



**United States
Department of
Agriculture**

Marketing and
Regulatory
Programs

Animal and
Plant Health
Inspection
Service

Plant Protection
and Quarantine

APHIS Plant Health
Programs

First Edition

Commodity Preclearance Program Management Guidelines

Update Record

Record the transmittal number and the date you received the update in the appropriate columns.

| Transmittal Number | Date Received | Transmittal Number | Date Received |
|--------------------|---------------|--------------------|---------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Contents

Commodity Preclearance Duties and Responsibilities of APHIS Units

| | |
|--|-----|
| Contents | 1-1 |
| Introduction | 1-1 |
| APHIS Program Units | 1-2 |
| Roles and Responsibilities | 1-2 |
| Plant Protection and Quarantine (PPQ) | 1-2 |
| International Services (IS) | 1-3 |
| Marketing and Regulatory Programs (MRP), Business Services | 1-4 |

Commodity Preclearance Requests and Approvals

| | |
|--|-----|
| Contents | 2-1 |
| Introduction | 2-1 |
| Official Requests | 2-1 |
| Written Requests from Foreign Governments and/or Foreign Producers | 2-1 |
| Requests Received through USDA | 2-2 |
| Approvals | 2-2 |
| Preclearance Advisory Group Review and Approval | 2-2 |
| PPQ Deputy Administrator and IS Deputy Administrator Approval | 2-4 |

Commodity Preclearance Operational Work Plan Development

| | |
|------------------------------------|-----|
| Contents | 3-1 |
| Introduction | 3-1 |
| Operational Work Plan Development | 3-1 |
| Operational Work Plan Requirements | 3-1 |

Commodity Preclearance Cooperative Service Agreement

| | |
|-------------------------------|-----|
| Contents | 4-1 |
| Introduction | 4-1 |
| Cooperative Service Agreement | 4-1 |

Commodity Preclearance Selection and Assignment Process

| | |
|--|-----|
| Contents | 5-1 |
| Introduction | 5-1 |
| Personnel Selection and Assignment Process | 5-1 |
| PPQ Temporary Duty (TDY) Officers | 5-1 |
| Foreign Service Nationals/Agricultural Foreign Service (FSN) | 5-2 |
| Riverdale-Based Preclearance Officers | 5-3 |

Disciplinary Roles and Responsibilities

| | |
|--|-----|
| Contents | 6-1 |
| Introduction | 6-1 |
| Disciplinary Roles and Responsibilities | 6-1 |
| Temporary Duty Assignment (TDY) PPQ Officers | 6-1 |
| Re-Employed Annuitants | 6-2 |

Foreign Trust Fund Preclearance TDY Assignment

| | |
|---|------|
| Contents | A-1 |
| Introduction | A-1 |
| Users | A-1 |
| Definitions | A-2 |
| Roles and Responsibilities | A-3 |
| APHIS Administrator-Authorized Departmental Officer (ADO) | A-3 |
| Authorized Departmental Officer Designated Representative (ADODR) | A-3 |
| Director of Preclearance Programs | A-4 |
| APHIS-IS Country Preclearance Program Manager (PPM), Authorized Departmental Officer Designated Representative (ADODR) | A-6 |
| Temporary Duty Assignment (TDY) Employee | A-7 |
| Immediate PPQ Supervisor at Permanent PPQ Duty Station | A-9 |
| Riverdale Washington Business Site, Financial Management Division, Travel Team | A-10 |
| Riverdale Washington Business Site, Financial Management Division, Agreements Team | A-10 |

Approval Protocol for Establishing Preclearance

| | |
|--|-----|
| Contents | B-1 |
| Introduction | B-1 |
| Commodity Treatment Facilities in Foreign Countries | B-1 |
| Guidelines and Procedures for Construction and Operation | B-1 |
| Finalizing the Establishment of the Import Process | B-6 |

Model Preclearance Work Plan C-1

Commodity Preclearance TDY Trip Report Guidelines

| | |
|---------------------------------------|-----|
| Contents | D-1 |
| Introduction | D-1 |
| Guidelines for Completing Trip Report | D-1 |
| Distribution of Trip Report | D-2 |

Glossary Glossary-i

Index Index-i

1

CPP Management
Guidelines

Commodity Preclearance Duties and Responsibilities of APHIS Units

Contents

| | |
|--|----------|
| Introduction | page 1-1 |
| APHIS Program Units | page 1-2 |
| Roles and Responsibilities | page 1-2 |
| Plant Protection and Quarantine (PPQ) | page 1-2 |
| Preclearance Staff, Quarantine Policy Analysis and Support | page 1-2 |
| Phytosanitary Issues Management (PIM) | page 1-3 |
| Center for Plant Health Science and Technology (CPHST) | page 1-3 |
| International Services (IS) | page 1-3 |
| Marketing and Regulatory Programs (MRP), Business Services | page 1-4 |

Introduction

The United States Department of Agriculture (USDA), Animal and Plant Health Inspection Service (APHIS) conducts offshore agricultural commodity preclearance programs. These programs are an integral part of ongoing Agency exclusion initiatives that effectively mitigate the risk of exotic plant pests and invasive species introduction into the United States.

Preclearance inspections, treatments and/or other mitigation measures are conducted in foreign countries under the direct supervision of qualified APHIS personnel in accordance with phytosanitary procedures specified by the Agency. These procedures are designed to identify and/or mitigate the risk of exotic pest introductions through actions taken in foreign countries. Integrity checks to ensure conformance with program guidelines may be conducted at U.S. ports of entry.

Proposals for agricultural commodity preclearance programs are typically developed jointly by the host country plant protection service and participating industry. If requested, APHIS will provide appropriate host country officials with assistance in work plan development.

Preclearance program authorization and implementation is contingent upon host country ability to effectively demonstrate that their proposed program meets or exceeds criteria included in APHIS' preclearance protocols. Any deviation from established protocols must have the expressed approval of both APHIS, Plant Protection &

Quarantine (PPQ), and International Services (IS). If a program is suspended for pest-risk reasons, the host country must provide details of proposed corrective or additional actions and PPQ must agree on reactivation.

APHIS Program Units

Three APHIS program units have specific duties and responsibilities for developing, implementing, and/or maintaining preclearance programs. These program units include:

- ◆ Plant Protection and Quarantine (PPQ)
- ◆ International Services (IS)
- ◆ Marketing & Regulatory Programs (MRP), Business Services

Roles and Responsibilities

Specific preclearance duties and responsibilities are summarized in this section.

Plant Protection and Quarantine (PPQ)

Two operational units and one scientific unit within the APHIS, PPQ, Plant Health Program's (PHP) headquarters staff have significant responsibilities for the development and implementation of preclearance programs. The operational units are Preclearance Staff, Quarantine Policy Analysis and Support; and Phytosanitary Issues Management (PIM). The scientific unit is the Center for Plant Health Science and Technology (CPHST).

Preclearance Staff, Quarantine Policy Analysis and Support

The Preclearance Staff, Quarantine Policy Analysis and Support is the primary unit responsible for technical compliance of operational work plans, and establishment and maintenance of national program policies. Concurrence of PPQ's Director of Preclearance Programs¹, is required prior to APHIS personnel making commitments to establish new preclearance programs.

The roles and responsibilities of Preclearance Staff, Quarantine Policy Analysis and Support are as follows:

- ◆ Organize Preclearance Advisory Groups (PAG) to evaluate initial approvals and program changes

1 Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737

- ◆ Coordinate the selection and assignment of temporary duty (TDY) officers
- ◆ Provide travel authorizations, visas, country clearances, and orientation materials for TDY personnel
- ◆ Maintain preclearance operational work plan archives for comparative references

Phytosanitary Issues Management (PIM)

The roles and responsibilities of Phytosanitary Issues Management (PIM) include the following:

- ◆ Evaluate bilateral trade implications of existing and/or proposed preclearance programs and formulate recommendations for consideration by the Director of Preclearance Programs¹ regarding program modifications and/or approvals
- ◆ Determine compliance with international standards, such as the International Plant Protection Convention (IPPC), Sanitary/Phytosanitary (SPS) Agreements, or other international protocols
- ◆ Coordinate the regulatory rule-making process, and initiate and monitor the regulatory work plan from inception to approval of the final rule when changes to the *Federal Register* are required

Center for Plant Health Science and Technology (CPHST)

The Center for Plant Health Science and Technology (CPHST) responsibilities include the following:

- ◆ Evaluate treatment facility plans and drawings for technical compliance with APHIS preclearance requirements
 - ❖ If modifications are required, the CPHST staff specialist will recommend corrective action to ensure the proposed facility is in compliance with APHIS commodity preclearance standards
- ◆ Provide written notification when treatment facility plans are sound to both the Director of Preclearance Programs², and the responsible International Services (IS) Preclearance Program manager
- ◆ Conduct commodity treatment facility inspections and periodic performance tests to ensure compliance with APHIS commodity preclearance standards

