serve as a basis for the issuance of Federal plant export certificates [7CFR 353.1]. Agents may conduct phytosanitary field inspections of seed crops in cooperation with and on behalf of those State plant regulatory agencies electing to use agents and maintaining a Memorandum of Understanding (MOU) with USDA-APHIS in accordance with the regulations. The MOU **must** state that agents shall be used in accordance with the regulations in 7CFR 353. Agents are **not** authorized to issue Federal plant export certificates, but are **only** authorized to conduct the field inspections of seed crops required as a basis for determining phytosanitary condition prior to the issuance of a Federal plant export certificate for the crops.

Agricultural Marketing Service—Federal agency that is responsible for inspecting, grading, classing, standardizing, regulating, sampling, testing, and reporting market news for specific agricultural and food commodities. USDA-APHIS-PPQ approves Agricultural Marketing Service inspection certificates as a basis for issuing PPQ Form 577 for certain commodities. See *Procedures*, *Inspection Guidelines*, Figure 2-4-2 on page 2-4-6, for a list of acceptable inspection certificates.

AMS—See Agricultural Marketing Service.

Application for Inspection and Certification of Domestic Plants and Plant Products for Export—official form, PPQ Form 572, that provides the information needed to complete a Federal plant export certificate and serves as a worksheet for the Authorized Certification Official conducting the inspection. See *Appendix B, Forms*, ***PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export*** on page B-1-13 for directions on how exporters are to complete the application.

Approved name—approved names of countries are referenced in EXCERPT and **must** be used when completing Federal plant export certificates. See *Appendix C,* ***List of Countries*** on page C-1-1 for a cross-referenced list. Approved names are also published in the International Standard, ISO 3166.

Approved testing methods—as relates to potatoes, bioassay, serodiagnostic, or other testing methods including but **not** limited to, gel electrophoresis and molecular hybridization, using methods which have been approved by the Certification Section of the Potato Association of America.

Area freedom—See Pest free area (PFA).

Artificially propagated—parties of CITES recommend that artificially propagated **only** applies to plants grown by man from seeds, cuttings, callus tissue, spores, or other propagules under controlled conditions. The artificially propagated stock **must** be established and maintained in a manner **not** detrimental to the survival of the species in the wild, and managed in a manner designed to maintain the artificially propagated stock indefinitely.

ASCS—See Agricultural Marketing Service.

Authorized Certification Official (ACO)—a public officer who is authorized by the National Plant Protection Organization and accredited for the signing of phytosanitary certificates, who 1) possesses the required education, experience, and training; and 2) has written confirmation of having successfully passed an approved examination [NAPPO, 1999]. See also Accreditation.

Authorized port—specific port identified by the importing country as to where to direct the entry of plants or plant products. Also called approved port and point of entry.

Bedding plants—as relates to the U.S./Canada Greenhouse Certification Program, bedding plants are outdoor garden plants that are grown under protection and later sold for planting in outdoor gardens. Examples of bedding plants include marigolds, petunias, and geraniums.

Broker—as relates to the U.S./Canada Greenhouse Certification Program, a broker is an exporter who **does not** own or operate a facility for producing plants, but ships plants produced by other designated facilities.

Cacti—as relates to the U.S./Canada Greenhouse Certification Program, cacti are plants that are adapted for storing water for extended periods of drought. They generally **do not** have leaves, and almost all species are spiny, with spines growing from small cushion-like structures called areolas. Examples of cacti include barrel cactus, prickly pear, Christmas cactus, and Easter cactus.

Certificate—an official document which attests to the phytosanitary status of any consignment affected by phytosanitary regulations [FAO 1990].

Certificate of Heat Treatment—an official document, PPQ Form 553, used to certify that conifer solid wood packing material to the People's Republic of China has been heat treated through a treatment process that increased the minimum core wood temperature to 56 degrees Celsius for 30 minutes.

Certification—as relates to potatoes, a process where employees of an official certification agency visually inspect growing grounds or facilities and crops thereon or therein, and have determined that the standards applicable have been met. Certification **does not** warrant that the seed potatoes to which official indicia or certification are attached or which are otherwise represented as certified, are merchantable or fit for particular purpose.

CITES—See **Convention on International Trade in Endangered Species of Wild Flora and Fauna**.

CITES Appendix I—See **Convention on International Trade in Endangered Species of Wild Flora and Fauna**.

CITES Appendix II—See **Convention on International Trade in Endangered Species of Wild Flora and Fauna**.

CITES Appendix III—See **Convention on International Trade in Endangered Species of Wild Flora and Fauna**.

Class—as relates to potatoes, class is a seed-quality level as relates to compliance with the specified tolerances for diseases and varietal purity.

Clone—as relates to potatoes, clone is all of the progeny of a single explant and/or plantlets.

Confidentiality—holding information in strict confidence. Authorized Certification Officials are to hold in strict confidence the information in Federal plant export certificates to protect buyers and exporters. See also *Procedures, Export Certificates*, ***Confidentiality*** on **page 2-5-5**.

Consignment—one shipment of plants or plant products, from one exporter, to one consignee, in one country, on one means of conveyance; or any mail shipment to one consignee [7CFR 353.1]. A quantity of plants, plant products and/or other articles being moved

from one country to another and covered, when required, by a single phytosanitary certificate (a consignment may be composed of one or more commodities or lots) [FAO, 1990; revised ICPM, 2001].

Consignment in transit—a consignment that is **not** imported into a country but passes through it to another country, subject to official procedures which ensure that it remains enclosed, and is **not** split up, **not** combined with other consignments nor has its packaging changed [FAO, 1990; revised CEPM, 1996; CEPM 1999; ICPM, 2002 formerly country of transit].

