

3

Export Program
Manual

General Procedures

Keeping Records

Contents

Introduction [page 3-14-1](#)
Issuing Office [page 3-14-1](#)
Export Certification Specialist's Office [page 3-14-2](#)

Introduction

As with any accountable government form, export certificates **must** be maintained following established policy and operational guidelines. This includes guidelines established for the issuing office and the Export Certification Specialist's (ECS) office.

Issuing Office

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



PPQ Plant Inspection Stations (PIS) 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.

File and maintain issuing office copies of export certificates 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 attachment sheets, PPQ Form 576)
- ◆ Correspondence
- ◆ 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, or other comparable form
- ◆ State export certificate
- ◆ Translations of supporting documentation

Export Certification Specialist's Office

ECSs retain the record copy of export certificates until the forms are reviewed. ECSs are responsible for reviewing export certificates to detect errors (see [Review Guidelines for Certificates](#) on [page J-1-9](#)). Generally, these copies are **not** forwarded to Export Services (ES); however, ECSs may keep the forms for training purposes.

Distribution of PPQ Form 577

Distribute copies of PPQ Form 577 as follows:

TABLE 3-14-1: Distribution of PPQ Form 577, Phytosanitary Certificate

If the copy is:	Then:
Part 1—Shipper's Original (white with blue microprint background)	1. ATTACH PPQ 576 if appropriate 2. GIVE the copies to the exporter, shipper, or broker
Part 2—Shipper's Copy (pink)	
Part 3—Record Copy (yellow)	1. ATTACH any pertinent information for that specific shipment ¹ 2. SEND the record copy to your supervisor, 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 gather and send forward copies of issued certificates on a weekly basis)
Part 4—Issuing Office Copy (blue)	1. ATTACH any pertinent information for that specific shipment ¹ 2. RECORD issuance on the Export Certification Record (see <i>Collecting User Fees</i> on page 3-11-1) 3. FILE at the issuing office

- 1 Such as copy of IP copy, any translations, application with inspection results, acceptable inspection certificate, State export certificate, treatment information, PPQ 576 Attachment. Attach to the Issuing Office copy an invoice or bill of lading that would substantiate the shipment's value in case of an audit.

Distribution of PPQ Form 578

Distribute copies of PPQ Form 578 as follows:

TABLE 3-14-2: 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 export certificate for foreign-origin processed products
Part 2—Shipper’s Copy (white)	2. GIVE the copies to the exporter, shipper, or broker
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 3. FILE at the issuing office

- ¹ Such as application, foreign export certificate, continuation sheets (see [Continuation Sheets for PPQ Form 578](#) on **page 3-10-2**). Attach to the Issuing Office copy an invoice or bill of lading that would substantiate the shipment’s value in case of an audit.

Distribution of PPQ Form 579

Distribute copies of PPQ Form 579 as follows:

TABLE 3-14-3: Instructions to Distribute PPQ Form 579, Phytosanitary Certificate for Reexport

If the copy is:	Then:
Part 1—Shipper’s Original (white w/blue microprint background)	1. ATTACH the original or certified true copy of the foreign export certificate, if available 2. ATTACH PPQ 576, if appropriate
Part 2—Shippers’ Copy (white)	3. GIVE copies to the exporter, shipper, or broker
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 gather and send forward copies of issued certificates on a weekly basis)
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 Collecting User Fees on page 3-11-1) ¹ 3. FILE at the issuing office

1 Such as copy of IP copy, any translations, application with inspection results, acceptable inspection certificate, State export certificate, treatment information, PPQ 576 Attachment. Attach to the Issuing Office copy an invoice or bill of lading that would substantiate the shipment’s value in case of an audit.