International Services (IS)

International Services (IS) has primary responsibility for all APHIS program activities that occur outside the United States. This includes off-shore management of preclearance programs. Specific IS responsibilities include the following:

1 Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737

- ◆ Implement and oversee preclearance programs at foreign locations
- ◆ Coordinate communication with foreign host country officials and cooperators regarding operational compliance with preclearance work plans and Cooperative Service Agreements
- ◆ Initiate and forward requests from foreign governments and/or cooperators for TDY personnel to the Director of Preclearance Programs¹
- ◆ Supervise, monitor, and evaluate the performance of TDY officers in foreign countries and ensure compliance to overseas mission policies, initiatives, and/or guidelines
- ◆ Provide administrative and Embassy support for TDY officers overseas, including the following:
 - ❖ Local orientation
 - ❖ Travel logistics
 - ❖ Payroll documentation
 - ❖ Health and safety guidelines
- ◆ Provide TDY officers with the actual contact name and phone number of the Embassy support person
- ◆ Provide information about the nearest Embassy to the TDY duty station
- ◆ Ensure that the Embassy knows the TDY officer is in country
- ◆ Ensure that Cooperative Service Agreement financial obligations are met, and when appropriate, monitor account balances and communicate deficiencies to both the IS Regional Director and the Director of Preclearance Programs¹

Marketing and Regulatory Programs (MRP), Business Services

The responsibilities of Marketing and Regulatory Programs, Business Services include the following:

- ◆ Develop Cooperative Service Agreement trust funds for each preclearance program
- ◆ Manage the Cooperation Service Agreement trust fund agreements without an in-country financial manager
- ◆ Ensure each trust fund is sufficient to reimburse all APHIS costs

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737

2

CPP Management
Guidelines

Commodity Preclearance Requests and Approvals

Contents

| | |
|--|----------|
| Introduction | page 2-1 |
| Official Requests | page 2-1 |
| Written Requests from Foreign Governments and/or Foreign Producers | page 2-1 |
| Requests Received through USDA | page 2-2 |
| Approvals | page 2-2 |
| Preclearance Advisory Group Review and Approval | page 2-2 |
| PPQ Deputy Administrator and IS Deputy Administrator Approval | page 2-4 |

Introduction

The *Commodity Preclearance Requests and Approvals* chapter covers the process of a foreign government or producer submitting an official request for a new or revised preclearance program, PPQ's review of the request, and approval or disapproval of the proposed preclearance program.

Official Requests

Foreign governments and/or foreign commodity producers make official requests for establishment of specific preclearance programs through their national plant health organization. Official requests for new or revised preclearance programs are submitted to the Director of Preclearance Programs¹ in either of the following manners:

- ◆ In a formal written format
- ◆ Through discussions with higher level USDA officials (i.e. the Secretary and/or Under Secretaries)

The written concurrence of the Director of Preclearance Programs is specifically required prior to finalization of any formal agreement to establish a new program and/or expand an existing program.

Written Requests from Foreign Governments and/or Foreign Producers

Formal written requests to establish a commodity preclearance program from foreign governments and/or foreign producers must be submitted to the attention of the Director of Preclearance Programs¹,

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

with informational copies submitted to the responsible IS program manager. This request must assure the cooperation and involvement of the host country plant health organization. The establishment of a preclearance program is contingent on the host government (or its authorized agent) to establish and enter into a single Cooperative Service Agreement with APHIS. This requires development of a preclearance operational work plan for a specific commodity or group of similar commodities.

Requests Received through USDA

PPQ's Preclearance Staff may receive requests for establishment of new and/or revised programs from high-level officials at USDA (i.e. the Secretary and/or Assistant Secretaries) or the White House.

The Director of Preclearance Programs¹ reviews the merits of each request and ensures that foreign counterparts are fully aware of APHIS requirements regarding program establishment. This includes requirements for development of a: (1) single Cooperative Service Agreement, and (2) Preclearance operational work plan for a specific commodity or group of similar commodities.

Approvals

Preclearance Advisory Group Review and Approval

When requests for new and/or modified preclearance programs are forwarded to the Director of Preclearance Program¹ a Preclearance Advisory Group (PAG) is formed to review the merits of each request. A PAG is an ad hoc committee convened to make technical decisions or recommendations regarding preclearance program proposals or changes in operational work plans.

The Director of Preclearance Programs¹ organizes a PAG each time he/she receives a request to establish a new program. The composition of individual PAGs vary depending on the technical requirements of proposed programs and the availability of personnel. Permanent members of a PAG include the Director of Preclearance Programs and the Associated Director of APHIS Plant Health Programs (IS rotational position). Additional PAG members are appointed from PPQ, IS or other APHIS organizational units. Typically, a PAG is chaired by the Director of Preclearance Programs.

Each PAG will recommend the approval or disapproval of proposed program(s) and provide the rationale to appropriate APHIS staff(s). Comments regarding each proposed preclearance program are

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737

solicited from appropriate APHIS program staffs prior to final PAG approval or disapproval. Each PAG reviews the pest risk concerns, operation feasibility (including export volumes), and all regulatory aspects of each proposed preclearance program.

Among other issues, PAG recommendations will identify the responsible party or parties for the following preclearance program components:

- ◆ Specific treatment schedule(s) or risk management strategy utilized to mitigate the target pest(s) of concern are based on published pest risk assessment criteria
- ◆ Interpretations and/or adjustments to published pest risk assessments must first be approved by the PAG
- ◆ Inspection levels and sampling schemes for each specified commodity, production area(s) and environs, and packing process
- ◆ Minimum pest identification capability needed by APHIS and/or host government personnel
- ◆ Minimum safeguard requirements to prevent reinfestation, contamination, or product substitution
- ◆ Pest surveys and other pest exclusion activities conducted in the following:
 - ❖ Approved production areas and high-risk environments during growing seasons
 - ❖ Official control activities involving internal regulatory or quarantine programs
 - ❖ Commodity packing and/or grading facilities
- ◆ Determining appropriate pest risk criteria and thresholds that would result in a program review that could result in program suspension and/or termination in the following specific:
 - ❖ Production areas and environs
 - ❖ Packing and inspection/treatment areas
- ◆ Monitoring levels to be used at U.S. ports-of-entry to assure program integrity
- ◆ Potential regulatory revisions for preclearance programs

Both PPQ and IS jointly conduct periodic preclearance program operational reviews to ensure effectiveness, integrity, and adherence to program standards. Additional reviews may be conducted at the request of the APHIS Administrator, PPQ Deputy Administrator, and/

or IS Deputy Administrator. Personnel selected to conduct reviews can include individuals from any appropriate APHIS Plant Health Unit and/or IS.

PPQ Deputy Administrator and IS Deputy Administrator Approval

Upon PAG approval of a new or revised preclearance program, the request is forwarded to both the PPQ Deputy Administrator and IS Deputy Administrator for final approval. Once approved, the host country requesting the preclearance program will be informed in writing by the IS Associate Deputy Administrator or his/her designated representative.

After the host country has been notified, PPQ will ensure that the following are developed and finalized:

- ◆ Operational work plan(s)
- ◆ Cooperative Service Agreement(s)
- ◆ Regulatory changes as necessary

3

CPP Management
Guidelines

Commodity Preclearance Operational Work Plan Development

Contents

Introduction [page 3-1](#)
Operational Work Plan Development [page 3-1](#)
Operational Work Plan Requirements [page 3-1](#)

Introduction

The *Commodity Preclearance Operation Work Plan Development* chapter covers the standards that the operational work plan must include to be in compliance.

Operational Work Plan Development

Operational work plans must be in compliance with standards developed by the Director of Preclearance Programs¹. Newly-developed work plans are required to be in compliance with approved standards. See [Appendix C](#) for an example of the model work plan format.

Foreign Plant Health Officials working in collaboration with IS field personnel have primary responsibility for development of both new and revised work plans. Revised work plans require the approval of either a PAG or the Director of Preclearance Programs¹ prior to implementation. Administrative changes without references in the *Federal Register* can be accomplished outside of the regulatory remaking process.