Convention on International Trade in Endangered Species of Wild Flora and Fauna—a multinational treaty that regulates the export and re-export of listed species of wild fauna and flora. CITES provides three appendixes for listing plants. These appendixes, listed in order of their restrictiveness, are as follows:

- CITES Appendix I—any genus, species, subspecies, or variety, globally threatened with extinction through trade
- CITES Appendix II—any taxon (the entire family—all genera and all species) that **must** be regulated in order to avoid the threat of extinction through trade
- CITES Appendix III—any species, subspecies, or variety listed by one country in order to enlist the cooperation of other countries to reinforce domestic conservation measures by regulating trade

Cooperator—plant regulatory officials designated under the Federal-State Cooperative Program that their State has entered into with the USDA. Specific plant regulatory officials are authorized by the Secretary of Agriculture to inspect and certify the phytosanitary conditions of plants and plant products offered for export and to issue Federal plant export certificates. Officials designated as cooperators **must** meet or exceed the basic requirements as detailed in *Special Procedures*, ***Federal-State Cooperative Program*** on **page 3-4-1**.

Designated facility—as relates to the U.S./Canada Greenhouse Certification Program (the Program), a designated facility is a nursery establishment that has signed a compliance agreement and is in compliance with the terms and conditions of the Program. Plants shipped by a designated facility may be produced at their own facility or may be produced at another facility approved in the Program.

Disease tested—as relates to potatoes, a process using approved methods where each explant has been tested for and found free from potato spindle tuber viroid (PSTV), potato virus A (PVA), potato virus M

(PVM), potato virus S (PVS), potato virus X (PVX), potato virus Y (PVY), leafroll (PLRV), bacterial ring rot (BRR), and bacterial soft rot/blackleg (*Erwinia* spp.).

Domestic products—are those plants and unprocessed or unmanufactured plant products grown or produced in the United States, its possessions, and the Commonwealth of Puerto Rico.

ECM—Initials representing the *Export Certification Manual*.

ECR—See **Export Certification Record (ECR)**.

ECS—See **Export Certification Specialist (ECS)**.

Endangered—See **Endangered Species Act (ESA)**.

Endangered Species Act (ESA)—enabling legislation that provides for the protection of listed species in two categories. These categories, listed in order of their restrictiveness, are as follows:

1. Endangered—any species, subspecies, or variety that is in danger of extinction throughout all or a significant portion of its range.
2. Threatened—any species, subspecies, or variety that is likely to become endangered within the foreseeable future throughout all or a significant portion of its range.

ESA—see **Endangered Species Act (ESA)**.

EU—Initials representing the European Union. See **European Union (EU)**.

European Union (EU)—mutually beneficial association of the following member States (countries): Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Monaco, Netherlands, Poland, Portugal, San Marino, Slovakia, Slovenia, Spain, Sweden, United Kingdom, and Vatican City State. For the most current list of member States, see EXCERPT.

EXCERPT—See **Export Certification Project**.

Explant—as relates to potatoes, an in-vitro potato plant or plantlet produced by rooting an excised tip of a tuber sprout or an auxiliary bud from a growing plant, which shall serve as a parent for a whole clone or accession of micro-propagated plants or plantlets.

Export Certificate, Processed Plant Products—an accountable certificate, PPQ Form 578, used to certify eligible processed products for which PPQ Form 577 or PPQ Form 579 **cannot** be issued. The intended purpose of the Export Certificate, Processed Plant Products is to assist U.S. exporters whose shipments may be placed in jeopardy if such a document is **not** issued. See also *Procedures, Export Certificates*, ***PPQ Form 578, Export Certificate, Processed Plant Products*** on **page 2-5-32**.

Export Certification Project—an electronic database known as EXCERPT, which provides current information on the plant import requirements of foreign countries and other related reference lists such as processed products, ineligible products, endangered species, Export Certification Specialists, designated CITES ports, recent summary changes, phytosanitary notes, messages and alerts.

Export Certification Record (ECR)—an official form, APHIS Form 80-R, used by ACOs to track and monitor accountable Federal plant export certificates (prepaid and those issued upon request). See also *Special Procedures*, ***User Fees*** on **page 3-11-1**.

Export Certification Specialist (ECS)—PPQ employee who is responsible for maintaining the quality and credibility of the phytosanitary export certification program. See EXCERPT for a list of the Export Certification Specialists along with a description of their jurisdiction. See also, *Procedures, Preparation*, ***Roles and Responsibilities*** on **page 2-1-10**.

Export Services (ES)—Headquarters unit within USDA-APHIS-PPQ that maintains a phytosanitary certification system for exported U.S. agricultural commodities. USDA-APHIS-PPQ, Export Services, 4700 River Road, Unit 140, Riverdale, Maryland 20737; phone 301-734-8537; FAX 301-734-3249.

Export summary—interpretation of the plant quarantine import requirements of a foreign country. Export summaries provide guidance to Authorized Certification Officials, Export Certification Specialists, and other regulatory officials and interested parties concerned with the export of plants and plant products. Export summaries are **not** to be considered legally authoritative; they are written from translated plant quarantine regulations, official instructions, and other information provided by officials in foreign countries. Export summaries are housed in EXCERPT.

FAO—See **Food and Agriculture Organization of the United Nations**.

Farm Service Agency (FSA)—the Federal agency that among other duties, is involved with certifying Title II (PL 480) commodities (such as corn soya milk, corn soya blend, wheat protein concentrate, and vegetable oil). These types of commodities are **not** eligible for Federal plant export certificates.

Federal Grain Inspection Service (FGIS)—a service program within the Grain Inspection, Packers and Stockyards Administration Agency that provides inspection of grain exports that are certified by Federal plant export certificates. Also, the Federal Grain Inspection Service is responsible for inspecting, grading, classing, standardizing, sampling, witnessing treatments, and testing specific agricultural and food commodities.

Federal Phytosanitary Certificate (FPC)—an accountable inspection certificate, PPQ Form 577, used to certify domestic plants and unprocessed or unmanufactured plant products for export that have been inspected according to appropriate procedures, that are considered to be free from quarantine pests and practically free from other injurious pests, and that conform with the current phytosanitary regulations of the importing country.

Federal plant export certificates—official documents that attest to the phytosanitary condition of plants or plant products and are issued by Authorized Certification Officials. See also *Procedures*, ***Export Certificates*** on **page 2-5-1**.

