



Appendix A

Completing and Distributing Forms

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Introduction

The *Completing and Distributing Forms* appendix covers those forms related to airport and maritime operations which you are responsible for completing (wholly or partially), signing, and distributing. In the interest of legibility, the forms in this appendix have been typed. While it is **not** necessary to type all forms, the following forms **must be** typed:

PPQ Form 227–R, Request for U.S. Customs Action
PPQ Form 280–R, Report of Regulated Importations¹
PPQ Form 519, Compliance Agreement
PPQ Form 523, Emergency Action Notification²

Forms **other than** those listed above may be legibly handwritten in ink.

Instructions for CBP to Order USDA Forms

CBP Field Offices may order USDA forms by following the procedures below:

- 1.** Obtain a Director Field Operations (DFO) Customer Identification Number by providing the following information to the USDA forms point-of-contact via e-mail to Karen.A.Stratchko@aphis.usda.gov:
 - A.** Full name of the person responsible for ordering USDA forms in the DFO Office.
 - B.** Full mailing address of the DFO office (no P.O. box).
 - C.** Telephone number of the point-of-contact in the Field Office.
 - D.** Facsimile number of the point-of-contact in the Field Office.
 - E.** E-mail address of the point-of-contact in the Field Office.
- 2.** A DFO Customer Identification Number will be assigned to the CBP Field Office; and the designated point-of-contact in the CBP Field Office will be notified of the DFO Customer Identification Number.
- 3.** Once the DFO Customer Identification Number has been assigned, the CBP Field Office person responsible for ordering USDA forms is strongly encouraged to order USDA forms via the Internet at <https://www.bsc.usda.gov/newbsc2006/>. As a last resort, the CBP Field Office person responsible for ordering USDA forms may FAX the order to the USDA point-of-contact (Ms. Karen Stratchko, FAX 301/734-5319; phone 301/734-7908); however, ordering USDA forms by FAX could lead to delays.
- 4.** The CBP Field Office person ordering USDA forms must use the same DFO Customer Identification Number for all forms orders. Order only the forms and quantity needed and reorder when necessary. Do not order large quantities of USDA forms. Forms take approximately 5-10 days to arrive after receipt of order.

¹ Use the web-based version to record and submit records.

² The only means of issuing a PPQ 523 is using the National AQAS Emergency Action Database to complete this form.


Purpose

APHIS Form 94, Record of Public Funds Received, is used to document the receipt and transmittal of collections, such as funds (postal money order, or company check or certified check drawn on U.S. Bank and made payable to “Treasury of the United States”) accepted to settle civil penalties.

Instructions

After you accept the funds to settle the civil penalty, then complete APHIS Form 94, using **Table A-1-1** below.

TABLE A-1-1: Instructions for Completing APHIS Form 94, Record of Public Funds Received

Block	Instructions
1	Enter transmittal number (submitting office enters number to use for tracking APHIS 94)
2	Enter the date you submit the form
3	Enter “USDA, APHIS, PO Box 952180, St. Louis, MO 63195-2180”
4	Enter the complete name, address, (street, city, state, zip code, etc.) of the submitting office (the receipted copy will be mailed back to this address)
5	Enter the date you receive the check or money order
6	Leave blank (MBS use only)
7	Enter the amount of the check or money order; use a separate line for each
8	Enter the name of the remitter
9	<p>Enter your 10-digit accounting code, the budget object code, the agreement number, phytosanitary certificates, Animal By-Product certificates, bill number, or reason for the check (jury duty, travel rebate, etc.)</p> <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p>Important</p> <p>The 10-digit accounting code and the 4-digit budget object code must be listed for each payment.</p> </div> </div>
10	Add the line amounts from <i>Block 7</i> , and then enter the total amount
11	Sign the form as the APHIS 94 submitter
12	Enter your title and telephone number
13-16	Leave blank (MBS use only)

Distribution

Send the completed APHIS Form 94 along with the funds received from the violator to ARI at either of the following addresses:

U.S. Mail (U.S. Postal Service) Payment: USDA-APHIS-ARI, PO Box 952180, St. Louis, MO 63195-2182

EXPRESS MAIL (FEDEX) Payment: Firststar Bank, Attn: Gov't Box 9521801, 1005 Convention Plaza, St. Louis, MO 63101

Keep a copy of the completed APHIS Form 94 for your files. If you have not received a receipted copy from MRP-MBS within 3 weeks of submitting the APHIS 94, then notify the Accounts Receivable Team.

Biotechnology Regulatory Services (BRS) Blue and White Importation Labels (APHIS Form 2051)

Authority

Federal Statutes BRS derives its authority to write regulations from provisions of the [Plant Protection Act](#), which is a part of the larger [Agriculture Risk Protection Act of 2000](#). Congress authorizes various parts of USDA to regulate specified areas of U.S. Agriculture under these Federal Statutes.

Federal Regulations

The details of what items are regulated, such as organisms and processes, and how both may be regulated (time frames, permitting processes, penalties) are written by each Agency that has the appropriate authority. All formal Federal regulations are published in the Federal Register and also in the [Code of Federal Regulations](#), a large multivolume series. Those regulations for Agriculture and the USDA comprise fifteen volumes and those governing biotechnology as overseen by APHIS-BRS are found in [Volume 7, Section 340](#).

Purpose

APHIS Form 2051, issued by USDA, APHIS, Biotechnology Regulatory Services (BRS), is used for the importation of genetically engineered (GE) organisms into the United States. Importation labels will be addressed to the appropriate USDA APHIS Plant Inspection Station to ensure that all shipments are received and cleared at the appropriate plant inspection stations. The label will include the permit number on the bottom right hand corner and will indicate that a permit has been issued for the plant material. Note the expiration date of the label on the bottom right hand corner directly above the permit number.

BRS Ports of Entry

Expedite shipments with blue and white labels (APHIS Form 2051) to the APHIS plant inspection station listed on the label. Entry is allowed only at a port of entry which is designated by an asterisk in 7CFR319.37-14(b). See [Appendix O](#) for a list of BRS ports of entry.

BRS Contacts

If you have any compliance related questions, contact BRS Compliance at the following:

- ◆ Phone: 301-734-5690
- ◆ FAX: 301-734-7487
- ◆ Email: BRSCompliance@aphis.usda.gov

If you have any general questions regarding procedures for importations or suggestions for process improvements on importations, contact the BRS Permits Chief at the following:

- ◆ Phone: 301-734-5690
- ◆ Email: BRSPermits@aphis.usda.gov

Overview and Instructions for Inspectors

Overview

Permit refers to either a BRS Permit (APHIS Form 2000) or a BRS Notification

BRS importations will come through ports under two types of permits:

1. Regulated article under a BRS permit
2. Non-regulated article under a BRS courtesy permit
(Note that articles imported under courtesy permits are **not** subject to regulatory requirements. The purpose of the courtesy permit is to expedite the entry of non-regulated articles that are similar to regulated articles.)

Each of these two types of permits allows two possible means of movement:

1. Mailing/shipping
The majority of all BRS importations will fall under this category.

2. Hand carry
Usually less than one percent of all BRS importations fall under this category.

DHS-CBP Inspector Instructions

1. Confirm that the imported shipment has a valid blue and white label (APHIS Form 2051) shipping label attached to the exterior for routing to a USDA APHIS Plant Inspection Station. (A valid label will have the permit number, expiration date, label number, and address of a USDA APHIS Plant Inspection Station.)
2. Validate the permit in ePermits using the CBP search feature. 100% of BRS' permits are processed via ePermits.
3. If a blue and white label (APHIS Form 2051) is not attached to the exterior of the package or the label has been covered or is otherwise not legible, then forward to the nearest USDA APHIS Plant Inspection Station.
4. If the address on the international airway bill does not match the address on the blue and white label (APHIS Form 2051), then forward the package to the nearest USDA APHIS Plant Inspection Station. (All costs associated with rerouting misaddressed packages will be assumed by the permit holder.)

5. If the permitted shipment arrives by hand carrying, in personal luggage, or by personal automobile without a hand carry authorization, seize the shipment and forward it to the nearest USDA APHIS Plant Inspection Station.
6. For all hand carry events, a valid blue and white label (APHIS Form 2051) specifying hand carry must be presented. A single blue and white label (APHIS Form 2051) specifying hand carry may be used for multiple GE organisms covered under one permit if applicable at border crossings.
7. If a package contains both a red and white label (PPQ Form 599) and a blue and white label (APHIS Form 2051), and the USDA APHIS Plant Inspection Stations listed are not the same, forward package to the USDA APHIS Plant Inspection Station listed on the red and white (PPQ Form 599).
8. If a package contains both a green and yellow label (PPQ Form 546) and a blue and white label (APHIS Form 2051), and the USDA APHIS Plant Inspection Stations listed are not the same, forward package to the USDA APHIS Plant Inspection Station listed on the green and yellow label (PPQ Form 546).
9. If the package is damaged and/or leaking, there are two possible scenarios:

First Scenario: There is **no** breach of containment for the regulated article.

- A. Repack and secure package and route to nearest PIS.
- B. Contact the Broker/Agent or Owner/Applicant to discuss options.
 - i. Re-export
 - ii. Destroy
 - iii. Repackage and forward

Second Scenario: There is a breach of containment for the regulated article.

- A. Secure package and mitigate accidental release of the regulated article.
 - B. Contact BRS Compliance Unit immediately.
10. For general questions or concerns, contact the USDA APHIS BRS Permit Unit in Riverdale, MD, @ (301) 734-5690.

USDA-PPQ Inspector Instructions for Plant Inspection Stations

If any of the following are not met, **DO NOT CLEAR THE SHIPMENT**. Contact BRS' Headquarters @ (301) 734-5690 to determine subsequent action.

1. Confirm that the package contents are listed on the permit.
2. Confirm that the shipment has the original blue and white label (APHIS Form 2051) with the permit number and label number visible on the exterior of the package.
3. If the blue and white label (APHIS Form 2051) is absent (the label may have become detached during shipping) altered or otherwise illegible, then proceed to step 14 below.
4. Confirm that the blue and white label (APHIS Form 2051) is addressed to your USDA APHIS Plant Inspection Station Address. FYI - hand carry does not list the USDA APHIS Plant Inspection Station Address.
5. Confirm that the delivery address on the package/international airway bill matches the address on the blue and white label (APHIS Form 2051). FYI - hand carry does not list the USDA APHIS Plant Inspection Station Address.
6. Confirm that the permit number on the blue and white label (APHIS Form 2051) matches the actual permit number.
7. All blue and white labels (APHIS Form 2051) have a barcode. Scan the barcode, or enter the permit number and label number into ePermits and log the required shipment information.
8. Confirm that the permit has not expired. Expiration dates are noted on the blue and white label (APHIS Form 2051).
9. Confirm that the final destination of the package is to the same individual and address that appears on the permit.
10. Confirm that the origin of the shipment is authorized on the permit.



BRS' regulated articles (GE organisms) are cleared the same as traditional articles (non-GE organisms) regulated under PPQ permits.

11. Use a biosafety cabinet to inspect shipments of microorganisms.
12. Confirm that the package is adequate to prevent escape of the enclosed organisms.
13. If all permit conditions are met, release the package for subsequent movement to the permit holder's address as noted on the domestic airway bill provided with the shipment.

Instructions for Expediting International & Domestic Air Waybills:

Mailing of importations will involve both an International Air Waybill and a Domestic Air Waybill. Applicant will obtain both the International and the Domestic Air Waybills at the initial stage of shipment. The International Air Waybill brings the material into the United States and to the appropriate USDA APHIS Plant Inspection Station. The Domestic Air Waybill ensures delivery from the USDA APHIS Plant Inspection Station to the final destination.

Applicant places the Domestic Air Waybill inside the package to be shipped. Upon clearance of the shipment at the USDA APHIS Plant Inspection Station, the inspector will discard the International Air Waybill and attach the Domestic Air Waybill to the package and forward the package to the final destination listed on the Domestic Air Waybill.