Operational Work Plan Requirements

Operational work plans must contain the following information:

- ◆ Identify specific responsibilities of cooperating parties

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- ◆ List specific conditions which will result in program suspension and/or termination; conditions can include one or more of the following:
 - ❖ Pest levels
 - ❖ Safeguard failures
 - ❖ Inability to maintain cooperating party participation
 - ❖ Safety and health concerns for APHIS personnel
- ◆ Establish a mechanism to report both work accomplishments and pest interception to both the IS Preclearance Program Manager (typically the on-site IS program manager) and the Director of Preclearance Programs¹
- ◆ Establish a system to provide timely notification of PPQ Port Directors at U.S. ports-of-entry regarding estimated arrival dates of precleared shipments and submission of required preclearance documents (PPQ Form 203)
- ◆ Require the cooperator to provide an English-speaking representative to support program needs, if necessary
- ◆ Recognize that all draft work plans will be reviewed by a PAG before finalization and signing. The review will ensure adherence to preclearance standards and procedures

1 Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

4

CPP Management
Guidelines

Commodity Preclearance Cooperative Service Agreement

Contents

Introduction [page 4-1](#)

Cooperative Service Agreement [page 4-1](#)

Introduction

The *Commodity Preclearance Cooperative Service Agreement* chapter covers the trust fund establishment portion of the Cooperative Service Agreement which must be met before implementation of a preclearance program.

Cooperative Service Agreement

APHIS and the cooperator must agree to a Cooperative Service Agreement before a preclearance program can be implemented. The Cooperative Service Agreement establishes terms and conditions that must be met prior to program implementation.

Cooperative Service Agreements are initiated and managed by the MRP Business Services, Financial Management Division, Agreements Team at APHIS headquarters in Riverdale, MD. The trust fund established through a Cooperative Service Agreement must have sufficient capacity to reimburse all APHIS costs and ensure suitable living conditions for APHIS TDY personnel.

Preclearance program operations will **not** begin until sufficient funds have been deposited into the trust fund. Program operations will cease if trust fund accounts fall below one-third the estimated operational cost of the program, or upon indication that the program **is not** meeting the needs of the host country export commodity group(s). One Cooperative Service Agreement must be established for each commodity or group of similar commodities within a specific foreign country.

5

CPP Management
Guidelines

Commodity Preclearance Selection and Assignment Process

Contents

| | |
|--|----------|
| Introduction | page 5-1 |
| Personnel Selection and Assignment Process | page 5-1 |
| PPQ Temporary Duty (TDY) Officers | page 5-1 |
| Foreign Service Nationals/Agricultural Foreign Service (FSN) | page 5-2 |
| Preclearance Operations Coordinator | page 5-3 |

Introduction

The *Commodity Preclearance Selection and Assignment Process* covers selecting and assigning of the following personnel:

- ◆ PPQ Temporary Duty (TDY) Officers
- ◆ Foreign Service Nationals/Agricultural Foreign Service (FSN)
- ◆ Riverdale-Based Preclearance Officers

Personnel Selection and Assignment Process

The personnel selection and assignment process is listed below.

PPQ Temporary Duty (TDY) Officers

The Preclearance Staff will select PPQ Temporary Duty (TDY) Officers for preclearance programs as outlined in the APHIS publication *Temporary Foreign Assignments: The Process*. This process requires that PPQ select TDY personnel from an approved TDY roster by giving preference to PPQ Officers who have not had recent assignments.

The following conditions are generally observed:

- ◆ Personnel selected for preclearance assignments receive a briefing packet that includes both travel and/or security information as follows:
 - ❖ If the TDY location is rated as a high-threat personnel security location by the State Department, then TDY Officers will receive a formal Department of State in-country briefing
 - ❖ Additional costs (i.e. travel and per diem) associated with attending a travel and/or security briefing shall be included in the trust fund agreement

- ◆ TDY personnel or designated supervisors who have been assigned oversight responsibilities for a specific regional program prepare a written operational trip report
- ◆ TDY Officers are required to submit their trip report along with their final travel voucher
 - ❖ Guidelines for preparing TDY trip reports are included in [Commodity Preclearance TDY Trip Report Guidelines](#) on **page D-1**
 - ❖ TDY trip reports will be addressed to the Director of Preclearance Programs¹, and a copy provided for the IS Area and/or Regional Director
 - ❖ IS Regional/Area Directors will submit a written estimation of the following to the Director of Preclearance Programs¹ **no less** than two months **prior** to the start of each preclearance program:
 - Number of TDY Officers required
 - Length of program duration for each preclearance program

If a two-month notice **is not** possible IS Regional/Area Directors should petition the Director of Preclearance Programs¹
- ◆ CPHST staff provide quality control training to ensure TDY Preclearance Officers possess necessary technical skills for commodity preclearance certifications and recertifications

On occasion, some preclearance programs may require a TDY supervisor or manager. A foreign TDY roster for preclearance supervisor and manager is maintained by the Preclearance Staff. Persons selected as TDY supervisors/managers for preclearance programs will, to the extent possible, have prior experience with the specific preclearance program or a similar one. Selection of preclearance program supervisors must have the approval of the Director of Preclearance Program.

Foreign Service Nationals/Agricultural Foreign Service (FSN)

The Foreign Service Nationals/Agricultural Foreign Service (FSN) roles and responsibilities for preclearance commodity inspection and treatment are outlined below. Specific responsibilities can vary depending on the commodity and host government. The responsibilities are as follows:

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- ◆ FSNs should only be considered for primary inspection and/or certification when appropriate APHIS approved preclearance inspection and/or treatment course work has been completed
- ◆ FSNs should not initiate new commodity preclearance programs when in-country IS or PPQ supervision **is not** available
- ◆ FSNs in-country could augment PPQ, TDY officers as programs become more established at the discretion of the Director of Preclearance Programs¹ in Riverdale, MD
- ◆ FSNs may be selected for third-country TDY assignments (i.e. Mexican FSNs working for APHIS on preclearance assignments in Brazil), at the discretion of the Director of Preclearance Programs¹ if the following conditions are met:
 - ❖ U.S. Embassy in the FSN's home country (i.e. Mexico) has an established process to help FSNs obtain visas and other travel documents required by the third country (i.e. Brazil)
 - ❖ FSNs would always use passports issued by their government; other travel documents (i.e. tickets, country clearances, 202's, etc.) would be issued by or through the APHIS IS office for FSNs
- ◆ IS Preclearance Program Manager in the FSNs' home country (i.e. Mexico) ensures that Travel & Accident Insurance is purchased for FSNs **prior to** departure to the third country (i.e. Brazil), as follows:
 - ❖ Insurance would be for a specific term and would terminate when the FSN returns to his/her home country
 - ❖ Cost of the insurance would be borne by producers in the third country and would, therefore, be charged against the appropriate trust fund account
- ◆ IS Preclearance Program Manager in the FSN's home country (i.e. Mexico) would inform FSNs in writing that they would **not** have diplomatic immunity while working in the third country (i.e. Brazil) and would be subject to local laws while in TDY status

Preclearance Operations Coordinator

Plant Health Programs (PHP) maintains 10 Preclearance Operations Coordinator positions at the GS-401-09 and/or GS-401-11/12 grade levels. Preclearance Operations Coordinators have a Riverdale duty station and are available for extensive preclearance TDY assignments. When not in TDY status, Preclearance Operation Coordinators assist senior Preclearance Staff and/or PHP Staff at headquarters and help establish specific policies and procedures for PHP program activities.

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

Preclearance Operations Coordinators are assigned to specific foreign TDY locations at the discretion of the Director of Preclearance Programs¹. These officers supplement the PPQ Officer TDY roster and provide the following specific benefits to the Agency's commodity preclearance program activities:

- ◆ Enhance operational continuity and provides for better program oversight
- ◆ Enable the Agency to provide timely service to cooperators
- ◆ Enable PPQ to develop the best practices for specific preclearance activities
- ◆ Streamline training for preclearance activities through on-the-job training lead by the Preclearance Operations Coordinator for TDY Officers and/or FSNs
- ◆ Increase program flexibility by enabling the Director of Preclearance Programs to provide inspectors on short notice
- ◆ Reduce adverse impact on ports by relieving pressure to furnish TDY Officers
- ◆ Strengthen expertise of Riverdale-based Preclearance Staff
- ◆ Provide uniformity to program review activities
- ◆ Increase consistency of travel times
- ◆ Have no impact on AQI appropriations or user fee allocations because they are funded through trust funds

Foreign Site Packets

The PPQ Preclearance Staff will coordinate development, maintenance, and distribution of information packets for use by commodity preclearance inspection personnel (TDY PPQ Officers and Preclearance Operations Coordinators). The packets include the following information:

- ◆ Local transportation (i.e. transportation to/from local airports)
- ◆ Currency exchange
- ◆ Possible hotel accommodations
- ◆ Local safety procedures
- ◆ Embassy security contacts
- ◆ Local customs (i.e. details related to foreign language needs, local foods, recreation, and country specific cultural conditions)

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

6

CPP Management
Guidelines

Disciplinary Roles and Responsibilities

Contents

| | |
|--|----------|
| Introduction | page 6-1 |
| Disciplinary Roles and Responsibilities | page 6-1 |
| Temporary Duty Assignment (TDY) PPQ Officers | page 6-1 |
| Re-Employed Annuitants | page 6-2 |

Introduction

The *Disciplinary Roles and Responsibilities* chapter covers the roles and responsibilities of IS and PPQ supervisors and managers for addressing disciplinary action of Temporary Duty Assignment (TDY) PPQ Officers and Re-Employed Annuitants.