FGIS—See Federal Grain Inspection Service (FGIS).

Flowering greenhouse plants—as relates to the U.S./Canada Greenhouse Certification Program, are those plants grown for their attractive flowers. They are grown indoors and are often incapable of surviving outdoor growing conditions in colder climates. Examples of flowering greenhouse plants include poinsettias, Easter lilies, hydrangeas, cyclamens, gloxinias, and hibiscus.

Foliage plants—as relates to the U.S./Canada Greenhouse Certification Program, foliage plants are distinguished by the beautiful foliage they produce rather than by the flowers. Examples of foliage plants includes all tropical plants such as dieffenbachias, ferns, scheffleras, and philodendrons as well as coleus, crontons, fittonias, pileas, and peperomia.

Food and Agriculture Organization of the United Nations—an organization that leads international efforts to defeat hunger. Serving both developed and developing countries, the Food and Agriculture

Organization of the United Nations acts as a neutral forum where all nations meet as equals to negotiate agreements and debate policy, and is also a source of knowledge and information.

Foreign products—are those plants and unprocessed or unmanufactured plant products that have officially entered U.S. commerce but were grown or produced in countries **other than** the United States, its possessions, and the Commonwealth of Puerto Rico.

FPC—See **Federal Phytosanitary Certificate (FPC)**.

FPC-R—See **Phytosanitary Certificate for Reexport (PC-R)**.

FSA—See **Farm Service Agency (FSA)**.

GIPSA—See **Grain Inspection, Packers and Stockyards Administration Agency (GIPSA)**.

Grade—as relates to potatoes, the tuber quality as relates to compliance with specific tolerances for tuber sizes, defects, diseases and other factors outlined in the U.S. No. 1 Seed Potato Grade.

Grain Inspection, Packers and Stockyards Administration Agency (GIPSA)—a Federal agency that facilitates the marketing of livestock, poultry, meat, cereals, oilseeds, and related agricultural products, and promotes fair and competitive trading practices for the overall benefit of consumers and American agriculture.

Growing season inspection—an examination of plants during active growth to verify freedom from specific pests or pathogens. Also may include the growing media or soil.

Hybrid—for CITES purposes, hybrid is the offspring of two genetically dissimilar taxa where at least one parent is listed in a CITES Appendix. This would include the offspring of parents belonging to different species, different genera, and crosses made between a species and a hybrid. Offspring from parents of the same species (i.e., intra-specific crosses) are regulated as species and are **not** considered hybrids.

ICPM—Initials representing the Interim Commission on Phytosanitary Measures.

Import Permit (IP)—official document authorizing importation of a commodity in accordance with specified phytosanitary requirements [FAO, 1990; revised FAO, 1995].

Inspection certificates—cooperating agencies such as Federal Grain Inspection Service (FGIS) perform export inspections for specified commodities and issue certificates that may be accepted by USDA-APHIS-PPQ in place of inspection. These certificates are based on officially drawn samples and export inspections conducted by designed FGIS personnel. While **not** all certificates are accepted by USDA-APHIS-PPQ in place of inspection, examples of acceptable inspection certificates issued by FGIS and other agencies are in *Appendix D*, ***Inspection Certificates*** on **page D-1-1**.

Inspector—person authorized by a National Plant Protection Organization to discharge its functions [FAO, 1990]. An employee of APHIS or a State or county plant regulatory official designated by the Secretary of Agriculture to inspect and certify to shippers and other interested parties, as to the phytosanitary condition of plant products inspected under the Act (Plant Protection Act) [7CFR 353.1].

International Plant Protection Convention (IPPC)—International Plant Protection Convention, as deposited with FAO in Rome in 1951 and as subsequently amended [FAO, 1990]. (See also web site address: <www.aphis.usda.gov/export/pipps.html>.)

International Standard for Phytosanitary Measures (ISPM)—an international standard adopted by the Conference of FAO, the Interim Commission on phytosanitary measures or the Commission on phytosanitary measures, established under the IPPC [CEPM, 1996; revised CEPM, 1999].

IP—See **Import Permit (IP)**.

IPPC—See **International Plant Protection Convention (IPPC)**.

ISPM—See **International Standard for Phytosanitary Measures (ISPM)**.

KD—initials representing kiln drying. Kiln drying is a process in which wood is dried in a closed chamber using heat and/or humidity control to achieve a required moisture content [ISPM Pub. N° 15, 2002]. KD is marked on lumber to indicate the treatment has been conducted.

Lead time—amount of time needed to inspect or examine a shipment before its shipping date. (Some countries interpret shipping date as the date a commodity physically leaves the exporting country.)

Letter of Credit—a document issued by a bank authorizing an exporter to draw a stated amount of money from the issuing bank. Letters of credit are strictly fiduciary document. For the purposes of

phytosanitary certification, letters of credit **cannot** be considered official notifications of changes or exceptions to plant quarantine regulations, which **must** come from the plant protection services of the foreign countries. Therefore, letters of credit are **not** phytosanitary documents and **cannot** be referenced on a Federal plant export certificate.

Limited Generation System—a certification scheme wherein the planting stock for each seed class is limited as to eligibility by compliance with established disease tolerances and the number of increases made in the field. The classes or generations of the limited generation system included are: Prenuclear, Nuclear, Generation 1, Generation 2, Generation 3, Generation 4 and Generation 5; where Prenuclear is laboratory production, Nuclear is greenhouse production and Generations 1-5 are the first and subsequent field increases.

Local PPQ contact point—a designated PPQ officer who is responsible for assisting Export Certification Specialists in maintaining the quality and credibility of export certification. These designated local PPQ contact points are listed in EXCERPT along with the Export Certification Specialists. See also **Export Certification Specialist (ECS)**.

Memorandum of Understanding (MOU)—a formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the parties involved. An example is the Memorandum of Understanding negotiated between a State plant regulatory agency and USDA-APHIS-PPQ that authorized State regulatory officials to issue Federal plant export certificates. See *Special Procedures*, ***Federal-State Cooperative Program*** on **page 3-4-1**.