Address the International Air Waybill as follows:

From: Shipper
To: The USDA APHIS Plant Inspection Station Listed on the Blue & White Import Label

Address the Domestic Air Waybill as follows:

From: The USDA APHIS Plant Inspection Station Listed on the Blue & White Import Label
To: Final Address as Outlined on the Permit

- 14.** Use a biosafety cabinet when appropriate and/or available to open regulated articles.

If the package contains a BRS permit, review the permit for appropriate authority and proceed with clearing the shipment.

If the package does not contain a permit, you can reference the permit number from the importation label and access ePermits for additional information needed to clear the shipment.

If there is no permit and no importation label, contact the Broker/Agent or Owner/Applicant to discuss options.

- A.** Re-export
- B.** Destroy
- C.** Repackage and forward

If the package is damaged and/or leaking, there are two possible scenarios:

First Scenario: There is **no** breach of containment for the regulated article.

- A. Repack and secure package and route to nearest PIS.
- B. Contact the Broker/Agent or Owner/Applicant to discuss options.
 - i. Re-export
 - ii. Destroy
 - iii. Repackage and forward

Second Scenario: There is a breach of containment for the regulated article.

- A. Secure package and mitigate accidental release of the regulated article.
- B. Contact BRS Compliance Unit immediately.




Imports into the United States may require additional permits/certification outside of BRS authority. A phytosanitary certificate from the country of origin, a phytosanitary certificate of re-exportation (e.g. Ships from Africa to France, then France to the U.S.), a Plant Protection and Quarantine (PPQ) permit, and/or other certifying PPQ documents may also be required. Please contact PPQ @ (877) 770-5990 if you are unsure of their requirements.

**Examples of
Guidance/
Information
Provided
Applicants for
Importations**

Please see the following guidance/information provided on every importation to the applicant outlining procedures for importation. This information can be used by ports of entry as guidance to facilitate the importation through the port of entry to the final destination.

Scenario #1: Mailed/Shipped Regulated Articles Under a BRS Permit/Notification



United States
Department of
Agriculture

Animal and
Plant Health
Inspection
Service

Biotechnology
Regulatory
Services

4700 River Road
Riverdale, MD
20737

Biotechnology Regulatory Services (BRS)

Shipping Label Guidance for Importation of Genetically Engineered Organism


IMPORTING GENETICALLY ENGINEERED ORGANISMS:

The enclosed permit/notification # _____ authorizes you to receive imported organisms from foreign sources and includes 8 labels for you to provide to your supplier. These labels must be affixed to each shipment and will ensure that your package will be routed to the appropriate PPQ Plant Inspection Station at the respective Port of Entry into the United States.

Failure to Follow the Enclosed Instructions May Result in Your Materials Being Returned to Sender/Shipper or Destroyed.

Directions for Importing Genetically Engineered Organisms under Permit/Notification into the United States:

- All materials covered under this permit/notification require the use of the attached blue-and-white label (APHIS Form 2051).
- Please see the attached blue-and-white label(s) (APHIS Form 2051) provided with this letter.
- Paste securely to the face of each package to be mailed a blue-and-white label (APHIS Form 2051).
- Do not write on the blue-and-white label (APHIS Form 2051).
- Follow the container requirements for the importation of regulated articles in accordance with **7CFR340.8**
- Place in the inside of the package along with the regulated article the following:
 - For Notification(s) - a copy of the acknowledgement letter (CBI Deleted Version if applicable)
 - For Permit(s) – a copy of the approved permit (CBI Deleted Version if applicable)
 - Consignee’s name & address and invoice/packing list.
 - Domestic Air Waybill (if applicable-see below for additional information)
- Follow the marking & identity requirements for the importation of a regulated article in accordance with **7CFR340.7**



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FIGURE A-1-2: Applicant’s Importation Instructions for Mailing/Shipping Regulated GE Organisms (page 1)

Expediting International & Domestic Air Waybills:

Mailing of importations will involve both an International Air Waybill and a Domestic Air Waybill. You will need to obtain both the International and the Domestic Air Waybills at the initial stage of shipment. The International Air Waybill brings the material into the United States and to the appropriate Plant Inspection Station. The Domestic Air Waybill ensures delivery from the Plant Inspection Station to the final destination.

Place the Domestic Air Waybill inside the package to be shipped. Upon clearance of the shipment at the Plant Inspection Station, the inspector will attach the Domestic Air Waybill to the package and forward the package to the final destination listed on the Domestic Air Waybill.

Address the International Air Waybill as follows:

- o From: Shipper
- o To: The Plant Inspection Station Listed on the Blue & White Import Label
 - See example of import label below

Address the Domestic Air Waybill as follows:

- o From: The Plant Inspection Station Listed on the Blue & White Import Label
 - See example of import label below
- o To: Final Address as Outlined on the Permit/Notification

In the event of any accidental and/or unauthorized release of the regulated article, contact BRS Compliance and Inspection Branch by phone (301) 734-5690, fax (301) 734-7487, or e-mail at BRSCompliance@aphis.usda.gov

Imports into the United States may require a phytosanitary certificate from the country of origin, a phytosanitary certificate of re-exportation (e.g. Ships from Africa to France, then France to the U.S.), a Plant Protection and Quarantine (PPQ) permit, and/or other certifying PPQ documents. Please call PPQ @ (877) 770-5990 for additional assistance in regards to their requirements if necessary or unknown.

FIGURE A-1-3: Applicant's Importation Instructions for Mailing/Shipping Regulated GE Organisms (page 2)

For additional import labels, please process your request as follows:

- Request import labels via the ePermits system electronically for Notifications, Permits, & Courtesy Permits
 - <https://epermits.aphis.usda.gov/epermits>
- Request import labels via email for Notifications, Permits, & Courtesy Permits
 - BRSPermits@aphis.usda.gov
- Request import labels via telephone for Notifications
 - 301-734-8443
- Request import labels via telephone for Permits & Courtesy Permits
 - 301-734-0617


FIGURE A-1-4: Applicant's Importation Instructions for Mailing/Shipping Regulated GE Organisms (page 3)

Example: Import Label (Shipping) for Genetically Engineered Organisms

This Package Contains		OMB NO. 0579-0085
GENETICALLY ENGINEERED ORGANISMS <i>DO NOT OPEN EXCEPT IN THE PRESENCE OF AN APHIS INSPECTOR OR DESIGNATED REPRESENTATIVE OF USDA.</i>		
DELIVER TO		
U.S. DEPARTMENT OF AGRICULTURE		
ANIMAL AND PLANT HEALTH INSPECTION SERVICE		
PLANT PROTECTION AND QUARANTINE		
Label #3	Plant Inspection Station: Miami Inspection Station 3500 NW. 62nd Avenue Miami, FL 33159	Expires 08/07/2003
	PERMIT NO.	07-199-107n
APHIS FORM 2051 (JUN 2004)		

FIGURE A-1-5: Example of APHIS Form 2051, Blue and White Label for Importation of Genetically Engineered Organisms Under Permit into the United States (Mailed/Shipped Regulated Articles)

Scenario #2: Mailed/Shipped Non-regulated Articles Under a BRS Courtesy Permit


Biotechnology Regulatory Services (BRS)
Shipping Label Guidance for Courtesy Permits (not subject to regulation under BRS' authority)

IMPORTING GENETICALLY ENGINEERED ORGANISMS NOT SUBJECT TO REGULATION UNDER BRS' AUTHORITY:


The enclosed courtesy permit # _____ authorizes you to import organisms from foreign sources and includes 8 labels for you or your courier. This is a courtesy permit for importation of organisms modified through genetic engineering which are not subject to regulation under BRS' authority. The purpose of the courtesy permit is to facilitate the importation when the importation might otherwise be impeded because of the similarity of the organisms to other organisms that are regulated under BRS' authority. These labels must be affixed to each shipment and will ensure that your package will be routed to the appropriate PPQ Plant Inspection Station at the respective Port of Entry into the United States.

- Please see the attached blue-and-white label (APHIS Form 2051) provided with this letter.
- Paste securely to the face of each package to be mailed a blue-and-white label (APHIS Form 2051).
- Do not write on the blue-and-white label (APHIS Form 2051).
- Place in the inside of the package along with the article the following:
 - A copy of the approved courtesy permit
 - Domestic Air Waybill (if applicable-see below for additional information)

Expediting International & Domestic Air Waybills:

Mailing of importations will involve both an International Air Waybill and a Domestic Air Waybill. You will need to obtain both the International and the Domestic Air Waybills at the initial stage of shipment. The International Air Waybill brings the material into the United States and to the appropriate Plant Inspection Station. The Domestic Air Waybill ensures delivery from the Plant Inspection Station to the final destination.

Place the Domestic Air Waybill inside the package to be shipped. Upon clearance of the shipment at the Plant Inspection Station, the inspector will attach the Domestic Air Waybill to the package and forward the package to the final destination listed on the Domestic Air Waybill.



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FIGURE A-1-6: Applicant's Importation Instructions for Mailing/Shipping Non-regulated GE Organisms (page 1)

Address the International Air Waybill as follows:

- From: Shipper
- To: The Plant Inspection Station Listed on the Blue & White Import Label
 - See example of import label below

Address the Domestic Air Waybill as follows:

- From: The Plant Inspection Station Listed on the Blue & White Import Label
 - See example of import label below
- To: Final Address as Outlined on the Permit/Notification

Imports into the United States may require a phytosanitary certificate from the country of origin, a phytosanitary certificate of re-exportation (e.g. Ships from Africa to France, then France to the U.S.), a Plant Protection and Quarantine (PPQ) permit, and/or other certifying PPQ documents. Please call PPQ @ (877) 770-5990 for additional assistance in regards to their requirements if necessary or unknown.

For additional import labels, please process your request as follows:

- Request import labels via the ePermits system electronically for Notifications, Permits, & Courtesy Permits
 - <https://epermits.aphis.usda.gov/epermits>
- Request import labels via email for Notifications, Permits, & Courtesy Permits
 - BRSpermits@aphis.usda.gov
- Request import labels via telephone for Notifications
 - 301-734-8443
- Request import labels via telephone for Permits & Courtesy Permits
 - 301-734-0617

FIGURE A-1-7: Applicant's Importation Instructions for Mailing/Shipping Non-regulated GE Organisms (page 2)

Example: Import Label (Shipping) for Genetically Engineered Organisms

This Package Contains OMB NO. 0579-0085

GENETICALLY ENGINEERED ORGANISMS
*DO NOT OPEN EXCEPT IN THE PRESENCE OF AN APHIS
INSPECTOR OR DESIGNATED REPRESENTATIVE OF USDA.*

DELIVER TO
U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

Label #7

Plant Inspection Station:
Miami Inspection Station
3500 NW. 62nd Avenue
Miami, FL 33159

Expires
08/07/2003


PERMIT NO. **07-199-107n**

APHIS FORM 2051 (JUN 2004)

3

FIGURE A-1-8: Example of APHIS Form 2051, Blue and White Label for Importation of Genetically Engineered Organisms Not Under Permit into the United States (Mailed/Shipped Non-regulated Articles)

Scenario #3: Hand Carried Regulated Articles Under a BRS Permit/Notification


Biotechnology Regulatory Services (BRS)
Hand Carry Label Guidance for Importation of Genetically Engineered Organisms


IMPORTING GENETICALLY ENGINEERED ORGANISMS (HAND CARRY):

The enclosed permit/notification # _____ authorizes you to receive imported organisms from foreign sources and includes 8 labels for you or your courier. When you hand carry your organism in lieu of shipping the following conditions apply:

- At least TWENTY days prior to each hand carry incident, the permit holder or designee must notify the Biotechnology Regulatory Services (BRS) Permit Unit by email, preferred method, (BRSPermits@aphis.usda.gov), or telephone (301-734-5690) to provide specific information on the following:
 - Hand carrier's identity
 - The anticipated first port of arrival into the United States
 - The actual date of arrival
 - The time
 - If travel is by airline, the flight number

The BRS Permit Unit will notify Customs and Border Protection (CBP) Agriculture Inspectors at the port of entry to document and facilitate the entry of the organisms.