Disciplinary Roles and Responsibilities

Misconduct by PPQ Officers while on foreign preclearance TDY assignments must be addressed jointly by both IS and PPQ supervisors and managers. The general parameters for administrative/disciplinary responsibilities are outlined below.

Temporary Duty Assignment (TDY) PPQ Officers

Procedures, responsibilities and roles for discipline of Temporary Duty Assignment (TDY) PPQ Officers are as follows:

- ◆ IS preclearance program managers have delegated authority to initiate and take administrative/disciplinary actions while PPQ Officers are in foreign countries on preclearance TDY assignments
- ◆ IS preclearance program manager should immediately notify the Director of Preclearance Programs¹, who will then inform Regional Office personnel

1 Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- ◆ IS preclearance program manager, when **not** aware of alleged employee misconduct until after the TDY employee has returned to his/her permanent duty station, should contact the Director of Preclearance Programs¹ to fully report the alleged incident

In APHIS, the final decision regarding disciplinary action is generally made by someone in a higher-level position than the program manager or supervisor that proposes the disciplinary action. **All** disciplinary actions are required to be issued in consultation with APHIS' Employee Relations Staff.

Re-Employed Annuitants

Procedures, responsibilities, and roles for discipline of Re-Employed Annuitants is as follows:

- ◆ IS preclearance program managers have delegated authority to initiate and take disciplinary actions while retirees (Re-Employed Annuitants) are in foreign countries on preclearance TDY assignments
- ◆ IS preclearance program manager should immediately notify the Director of Preclearance Programs¹ when a disciplinary action is initiated or taken
- ◆ Director of Preclearance Programs¹ has the authority to terminate a Retiree (Re-Employed Annuitant) from Federal Service
- ◆ Director of Preclearance Programs¹ can dismiss a Retiree (Re-Employed Annuitant) from a preclearance assignment and permanently remove him/her from the retiree TDY roster
 - ❖ Termination actions are required to be issued in consultation with APHIS' Employee Relations Staff
 - ❖ Appropriate documentation shall be maintained by the Director of Preclearance Programs¹

1 Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.



Foreign Trust Fund Preclearance TDY Assignment

Guidelines

Contents

| | |
|--|-----------|
| Introduction | page A-1 |
| Users | page A-1 |
| Definitions | page A-1 |
| Roles and Responsibilities | page A-3 |
| APHIS Administrator-Authorized Departmental Officer (ADO) | page A-3 |
| Authorized Departmental Officer Designated Representative (ADODR) | page A-3 |
| Director of Preclearance Programs | page A-4 |
| APHIS-IS Country Preclearance Program Manager (PPM), Authorized Departmental Officer Designated Representative (ADODR) | page A-6 |
| Temporary Duty Assignment (TDY) Employee | page A-7 |
| Immediate PPQ Supervisor at Permanent PPQ Duty Station | page A-9 |
| Riverdale Washington Business Site, Financial Management Division, Travel Team | page A-10 |
| Riverdale Washington Business Site, Financial Management Division, Agreements Team | page A-10 |

Introduction

The *Foreign Trust Agreement TDY Guidelines* appendix covers the guidelines for foreign preclearance inspections covered by trust fund Cooperative Service Agreements.

Users

These guidelines and procedures are to provide information for PPQ personnel who conduct off-shore Temporary Duty Assignment (TDY) preclearance inspections or supervise TDY preclearance inspectors. These guidelines are designed to help ensure that PPQ, TDY preclearance inspectors receive, report to, and perform the preclearance assignment within the parameters of existing laws, regulations, policies, and written agreements.

Definitions

Authorized Departmental Officer (ADO)—Official with delegated authority to sign the Cooperative Service Agreement. For foreign trust funds, the signatory is the APHIS Administrator.

Authorized Departmental Officer's Designated Representative (ADODR)—Official designated in writing by the ADO to collaboratively carry out the terms and conditions of the Cooperative Service Agreement. For preclearance trust funds, the ADODR is the IS Preclearance Program Manager in the foreign country where the preclearance program operates.

Cooperative Service Agreement—An agreement signed by the APHIS Administrator outlining the services to be performed by APHIS and the terms and conditions for performing these services, including conditions for payment in advance. An annual work plan and a financial plan are incorporated into the agreement by reference.

Director of Preclearance Programs—The national program official that coordinates all Preclearance Program activities and foreign TDY assignments. The director is located in the Preclearance Section of Plant Health Program. The address is USDA-APHIS-PPQ-APHIS PHP, Quarantine Policy Analysis and Support, Preclearance Section of APHIS Plant Health Programs, 4700 River Road, Unit 60, Riverdale, Maryland 20737.

IS Preclearance Program Manager (PPM)—The lead APHIS-IS program manager responsible for the country where preclearance inspection is conducted. The PPM can have either a plant or animal health background. The PPM also serves as the APHIS Administrator's Authorized Departmental Officer's Designated Representative (ADODR) and is, therefore, designated in writing by the APHIS Administrator to collaboratively carry out the terms and conditions of the Cooperative Service Agreement.

Riverdale-Washington Business Site, Financial Management Division, Agreements Team—Ensures individual agreement(s) execution and administration, compliance review/audits, and policy development. Maintains official file for each Cooperative Service Agreement.

Riverdale Washington Business Site, Financial Management Division, Travel Team—Ensures Federal Travel Regulations are followed. Provides written/oral travel advice, technical guidance, and instructions on travel-related issues.

TDY (Temporary Duty) Assignment—The specific inspection(s) assigned to a PPQ Officer on the TDY roster rotation.

TDY (Temporary Duty) Employee—The PPQ Officer that has been assigned to perform foreign commodity preclearance inspection by the Director of Preclearance Programs.

TDY (Temporary Duty) Roster—A listing of active, retired, or former PPQ Officers and IS personnel with PPQ Officer training and experience. The listing is maintained by the Director of Preclearance Programs¹. These individuals have volunteered to participate in foreign commodity preclearance TDY assignments.

Temporary Duty (TDY) International Services (IS) Region—The region in which the preclearance inspection will be conducted.

Trust Funds—Special accounts established under a Cooperative Service Agreement to enable APHIS to provide inspection services for specific activities on a full cost recovery basis. Payment for these services must be paid in advance before costs can be incurred by the Federal government.

Roles and Responsibilities

The specific roles and responsibilities for foreign preclearance inspections follow.

APHIS Administrator-Authorized Departmental Officer (ADO)

The APHIS Administrator-Authorized Department Officer (ADO) is an official with delegated authority to sign the Cooperative Service Agreement. For foreign trust funds, the signatory is the APHIS Administrator.

The ADO will designate in writing, an Authorized Departmental Officer's Designated Representative (ADODR).

Authorized Departmental Officer Designated Representative (ADODR)

For preclearance trust funds, the ADODR is the IS Preclearance Program Manager (PPM) in the foreign country where the preclearance program operates. The ADODR performs duties such as the following:

- ◆ Monitors the IS Preclearance Program Manager's (PPM) performance of the administrative program duties required by the terms of the agreement or as outlined in the official designation
- ◆ Appoints in writing, an Acting PPM (when necessary), to be responsible during periods of extended absence by the PPM

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- ◆ Reviews and approves the Cooperative Service Agreement or trust fund including the financial plan/budget, work plan and other documents related to the agreement
- ◆ Ensures that APHIS **does not** start work planned under the Cooperative Service Agreement before signature of the document by all parties
- ◆ Ensures that funds are on deposit with APHIS, if required, and that APHIS has sufficient resources (personnel) before entering into an agreement
- ◆ Ensures that APHIS has authority before entering into a proposed Cooperative Service Agreement
- ◆ Ensures that the terms and conditions of the proposed Cooperative Service Agreement are in compliance with all applicable Federal laws and regulations and with the guidelines set forth in the *APHIS Agreements Manual*
- ◆ Ensures that a complete Cooperative Service Agreement is cleared and approved through proper channels and that proper distribution is made
- ◆ Ensures that the terms of the Cooperative Service Agreement are kept current, and that the agreement is revised, continued, suspended, or terminated as appropriate