Microtubers—as relates to potatoes, microtubers are small tubers produced under aseptic culture conditions in a laboratory.

Minitubers—as relates to potatoes, minitubers are small tubers produced in a soilless medium under greenhouse conditions controlled to exclude pests and diseases.

Monitoring—an official process to verify phytosanitary situations. [CEPM, 1996]. See also **Treatment**.

MOU—See **Memorandum of Understanding (MOU)**.

NAPPO—See **North American Plant Protection Organization (NAPPO)**.

National Plant Protection Organization (NPPO)—official service established by a government to discharge the functions specified by the IPPC [FAO, 1990; formerly Plant Protection Organization (National)]. PPQ serves as NPPO for the United States.

Non-quarantine pest—pest that is **not** a quarantine pest for an area [FAO, 1995].

North American Plant Protection Organization (NAPPO)—a Regional Plant Protection Organization of the International Plant Protection Convention that coordinates the efforts among Canada, the United States and Mexico to protect their plant resources from the entry, establishment and spread of regulated plant pests, while facilitating intr/interregional trade. (See also web site address: <www.nappo.org>)

NPPO—see **National Plant Protection Organization (NPPO)**.

Nursery establishment—as relates to the U.S./Canada Greenhouse Certification Program, a nursery establishment is a company that owns or operates a facility for producing plants.

Off-type—different from the cultivar, variety, strain, or selection on the application for certification.

Official State Seed Potato Certification Agency—a State agency duly authorized by State law to provide seed potato certification services. See also *Special Procedures*, ***U.S. Export Standards for Seed Potatoes*** on **page 3-10-1**.

Official verification (OV)—confirmation by an Authorized Certification Official that certain plant health conditions have been satisfied. Official verifications are **not** entered on Federal plant export certificates.

Orchids—as relates to the U.S./Canada Greenhouse Certification Program, orchids are a special group of flowering plants comprising approximately 25,000 species. Orchids are best recognized by their bilaterally symmetrical flowers. Some of the most popular greenhouse genera include *Cattleya, Cymbidium, Paphiopedilum, Phalaenopsis, Dendrobium, Odontoglossum,* and *Oncidium*.

OV—See **Official verification (OV)**.

Party country—a country, including its territories, that is a party to the Convention on International Trade in Endangered Species of Wild Fauna and Flora, by virtue of ratification or accession.

PC—See Phytosanitary certificate (PC).

PCIT—Initials representing Phytosanitary Certificate Issuance and Tracking system. This is a computer system currently being piloted to generate electronic Federal plant export certificates. For further information, contact the PCIT Coordinator of USDA-APHIS-PPQ Export Services.

Pest—any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products [FAO, 1990; revised FAO, 1995; IPPC, 1997]. See also Quarantine pest and Non-quarantine pest.

Pest free area (PFA)—an area in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being **officially** maintained [FAO, 1995].

Pest free place of production—plant of production in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period [ISPM Pub. Nº 10, 1999].

Pest free production site—a defined portion of a place of production in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period and that is managed as a separate unit in the same way as a pest free place of production [ISPM Pub. Nº 10, 1999].

PFA—See Pest free area (PFA).

Phytosanitary certificate (PC)—certificate patterned after the model certificates of the IPPC [FAO, 1990].

Phytosanitary Certificate for Reexport (PC-R)— an accountable form, PPQ Form 579, used to certify that, based on an original foreign phytosanitary certificate and/or an additional inspection, the plants or plant products officially entered the United States, are considered to conform to the current phytosanitary regulations of the importing country, and have **not** been subjected to the risk of infestation or infection during storage in the United States. PPQ Form 579 may also be used to certify commodities of foreign origin that are intended for re-export to a U.S. Affiliated Island.

Phytosanitary Note (PN)—current, accurate, and timely information provided by Export Services to field personnel concerned with the export of plants and plant products. Phytosanitary notes cover such

topics as interpretations of import requirements of foreign countries, import requirements of foreign countries for which there is **no** export summary, and administrative guidance about nationwide export certification issues and about issuing Federal plant export certificates.

Place of production—any premises or collection of fields operated as a single production or farming unit. This may include production sites which are separately managed for phytosanitary purposes [FAO, 1990; revised CEPM, 1999].

Plant products—unmanufactured material of plant origin (including grain) and those manufactured products that, by their nature or that of their processing, may create a risk for the introduction and spread of pests [FAO, 1990; revised IPPC, 1997; formerly plant product].

Plant Protection and Quarantine (PPQ)—organizational unit within USDA-APHIS that is accountable for assisting exporters in meeting the plant quarantine import requirements of foreign countries.

Plantlets—as relates to seed potatoes, plantlets are small plants produced under aseptic culture conditions in a laboratory.

Plants—living plants and parts thereof, including seeds and germplasm [FAO, 1990; revised IPPC, 1997]. Any plant (including any plant part) for or capable of propagation, including a tree, a tissue culture, a plantlet culture, pollen, a shrub, a vine, a cutting, a graft, a scion, a bud, a bulb, a root, and a seed. [Plant Protection Act]. As relates to seed potatoes, plants are rooted plants produced under a screenshow, greenhouse, or field environment.

Plants for planting—plants intended to remain planted, to be planted or replanted [FAO, 1990].

Plants in vitro—a commodity class for plants in an aseptic medium in a closed container [FAO, 1990; revised CEPM, 1999; ICPM, 2002 formerly plants in tissue culture].

PN—See **Phytosanitary Note (PN)**.

Potted bulb plants—as relates to the U.S./Canada Greenhouse Certification Program, potted bulb plants are those produced by forcing bulbs to flower, usually for the Christmas and Easter markets. Examples of potted bulb plants include tulips, narcissus, crocus, hyacinths, iris, and amaryllis.

PPC—See **Export Certificate, Processed Plant Products**.

PPQ—See **Plant Protection and Quarantine (PPQ)**.