- The hand carrier must indicate that a Genetically Modified Organism(s) (GMO) are being imported under a USDA permit on the Customs Declaration form if such form is required at the port of entry.
- At the port of entry, individuals carrying permitted GMO's must also present to CBP officers the following articles:
 - U.S. Passport, Visa, or other Acceptable Identification
 - A copy of the BRS Permit (CBI Deleted Copy if Applicable)
 - A valid hand carry blue-and-white label (APHIS Form 2051) corresponding to the permit.
- Inspection by CBP Officers must confirm that all hand carried articles are securely packaged as per the permit conditions. In the event that a problem is detected, the CBP officer may seize the package and require its movement to the nearest PPQ Inspection Station for processing, clearance or destruction. The permit holder will be responsible for all costs incidental to such forwarding.



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FIGURE A-1-9: Applicant's Importation Instructions for Hand Carrying Regulated GE Organisms (page 1)

5. After CBP confirmation and clearance through the first port of entry into the United States, hand carried GMO's must be transported directly to the destination/containment facility authorized in the permit.

6. Upon arrival at the destination/containment facility, the BRS Permit Unit must be notified within 24 hours that the GMO's arrived. Notification may be by email, preferred method, (BRSPermits@aphis.usda.gov), by telephone (301-734-5690), or by fax (301-734-7487). Failure to notify the BRS Permit Unit may result in loss of hand carry privileges. A BRS or PPQ inspector may also visit the facility to confirm the arrival of the package and its contents.

7. THE ONLY PERSON AUTHORIZED TO HAND CARRY IS/ARE THE PERSON(S) WHOSE NAME(S) IS/ARE PROVIDED AS OUTLINED IN NUMBER 1 ABOVE.

8. You will receive a new blue and white label(s) (APHIS Form 2051) for each hand carry event. You can NOT use a blue and white label(s) described above that was prepared for mailing/shipping. If you use a blue and white label(s) for mailing/shipping while attempting to hand carry, the package will be seized by the Department of Homeland Security and destroyed.

9. Follow the container (shipping & packaging) requirements for the importation of regulated articles in accordance with **7CFR340.8**

10. Package must be identified by the appropriate blue-and-white label (APHIS Form 2051)

11. Follow the marking & identity requirements for the importation of a regulated article in accordance with **7CFR340.7**

In the event of any accidental and/or unauthorized release of the regulated article, contact BRS Compliance and Inspection Branch by phone (301) 734-5690, fax (301) 734-7487, or e-mail at BRSCompliance@aphis.usda.gov

Imports into the United States may require a phytosanitary certificate from the country of origin, a phytosanitary certificate of re-exportation (e.g. Ships from Africa to France, then France to the U.S.), a Plant Protection and Quarantine (PPQ) permit, and/or other certifying PPQ documents. Please call PPQ @ (877) 770-5990 for additional assistance in regards to their requirements if necessary or unknown.

FIGURE A-1-10: Applicant's Importation Instructions for Hand Carrying Regulated GE Organisms (page 2)

For additional import labels, please process your request as follows:

- Request import labels via the ePermits system electronically for Notifications, Permits, & Courtesy Permits
 - <https://epermits.aphis.usda.gov/epermits>
- Request import labels via email for Notifications, Permits, & Courtesy Permits
 - BRSPermits@aphis.usda.gov
- Request import labels via telephone for Notifications
 - 301-734-8443
- Request import labels via telephone for Permits & Courtesy Permits
 - 301-734-0617

FIGURE A-1-11: Applicant's Importation Instructions for Hand Carrying Regulated GE Organisms (page 3)

Example: Import Label (Hand Carry) for Genetically Engineered Organisms

This Package Contains OMB NO. 0579-0085

GENETICALLY ENGINEERED ORGANISMS
*DO NOT OPEN EXCEPT IN THE PRESENCE OF AN APHIS
INSPECTOR OR DESIGNATED REPRESENTATIVE OF USDA.*

DELIVER TO
U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

Label #4



Hand Carry Permit:
Name of Courier
Port of Entry

Expires
08/07/2003


APHIS FORM 2051 (JUN 2004)

PERMIT NO. **07-199-107n**

4

FIGURE A-1-12: Example of APHIS Form 2051, Blue and White Label for Importation of Genetically Engineered Organisms Under Permit into the United States (Hand Carried Regulated Articles)

Scenario #4: Hand Carried Non-regulated Articles Under a BRS Courtesy Permit



United States
Department of
Agriculture

Animal and
Plant Health
Inspection
Service

Biotechnology
Regulatory
Services

4700 River Road
Riverdale, MD
20737

Biotechnology Regulatory Services (BRS)

Hand Carry Label Guidance for Courtesy Permits (not subject to regulation under BRS' authority)

IMPORTING GENETICALLY ENGINEERED ORGANISMS NOT SUBJECT TO REGULATION UNDER BRS' AUTHORITY:


The enclosed courtesy permit # _____ authorizes you to receive imported organisms from foreign sources and includes 8 labels for you or your courier. This is a courtesy permit for importation of organisms modified through genetic engineering which are not subject to regulation under BRS' authority. The purpose of the courtesy permit is to facilitate the importation when the importation might otherwise be impeded because of the similarity of the organisms to other organisms that are regulated under BRS' authority. When you hand carry your organism in lieu of shipping, you must declare this material at Customs. You or the designated courier will be required to follow the directions below when meeting the inspecting officials at the U.S. Port of Entry:

1. Provide a copy of the courtesy permit.
2. The traveler must present his passport or other acceptable form of identification.
3. Package must be identified by the appropriate blue-and-white label (APHIS Form 2051).

Imports into the United States may require a phytosanitary certificate from the country of origin, a phytosanitary certificate of re-exportation (e.g. Ships from Africa to France, then France to the U.S.), a Plant Protection and Quarantine (PPQ) permit, and/or other certifying PPQ documents. Please call PPQ @ (877) 770-5990 for additional assistance in regards to their requirements if necessary or unknown.

For additional import labels, please process your request as follows:

- Request import labels via the ePermits system electronically for Notifications, Permits, & Courtesy Permits
 - <https://epermits.aphis.usda.gov/epermits>
- Request import labels via email for Notifications, Permits, & Courtesy Permits
 - BRSPermits@aphis.usda.gov
- Request import labels via telephone for Notifications
 - 301-734-8443
- Request import labels via telephone for Permits & Courtesy Permits
 - 301-734-0617



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FIGURE A-1-13: Applicant's Importation Instructions for Hand Carrying Non-regulated GE Organisms (page 1)

Example: Import Label (Hand Carry) for Genetically Engineered Organisms

This Package Contains OMB NO. 0579-0085

GENETICALLY ENGINEERED ORGANISMS
*DO NOT OPEN EXCEPT IN THE PRESENCE OF AN APHIS
INSPECTOR OR DESIGNATED REPRESENTATIVE OF USDA.*

DELIVER TO
U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

Label #4

Hand Carry Permit:
Name of Courier
Port of Entry

Expires
08/07/2003

APHIS FORM 2051 (JUN 2004)

PERMIT NO. **07-199-107n**

FIGURE A-1-14: Example of APHIS Form 2051, Blue and White Label for Importation of Genetically Engineered Organisms Not Under Permit into the United States (Hand Carried Non-Regulated Articles)

CBP Form 4613, Order to Destroy

DEPARTMENT OF HOMELAND SECURITY
 U.S. Customs and Border Protection

**ORDER TO DESTROY AND RECORD OF DESTRUCTION OF FORFEITED,
 ABANDONED, OR UNCLAIMED MERCHANDISE**

ORDER TO DESTROY	
Seizure or General Order No., Etc.	Quantity and Description of Merchandise
Method of Destruction	
Authorizing CBP Officer _____ X _____ Name Signature	Date
RECORD OF DESTRUCTION	
CBP Officer _____ X _____ Name Signature	Date
Witness to Destruction _____ X _____ Name Signature	
Witness to Destruction _____ X _____ Name Signature	
Location	Method of Destruction

CBP Form 4613 (09/04)

FIGURE A-1-15: Example of CBP Form 4613, Order to Destroy and Record of Destruction of Forfeited, Abandoned, or Unclaimed Merchandise

Purpose

CBP Form 4613 is used to record the destruction of seized property. The completion of a CBP Form 4613 for destroyed agricultural seizures is only necessary when a SEACATS case is initiated.

Instructions

The CBP Form 4613 is issued and signed by the Fines, Penalties and Forfeitures (FP & F) Officer or designee. In the passenger environment, the supervisor will serve as the designated authorizing CBP Officer. This form should include the FP & F case number, line item number, accurate description of the property, and accurate number/type/weight of packages. It will also state the method of destruction.

The officer destroying the merchandise, as well as at least one witness, **must** certify the completion of the destruction by signing this form. Following certification, the completed form will be returned to the issuing FP & F Officer. The FP & F Officer will retain the form in the corresponding FP & F case file.

In cases where a USDA approved hauler is employed to dispose of agricultural seizures, "Turned over to a USDA approved hauler" must be noted in the Method of Destruction section. No information should be noted in the Record of Destruction section. The respective receipt from the hauler must be attached to the CBP Form 4613 for submission to FP & F.

The FP & F Officer will be responsible for ensuring that SEACATS is updated with current information relating the destroyed merchandise.

Records of destruction can be consolidated: a single CBP Form 4613 can be used to record the destruction of more than one agricultural seizure if the same method of destruction is used. Port operations will dictate how many destructions are recorded per CBP Form 4613.

Distribution

Forward CBP Form 4613 to FP & F. Maintain a copy at the port.

CBP Form AI-89, Billing for Reimbursable Agricultural Inspection

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection Report of REIMBURSABLE AGRICULTURAL INSPECTION		1. COSS Work Ticket Number						
2. Name		3. Identification Number (19 CFR 24.5)						
Street address		4. Phone Number Ext.						
P.O. Box								
City	State	Zip	5. Port Code (5 digit)					
Airport and Airway Development Act of 1970 (AADA). 7 CFR 354.1 Overtime work at Border Ports, Sea Ports, and Airports.								
6. Place of Service: <input type="checkbox"/> Within Metropolitan Area <input type="checkbox"/> Outside Metropolitan Area								
7a. <input type="checkbox"/> AADA - Commercial <input type="checkbox"/> Non - AADA		7b. <input type="checkbox"/> Cargo <input type="checkbox"/> Aircraft <input type="checkbox"/> Passenger						
<input type="checkbox"/> AADA - Private (\$25 max.) <input type="checkbox"/> Military		<input type="checkbox"/> Crew						
Record quarter hours as 1 for 1/4 hr; 2 for 1/2 hr; 3 for 3/4 hr; and 0 for whole hours.								
8. Date of Service (mm/dd/yyyy)	9. CBP Entry Number or if informal entry, Airway Bill Number, Container Number or Tail Number	10. Overtime		11. Travel Time	12. Hours			
		In	Out		Reg.	Qtr.	Sun.	Qtr.
13. TOTAL HOURS REIMBURSABLE								
14. Certification: Reimbursable services recorded above have been received.								
Importer/Importer Representative's Name					Signature X			
15. Certification: I certify that services recorded above were performed and certify that I was ordered to report for duty and have so reported as requested by the above party or a representative of the party.								
CBP Agriculture Specialist's Name			Signature X		Date		Telephone Number	
16. Regular Tour of Duty:		Date:		(Use military time)				
				From		to		or <input type="checkbox"/> Day off
17. Remarks:								
18. (check if applicable) <input type="checkbox"/> Prorated			Submit completed form to: U.S. Customs and Border Protection Revenue Division Debt Management Branch Attn: Reimbursable Team 6650 Telecom Drive, Suite 100 Indianapolis, IN 46278			Distribution: Original - Revenue Division Copy 2 - Customer Copy 3 - Retain at Port		
Privacy Act Statement: This information is needed by CBP to respond to the requestor and initiate follow-up contact with the requestor if required. Requestors are advised that they do not have to furnish the information but failure to do so may prevent their request from being processed. The information requestors furnish is used to process and respond to their request.								