Director of Preclearance Programs

PPQ's Director of Preclearance Programs¹, is the national commodity preclearance program official responsible for coordination of all preclearance program activities and foreign TDY assignments. The director's responsibilities include the following:

- ◆ Issues travel authorizations, including accounting code information
- ◆ Relays preclearance inspection program policies in coordination with APHIS-IS counterpart(s) to foreign officials before, during, and/or after TDY assignments. These policies ensure that preclearance programs are biologically sound and operationally practical
- ◆ Approves all modified work plans and annual updates on in-country administrative information
- ◆ Provides information regarding specific in-country policies and requirements related to performing commodity inspections and administrative responsibilities related to travel, procurement, property management (including vehicle usage), and other specific activities that are charged against the trust fund

1 Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- ◆ Ensures that an orientation package is transmitted to the TDY employee
- ◆ Informs TDY personnel of published per diem rates
- ◆ Receives TDY assignment trip reports from TDY preclearance inspection personnel and ensures that trip reports are submitted with the final travel voucher
- ◆ Requests official passport/visas from Riverdale-Washington Business Site, Financial Management Division, Travel Team
- ◆ Notifies the next available Officer on the foreign TDY roster and provides information on location and dates of the assignment, accounting code for all expenditures related to the assignment, in-country contact for details regarding the inspection to be performed, contact person to obtain an AD-202, travel authorization, passport, visas, immunizations requirements, etc. and the TDY regional office contact
- ◆ Provides information regarding dress codes for TDY assignment
- ◆ Prepares all AD-202's for PPQ Officers, Supervisors, and Retirees performing foreign trust fund commodity preclearance TDY assignments, and submits a copy to the TDY employee and the Riverdale Washington Business Site, Financial Management Division, Agreements Team
- ◆ Processes all travel vouchers for PPQ Officers performing foreign trust fund commodity preclearance TDY assignments
- ◆ Ensures that travel vouchers are reviewed and approved by the APHIS-IS Preclearance Program Manager prior to final processing in Riverdale
- ◆ Obtains country clearances
- ◆ Informs the TDY employee of travel entitlements related to lodging, meals, official and personal telephone calls, and other incidental expenses related to government or cooperator furnished lodging, meals, and transportation. This includes information regarding the circumstances when TDY personnel are required to reduce their standard M&IE charges
- ◆ Provides advice and guidance to TDY personnel regarding the necessary immunizations, travel entitlements, regulations, and emergency contact telephone numbers for PPQ preclearance staff, IS area/regional supervisors, and personal emergency contact numbers for TDY personnel
- ◆ Works with IS headquarters to determine and prioritize the need for preclearance program operational reviews and conducts reviews where necessary
- ◆ Approves overtime or compensatory time in lieu of overtime for travel outside of normal working hours

In addition, the director is directly responsible for technical compliance of all commodity preclearance operational work plans while maintaining consistent and uniform program policies.

**APHIS-IS Country Preclearance Program Manager (PPM),
Authorized Departmental Officer Designated Representative
(ADODR)**

The IS Country Preclearance Program Manager (PPM) is the lead APHIS-IS program manager responsible for the country where preclearance inspection is conducted. The PPM can have either a plant or animal health background. For preclearance trust funds, the PPM also serves as the APHIS Administrator's ADODR in the foreign country where the commodity preclearance program operates.

The PPM, ADODR performs the following duties:

- ◆ Negotiates initial terms and conditions for the Cooperative Service Agreement, including the work plan and financial plan
- ◆ Ensures all arrangements agreed to by APHIS and the cooperator are documented in writing, and maintained as part of the official agreement file
- ◆ Monitors preclearance program performance in accordance with established protocol, work plan, and responsibilities set forth in the Cooperative Service Agreement
- ◆ Visits preclearance work-site(s) as appropriate, and when deficiencies are noted promptly notifies the APHIS Administrator
- ◆ Monitors the cooperator's compliance with all terms and conditions listed in the Cooperative Service Agreement
- ◆ Accounts for cooperator funds to ensure a sufficient balance is available to cover anticipated expenses that will be incurred by APHIS during a forecast period
- ◆ Notifies the cooperator (through the APHIS Administrator) if the account balance becomes insufficient and curtails APHIS' performance until additional funds are deposited
- ◆ Initiates and completes Cooperative Service Agreement continuation or close out, as appropriate
- ◆ Notifies the APHIS Administrator when unilateral termination of the Cooperative Service Agreement by APHIS is warranted
- ◆ Obtains signatures for Cooperative Service Agreement, financial plans, and work plans
- ◆ Ensures that all relevant Cooperative Service Agreement data (i.e. work plan, financial plan, notice of award, etc.) is submitted to the Riverdale-Washington Business Site, Financial

Management Division, Agreements Team in Riverdale, MD for review and signature of the APHIS Administrator. Copies should also be forwarded to the Director of Preclearance Programs¹

- ◆ Submits existing Cooperative Service Agreement, budgets and work plans to the Riverdale Washington Business Site, Financial Management Division, Agreements Team two weeks prior to new fiscal year
- ◆ Enforces Cooperative Service Agreement management, fiscal, travel, and T&A regulations, and maintains fiscal responsibility in preclearance activities
- ◆ Reviews periodically, and evaluates resources needed to accomplish preclearance inspection
- ◆ Supervises the TDY PPQ Officer(s)
- ◆ Reviews and/or approves TDY T&As and travel vouchers; and verifies accounting codes, overtime charges, vehicle usage, and other related information
- ◆ Ensures hotel and ground transportation reservations are made
- ◆ E-mails or faxes T&A information to the TDY Officer's home duty station and provides a copy to the Director of Preclearance Programs¹
- ◆ Handles in-country emergencies
- ◆ Issues AD-202's for FSN's performing commodity preclearance assignments
- ◆ Documents safety and health standards at proposed preclearance locations to ensure that safety standards have been established prior to program approval
- ◆ Monitors safety and health standards to ensure safe work environments continuously

Temporary Duty Assignment (TDY) Employee

The Temporary Duty Assignment (TDY) Employee is a PPQ Officer that has been assigned to perform foreign preclearance inspection by the Director of Preclearance Programs.

The TDY Officer will:

- ◆ Possess a valid AD-202, travel authorization, official passport, visa/visas (if required), country clearances, and all immunizations necessary for the destination country/countries before departure

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- ◆ Take personal passports along if plans include travel to other countries, or within the country while on personal leave
- ◆ Take several copies of all travel documents on the trip, and keep the originals in hotel safes
- ◆ Obtain advance approval for stopovers and day rooms at airport hotels; these must meet special conditions for approval which are established on a case-by-case basis based on airline routes and government regulations
- ◆ Make own airplane reservations through the U.S. Government contracted travel agency used by the Director of Preclearance Programs¹
 - ❖ Coach or economy class is automatically authorized unless prior approval business class is obtained from the USDA, Under Secretary for Marketing and Regulatory Programs, for premium class travel
 - ❖ Travelers are required to fly American Flag Carrier airlines² unless such airline is unavailable or the necessity of the mission requires the use of a foreign flagship. Prior approval for travel on a foreign flagship is obtained from the Director of Preclearance Programs¹
- ◆ Obtain approval **prior to departure** from immediate supervisor for any annual leave to be taken before or after the TDY assignment
- ◆ Submit a copy of an approved leave slip and APHIS Form 10-R, Request for Special Travel, to the Preclearance Office in Riverdale, MD, and submit a copy to the APHIS-IS PPM
- ◆ Submit an itinerary to the Director of Preclearance Programs¹
- ◆ Bring a valid State driver's license
- ◆ Perform commodity inspections and/or treatments in accordance with guidelines provided by the Director of Preclearance Programs

1 Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.
2 Check with the U.S. Government contracted travel agency to confirm American Flag Carriers.

- ◆ Prepare a trip report and submit the report to the Director of Preclearance Programs¹, and a copy to the TDY IS-Regional Office within 14 days of conclusion of TDY assignment
 - ❖ Trip reports are required to be submitted with the final travel voucher
 - ❖ Trip reports should be submitted in a written format provided by the Preclearance Staff in Riverdale, MD
 - ❖ Trip report guidelines are listed in *Commodity Preclearance TDY Trip Report Guidelines* on **page D-1**
- ◆ Prepare travel vouchers (this is the personal responsibility of TDY PPQ Officers, Supervisors, and Retirees) and submit the **original voucher and receipts**, to the Director of Preclearance Programs¹ as follows:
 - ❖ Vouchers are required to be prepared and submitted within two weeks after the close of the claim period
 - ❖ Vouchers (all) shall be prepared and submitted at least every 30 days or at the end of the tour, whichever comes first
 - ❖ TDY personnel are responsible for ensuring that they have clearly documented all personal and official phone calls and lodging costs based on published per diem rates
 - ❖ Receipts are required for all lodging expenses and any other expenses over \$75
 - ❖ Commuted Travel Time (CTT) entitlements for individuals on commodity preclearance TDY assignments are **not** permitted

The Director of Preclearance Programs will forward copies to the IS, PPM for review.