PPQ Form 553—Certificate of Heat Treatment (see also **Certificate of Heat Treatment**).

PPQ Form 572—Application of Inspection and Certification of Domestic Plants and Plant Products for Export (see also **Application for Inspection and Certification of Domestic Plants and Plant Products for Export**).

PPQ Form 578—Export Certificate, Processed Plant Products (see also **Export Certificate, Processed Plant Products**).

PPQ Form 577—Federal Phytosanitary Certificate (see also **Federal Phytosanitary Certificate (FPC)**).

PPQ Form 579—Phytosanitary Certificate for Reexport (see also **Phytosanitary Certificate for Reexport (PC-R)**).

Practically free— a consignment, field, or place of production, without pests (or a specific pests) in numbers or quantities in excess of those that can be expected to result from, and be consistent with good cultural and handling practices employed in the production and marketing of the commodity [FAO, 1990; revised FAO, 1995]. As a working definition for export certification purposes, practically free means **not** to exceed a 2 percent infestation level unless otherwise stated by the importing country. Also, practically free refers to a judgement that the pests are **not** in excess of the amount expected to result from, and be consistent with, good culturing and handling practices employed in the production and marketing of the commodity. When FGIS inspection certificates are used as supporting documentation for certifying grain, practically free refers to FGIS' acceptance standards for weevils found in grain.

Practically free from other injurious pests (practically free)—as relates to the U.S./Canada Greenhouse Certification Program, practically free from other injurious pests means **not** carrying pests or a specific pest in numbers or quantities in excess of those that can be expected to result from and be consistent with good culturing and handling practices employed in the production and marketing of the commodity.

Processed plant product—a commodity derived from a plant that has been subjected to a procedure believed to have rendered the commodity free from plant pests. See EXCERPT for a list of processed products that are eligible for certification for which an ACO may issue PPQ Form 578.

Protocol—the plan for communicating questions, concerns, and unresolved issues about export certification. See *Procedures, Preparation*, ***Contact Protocol*** on **page 2-1-19**.

Quarantine pest—a pest of potential economic importance to the area endangered thereby and **not** yet present there, or present but **not** widely distributed and being officially controlled [FAO, 1990; revised FAO, 1995; IPPC, 1997]. As relates to the U.S./Canada Greenhouse Certification Program, quarantine pests are identified by each importing country and are listed as prohibited pests in the importing country's plant quarantine import requirements (export summary). Quarantine pests are those that are of potential economic importance to the area endangered, and are **not** present, or present but **not** widely distributed and being officially controlled.

Regulated non-quarantine pest—a non-quarantine pest whose presence in plants for planting affects the intended use of those plants with an economically unacceptable impact and which is therefore regulated within the territory of the importing contracting party. [IPPC,1997].

Restriction—a phytosanitary regulation allowing the importation or movement of specified commodities subject to specific requirements [CEPM, 1996, revised CEPM, 1999].

Seed potatoes—potato plantlets, plants, microtubers, minitubers, tubercles and tubers.

Shipment—as a working definition for export certification purposes, shipment means one exportation of plants or plant products, from one exporter, to one consignee, in one country, on one means of conveyance [7CFR 353]. In most cases, **only** one Federal plant export certificate is issued per shipment. See also Consignment.

Solid wood packing material (SWPM)—wood packing materials, **other than** loose wood packing materials, used or for use with cargo to prevent damage including, but **not** limited to, dunnage, crating, pallets, packing blocks, drums, cases, and skids [7CFR 319.40-1]. Solid wood packing material is often constructed from raw wood just shortly before use, often includes bark on some surfaces, and is often made from low quality wood that sometimes may be of low quality due to pest damage. Conifer wood is wood that comes from predominately evergreen, cone-bearing trees, such as pine, spruce, hemlock, or fir.

State phytosanitary certificate—document issued by a plant regulatory official of a State Department of Agriculture attesting to the phytosanitary condition of plants or plant products. A State certificate documents origin, treatment, active growth field inspection, virus

indexing, or other special conditions. Under the current cooperator Memorandum of Understanding, State phytosanitary certificates are **not** to be utilized for international trade.

Succulents—as relates to the U.S./Canada Greenhouse Certification Program, succulents are thick fleshy plants capable of storing large quantities of water in their leaves and stems. Many succulent plants are spineless. Succulents with spines differ from cacti in that the spines grow directly from the plants tissue rather than from structures called areoles. Some examples of succulent plants grown in greenhouses are jade plants, aloe vera, and crown-of-thorns.

SWPM—See **Solid wood packing material (SWPM)**.

Systems approach(es)—the integration of different pest risk management measures, at least two of which act independently, and which cumulatively achieve the appropriate level of phytosanitary protection. [ISPM Pub. N° 14, 2002].

Terrestrial plants—any plant (including epiphytic plants), **except** marine plants.

Threatened—see **Endangered Species Act (ESA)**.

Treatment—officially authorized procedure for the killing, removal or rendering pests infertile. [FAO, 1990; revised FAO, 1995; ISPM Pub. N° 15, 2002].

Tubercles—small tubers produced in leaf axils of leaf bud cuttings.

Tubers—as relates to seed potatoes, potatoes produced under field conditions.

Validation—as a working definition for export certification purposes, validation is the verification of authenticity of a document. Specifically related to certifying CITES and ESA plants for export, validation is an original stamp, signature, and date of inspection placed on documents by PPQ officers.

Virus X-Tested—tested for and found to be within tolerance for PVX using approved testing methods.

Wood—a commodity class for round wood, sawn wood, wood chips or dunnage, with or without bark [FAO, 1990; revised ICPM, 2001].

World Trade Organization (WTO)—the global international organization dealing with the rules of trade between nations (see also web site address: <www.wto.org>).

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Comment Sheet

Directions

Use this sheet if you have a suggestion for improving the formatting (design, layout, composition), grammar, or spelling in the manual. **Do not** use this sheet to order manuals or change the number of manuals you receive or your mailing address (see ***Appendix F*** on **page F-1-1**).