CBP Form AI-89 (03/07)

FIGURE A-1-16: Example of CBP Form AI-89, Billing for Reimbursable Agricultural Inspection

Purpose

CBP Form AI-89 serves the following purposes:

- ◆ Creates a port record of work performed outside normal duty hours when requested by industry
- ◆ Generates a receipt for the industry for billable hours and a dollar amount
- ◆ Creates a contract for the work performed
- ◆ Reimburses the Treasury for work performed by Agriculture Specialists

Instructions

INSTRUCTIONS FOR FILLING OUT CBP Form AI-89 Report of REIMBURSABLE AGRICULTURAL INSPECTION

- Block 1 - Enter the work ticket number provided by COSS; this will be the control number.
Inspectors can put more than one work ticket in COSS a day. They have to prorate the services between companies if there is more than one company involved.
- Block 2 - Use full legal name. Ensure that the address is the *proper billing address*.
- Block 3 - the identification number has been established in ACS. If not, have the company prepare a CBP Form 5106 and fax to Indianapolis on (317) 290-3275 to have a valid Identification number established. The CBP Form 5106 can be found on the CBP website at:
cbp.gov/xpl/cgov/toolbox/forms/
- Block 4 - Ensure that this is a valid phone number for the company.
- Block 5 - CBP 5-digit port code.
- Block 6 - Inspection services performed within the metropolitan area of employee's headquarters or inspection services performed outside the metropolitan area of employee's headquarters.
- Blocks
7 thru 18 - Self Explanatory

Completed forms should be sent to the following address:

U.S. Customs and Border Protection
Revenue Division
Debt Management Branch
Attn: Reimbursable Team
6650 Telecom Drive, Suite 100
Indianapolis, IN 46268

Phone number for assistance: (317) 614-4520
EMAIL address for assistance: reimbsvcs@dhs.gov

CBP Form AI-89 (03 07)

FIGURE A-1-17: Instructions for Filling Out CBP Form AI-89

Distribution

Send completed forms to this address:

Customs and Border Protection
Revenue Division
P.O. Box 68907
Indianapolis, IN 46268

Phone number for assistance: (317) 614-4520

EMAIL address for assistance: reimbsvcs@dhs.gov

CBP Form AI-212, Agriculture Inspection Hold

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection Agriculture Inspection HOLD			1. CARRIER		2. VOYAGE NO.	
			3. DATE ARRIVED		4. DOCK/LOCATION	
			5. DATE ACTIONS COMPLETED		6. OFFICER	
7. MARK/RANGE CONTAINER NO.	8. QUANTITY	9. COMMODITY/COUNTRY OF ORIGIN	10. SHIPPER/IMPORTER	11. ACTION/FINAL DISPOSITION	12. DATE	
S A M P L E						
REMARKS:						

CBP Form AI-212 (09/05)

FIGURE A-1-18: Example of CBP Form AI-212, Agriculture Inspection Hold

Purpose

CBP Form AI-212 is used to record cargo held or cargo that is of agricultural interest. It also serves as a warning, hold, information, and clearance document when stapled or attached to the front of manifests or other cargo listings used by CBP in releasing shipments. Use of CBP Form AI-212 is optional and is intended for local port use as a worksheet and port record.

Instructions

Information needed for completion will vary from port to port depending on the information needed at each port. Fill in the information as required by local port.

TABLE A-1-2: Instructions for Completing CBP Form AI-212, Cargo Hold and Record

Block	Instructions
1-12	Fill in as required by local port practice

Distribution

Distribute as determined by local practice.

CBP Form AI-244, Quarantine Warning

DEPARTMENT OF HOMELAND SECURITY
U.S. Customs and Border Protection

WARNING!

This material is being held in

QUARANTINE

DO NOT OPEN, DESTROY OR REMOVE

SEALED COMPARTMENTS, CONTAINERS, OR MATERIAL MUST REMAIN SEALED WHILE WITHIN THE UNITED STATES AND ITS TERRITORIAL WATERS.

CBP FORM AI-244 (09/05)

WARNING: Not for US Commerce, In case of emergency,
contact the local DHS, CBP, AI office at:

CBP FORM AI-244 (09/05)

FIGURE A-1-19: Example of CBP Form AI-244, Quarantine Warning

Purpose

CBP form AI-244 serves the following purpose:

In addition to the yellow DHS, CBP, Agricultural Quarantine tape, this tag can be affixed to boxes, crates, and container doors to clearly show that a shipment is under DHS, CBP, Agricultural Quarantine.

CBP Form AI-250, Aircraft Clearance or Safeguard Order

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection AIRCRAFT CLEARANCE OR SAFEGUARD ORDER	1. AIRCRAFT NO.	2. TRIP/FLIGHT NO.	3. NAME OF CARRIER
	4. FOREIGN ORIGIN <i>(When applicable)</i>		5. PLACE OF DEPARTURE <i>(U.S.)</i>
	6. DESTINATION AIRPORT OR AIR BASE <i>(U.S.)</i>		
THE ABOVE AIRCRAFT HAS BEEN INSPECTED AND – 7. <input type="checkbox"/> COMPLETELY CLEARED <i>(Including all baggage, personal effects stores, garbage, and cargo.)</i>			
8. <input type="checkbox"/> PARTIALLY CLEARED <i>(Exceptions and safeguard conditions noted in item 11 below.)</i>			
9. SIGNATURE OF CBP INSPECTOR		10. DATE	
11. EXCEPTIONS AND SAFEGUARD CONDITIONS		15. FINAL DISPOSITION ACTION	
I AGREE TO SEE THAT THE CONDITIONS IN ITEM 11 ARE CARRIED OUT. 12. SIGNATURE OF AIRCRAFT COMMANDER		13. DATE	
16. SIGNATURE OF CBP INSPECTOR		17. DATE	
AFTER FINAL DISPOSITION ACTION RETURN TO:	14. NAME AND ADDRESS OF ORIGINATING OFFICE		

CBP Form AI-250 (09/05)

FIGURE A-1-20: Example of CBP Form AI-250, Aircraft Clearance or Safeguard Order

Purpose

CBP Form AI-250 is used as a Safeguard Order for flights that are partially cleared, **not** regularly scheduled, and proceed beyond the first airport for clearance elsewhere in the United States.

Flights that are regularly scheduled for partial clearance **do not** require CBP Form AI-250.



For preclearance of flights from Hawaii, Puerto Rico, the U.S. Virgin Islands, use **PPQ Form 250, Aircraft Clearance or Safeguard Order** on **page A-1-72**.

Locator for Instructions for Completing CBP Form AI-250

Two sets of instructions follow. See [Table A-1-3](#) below to determine which instructions to use.

TABLE A-1-3: Determine Instructions to Use for Completing CBP Form AI-250, Aircraft Clearance or Safeguard Order

If you are using CBP Form AI-250 for:	Then:
Military Use	See Instructions for Using CBP Form AI-250 as a Safeguard Order for Military Use on page A-1-37
Commercial Use	See Instructions for Using CBP Form AI-250 as a Safeguard Order for Commercial Use on page A-1-38



After action has been taken, return CBP Form AI-250 to the originating office entered in *Block 17*.

Instructions for Using CBP Form AI-250 as a Safeguard Order for Military Use

These instructions are for using CBP Form AI-250 as a Safeguard Order for Military Use. If you partially clear an aircraft and it is **not** a regularly scheduled flight, then you will need to complete CBP Form AI-250.

Ask the military operations authorities to:

- ◆ Identify and include in the load (departure) message the type of quarantine actions that are to be completed at the destination base
- ◆ Telephone the CBP Agriculture Specialist or cooperator to inform him/her of the task to be completed upon aircraft arrival
- ◆ Emergency telephone calls should be made to the CBP office serving the destination base rather than calling the cooperator at those bases **not** covered by CBP

When using CBP Form AI-250 as a Safeguard Order for Military Use, prepare form in **triplicate**. See [Table A-1-4](#) on [page A-1-38](#) for instructions on completing the form.

TABLE A-1-4: Instructions for Completing CBP Form AI-250, Aircraft Clearance and Safeguard Order, When Using as Safeguard Order for Military Use

Block	Instructions
1-6	Fill in
7	Leave blank
8	Check <i>Partially Cleared</i> block
9	Fill in
10	Fill in
11	<ul style="list-style-type: none"> ◆ Describe the clearance activities and safeguards that you have completed ◆ Fill in the tasks that are to be completed at the subsequent airport, e.g., foreign garbage to be properly disposed of
12-13	Have aircraft commander sign and date all copies
14	Fill in
15-17	Leave blank (These blocks are to be completed by the CBP Agriculture Specialist or cooperators who complete the aircraft clearance)

Distribution of CBP Form AI-250, Safeguard Order for Military Use

When using CBP Form AI-250 as a Safeguard Order for Military Use, distribute as follows:

1. Give the original to the aircraft commander and instruct the commander to present the form to the CBP Agriculture Specialist or military cooperator upon arrival at the destination base.
2. Send one copy AIRMAIL or FAX to the CBP office serving the base.
3. Keep one copy for port files.

Instructions for Using CBP Form AI-250 as a Safeguard Order for Commercial Use

If you partially clear an aircraft and it is **not** a regularly scheduled flight, and when using CBP Form AI-250 as a Safeguard Order for Commercial Use, follow the instructions in [Table A-1-5](#) on [page A-1-39](#).

TABLE A-1-5: Instructions for Completing CBP Form AI-250, Aircraft Clearance or Safeguard Order, When Using as a Safeguard Order for Commercial Use on Flights Not Regularly Scheduled or Private Aircraft Arriving from Foreign Destinations

Block	Instructions
1-6	Fill in
7	Leave blank
8	Check <i>Partially Cleared</i> block
9	Fill in
10	Fill in
11	Fill in the tasks that are to be completed at the subsequent airport, e.g., foreign garbage to be properly disposed of
12-13	Have aircraft commander sign and date all copies
14	Fill in
14-17	Leave blank (these blocks are to be completed by the CBP Agriculture Specialist or cooperators who complete the aircraft clearance)

Distribution of CBP Form AI-250, Safeguard Order for Commercial Use

When used as a safeguard order for commercial use on flights **not** regularly scheduled or private aircraft arriving from foreign destinations, distribute CBP Form AI-250 as follows:

1. Give the original to aircraft commander and instruct the commander to present the form to the CBP Agriculture Specialist on arrival at the final destination airport.
2. Keep a copy for the port files.
3. Telephone next port.

CBP Form AI-277, Agriculture Inspection Baggage Information

DEPARTMENT OF HOMELAND SECURITY
 U.S. Customs and Border Protection

AGRICULTURE INSPECTION BAGGAGE INFORMATION

Location: _____ Date: _____

	a. Airline/ Flight No.	b. Positive Inspections	SEIZURES										j. Clean and Disinfect Shoes	k. Total Secondary Inspections			
			c. Plant Material	d. Ruminant Count	d. Weight	e. Swine Count	e. Weight	f. Poultry Count	f. Weight	g. Animal By Product Count	g. Weight	h. Dairy Product Count			h. Weight	i. Equine Product Count	i. Weight
1																	
2																	
3																	
4																	
5																	
6																	
7																	
8																	
9																	
10																	
11																	
12																	
13																	
14																	
15																	

CBP Form AI-277 (03/06)

FIGURE A-1-21: Example of CBP Form AI-277, Agriculture Inspection Baggage Information

Purpose

CBP Form AI-277 is used as an officer’s daily tally card to record the number of referrals and quarantine actions taken on passenger/crew baggage at airports.

Instructions

Follow the instructions for recording daily baggage information in **Table A-1-6**.