- ◆ Obtain information relative to climate, clothing, medical services, medical supplies, electrical voltage, and food, and other such information relating to personal comfort and needs

Immediate PPQ Supervisor at Permanent PPQ Duty Station

The Immediate PPQ Supervisor at the Permanent PPQ Duty Station will perform the following duties:

- ◆ Submit T&A report to the National Finance Center after receiving approval of time sheet by the TDY APHIS-IS Host Country PPM
- ◆ Send a copy of the approved T&A to the Riverdale Washington Business Site, Financial Management Division, Agreements Team in Riverdale, MD

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737; FAX 301/734-8318.

Riverdale Washington Business Site, Financial Management Division, Travel Team

The Riverdale Washington Business Site, Financial Management Division, Travel Team will obtain official passports and visas from the USDA Foreign Agriculture Service.

Riverdale Washington Business Site, Financial Management Division, Agreements Team

The Riverdale Washington Business Site, Financial Management Division, Agreements Team will perform the following:

- ◆ Review and obtain final approval and signature for Cooperative Service Agreement from the APHIS Administrator
- ◆ Maintain official file for each Cooperative Service Agreement
- ◆ Reconcile accounts on a timely basis ensuring all costs associated with trust funds are properly charged and initiate corrections when necessary; accounts maintained in APHIS-IS regional and/or area offices are exempt

B

CPP Management
Guidelines

Approval Protocol for Establishing Preclearance

Contents

| | |
|--|----------|
| Introduction | page B-1 |
| Commodity Treatment Facilities in Foreign Countries | page B-1 |
| Guidelines and Procedures for Construction and Operation | page B-1 |
| Finalizing the Establishment of the Import Process | page B-6 |

Introduction

The *Approval Protocol for Establishing Preclearance* appendix provides guidelines to be followed when constructing and operating a certified commodity treatment facility. APHIS certified fruit and/or vegetable treatment plants help facilitate the importation of precleared agricultural commodities into the United States.

Commodity Treatment Facilities in Foreign Countries

Foreign fruit or vegetable producers and/or exporters must adhere to the following guidelines to construct and operate an Animal and Plant Health Inspection Service (APHIS) certified commodity treatment facility.



The Director of Preclearance Programs and/or the responsible IS Preclearance Program Manager will return (without action) any unsolicited plans that are received directly from foreign producers/exporters or engineering firms. Correct protocol requires that all proposals, plans and drawings must be submitted through, and be recommended to APHIS by the host country's national plant protection service.

Guidelines and Procedures for Construction and Operation

Interested foreign producers and/or exporters must follow these guidelines:

1. Foreign producers and/or exporters must contact their national plant protection service and submit a proposal to construct a commodity treatment facility that will operate in accordance with APHIS specifications and ultimately enable the shipment of precleared agricultural products to the United States.

2. Host country's national plant protection service will review proposals received from local agricultural producers and/or exporters, and forward the approved proposals to both the Director of Preclearance Programs¹ and the responsible IS Preclearance Program Manager.
3. Host government, not APHIS, reviews all applicants and makes the final selection(s) that enable the construction of a commodity treatment facility.
4. Director of Preclearance Programs¹, in collaboration with IS Preclearance Program Managers, will review all proposals for construction of commodity treatment facilities and initiate the following actions:
 - A. Request a new pest-risk analysis for the specific commodity and country if a pest-risk analysis has not been previously completed.
 - B. Determine if surveys for actionable pests are required. If necessary, guidelines and techniques for conducting an acceptable survey will be forwarded to the host country's national plant protection service.
 - C. Write a work plan. Work plans are jointly developed by the Director of Preclearance Programs, IS Preclearance Program Manager, and the host country's national plant protection service.
 - i. Original draft work plan is developed typically by the host country plant protection service
 - ii. Work plan must include the provision for a Cooperative Service Agreement and the establishment of a trust fund to pay the salary and expenses of APHIS personnel assigned to provide certification for proposed commodity treatment facilities



APHIS, through the Director of Preclearance Programs¹ reserves the right to limit the number of commodity treatment facilities that APHIS approves in each country.

5. Director of Preclearance Programs¹ provides written notification to appropriate host country officials when APHIS accepts (or rejects) a proposal to establish a preclearance treatment facility.
6. Host country officials subsequently notify local agricultural producers and/or exporters when APHIS accepts (or rejects) a proposal to establish a preclearance treatment facility.

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

7. If APHIS accepts a proposal to establish a preclearance treatment facility, the foreign agricultural producers and/or exporters subsequently contract with local engineering firm(s) to develop detailed plans and drawings.



PPQ's Center for Plant Health Science and Technology (CPHST) will provide, upon request, a list of manufacturers, dealers, and engineering firms known to supply and/or install equipment for foreign commodity treatment facilities. This list is updated frequently by CPHST staff.

8. Foreign producers and/or exporters then submit detailed plans and drawings to both the Director of Preclearance Programs¹ and the responsible IS Preclearance Program Manager through the host country's national plant protection service. At least three copies of the plans and drawings must be submitted. The Ministry retains one copy and forwards two copies to the appropriate APHIS parties. Copies forwarded to APHIS should either be written in English, or have an English translation attached.
9. IS Preclearance Program Manager will review the accessibility of specific locations proposed for facility construction.
10. IS Preclearance Program Manager then prepares and submits a report to the Director of Preclearance Programs¹. The IS Preclearance Program Manager and PPQ Director of Preclearance Program will jointly approve or not approve any plans submitted for review.

The following criteria are used to determine if locations for commodity treatment facilities are acceptable:

- A. Proximity to an international airport or maritime port
- B. Proximity to production areas
- C. Availability of adequate temporary lodging for PPQ TDY Officers
- D. Safety of the facility
 - i. Facility must be in a generally secure area and roads leading to the facility must be safe for both day and night travel
 - ii. If roads are not deemed safe for night travel, inspection services will be limited to eight-hour shifts that allow for adequate travel time to and from the treatment facility during daylight hours

1 Director of Preclearance Programs, USDA-APHIS-PPQ,PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- 11.** Finalized treatment facility plans and drawings are subsequently forwarded to CPHST for review.
 - A.** Staff Specialists are assigned to analyze plans and drawings for technical compliance with APHIS preclearance requirements.
 - B.** If necessary, the CPHST Staff Specialist will correspond directly with the foreign engineering firm and/or producer/exporter.
- 12.** CPHST staff will provide written notification to both the Director of Preclearance Programs¹ and the responsible IS Preclearance Program Manager when treatment facility plans are technically sound. If modifications are required, the CPHST Staff Specialist will recommend corrective action to ensure the proposed facility is in compliance with APHIS standards.
- 13.** Director of Preclearance Programs¹ notifies both the host country government and foreign producer/exporter(s) when proposed plans have been technically approved by CPHST personnel
- 14.** Once CPHST has approved construction plans, foreign producers have one year to initiate treatment facility construction.



The Director of Preclearance Programs¹, in consultation with the responsible IS Preclearance Program Manager, may revoke approval if the applicant has not initiated construction within the initial year.

- 15.** Engineering firm and/or foreign exporter/producer(s) are required to make necessary equipment modifications as required, and notify both the Director of Preclearance Programs¹ and the responsible IS Preclearance Program Manager when this has been accomplished.
- 16.** Foreign producers then request an official visit from CPHST for the purpose of inspection, testing, and certification. Included in the request should be a proposed time frame.
- 17.** In most cases, a CPHST staff specialist will be dispatched to do the inspection and initial performance testing. This requires an advanced notice of at least three weeks to arrange for preparation of travel authorization, passport, visa, country clearance, and airline tickets. All costs, including salary, per diem, and travel will be charged to the trust fund, which is to be paid in advance by the foreign producer(s)

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- 18.** Director of Preclearance Programs¹ confirms that the Cooperative service Agreement is properly signed and that a trust fund has been established. The Director of Preclearance Programs then notifies CPHST of proposed dates for official commodity treatment facility inspection(s) and performance testing.
- 19.** CPHST acknowledges the proposed date and may propose an alternative date if necessary. Once a final date has been established by the Director of Preclearance Programs, the CPHST staff specialist(s) initiate actions to secure needed travel documents.
- 20.** CPHST then makes an official request to the foreign producer(s) and/or engineering firm to complete at least one performance test prior to the official facility inspection date. CPHST will provide instructions as required.
- 21.** Engineering firm and/or foreign producer(s) send results of the preliminary performance test to both the Director of Preclearance Programs¹ and the responsible IS Preclearance Program Manager. The Director of Preclearance Programs subsequently forwards these results to the appropriate CPHST staff specialist.
- 22.** CPHST staff specialist subsequently reviews the results of the preliminary test(s) to determine preliminary acceptability. If acceptable, CPHST then sends a staff specialist to the new facility for final performance testing.
- 23.** Two or more official performance tests are conducted at the foreign treatment facility, under the on-site direction of a CPHST staff specialist or a designated representative. These tests will require the following:
 - A.** On-site presence of a representative of the engineering firm that constructs the facility.
 - B.** Packinghouse employees (at least one who speaks English), including the following:
 - i.** Fork-lift operator
 - ii.** Hoist operator
 - iii.** Crew to load and unload baskets, weigh fruit, and assist in the placement and removal of required portable equipment

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- C.** Enough fruit or vegetables to run two or more tests at full-load capacity. Fruit or vegetables should be of uniform size and shape.