Description of the problem, error, inconsistency, missing or insufficient information

Description of the recommended change

Reason for improvement or change

Fold this sheet in thirds so that your comments are on the inside and the Manuals Unit's address is in the center. Tape, stamp and mail.

USDA-APHIS-PPQ MANUALS UNIT
Attn: Export Certification Manual Comment Sheet
69 Thomas Johnson Drive, Suite 100
Frederick, MD 21702

Roles and Responsibilities

The following exporter responsibilities are as stated in USDA-APHIS-PPQ's Export Certification Manual (ECM), 09/2004-01Edition. The exporter responsibilities have been excerpted from the ECM for the purpose of providing them to exporters for their information and knowledge.

The primary roles related to export certification are listed below followed by the responsibilities outlined for each role:

- Authorized Certification Official
- Export Certification Specialist
- Exporter or Shipper

Authorized Certification Official

The responsibilities of Authorized Certification Officials (ACOs) include the following:

1. Meet the education, experience, and training requirements to become an ACO (see also *Special Procedures, Accreditation Programs,* ***Accreditation of Authorized Certification Officials*** on **page 3-1-1**). For State cooperators, the education and experience requirements are described in *Special Procedures,* Federal-State Coopertative Program on **page 3-5-1**.
2. Identify the import requirements of a foreign country for plants or plant products and determine whether they meet the requirements, which involves examining import permits or special authorizations, examining foreign phytosanitary certificates, and reviewing export summaries.
3. Inspect the plants and plant products before issuing a Federal plant export certificate to determine that the plants or plant products meet the import requirements.
4. Provide exporters with necessary information to meet the importing country's requirements when plants or plant products are **not** eligible for certification, are prohibited, or fail inspection.
5. Advise exporters to ship plants and plant products within specific time limits. (For time limits specified by some countries, see *Procedures*, *Inspection Guidelines*, **Table 2-4-3 on page-2-4-9**.)
6. Monitor or verify the application of any treatment to prepare the plants or plant products for export. For details of USDA-APHIS-PPQ policy regarding monitoring treatments in table footnote for **Table 2-3-9 on page-2-3-17**.

7. Verify that the contents of the shipment are what are documented on the Federal plant export certificate. Compare the Federal plant export certificate with any supporting documents (such as inspection certificates, State certificates, or other agency reports) that may help to verify the accuracy of the contents of the shipment and the Federal plant export certificate.
8. Advise exporters, shippers, or brokers as to the status of a shipment. When samples are drawn for laboratory examination or when delays in certifying the shipment occur, then let the exporter or the shipping company know so that the shipment is **not** inadvertently loaded before inspecting and certifying. Once the inspection is completed and the Federal plant export certificate is issued, immediately notify the exporter or the shipping company that loading can begin.
9. Prepare Federal plant export certificates in English, legibly handwrite or type. Some foreign countries will **not** accept Federal plant export certificates with alterations, errors, or erasures. See *Export Certificates*, ***General Guidelines for Completing Federal Plant Export Certificates*** on **page 2-5-6**.
10. Forward the record copy of Federal plant export certificates to your supervisor, Export Certification Specialist (ECS), or State Plant Health Director (SPHD). Attach copies of import permits and other documents used for certifying each shipment. Who and when to send copies will be established by the ECS and SPHD. A rule-of-thumb is to weekly gather and send forward copies of issued certificates.
11. For PPQ officers, inspect and certify plants and plant products during normal duty hours and at locations normally traveled to in connection with other work assignments. PPQ managers should use discretion when assigning ACOs to phytosanitary export inspections that involve a significant amount of travel time. When requests for services at remote locations occur, all alternative methods of certification should be explored before PPQ work hours are committed.
12. Maintain accreditation by actively issuing[1] Federal plant export certificates, attending refresher training and successfully passing a renewal test at a minimum of every 3 years. See also *Special Procedures, Accreditation Programs,* ***Accreditation of Authorized Certification Officials*** on **page 3-1-1**.

1 Issuing Federal plant export certificates within one year of initial accreditation or issuing Federal plant export certificates within two years of initial accreditation or reaccredit at ion.

Export Certification Specialist

Export Certification Specialists (ECSs) play a vital role in ensuring continuity and quality control of PPQ's phytosanitary export certification program. Their role includes the following responsibilities:

1. Serve as the point of contact and as the expert on phytosanitary issues for all ACOs under their assigned area.
2. Serve as technical liaison among local, State, region, and national officials regarding export certification. Be knowledgeable in agricultural production and commodity management practices within assigned areas in order to provide recommendations that enhance export protocols.
3. Review (at least monthly) 5 to 10 percent of all Federal plant export certificates issued by ACOs within their assigned area for compliance with established policy and foreign import requirements. See ***Review Guidelines for Federal Plant Export Certificates*** on **page 2-1-5** for documenting major mistakes, giving feedback, and determining when to provide retraining and when to recommend revocation.
4. Investigate issuances of Federal plant export certificates for detained shipments for the purpose of verifying documents, adherence to certification policy and procedures, and conformance with foreign countries' plant import requirements.
5. Inform Export Services[2] of the following situations:
   - **A.** Import permit requirements differ from export summary requirements. The exporter **must** provide the official documents stating the different requirements. These documents **must** be an import permit, special authorization, or recent correspondence from the plant protection organization of the foreign country, which would take precedence over the information contained in the export summary.
   - **B.** Issuance of a Federal plant export certificate which may cause embarrassment or financial liability to the USDA or its employees, financial loss to the shipper or industry, or damage the credibility of the phytosanitary export certification program (as part of the review guidelines).
6. Determine the need for, coordinate, and conduct initial training for State and county personnel within assigned areas, and develop and present refresher training for all ACOs within assigned areas following the *Administrative Guide for Export Certification Training.* This training responsibility helps to

2 Export Services, USDA-APHIS-PPQ, 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301-734-8537; FAX 301-734-3249.

maintain ACO accreditation, meet the requirements of the NAPPO standards, maintain credibility of the export certificate program, and avoid recurrent errors in issuing Federal plant export certificates.