TABLE A-1-6: Instructions for Completing CBP Form AI-277, Agriculture Inspection Baggage Information

Column	Instructions
a. Airline/Flight No.	Fill in flight information
b. Positive Inspections	Enter one tick mark for each referral that produces one or more seizures
c. Plant Material	Enter one tick mark for each type of plant material seized during an inspection
d. Ruminant (count/weight)	Enter one tick mark for each ruminant seized and the weight in the adjacent column during an inspection
e. Swine (count/weight)	Enter one tick mark for each swine seized and the weight in the adjacent column during an inspection
f. Poultry (count/weight)	Enter one tick mark for each poultry seized and the weight in the adjacent column during an inspection
g. Animal Byproduct (count/weight)	Enter one tick mark for each type of animal byproduct seized and the weight in the adjacent column during an inspection
h. Dairy Product (count/weight)	Enter one tick mark for each type of dairy product seized and the weight in the adjacent column during an inspection
i. Equine Product (count/weight)	Enter one tick mark for each type of equine product seized and the weight in the adjacent column during an inspection
j. Clean and Disinfect Shoes	Enter one tick mark for each time that you clean and disinfect a pair of shoes
k. Total Secondary Inspections	Count the number of Customs Declaration Cards for passengers inspected by or referred to Ag Secondary

Distribution

CBP Form AI-277 does **not** have to be distributed since the information is for port use.

Retention

CBP Form AI-277 does **not** need to be retained unless it is local practice.

CBP Form AI-280, Report of Regulated Importations

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection REPORT OF REGULATED IMPORTATIONS			Month/Year Covered	Port	Page ____ of ____							
Check If Negative Report <input type="checkbox"/>												
Check Appropriate Activity: <input type="checkbox"/> Maritime <input type="checkbox"/> Airport <input type="checkbox"/> Land Border												
A. Commodity and Country of Origin (If frozen, so state)	B. Number Of Shipments	C. Kilograms/ Stem Counts/ Plant Units	Disposition (Check Only One)									M. Remarks
			Treated				Refused					
			D.	E.	F.	G.	H.	I.	J.	K.	L.	
			Inspected & Released	T & E or DE	Fumigated	Other	Pre-Cleared	Departmental Permit	Destroyed	IE or T & E	Returned	
CBP/AI Officer's Name		Signature ✕									Date	

CBP Form AI 280 (09/05)

FIGURE A-1-22: Example of CBP Form AI-280, Report of Regulated Importations

Purpose

CBP Form AI-280 is equivalent to PPQ Form 280, which is web based.

Instructions

For instructions on completing CBP Form AI-280, refer to PPQ Form 280, which can be found in Agricultural Quarantine Activity Systems <https://mokcs14.aphis.usda.gov/aqas/login.jsp>.

CBP Form AI-288, Ship Inspection Report

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection								
SHIP INSPECTION REPORT								
1. PORT REPORTING		2. FLAG/NAME OF VESSEL						
4. FROM (<i>Port and Country</i>)		3. DOCK						
5. VIA								
6. ARRIVAL DATE	7. ARRIVAL TIME ETA ACTUAL	8. INSPECTION DATE						
9. INSPECTION TIME FROM TO								
10. NUMBER PASSENGERS AND CREW CLEARED	11. NUMBER PIECES OF BAGGAGE	12. PROPOSED DEPARTURE DATE						
PROHIBITED AND/OR RESTRICTED AGRICULTURAL MATERIALS								
13. COMMODITY	14. LOCATION	15. COUNTRY OF ORIGIN						
16. SAFEGUARD AND/OR DISPOSITION PRESCRIBED								
<p>SAFEGUARD NOTICE: While this vessel is in the territorial limits of the United States, no crew member or other person shall remove any of the following items except by specific permission of an Agricultural Officer: (1) fruits, vegetables, meats, or other animal products; (2) live plants; (3) live birds; (4) hay, straw, rice hulls, hold sweepings or dunnage; (5) garbage from food materials including rootcrop bags, meat wrappers, or other food containers. GARBAGE MUST BE KEPT IN COVERED, LEAKPROOF CONTAINERS INSIDE THE VESSEL'S RAILINGS AT ALL TIMES.</p> <p>If any agricultural items are sealed, the seals are not to be broken or removed while this vessel is within territorial limits of the United States except under direct of a Customs and Border Protection – Agriculture Inspection Officer.</p> <p>WARNING NOTICE: Violations of the above requirements can result in criminal fines in accordance with Title 18, United States Code and imprisonment for up to one year, or both, or civil penalties of up to \$250,000 per violation.</p>								
<p>17. <i>I fully understand the safeguards prescribed above.</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>SIGNATURE OF RESPONSIBLE SHIP'S OFFICER</td> <td>TITLE</td> <td>DATE</td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </table>			SIGNATURE OF RESPONSIBLE SHIP'S OFFICER	TITLE	DATE			
SIGNATURE OF RESPONSIBLE SHIP'S OFFICER	TITLE	DATE						
<p>18. CONDITION OF GARBAGE CONTAINERS WHEN INSPECTED</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>COVERED <input type="checkbox"/> YES <input type="checkbox"/> NO</td> <td>INSIDE RAILING <input type="checkbox"/> YES <input type="checkbox"/> NO</td> <td>LEAKPROOF <input type="checkbox"/> YES <input type="checkbox"/> NO</td> </tr> </table>		COVERED <input type="checkbox"/> YES <input type="checkbox"/> NO	INSIDE RAILING <input type="checkbox"/> YES <input type="checkbox"/> NO	LEAKPROOF <input type="checkbox"/> YES <input type="checkbox"/> NO	<p>DEFICIENT CONDITION CORRECTED <input type="checkbox"/> YES <input type="checkbox"/> NO</p>			
COVERED <input type="checkbox"/> YES <input type="checkbox"/> NO	INSIDE RAILING <input type="checkbox"/> YES <input type="checkbox"/> NO	LEAKPROOF <input type="checkbox"/> YES <input type="checkbox"/> NO						
<p>19. SHIP AREAS NOT INSPECTED</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td><input type="checkbox"/> QUARTERS</td> <td rowspan="3">HOLDS INSPECTED (<i>identify</i>)</td> </tr> <tr> <td><input type="checkbox"/> DRY STORES</td> </tr> <tr> <td><input type="checkbox"/> PANTRY</td> </tr> </table>		<input type="checkbox"/> QUARTERS	HOLDS INSPECTED (<i>identify</i>)	<input type="checkbox"/> DRY STORES	<input type="checkbox"/> PANTRY	<p>20. LIVE ANIMALS/BIRDS ABOARD <input type="checkbox"/> YES <input type="checkbox"/> NO TYPE: _____ NUMBER: _____</p>		
<input type="checkbox"/> QUARTERS	HOLDS INSPECTED (<i>identify</i>)							
<input type="checkbox"/> DRY STORES								
<input type="checkbox"/> PANTRY								
APHIS MARPOL ANNEX V COMPLIANCE CHECKLIST								
<p>THE FOLLOWING OBSERVATIONS WERE MADE BY CBP-AI PERSONNEL AFTER INSPECTING VESSEL'S WASTE HANDLING PROCEDURES AND EQUIPMENT:</p>								
<p>21. <input type="checkbox"/> YES <input type="checkbox"/> NO THERE IS A FUNCTIONAL INCINERATOR OR OTHER DISPOSAL METHOD ABOARD.</p>								
<p>22. <input type="checkbox"/> YES <input type="checkbox"/> NO THE RESPONSIBLE VESSEL REPRESENTATIVE WAS REQUESTED TO SHOW, AND DID PRODUCE A GARBAGE PICKUP RECEIPT OR OTHER EVIDENCE OF LAWFUL DISPOSAL OF PLASTICS ASHORE.</p>		TITLE OF REPRESENTATIVE						
<p>ALERT: REPORT THE PRESENCE OF HONEY BEES (<i>swarms or individual bees</i>) TO THE NEAREST AGRICULTURAL OFFICER. TELEPHONE _____</p>								
<p>23. REMARKS</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div>								
24. SUBSEQUENT PORTS OF CALL (<i>Notified</i>)	25. NUMBER PASSENGERS	26. CBP OFFICER'S SIGNATURE						

CBP FORM AI-288 (09/05)

FIGURE A-1-23: Example of CBP Form AI-288, Ship Inspection Report

Purpose

CBP Form AI-288 serves the following purposes:

- ◆ Port record of the ship inspection
- ◆ Order to the Captain or other responsible ship's officer to take or observe designated safeguards and documented agreement to those safeguards
- ◆ Means of notifying subsequent ports of observations made and disposition actions taken during ship boarding
- ◆ Means to document the agreement to safeguard restricted items and garbage, or materials under seal while in U.S. territorial waters during the voyage
- ◆ Warning notice on the vessel when khapra beetle suspects are found
- ◆ Evidence for a garbage violation case

Instructions

To complete this form, follow the instructions in [Table A-1-7](#).

TABLE A-1-7: Instructions for Completing CBP Form AI-288, Ship Inspection Report

Block	Instructions
1	List the name of the city and State of your port
2	List the flag (country of registry) and name of vessel (two-letter PINET code/ name of vessel)
3	List the dock
4	List the country of origin
5	Fill in
6	List the date of arrival
7	List the estimated time of arrival (ETA) and the actual time of arrival
8	List the date of inspection
9	List the beginning and ending time of ship boarding
10-11	List the number of passengers disembarking at your port and the number of pieces of baggage; if none, enter 0
12	List the proposed date of departure (important for planning any future reboardings and/or to give the next port advanced notice)
13	<ul style="list-style-type: none"> ◆ List the names and quantities (in kilos) of commodities (meats, animal products, fruits, and vegetables) that are restricted or prohibited ◆ DO NOT list fruits and vegetables which are listed in the <i>Fruits and Vegetables Manual</i> as enterable unless treatment is a condition of entry or inspection discloses a pest risk requiring a specific safeguard or disposition
14	<ul style="list-style-type: none"> ◆ List location by using the following letters: B for baggage, Q for quarters, S for stores, and F for ship's furnishings ◆ Write the number of interceptions after the letter for material intercepted and destroyed, such as "B-3" for three interceptions in baggage

TABLE A-1-7: Instructions for Completing CBP Form AI-288, Ship Inspection Report (continued)



Block	Instructions
15	List the country of origin for each commodity
16	<p>Fill in a statement to be used for safeguard and/or disposition prescribed, as follows:</p> <ul style="list-style-type: none"> ◆ Enter "To remain under seal while in territorial waters of the United States." for items such as fruit fly hosts and meat or meat products which require sealing, or for a garbage violation ◆ Enter other appropriate statements, such as: <ul style="list-style-type: none"> ❖ May be used while in port ❖ To remain under seal pending treatment ❖ Destroyed ❖ See <i>Remarks</i>
17	Have the Captain or highest officer aboard the vessel read the Safeguard Notice, sign, list title, and enter the date signed
18	Check yes or no to indicate whether garbage containers are covered, inside railing, and leakproof
19	<ul style="list-style-type: none"> ◆ Check any ship areas that were not inspected ◆ If holds were inspected, then list
20	<ul style="list-style-type: none"> ◆ Check as appropriate ◆ If any live animals or birds are aboard, then list the type and number of regulated animals only; do not list cats or dogs
21	<p>If there is a functional incinerator or other disposal method aboard, check YES; if not, check NO</p> <div style="display: flex; align-items: center; margin-top: 20px;">  <div style="margin-left: 10px;"> <p>The following checks in <i>Block 21</i> and <i>Block 22</i> constitute a violation of MARPOL Annex V:</p> <p>21) No</p> <p>22) No</p> </div> </div>
22	<p>Check YES or NO as appropriate and list the title of the ship's representative</p> <div style="display: flex; align-items: center; margin-top: 20px;">  <div style="margin-left: 10px;"> <p>The following checks in <i>Blocks 21</i> and <i>Block 22</i> constitute a violation of MARPOL Annex V:</p> <p>23) No</p> <p>24) No</p> </div> </div>

TABLE A-1-7: Instructions for Completing CBP Form AI-288, Ship Inspection Report (continued)

Block	Instructions
23	<p>List any additional information or supplemental data as appropriate, such as the following:</p> <ul style="list-style-type: none"> ◆ If crew member informs you that plastics were dumped at sea, then write the crew member's statement and have crew member sign ◆ Reference if fumigation was voluntary, i.e., carrier choice as alternate to waiting for pest identity confirmation ◆ Reference to cargo that CBP at next port of call should know about ◆ Reference to giving a copy to Master or other officer ◆ Warning notice ◆ Dry stores fumigated ◆ Enter number and types of seals applied, serial numbers, and exact locations of seals; e.g., "USDA Tyden seal #4967 on cage locker inside the vegetable reefer" ◆ Indicate when a ship that sailed foreign without fumigation returns with an acceptable foreign fumigation certificate ◆ Enter a dollar sign (\$) if you have assessed and collected a spot settlement for a garbage violation and state the nature of the violation and the amount of penalty ◆ If a pet bird is aboard the vessel, write the following statement and get the Captain's signature: "I agree to keep the bird(s) caged or tethered and kept in a ship's cabin while in U.S. territorial waters." [<i>Captain's Signature</i>] ◆ If the vessel arrived from or transited a country known to have Africanized honeybees, write the following statement: "If live bees are sighted on the ship or a container, then call a CBP Agriculture Specialist at [<i>Port telephone number</i>]."
24	List any subsequent ports of call
25	Record the number of passengers
26	CBP Officer signs

Instructions for Completing CBP Form AI-288 When Using for Documenting Monitoring Activities

When CBP Form AI-288 is used for documenting monitoring activities, then follow the instructions in [Table A-1-8](#).