Fruit or vegetables used during the performance tests must be adequately safeguarded if the fruit or vegetables are to be shipped to the United States. Additionally, shipment must await the arrival of the assigned APHIS inspector, who will issue the preclearance document (APHIS form 203) to accompany each shipment. If this is impractical, then treated fruit or vegetables should be diverted to other markets.

- D.** Appropriate equipment to operate the treatment facility.
- 24.** Pending the outcome of the CPHST-led inspection and performance tests, the new facility may be certified. An official certificate of approval will be issued at a later date, which may be renewed annually, pending completion of additional performance tests.
 - 25.** CPHST staff specialist notifies both the Director of Preclearance Programs¹ and the responsible IS Preclearance Program Manager in writing of the results (pass or fail).
 - 26.** In case of failure, the facility operator should make required adjustments and/or improvements and then contact the Director of Preclearance Programs¹ to arrange for another performance test at a later date.

Finalizing the Establishment of the Import Process

Upon the completion of successful performance tests the following events occur to finalize the establishment of an import process:

- 1.** CPHST Staff Specialist notifies, in writing, both the Director of Preclearance Programs¹ and the responsible IS Preclearance Program Manager.
- 2.** Director of Preclearance Programs subsequently notifies the Permits and Risk Assessment (P&RA) Permit Chief of the treatment facility approval
- 3.** Permit Chief subsequently notifies (by electronic mail) all PPQ field offices at U.S. ports-of-entry. Ports expected to receive immediate shipments may be notified by telephone
- 4.** Director of Preclearance Programs arranges for a PPQ TDY Officer or responsible Foreign Service National/Agricultural Foreign Service employee to supervise commodity treatments.

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.



Model Preclearance Work Plan

MODEL PRECLEARANCE WORK PLAN

I. DEFINITIONS

- A.** Products Being Exported (*type with scientific name*)
- B.** Pests and/or Organisms of Concern (*list with scientific name*)
- C.** Participating Organizations (*list separately*)
- D.** Cooperative Agreement (*statement; put actual agreement in as an appendix*)

II. USDA REGULATIONS GOVERNING ENTRY OF EXPORTED PRODUCT

- A.** Cite CFR, etc. (*statement; copy in appendix*)
- B.** Condition of Entry (*If any forms, wrappers, etc.*)

III. RESPONSIBILITIES

- A.** USDA-APHIS-IS (*office responsible, TDY, etc.*)
- B.** Cooperator/Exporter/Government Agency (*list all*)

IV. TREATMENT

- A.** Procedures (*reference Treatment Manual*)
 - i. Type of Treatment Required
 - ii. Equipment Certification Requirement
 - iii. Monitoring Procedure
 - iv. Prior to Treatment (*fruit cutting, etc.*).

- B.** Safeguards

V. INSPECTION

- A.** Sampling Rate Requirement (*all situations*)
- B.** Location of Inspection(s)
 - i. Field
 - ◆ Pre-Harvest
 - ◆ Post Harvest, etc.
 - ii. Processing Plant, Inspection Sites, etc.

- C.** Safeguards

VI. PROGRAM REVIEW (*Determine and list appropriate pest-risk criteria and thresholds that would result in program review that could result in program suspension and/or termination in specific (A) production areas and environs; and/or (B) packing and inspection/treatment areas*)

VII. SHIPPING REQUIREMENTS (*by Air/Sea/Land*)

- A.** Safeguards
- B.** Sealing Requirements



Commodity Preclearance TDY Trip Report Guidelines

Contents

- Introduction **page D-1**
Guidelines for Completing Trip Report **page D-1**
Distribution of Trip Report **page D-2**

Introduction

The *Commodity Preclearance TDY Trip Report Guidelines* appendix assists TDY preclearance personnel with completing trip reports to provide feedback to the Director of Preclearance Programs.

Guidelines for Completing Trip Report

Temporary Duty (TDY) preclearance personnel are required to complete a trip report within 30 days after returning from their TDY assignment. Trip reports are required to be submitted in the format listed below, via U.S. mail, fax, or e-mail. An alternative web-based trip report format is also available through the Quarantine Policy Analysis and Support website at the following address:

<<https://web01/portops.nsf?OpenDatabase>>

Trip reports are designed to provide the Director of Preclearance Programs¹ with feedback regarding individual TDY assignment. This feedback also assists Preclearance Staff personnel with program evaluations and establishing program priorities for the next season.

Trip reports should include, but are not limited to, the following:

- ◆ TDY officer's name, travel dates, and telephone number at the Officer's permanent duty station (home telephone numbers are requested for retirees). This information is requested so that individuals selected for the same TDY assignment during the next season have a contact if they have any questions regarding their upcoming TDY assignment
- ◆ List of cities traveled to as required by the TDY assignment

¹ Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737.

- ◆ List of officials (both local and USDA) contacted during the TDY assignment
- ◆ Written narrative that outlines individual TDY roles and responsibilities (i.e. commodity inspection, hot water treatment supervision, vessel calibration, military preclearance activities, fumigation, etc.).
 - ❖ Narrative should specifically list problems (either operational or administrative) encountered and describe solutions that were developed. The narrative should include specific comments regarding the following:
 - Travel to and from the TDY assignment
 - In-country transportation
 - Accommodations
 - Convenience to restaurants, laundry facility, etc.
 - Other related information
 - ❖ Summary section should include constructive suggestions for potential program improvement
 - ❖ List of interceptions made during the TDY assignment. (Refer to the IRD memorandum included in your country packet)
 - ❖ Comments regarding in-country service provided by:
 - International Services
 - Cooperator
 - ❖ Comments regarding service provided by the Preclearance Staff in Riverdale, MD

Distribution of Trip Report

The original trip report should be forwarded to:

Ms. Tammy Kolt
USDA-APHIS-PPQ-APHIS PHP
Quarantine Policy Analysis and Support, Preclearance Staff
Cubical 4B42-2, Unit 60
4700 River Road
Riverdale, MD 20737

FAX:301/734-8318
E-Mail:Tammy.Kolt@usda.gov

The Preclearance Staff will subsequently forward a copy to the appropriate IS in-country Preclearance Program Manager.

Glossary

Definitions

Authorized Departmental Officer (ADO)—Official with delegated authority to sign the Cooperative Service Agreement. For foreign trust funds, the signatory is the APHIS Administrator.

Authorized Departmental Officer's Designated Representative (ADODR)—Official designated in writing by the ADO to collaboratively carry out the terms and conditions of the Cooperative Service Agreement. For preclearance trust funds, the ADODR is the IS Preclearance Program Manager in the foreign country where the preclearance program operates.

Cooperative Service Agreement—An agreement signed by the APHIS Administrator outlining the services to be performed by APHIS and the terms and conditions for performing these services, including conditions for payment in advance. An annual work plan and financial plan is incorporated into the agreement by reference.

Director of Preclearance Programs—The national program official that coordinates all preclearance program activities and foreign TDY assignments. The director is located in the PPQ Preclearance Section of APHIS Plant Health Programs in Riverdale, MD.

Host Country—The country that is requesting USDA-APHIS-PPQ-PHP approval for a commodity preclearance treatment facility/preclearance program or new or revised work plan, etc.

IS Preclearance Program Manager (PPM)—The lead APHIS-IS program manager responsible for the country where preclearance inspection is conducted. The PPM can have either a plant or animal health background. The PPM also serves as the APHIS Administrator's Authorized Departmental Officer's Designated Representative (ADODR) and is, therefore, designated in writing by the APHIS Administrator to collaboratively carry out the terms and conditions of the Cooperative Service Agreement.

Riverdale-Washington Business Site, Financial Management Division, Agreements Team—Ensures individual agreement(s) execution and administration, compliance review/audits, policy development. Maintain official file for each Cooperative Service Agreement.