7. Ensure that an effective accountability system is established and maintained by State Plant Health Directors and State Plant Regulatory Officials for the Federal plant export certificates issued under assigned areas.
8. Participate in periodic workshops conducted by Export Services.
9. Develop and maintain a broad knowledge base of all exported commodities and are encouraged to participate in developmental assignments with Export Services and the regional offices.
10. Screen and forward a list of State cooperator nominees, along with their qualifications, to Export Services for granting accreditation to issue Federal plant export certificates in conformance with Federal regulations. See *Special Procedures*, Federal-State Coopertative Program on **page 3-5-1**.
11. Maintain accreditation records for all ACOs in the nationwide ACO database. Notify Export Services of cooperators who transfer, retire, or otherwise separate from State or county employment.
12. Be guided by the Memorandum(s) of Understanding (MOU) for the Federal-State Cooperative Program, and review it as circumstances warrant (e.g., change in personnel). Notify Export Services of needed changes. If a signed copy of a State's MOU is needed, then contact the USDA-APHIS-PPQ regional office.
13. Keep a current copy of the *Export Certification Manual* and associated materials such as Phytosanitary Notes. Notify USDA-APHIS-PPQ's Manuals Unit of needed changes and updates (see *Introduction*, ***How to Report Problems With the ECM*** on **page 1-1-7**).
14. Be proficient using EXCERPT and other databases, such as the ACO national database and Germplasm Resources Information Network (GRIN) database. Notify Export Services of needed changes and updates to the information in EXCERPT. Maintain the emergency response plans for EXCERPT.
15. Conduct field audits involving review of facilities, issued Federal plant export certificates, and ACO records to ensure compliance with Federal regulations, policies and procedures, and with USDA-APHIS-PPQ's obligations to bilateral agreements, protocols, Memorandums of Understanding, and international standards. Identify and document mistakes. See ***Review***

Guidelines for Federal Plant Export Certificates on **page 2-1-5** for documenting major mistakes, giving feedback, and determining when to recommend suspension.

16. Assist Export Services in their periodic auditing of issued Federal plant export certificates. Assist national and regional export program officials to identify and to develop required training guidelines and course work. Assist APHIS headquarters with Freedom of Information Act (FOIA) requests. Assist State and national Investigative and Enforcement Services staff (USDA-APHIS-IES) and PPQ State and headquarters offices to research and to obtain information related to cases involving the issuance of Federal plant export certificates. Assist regional and national offices to review newly-developed export protocols and work plans for establishing export continuity in the phytosanitary export certification program. Provide input to regional and national export program officials when developing new certification policies and procedures or modifying existing ones.

Review Guidelines for Federal Plant Export Certificates

ECSs are responsible for reviewing Federal plant export certificates and for conducting field audits to ensure compliance with Federal regulations, policies and procedures, foreign import requirements, and USDA-APHIS-PPQ obligations to bilateral agreements, protocols, Memorandums of Understanding, and international standards. These review guidelines are as provided in Section Four of the *ACO Quality Manual* and are provided here to help ECSs perform comprehensive reviews (under optimum operational conditions):

1. Instruct supervisors of ACOs to review weekly copies of issued Federal plant export certificates when operationally feasible. Supervisors should note major mistakes and document corrective actions taken on the certificate copy or an attached sheet.

2. Review (at least monthly) 5 to 10 percent of the copies of issued Federal plant export certificates. If a particular issuing office historically has a high volume of issued certificates or has made frequent mistakes, then a more intensive or frequent review may be necessary.

3. Document **major mistakes**, which include but are **not** limited to the following examples:

A. Certification of a prohibited or ineligible product.

B. Certification of plants or plant products from non-approved field or treatment facilities or failure to include treatment marks on boxes or Federal plant export certificates.

C. Certification of CITES materials at a non-designated CITES port

D. Failure to follow an established work plan or conditions prescribed in an import permit.

E. Failure to consult EXCERPT or other export job aids.

F. Failure to inspect a shipment or to follow an established inspectional procedure.

G. Failure to sign Federal plant export certificates.

H. Issuance of an improper Federal plant export certificate.

I. Missing, incomplete, or incorrect additional declaration (e.g., add an additional declaration **not** required by an import permit, export summary, or the ECM).

4. Give feedback to the issuing office and the State Plant Health Director (SPHD) who has statewide responsibility for export certification. If the issuing ACO is a State or county cooperator, then the SPHD will forward the feedback to the State Plant Regulatory Official (SPRO). In turn, the SPRO will give the feedback to the ACO or the ACO's supervisor. See **Figure 2-1-1 on page-2-1-8** for a model letter you can follow to document major mistakes found on Federal plant export certificates. For a fillable version, click here. Provide a copy of the Federal plant export certificate in question, backup documents, and a brief explanation.

Important

To better facilitate local communications among ECSs, SPHDs, SPROs, and ACOs; ECSs may wish to contact the SPHD to establish or to confirm the proper protocol to follow when giving feedback to SPROs and ACOs who are cooperators, as deemed appropriate by the SPHD.

5. Discuss major mistakes among the ACO, the ACO's supervisor, and SPHD to answer questions or concerns about the error and to prevent recurrences.

6. Document the discussion and any recommended action for the ACO, the ACO's supervisor, and SPHD. Forward a copy to the SPHD and Export Services for information.

7. If an ACO continues to issue Federal plant export certificates with recurring mistakes, then consult with the SPHD and regional export program official (who will notify Export Services) to consider suspending the ACO's accreditation. To determine if the recurring mistakes are deliberate, the regional office will initiate an investigation by Investigative and Enforcement Services.

USDA-APHIS-PPQ commitment to the ACO accreditation program is to consider suspension if an ACO makes three or more major mistakes during a 12-month period or if an ACO repeats the same major error during a 12-month period after being counseled.