TABLE A-1-8: Instructions for Completing CBP Form AI-288, When Using for Documenting Monitoring Activities

Block	Instructions
1-3	Fill in
4-7	Leave blank
8-9	Fill in
10-17	Leave blank
18	Fill in
19-22	Leave blank
23	Fill in
24-26	Leave blank

Distribution

Distribute CBP Form AI-288 as follows:

- ◆ Keep the original for the port file
- ◆ Give one copy to Master or other ship officer
- ◆ If requested, give one copy to shipping agent when garbage violation is issued
- ◆ Send one copy to the CBP office at subsequent port when **any** of the following conditions apply:
 - ❖ Stores are sealed
 - ❖ Pest risk is significant
 - ❖ Vessel has a garbage violation
 - ❖ Cargo of CBP interest is to be discharged
 - ❖ PPQ Form 301-R, Remedial Measures Billing (Statement of Services)



The information recorded on this form is important to collect and a useful mechanism to track activities to transfer the results to the Activities Report: AQAS systems/WADS.

CBP Form AI-523A, Chain of Custody

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection		CHAIN OF CUSTODY EMERGENCY ACTION NOTIFICATION		Serial Number:
1. Port Location:		2. Date Issued:		
3. Name and Quantity of Article(s):		4. Location of Article(s):		
		5. Destination of Article(s):		
6. Shipper:		7. Name of Carrier:		
		8. Shipment ID Number(s):		
9. Owner/Consignee of Article(s) Name:		10. Port of Lading:	11. Date of Arrival:	
		12. ID of Pest(s), Noxious Weeds, or Article(s)		
Address:		12a. Pest ID Number:	12b. Date Intercepted:	
		13. Country of Origin:	14. Grower Number:	
Phone Number:	FAX Number:	15. Foreign Phytosanitary Certificate Number:		
15a. Place Issued:	15b. Date:	15c. Situation Room Report Number:		
<p>Under Section 411, 412 and 414 of the Plant Protection Act (7 USC 7711, 7712 and 7714) and Sections 10404 through 10407 of the Animal Health Protection Act (7 USC 8303 through 8306), you are hereby notified, as owner or agent of the owner of said carrier, premises, and/or articles, to apply remedial measures for the pest(s), noxious weeds, and/or article(s) specified in item 12, in a manner satisfactory to and under the supervision of an CBP Agriculture Specialist. Remedial measures shall be in accordance within the action specified in item 16 and shall be completed within the time specified in item 17*.</p> <p>After receipt of this notification, articles and/or carriers herein designated must be moved except as directed by an Agriculture Officer. The local officer may be contacted at:</p>				
16. Action Required: <input type="checkbox"/> Treatment <input type="checkbox"/> Destruction <input type="checkbox"/> Re-Exportation <input type="checkbox"/> Other		*Should the owner or owner's agent fail to comply with this order within the time specified below, DHS is authorized to recover from the owner or agent cost of any care, handling, application of remedial measures, disposal, or other action incurred in connection with the remedial action, destruction, or removal.		
17. After receipt of this notification complete specified action within (specify number of hours or number of days): Hours: Days:				
Agriculture Specialist Name:		Agriculture Specialist Signature:		
ACKNOWLEDGEMENT OF RECEIPT OF EMERGENCY ACTION NOTIFICATION				
<i>I hereby acknowledge receipt of the foregoing notification.</i>				
Name:	Title (Shipper/Broker/Consignee)	Signature:	Date/Time:	
Name:	USDA	Signature:	Date/Time:	

CBP Form AI-523A (04/06)

FIGURE A-1-24: Example of CBP Form AI-523A, Chain of Custody

Purpose

CBP Form AI-523A will be used in the event that a shipment must change custody from CBP to PPQ. This form is not a replacement for an EAN, and it may be necessary to issue both an EAN and Chain of Custody. See [Table A-1-9](#) below.

TABLE A-1-9: Determine Which Form(s) to Issue

If a shipment:	Then Issue:
Requires emergency action and the shipment will change custody from CBP to PPQ	<ul style="list-style-type: none"> ◆ PPQ 523 (Emergency Action Notification) ◆ CBP AI 523A (Chain of Custody)
Requires a precautionary/condition of entry treatment and the shipment will change custody from CBP to PPQ	<ul style="list-style-type: none"> ◆ CBP AI 523A (Chain of Custody)
Must be transferred from CBP to a USDA Plant Inspection Station for inspection by PPQ	<ul style="list-style-type: none"> ◆ CBP AI 523A (Chain of Custody)

CBP Form AI-523A will then have the following functions:

- ◆ Create a record of transfer of a shipment from the custody of CBP to the custody of PPQ for action (either treatment or destruction)
- ◆ Create a record of transfer of a shipment from the custody of CBP to the custody of a PPQ Plant Inspection Station for further inspection by PPQ

Instructions

Use the instructions in [Table A-1-10](#) for completing this form. If completing this form in conjunction with an Emergency Action Notification, use the exact information that appears on the EAN.

TABLE A-1-10: Instructions for Completing CBP Form AI-523A

Block	Instructions
Serial Number	Write the serial number from the Emergency Action Notification (PPQ Form 523) If the 523A is created and a 523 is not created, enter the reason for the transfer. For example, if the shipment is being transferred for a precautionary/condition of entry treatment, enter "Precautionary." If the transfer is for inspection at a Plant Inspection Station, enter "PIS."
1.	Enter the port location as found in the AQAS system as well as the port number
2.	Enter the date the CBP Form AI-523A was issued
3.	Enter the name and quantity of manifested articles as described in the AQAS system
4.	Enter the location where the articles were inspected
5.	Enter the location where the shipment is being transferred, for example, the fumigation site or destruction site
6.	Enter the name and address of the shipper

TABLE A-1-10: Instructions for Completing CBP Form AI-523A

Block	Instructions
7.	Enter the entire name of the carrier with no abbreviations
8.	Enter the shipment ID numbers and a description of the number. For example, if a user enters FRE-0293847-1 then also enter Custom's Entry Number as a description.
9.	Enter the name, address, phone, and fax number of the owner/consignee
10.	Enter port of lading
11.	Enter date of arrival
12.	Enter reason for transfer. This will either be "Precautionary," "PIS," or the reason listed in Block 12 of the accompanying EAN.
12a.	Enter Pest ID number if appropriate
12b.	Enter date that the reason for transfer was discovered
13.	Enter the country of origin of the article(s)
14.	Enter the grower number
15.	Enter the phytosanitary certificate information
15a.	Enter the place where the foreign phytosanitary certificate was issued
15b.	Enter the date the foreign phytosanitary certificate was issued
15c.	Enter the Situation Room Report Number
16.	Check the action that has been selected by the responsible party (broker, importer, consignee, etc.), if applicable
17.	Enter the amount of time allowed before the shipment must move to the site of action
Acknowledgment of Receipt of Emergency Action Notification section ¹	<p>The person accepting the form (i.e. truck driver, warehouse manager, broker, etc.) must print his/her name, sign, and date the form so that a Customs and Border Protection (CBP) Agriculture Specialist can authorize the shipment to proceed.</p> <p>The CBP Agriculture Specialist will send a hard, signed copy of the completed 523A with the other documentation accompanying the shipment to the transfer site. The USDA Plant Health Specialist will sign the Chain of Custody and send it via facsimile back to the indicated CBP location. The PPQ units will fax the 523A forms back to CBP AI at the end of every shift.</p>

¹ This will not be used for transfer to PIS.

Keep a hard copy of the CBP Form AI-523A at the Port of Entry for three years.

CBP Form AI-591, Notice of Alleged Violation

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection				Serial Number 	
NOTICE OF ALLEGED VIOLATION					
TYPE OF VIOLATOR: <input type="checkbox"/> PASSENGER <input type="checkbox"/> CREW <input type="checkbox"/> DECAL <input type="checkbox"/> SERVICE PERSONNEL					
SECTION I – FOR USE BY DEPARTMENT OF HOMELAND SECURITY – U.S. CUSTOMS AND BORDER PROTECTION					
1. PORT LOCATION	2. DATE ISSUED	3. TIME ISSUED	4. CARRIER (<i>Name and ID</i>)	5. ARRIVING/DEPARTING FROM	
6. REGULATION VIOLATED			7. IDENTIFICATION NUMBER		
8. NAME OF ALLEGED VIOLATOR (<i>Last name first</i>)			<input type="checkbox"/> SOCIAL SECURITY NUMBER _____ <input type="checkbox"/> DATE OF BIRTH _____ <input type="checkbox"/> PASSPORT NO./COUNTRY _____ <input type="checkbox"/> OTHER _____ (<i>Obtain copies of identifying documents</i>)		
			REPEAT VIOLATOR <input type="checkbox"/>		
9. ADDRESSES (<i>include zip for U.S. addresses</i>) AND TELEPHONE NO.(S)			10. MATERIAL SEIZED		
PERMANENT		WHILE IN THE U.S.		a. QUANTITY AND NAME OF ARTICLES	
				b. COUNTRY OF ORIGIN	
11. DECLARATION OF MATERIAL SEIZED		11a. GIVEN OPPORTUNITY TO AMEND			
<input type="checkbox"/> WRITTEN <input type="checkbox"/> ORAL <input type="checkbox"/> NO DECLARATION		<input type="checkbox"/> YES <input type="checkbox"/> NO			
12. EVIDENCE JUSTIFYING SEIZURE OF MATERIAL (<i>i.e., labels on material, passenger remarks</i>). IF CASE IS FORWARDED, OFFICER'S STATEMENT MUST BE ATTACHED.					
SAMPLE					
13. SIGNATURE OF OFFICER			14. BADGE NO.		15. DATE
SECTION II – ALLEGED VIOLATOR (<i>Please read Section I and Section II. If you agree to waive hearing and pay the penalty, sign and date below.</i>)					
<p>The Plant Protection Act (7 U.S.C. 7734) authorizes the Secretary of Agriculture to assess a civil penalty not exceeding \$50,000 against any individual who violates the Plant Protection Act and any regulations promulgated thereunder, after notice and an opportunity for hearing on the record. Section 3 of the Act of February 2, 1903 (21 U.S.C. 122) authorizes the Secretary of Agriculture to assess a civil penalty not exceeding \$5,000 against any person, company, or corporation who knowingly violates the provisions of the Act or any regulations promulgated thereunder, after notice and an opportunity for hearing on record.</p> <p>You may waive hearing and agree to pay a specified civil penalty in settlement of this matter. If you do not wish to pay a specified civil penalty in settlement of this matter and to waive hearing, a complaint will be issued charging you with the above violation and affording you an opportunity for a hearing. However, the civil penalty offered to settle this matter at this time shall not be relevant in any respect to the civil penalty which may be assessed after a hearing.</p> <p>I acknowledge that I have an opportunity for a hearing and waive such hearing; and as a civil penalty in full settlement of this matter, I agree to pay the sum of \$ _____.</p>					
SIGNATURE				DATE	
SECTION III – FOR USE BY U.S. CUSTOMS AND BORDER PROTECTION					
AMOUNT RECEIVED	SIGNATURE OF CASHIER			DATE	
\$					

CBP Form AI-591(09/05)

FIGURE A-1-25: Example of CBP Form AI-591, Notice of Alleged Violation

Purpose

CBP Form AI-591, Notice of Alleged Violation, is used to assess the following:

- ◆ Civil penalties for passengers and crew who attempt to smuggle prohibited or restricted agricultural items in their baggage after failing to declare the items
- ◆ Civil penalties for crew and service personnel who remove regulated articles contrary to regulations, only if service employee works for a company with no compliance agreement
- ◆ Civil penalties for persons who violate the commuter decal lane (DCL)

Complete this form for violators under 18 **not** accompanied by an adult and for foreign diplomats holding A-1 or A-2 visas even though the violation is waived for this category of violators only.