Riverdale Washington Business Site, Financial Management Division, Travel Team—Ensures Federal Travel Regulations are followed. Provides written/oral travel advice, technical guidance, and instructions on travel-related issues.

TDY (Temporary Duty) Assignment—The specific inspection(s) assigned to a PPQ Officer on the TDY roster rotation.

TDY (Temporary Duty) Employee—The PPQ Officer that has been assigned to perform foreign commodity preclearance inspection by the Director of Preclearance Programs¹.

Temporary Duty (TDY) International Services (IS) Region—The Region in which the preclearance inspection will be conducted.

TDY (Temporary Duty) Roster—A listing of active, retired, or former PPQ Officers and IS personnel with PPQ Officer training and experience. The listing is maintained by the Director of Preclearance Programs. These individuals have volunteered to participate in foreign commodity preclearance TDY assignments.

Trust Fund—Special account established under a Cooperative Service Agreement to enable APHIS to provide inspection services for specific activities on a full cost recovery basis. Payment for these services must be paid in advance before costs can be incurred by the Federal government.

1 Director of Preclearance Programs, USDA-APHIS-PPQ-PHP, Quarantine Policy Analysis and Support, Preclearance Staff, 4700 River Road, Unit 60, Riverdale, MD 20737

Index

A

Agreements Team, Financial Division,
Riverdale-Washington Business Site [A-2](#)

Airlines [A-8](#)

Airplane reservations [A-8](#)

Annual leave, advance approval of [A-8](#)

APHIS Form 203 [A-6](#)

Approval

advance
 airport hotels [A-8](#)
 foreign flagship travel [A-8](#)
 TDY annual leave [A-8](#)
 certificate of [A-6](#)
 Cooperative Service Agreement [A-10](#)
 preclearance protocol deviation [1-2](#)
 T&A [A-9](#)
 treatment facility
 P&RA notification [A-6](#)
 treatment facility construction, revoking of [A-4](#)

Authorized Departmental Officer (ADO)
 definition of [A-1](#)
 responsibilities [A-3](#)

Authorized Departmental Officer Designated
 Representative (ADODR)
 definition of [A-2](#)
 roles and responsibilities [A-3](#)
 IS Country Preclearance Program Manager
 (PPM) [A-6](#)

B

Business Services. See Marketing and Regulatory
 Programs (MRP)

C

Center for Plant Health Science and Technology
 (CPHST)
 list for foreign treatment facilities equipment [A-3](#)
 operational unit of PPQ [1-2](#)
 responsibilities of [1-3](#)
 staff training of TDY Preclearance Officers [5-2](#)

Certificate of approval [A-6](#)

Cooperative Service Agreement
 ability to establish and enter [2-2](#)
 definition of [A-2](#)
 development [2-2](#), [2-4](#)
 initiation and management [4-1](#)
 IS responsibility [1-4](#)
 MRP responsibility [1-4](#)
 trust fund [4-1](#)

CPHST

facility inspection [A-5](#)
 request for official visit [A-4](#)
 staff specialist [A-4](#)
 staff training of TDY Preclearance Officers [5-2](#)
 treatment facility plans [A-4](#)

D

Definitions [A-1](#), [2-i](#)

Deputy Administrator of PPQ
 final approval [2-4](#)

Director of Preclearance Programs
 approval for FSNs [5-3](#)
 approval for preclearance program
 supervisors [5-2](#)
 approval of revised work plan [3-1](#)
 definition of [A-2](#)
 IS TDY written estimation [5-2](#)
 notification of TDY disciplinary action [6-1](#)
 official requests [2-1](#)
 roles and responsibilities [A-4](#)
 written concurrence for program [2-1](#)

E

Embassy
 security contact [5-4](#)
 support , IS responsibilities for [1-4](#)
 U.S. in FSN's home country [5-3](#)

Equipment certification requirement
 work plan [B-1](#)

F

Foreign producers [A-4](#)
 guidelines for treatment facilities [A-1](#)

Foreign Service Nationals/Agricultural Foreign
 Service (FSN)
 responsibilities [5-2](#)
 selection of [5-3](#)



Foreign Site Packets 5-4

G

Glossary 2-i

Guidelines

facility construction and operation A-1 to A-6
 Foreign Trust Fund TDY A-1 to A-3
 TDY trip report 1-1

H

Host country

definition of 2-i
 export commodity group 4-1
 national plant protection service
 protocol A-1
 review of proposals A-2
 plant health organization
 approval for foreign government and producer
 requests 2-2
 preclearance program
 proposal development 1-1 to 1-2

Hotel 5-4, A-7

advance approval for A-8
 reservations A-7

I

Import Process A-6

Information packets 5-4

Inspections

commodity A-4, A-8
 commodity treatment facility 1-3
 foreign preclearance A-1, A-3
 preclearance 1-1
 preclearance work plan B-1

Insurance 5-3

International Services (IS)

approval of
 preclearance protocol deviation 1-2
 preclearance program managers
 discipline of PPQ TDY Annuitants 6-2
 discipline of PPQ TDY Officers 6-1
 Region, Temporary Duty (TDY) A-3
 responsibilities 1-3
 TDY trip report comments on 1-2

IS Country Preclearance Program Manager
 (PPM) A-6

IS Preclearance Program Manager (PPM)
 definition of A-2

IS. See International Services

L

List of interceptions
 TDY trip report 1-2

M

Marketing and Regulatory Programs (MRP)
 Business Services
 Cooperative Service Agreement 4-1
 responsibilities 1-4

Model of preclearance work plan B-1

N

Narrative
 TDY trip report 1-2

Notice
 inspection and testing, advance A-4

P

PAG. See Preclearance Advisory Group

Payment in advance
 conditions for A-2
 Cooperative Service Agreement 2-i
 foreign producers costs A-4
 inspection services A-3

Permits and Risk Assessment
 treatment facility notification A-6

Pest risk
 criteria 2-3
 PAG review of 2-3
 program suspension for 1-2



Plant Protection and Quarantine. See PPQ

Port directors

See also Ports-of-entry
timely notification to 3-2

Ports-of-entry

monitoring levels at 2-3
notification of A-6
protocol A-6
work plan requirement 3-2

PPQ

Deputy Administrator 2-4
PAG member 2-2
preclearance program
operational reviews 2-3
responsibilities 1-2

Preclearance Advisory Group (PAG)

definition of 2-2
draft work plan, review of 3-2
review and approval of preclearance program 2-2
to 2-3
revised work plan approval requirement 3-1

Preclearance Officers

duties 5-3

Preclearance program

request for final approval 2-4

Protocol

deviation from 1-2
for submitting plans A-1

Q

Quarantine Policy Analysis and Support

trip report distribution 1-2

R

Request for official visit from CPHST

foreign producers A-4

Riverdale Washington Business Site, Financial
Management Division, Travel Team A-2

Riverdale-Washington Business Site, Financial
Management Division, Agreements Team A-2

T

T&A

authority for enforcing regulation A-7
responsibility for submitting A-9
review and approval A-7

TDY. See Temporary Duty (TDY)

Temporary Duty (TDY)

assignment
definition of A-2
employee
definition of A-2
responsibilities A-7
officer
discipline of 6-1
selection and assignment process 5-1
roster
definition of A-3
supervisor or manager
selection of 5-2
trip report
comments on International Services 1-2
guidelines 1-1

Time and attendance. See T&A

Travel agency A-8

Travel Team, Financial Division,
Riverdale-Washington Business Site A-2

Travel voucher A-5, A-7, A-9

Treatment facility construction
approval, revoking A-4

Trip report

deadline 1-1
distribution of 1-2
format for submitting 1-1
Quarantine Policy Analysis and Support 1-2
TDY 5-2
written 5-2

Trust fund

additional costs included in 5-1
condition of Cooperative Service Agreement 4-1
definition of A-3
insurance cost included in 5-3
MRP responsibility for developing and
managing 1-4
portion of Cooperative Service Agreement 4-1

U

Unsolicited plans [A-1](#)

Update record
for CPP Management Guidelines [1-ii](#)

W

White House
request for establishment of programs [2-2](#)

Work plan

assistance with development [1-1](#)
development of [A-2](#)
modified
approval of [A-4](#)
operational [1-3](#)
changes in [2-2](#)
compliance [1-4](#)
developing and finalizing [2-4](#)
development of [2-2](#), [3-1](#)
requirements [3-1](#)
technical compliance [1-2](#), [A-6](#)
part of Cooperative Service Agreement [A-2](#), [A-4](#)
PPM, ADODR duties [A-6](#)
preclearance, model of [B-1](#)
regulatory [1-3](#)