Date: _____

To: _____
[insert name of State Plant Health Director or State Plant Regulatory Official]

Recently _____ certified _____ to _____
insert name of Authorized Certification Official (ACO)] *[name of product]* *[name of country]*

on Phytosanitary Certificate #_____ (attached). This Federal plant export certificate has/has not been reported as rejected by the importing country. The error(s) is/are circled below:

❒ Failure to sign the Federal plant export certificate.

❒ Certification of a prohibited or ineligible plant or plant product.

❒ Failure to follow an established work plan or conditions prescribed in an import permit.

❒ Failure to consult Phytosanitary Notes or other export job aids.

❒ Missing, incomplete, or incorrect required additional declaration; or recorded an unnecessary addition declaration.

❒ Certification of commodities from a non-approved field or treatment facility or failure to include treatment marks on boxes or the Federal plant export certificate.

❒ Certification of CITES materials at a non-designated CITES port.

❒ Issuance of an improper certificate.

❒ Failure to inspect a shipment or to follow an established inspectional procedure.

❒ Other (noncompliance with established Federal regulations, policies, procedures, bilateral agreements, protocols, Memorandums of Understanding, and international standards):

_____

_____

Our records indicate that this is the ACO's _____ warning this year. Future errors could result in suspending the ACO's accreditation (authority to issue Federal plant export certificates). Please forward to my office a letter explaining the error(s) and what corrective actions will be taken. This notice is intended as a corrective action to ensure the integrity of USDA-APHIS-PPQ's phytosanitary export certification program.

If you have any questions, contact me at _____.
(insert your phone number)

_____ , Export Certification Specialist
(Signature of Export Certification Specialist)

Enclosure

FIGURE 2-1-1: Model Letter for Documenting Major Mistakes Found on a Federal Plant Export Certificate

8. Note occasional mistakes that would **not** warrant formal documentation. Examples of occasional mistakes include the following:
   - **A.** Incorrect lining out blocks
   - **B.** Failure to complete all blocks
   - **C.** Recorded incorrect approved country name
   - **D.** Failure to date the Federal plant export certificate
   - **E.** Misspelled words
   - **F.** Recorded unclear abbreviations
9. After completing the review process, either destroy the copies of the Federal plant export certificates or retain them for training purposes as follows:
   - **A.** Destroy copies by shredding and/or burning (appropriate methods); recycle the copies **only** if the confidentiality of the information can be maintained.
   - **B.** If the copies are retained for training purposes, then protect the confidentiality of the information.

   If a copy of a particular Federal plant export certificate is needed at a later date, then obtain a photocopy from the issuing office.

Exporter or Shipper

The responsibilities of the exporter or shipper[3] include the following:

1. Apply, in writing, for the inspection and certification of plants and plant products offered for export. Federal plant export certificates can be issued at the point of origin, at a port where the shipment will transit, or at the actual port of export. PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, can be requested from the nearest ACO office or downloaded from web site address:

   <http://www.aphis.usda.gov/library/forms>.
2. Contact an Accredited Certification Official (ACO) far enough in advance of the shipping or loading dates. This advance notification provides for reviewing phytosanitary import requirements and sampling, inspecting, testing, and any other activity required to meet those import requirements in advance of the anticipate shipping or loading dates and within any specified

3 The exporter responsibilities are also available as a separate document printed at the end of the ECM or on-line at the following web site address: <http://www.aphis.usda.gov/ppq/manuals> for the purpose of providing exporters with a list of responsibilities for their information and knowledge.

time limits. Exporters **must** be aware of any time limit foreign countries specify for the period between date of inspection or date of issue and shipping date. If specified by a foreign country, then the time limit between inspection and exportation is listed in the export summary under the definition of phytosanitary certificate. If a time limit is **not** specified in the export summary, then the general time limit for inspections is **not** more than 30 days before export.

3. Provide all necessary documentation including import permits, bills of lading, manifests, shipping invoices, foreign phytosanitary certificates, and inspection certificates. It is the exporter's responsibility to provide official documents stating import requirements if they differ from those in the receiving country's export summary. Official documents may be an import permit, special authorization, or recent correspondence from the plant protection organization of the foreign country, which takes precedence over the information contained in the export summary.

   Exporters are responsible for meeting import requirements which includes providing the proper documents in the proper language. Therefore, official documents **must** be in English. Bilingual information is acceptable as long as one of the languages is English. If an ACO or other capable source **cannot** confidently translate an official document, then be advised that ACOs **cannot** proceed until they have an English translation certified in writing as accurate.

Important

Exporters frequently present letters of credit from their contacts in the foreign country to indicate that plant quarantine regulations have been changed. Letters of credit are strictly fiduciary documents. For the purposes of phytosanitary certification, letters of credit **cannot** be considered official notifications of changes or exceptions to plant quarantine regulations, which **must** come from the plant protection organizations of foreign countries.

4. Make the plants or plant products available for inspection. Shipments **cannot** be inspected on board aircraft or ships, or in the holds of vessels. The plants or plant products **must** be accessible to the ACO so that the official can verify and inspect the material described on the application or partially completed Federal plant export certificate. In addition, other shipping documents should be marked or stamped to prevent the shipment from being loaded before the inspection is conducted. The exporter is further responsible for providing the labor to open and close packages for inspection and for providing adequate facilities to perform the inspection. Such facilities include supplies, equipment, and proper lighting required for an efficient inspection before certification.

5. Provide for any required treatments, reconditioning, or other actions to meet the import requirements of the foreign country.
6. Export **only** those plants or plant products that have been properly inspected and certified under a Federal plant export certificate.
7. Safeguard the certified shipment from infestation between the date the shipment was certified and the actual shipping date, and ensure that the certified shipment departs within the specified time limits of the importing country.
8. Comply with U.S. export control regulations. The Federal government controls the exportation of U.S. goods to all foreign countries. The Department of Commerce is the authority for licensing most items for export. Other Federal agencies such as the Agricultural Marketing Service and the Federal Grain Inspection Service handle the certification for specific products.

   For further information, exporters may contact the Office of Export Control, Bureau of International Commerce, Department of Commerce at web site address:

   <http://www.trade.gov/td/tic/