You must record all agricultural violations on the appropriate form. Failure to do this makes documenting the violation difficult. You must inform alleged violators that they have an opportunity for a hearing and that by signing Section II they agree to waive the hearing and pay the penalty.



Funds received from civil penalties assessed for violation of the Plant Protection Act and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are not controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. Accept only a postal money order, a company check, or a certified check drawn on a U.S. bank and made payable to "Treasury of the United States." If you have any questions, contact QPAS at 301-734-8295.

Instructions

Use the instructions in **Table A-1-11** for completing this form.

TABLE A-1-11: Instructions for Completing CBP Form AI-591, Notice of Alleged Violation

Block	Instructions
Type of Violator	Check the appropriate box at the top of the form. "Passenger" refers to passengers or pedestrians; "Decal" refers to the vehicle decal program on land borders (if the violation is for the decal lane (DCL), then list the decal number or other appropriate information in Block 12); "Crew" refers to persons employed by the owner of the carrier; "Service Personnel" refers to personnel servicing the carrier (caterers or garbage haulers).
Section I	Complete as directed below
1	Fill in
2	Enter date
3	Fill in
4	<ul style="list-style-type: none"> ◆ Enter the name of the airline (do not abbreviate) ◆ Enter the flight number of airplane
5	Enter the name of the last foreign country of departure
6	<ul style="list-style-type: none"> ◆ Enter the CFR(s) that the passenger has violated; be sure to cite the appropriate title, part, and subpart ❖ Animal products—cite the title and part violated (Example: Yams, 7CFR 319.56 and 9CFR 94) ❖ If you do not know the animal regulation, contact a HQ, PPQ, VMO in PPQ, VRS
7	<ol style="list-style-type: none"> 1. Examine available document (passport, Social Security card, birth certificate, etc.) 2. Enter identification number (passport number/country, Social Security number, date of birth or other)
8	<ol style="list-style-type: none"> 1. Examine all available documents (passport, airline ticket) 2. Fill in as complete a name as possible 3. Check the box if the person is a repeat violator
9	<ol style="list-style-type: none"> 1. List the permanent address, include zip code 2. If the permanent address is not in the U.S., then also list the address under the block <i>While in the United States</i>; include zip code
10a	<ul style="list-style-type: none"> ◆ Enter the amount in either kilos or number of items seized ◆ Enter the item for which the civil penalty is being imposed ❖ Enter the common name ❖ If plant material, enter the scientific name
10b	List the name of the country of origin (if known)
11	Check the appropriate box; you can not assess a civil penalty if the material was declared
11a	Check the appropriate box; you can not assess a civil penalty if the passenger did not have an opportunity to amend

TABLE A-1-11: Instructions for Completing CBP Form AI-591, Notice of Alleged Violation (continued)

Block	Instructions								
12	<p>Use this block to explain briefly the information that is not contained in other sections of the form when one of the following applies:</p> <ul style="list-style-type: none"> ◆ If the item was concealed or misrepresented, explain how ◆ If an interpreter was used to obtain the declaration or to interview, list the name and title of the interpreter ◆ If the declaration was checked “yes” in response to the agricultural question and a civil penalty is being imposed, explain why ◆ If permits accompany shipment, describe permits ◆ If CBP obtained the declaration and the amendment and found agricultural items for which you are about to issue a civil penalty, list the name or badge number of the CBP inspector and items found 								
13, 14, 15	Fill in								
Section II	<ul style="list-style-type: none"> ◆ Fill in the amount of the civil penalty before you give the form to the passenger ◆ See <i>Determining Whether a Civil Penalty is Appropriate and Determining the Amount of the Civil Penalty</i> on page 8-1-18 to determine the amount of the civil penalty ◆ See <i>Mitigating the Spot Settlement</i> on page 8-1-21 for mitigation procedures ◆ If the civil penalty is for not complying with a commuter lane decal and is the first violation, then assess \$500. Request suspension of lane decal for one year. However, if this is a second violation or beyond, then leave Section II blank and FORWARD the complete case file to IES <table border="1" data-bbox="646 1199 1409 1650"> <thead> <tr> <th data-bbox="646 1199 883 1251">If the violator:</th> <th data-bbox="883 1199 1409 1251">Then:</th> </tr> </thead> <tbody> <tr> <td data-bbox="646 1251 883 1346">Immediately pays the civil penalty at the port</td> <td data-bbox="883 1251 1409 1346">HAVE the violator sign and date Section II</td> </tr> <tr> <td data-bbox="646 1346 883 1577">Agrees to mail the payment within three days to IES Headquarters</td> <td data-bbox="883 1346 1409 1577"> <ul style="list-style-type: none"> ◆ HAVE the violator sign and date Section II before mailing the payment to IES Headquarters ◆ Fill out and give the violator one of the <i>APHIS Prepared Letters of Instruction for Mail-in Payment of Civil Penalty</i> on page P-1-1 </td> </tr> <tr> <td data-bbox="646 1577 883 1650">Refuses to pay the civil penalty</td> <td data-bbox="883 1577 1409 1650">See <i>Refusal to Pay the Civil Penalty</i> on page 8-1-22</td> </tr> </tbody> </table>	If the violator:	Then:	Immediately pays the civil penalty at the port	HAVE the violator sign and date Section II	Agrees to mail the payment within three days to IES Headquarters	<ul style="list-style-type: none"> ◆ HAVE the violator sign and date Section II before mailing the payment to IES Headquarters ◆ Fill out and give the violator one of the <i>APHIS Prepared Letters of Instruction for Mail-in Payment of Civil Penalty</i> on page P-1-1 	Refuses to pay the civil penalty	See <i>Refusal to Pay the Civil Penalty</i> on page 8-1-22
If the violator:	Then:								
Immediately pays the civil penalty at the port	HAVE the violator sign and date Section II								
Agrees to mail the payment within three days to IES Headquarters	<ul style="list-style-type: none"> ◆ HAVE the violator sign and date Section II before mailing the payment to IES Headquarters ◆ Fill out and give the violator one of the <i>APHIS Prepared Letters of Instruction for Mail-in Payment of Civil Penalty</i> on page P-1-1 								
Refuses to pay the civil penalty	See <i>Refusal to Pay the Civil Penalty</i> on page 8-1-22								
Section III	<ol style="list-style-type: none"> 1. Tell violator to take CBP Form AI-591 to CBP cashier and pay the civil penalty 2. CBP cashier will complete this section (fill in the amount of money received, sign, and date the form) 								

Distribution

Use **Table A-1-12** for distribution of CBP Form AI-591.

TABLE A-1-12: Distribution of CBP Form AI-591, Notice of Alleged Violation

If the violator:	Then:
Immediately pays the civil penalty at the port	<ul style="list-style-type: none"> ◆ KEEP Part 1 for port files ◆ GIVE Part 2 to the violator ◆ GIVE Part 3 to CBP Cashier
Agrees to mail the payment within three days to IES Headquarters	<ul style="list-style-type: none"> ◆ SEND Part 1 and all other related documents (Officer's and Violator's Statements, copy of Customs Declaration, and any other evidence) to the following address: USDA-APHIS-IES 4700 River Road, Unit 85 Riverdale, MD 20737 Phone 301/734-8684 ◆ GIVE Part 2 to the violator ◆ KEEP Part 3 for port files
Refuses to pay the civil penalty	<ul style="list-style-type: none"> ◆ SEND Part 1 and all other related documents (Officer's and Violator's Statements, copy of Customs Declaration, and any other evidence) to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737; phone 301/734-8684 ◆ GIVE Part 2 to the violator ◆ KEEP Part 3 for port files

CBP Form AI-592, Notice of Violation

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection					Serial Number A
NOTICE OF VIOLATION					
TYPE OF VIOLATION: <input type="checkbox"/> GARBAGE <input type="checkbox"/> SEALS <input type="checkbox"/> NOTIFICATION					
SECTION I – FOR USE BY DEPARTMENT OF HOMELAND SECURITY – U.S. CUSTOMS AND BORDER PROTECTION					
1. PPQ LOCATION	2. DATE ISSUED	3. CARRIER (<i>Name and ID</i>)	4. DATE OF ARRIVAL	5. TIME OF ARRIVAL	
6. ARRIVING FROM (<i>List all previous ports</i>)			7. DATE VIOLATION DISCOVERED	8. TIME VIOLATION DISCOVERED	
9. NAME, ADDRESS, AND TAX ID NO. OF OWNER/OPERATOR (<i>last name first</i>)			10. NAME, ADDRESS, AND TAX ID NO. OF AGENT HANDLING CARRIER AT PORT		
11. THE FOLLOWING CONDITION (S), WHICH VIOLATE 7 CFR 330.400 AND 9 CFR 94.5 OR 7 CFR 330.110 AND 330.111 <u>WAS/WERE</u> FOUND ON OR ASSOCIATED WITH THE CARRIER NAMED ABOVE:					
<input type="checkbox"/> GARBAGE OBSERVED BEING DUMPED INTO HARBOR OR INLAND WATERWAY		<input type="checkbox"/> GARBAGE FOUND ON VESSEL WAS NOT PROPERLY SAFEGUARDED			
<input type="checkbox"/> GARBAGE DISPOSED OF IN AN UNAUTHORIZED MANNER (<i>describe in remarks</i>)		<input type="checkbox"/> INADEQUATE NOTIFICATION OF ARRIVAL			
<input type="checkbox"/> GARBAGE REMOVED FROM CARRIER WITHOUT AUTHORIZATION		<input type="checkbox"/> UNAUTHORIZED BREAKING OF AHIS SEALS			
REMARKS (<i>If case is forwarded, officer's statement must be attached.</i>)					
12. SIGNATURE OF OFFICER			13. BADGE NO.	14. DATE	
SECTION II – If you agree to waive hearing and pay the penalty, sign and date below.					
The Plant Protection Act (7 U.S.C. 7734) authorizes the Secretary of Agriculture to assess a civil penalty not exceeding \$250,000 against any individual who violates the Plant Protection Act and any regulations promulgated thereunder, after notice and an opportunity for hearing on the record. Section 3 of the Act of February 2, 1903 (21 U.S.C. 122) authorizes the Secretary of Agriculture to assess a civil penalty not exceeding \$5,000 against any person, company, or corporation who knowingly violates the provisions of the Act or any regulations promulgated thereunder, after notice and an opportunity for hearing on record.					
You may waive hearing and agree to pay a specified civil penalty in settlement of this matter. If you do not wish to pay a specified civil penalty in settlement of this matter and to waive hearing, a complaint will be issued charging you with the above violation and affording you an opportunity for a hearing. However, the civil penalty offered to settle this matter at this time shall not be relevant in any respect to the civil penalty which may be assessed after a hearing.					
I acknowledge that I have an opportunity for a hearing and waive such hearing; and as a civil penalty in full settlement of this matter, I agree to pay the sum of \$ _____.					
Pay by postal money order or Company or certified check drawn ONLY on a U.S. bank, payable to U.S. Treasury, at the office show in Section III. Payment must be made by 3:00p.m. of the third business day after signing this notice.					
SIGNATURE		TITLE		DATE	
SECTION III – FOR USE BY RECEIVING OFFICE					
ADDRESS OF RECEIVING OFFICE		AMOUNT OF CHECK \$		DATE	
		SIGNATURE OF OFFICER			
SECTION IV – ACKNOWLEDGEMENT OF RECEIPT OF FORM (<i>If section II is not signed</i>)					
SIGNATURE		TITLE		DATE	

CBP Form AI-592 (09/05)

FIGURE A-1-26: Example of CBP Form AI-592, Notice of Violation

Purpose

CBP Form AI-592 is used to issue spot settlements and document the following:

- ◆ Garbage violations (foreign) on carriers
- ◆ Improper breaking of CBP seals
- ◆ Failing to provide advance notification of arrival of carriers (aircraft, railroad cars (railcars), and vessels) when advance notification is required
- ◆ Unauthorized breaking of APHIS/DHS seals on vessel stores, galleys, and cargo (**except** meats and animal products and by-products)

This is the only form to use for issuing spot settlements in the instances listed above. A civil penalty is initiated when the form is filled in and may be finalized (if penalty is paid) with this single document.



You must record all agricultural violations on the appropriate form. Failure to do this makes documenting the violation difficult. You must inform alleged violators that they have an opportunity for a hearing and that by signing Section II they agree to waive the hearing and pay the penalty.



Funds received from civil penalties assessed for violation of the Plant Protection Act and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are not controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. Accept only a postal money order, a company check, or a certified check drawn on a U.S. bank and made payable to "Treasury of the United States." If you have any questions, contact QPAS at 301-734-8295.

Instructions

Use a pen with blue or black ink to complete the form on a hard surface, pressing firmly to assure information will transfer to all copies. Follow the instructions in [Table A-1-13](#).

TABLE A-1-13: Instructions for Completing CBP Form AI-592, Notice of Violation

Block	Instructions
Type of Violation	Check appropriate box at the top of the form <ul style="list-style-type: none"> ◆ Garbage refers to garbage regulated by CBP and/or APHIS; see Glossary for definition
1	Fill in city and State or city and country of port
2	Fill in the date the form was issued
3	Fill in the name of carrier and identification information <ul style="list-style-type: none"> ◆ Vessels—include flag of registry (use the abbreviation list in Appendix F), type, and name; use three-letter country code ◆ Aircraft—enter the flight number ◆ Railroad cars—enter the railroad car number
4	Enter date of carrier arrival
5	<ul style="list-style-type: none"> ◆ Enter docking time for vessels ◆ Enter block time for aircraft
6	<ul style="list-style-type: none"> ◆ Fill in the name of the last foreign port ◆ List all previous coastwise (U.S.) ports
7	Enter the date the violation was discovered
8	Enter the time the violation was discovered
9	<ul style="list-style-type: none"> ◆ Fill in the name (last name first) of the owner/operator (specify) ◆ List the address (may be foreign) of the owner/operator <ul style="list-style-type: none"> ❖ List the Tax ID number of the owner or operator (specify) Vessels—Customs Form 1300, Masters Oath, lists the name and address of the owner and operator Customs Form 1301, General Declaration, lists the name and address of the agent ◆ If the violation is breaking seals on cargo, then enter name and address of the cargo owner or importer (specify)
10	Fill in the name, address, and Tax ID number of the agent handling clearance formalities at port
11	<ul style="list-style-type: none"> ◆ Check all blocks that apply to the violation ◆ Describe conditions not adequately expressed by one or more of the printed statements under <i>Remarks</i>
Remarks	<ul style="list-style-type: none"> ◆ Fill in information as to how you determined a garbage violation occurred, e.g., orange peels were found scattered on the deck and in uncovered garbage containers ◆ Never use the <i>Remarks</i> section for the Officer's Statement ◆ Attach the Officer's Statement when violation is sent to Riverdale ◆ Identify that off-loaded garbage came off a particular vessel or aircraft ◆ Collect any evidence that shows that the garbage did originate from that vessel or aircraft (any document associated with the garbage showing the carrier's name or line, i.e., napkins, entertainment schedule)

TABLE A-1-13: Instructions for Completing CBP Form AI-592, Notice of Violation

Block	Instructions
12	Sign the form
13	Enter your badge number
14	Fill in the date
Section II	<ol style="list-style-type: none"> 1. See <i>Inspecting the Aircraft</i> on page 3-2-3, <i>Determining if a Vessel Requires Boarding on Arrival</i> on page 3-3-4, and <i>Assessing Civil Penalties</i> on page 8-1-6, to determine if you should assess the spot settlement or if you must forward the form to IES for assessment 2. If you should assess a spot settlement, then enter the amount specified in the sections above 3. Have the captain, owner, agent, or representative sign Section II and ask the signer to fill in his or her title and the date 4. If the violator signs Section II and pays the spot settlement, then continue to Section III of this table 5. If the violator refuses to sign Section II, then go to Section IV of this table 6. Go to <i>Distribution</i> on page A-1-60
Section III	<p><i>Receiving office/CBP Officer completes at time violator pays civil penalty</i></p> <ol style="list-style-type: none"> 1. Accept the funds to settle the civil penalty (accept only a postal money order, a company check, or a certified check drawn on a U.S. bank and made payable to "Treasury of the United States") 2. Enter the address of the receiving office, the check amount, and the date 3. Sign Section III 4. Complete APHIS Form 94, Record of Public Funds Received, and send along with funds received from violator, to ARI: MAIL (U.S. Postal Service) Payment: USDA-APHIS-ARI PO Box 952180, St. Louis, MO 63195-2182 EXPRESS MAIL (FEDEX): Firstar Bank, Attn: Gov't Box 9521801 1005 Convention Plaza, St. Louis, MO 63101 5. GO TO <i>Distribution</i> on page A-1-60
Section IV	<ol style="list-style-type: none"> 1. a. Have the violator who refuses to pay the penalty acknowledge receipt of the form by signing Section IV, and ask the signer to fill in his or her title and date to acknowledge receipt of the form, or b. Have a repeat violator sign here to acknowledge 2. Allow the owner, operator, or representative to write a statement of explanation 3. If the violator pays the penalty within 3 work days, then go to Section III of this table 4. GO TO <i>Distribution</i> on page A-1-60

Distribution

Use **Table A-1-14** for distribution of CBP Form AI-592.

TABLE A-1-14: Distribution of CBP Form AI-592, Notice of Violation

If the violator:	And:	Then:
Signs Section II ¹ or Section IV	Pays the penalty within 3 work days	<ul style="list-style-type: none"> ◆ ENSURE that the title and date blocks are filled in ◆ GIVE Part 1 to the person paying the penalty (at the time of paying) ◆ KEEP Part 2 for the port files ◆ GIVE Part 3 to the person signing CBP Form AI-592 (at time of signing)
	Fails to pay the penalty within 3 work days	<ul style="list-style-type: none"> ◆ ENSURE that the title and date blocks are filled in ◆ FORWARD Part 1 and all supporting documents (such as CBP Form AI-288 and the Violator's and Officer's Statements) to the following address: USDA-APHIS-IES 4700 River Road, Unit 85 Riverdale, MD 20737 Phone 301/734-8684 ◆ KEEP Part 2 for the port files ◆ GIVE Part 3 to the person signing CBP Form AI-592 (at time of signing)
Refuses to sign either Section II or Section IV	→	<ul style="list-style-type: none"> ◆ FORWARD Part 1 and all supporting documents (such as CBP Form AI-288 and the Violator's and Officer's Statements) to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737; phone 301/734-8684 ◆ KEEP Parts 2 and 3 for the port files

1 If the penalty is **not** paid on the vessel, send or fax a copy of the violation to the vessel's agent.



For any vessel with a new garbage violation continuing to another U.S. port, alert that port of the vessel's recent violation. Additionally, CBP-APL needs to have the vessel information for tracking the garbage violators.

CBP Form AI-625, Sealing Report/Authorization to Proceed

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection			
SEALING REPORT / AUTHORIZATION TO PROCEED			
VESSEL NAME:		DESTINATION:	
PORT OF ARRIVAL:		DATE OF ARRIVAL:	
AGRICULTURE SPECIALIST			
NAME:	BADGE NO.	DATE & TIME OPENED:	PHONE NUMBER:
			FAX NUMBER:
BILL OF LADING	AMOUNT	COMMODITY	
COUNTRY OF ORIGIN:		REFRIG. WAREHOUSE <input type="checkbox"/>	
PORT OF LADING:		OTHER:	
CONTAINER/TRAILER NO./AWB NO.			
TOTAL DELIVERED:	DATE OF INTERCEPTION:	REMARKS:	
SEAL NUMBER: (CHECK ONE) <input type="checkbox"/> APHIS <input type="checkbox"/> CBP	URGENT NUMBER:		
DATE SEALED:	DATE CONFIRMED:		
TIME SEALED:	IDENTIFIED AS:		
SHIPPER:		TRUCKING COMPANY:	
CONSIGNEE:		DRIVER'S PRINTED NAME AND SIGNATURE:	
BROKER:		CAUTION HOLD - SHIPMENT AUTHORIZED TO: <p style="text-align: center;">NO DIVERSION PERMITTED</p>	
VERIFICATION OF RECEIPT OF CARGO - FAX BACK NUMBER:			
AGRICULTURE SPECIALIST NAME (PRINTED):		BADGE NO.:	
AGRICULTURE SPECIALIST SIGNATURE:		DATE:	

CBP FORM AI-625 (09/05)

FIGURE A-1-27: Example of CBP Form AI-625, Sealing Report/Authorization to Proceed

Purpose

CBP Form AI-625 is used to record a Sealing Report or a shipment that has been authorized to move to another location.

Instructions

To complete this form, follow the instructions in **Table A-1-15** on **page A-1-62**. Print or type the information.

TABLE A-1-15: Instructions for Completing CBP Form AI-625, Sealing Report/Authorization to Proceed

Block	Instructions
Vessel Name, Destination, Port of Arrival, Date of Arrival, Agriculture Specialist Name, Agriculture Specialist Badge Number, Date & Time Opened	Fill in
Phone number, Fax number	Fill in numbers where Agriculture Specialist can be reached
Bill of Lading, Amount, Commodity, Country of Origin, Port of Lading	Fill in
Refrigerated Warehouse	Check box if yes
Container/Trailer No./AWB No.	Fill in
Total Delivered	Enter the total (of shipment) delivered
Date of Interception	Fill in
Seal Number	Check type of seal and enter number
Urgent number	Fill in
Date Sealed, Time Sealed	Enter date and time the Agriculture Specialist sealed the shipment
Date Confirmed	Enter date interception was confirmed
Identified As	Enter the pest's identification
Remarks, Shipper, Trucking Company, Consignee, Driver's Printed Name and Signature, Broker, Caution Hold - Shipment Authorized to, Verification of Receipt of Cargo, Agriculture Specialist Name, Agriculture Specialist Badge Number, Agriculture Specialist Signature, Date	Fill in

CBP Form AI-629, Notification for Perishable Cooked Ruminant or Cooked Swine Meat from Restricted Countries

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection	
NOTIFICATION FOR PERISHABLE COOKED RUMINANT or COOKED SWINE MEAT FROM RESTRICTED COUNTRIES	
Fill out one notification form per container.	
Section A: DHS / CBP / AI	
Date Issued:	Port of Arrival:
Phone Number:	FAX Number:
1A. Port Shipment ID(s): Container, Bill, or Truck Entry Number	
2A. Country of Origin	
3A. Meat Certificate Number(s)	
4A. Species	(Check one) <input type="checkbox"/> Ruminant <input type="checkbox"/> Swine
5A. PJT for FMD required at Rapid Defrost Facility?	(Check one) <input type="checkbox"/> Yes (CBP/AI authorized hold) <input type="checkbox"/> No
6A. Container of Cooked meat requiring Pink Juice Test <i>must</i> be sealed	(Check one) <input type="checkbox"/> Foreign <input type="checkbox"/> CBP/AI
7A. Product to be transferred to the following FSIS I-House (identified by Importer/Broker): Name of I-House	
I-House Establishment Number	
NOTE: Only APHIS approved Rapid-Defrost Facilities are eligible to conduct the Pink Juice Test (PJT). Not all Food Safety Inspection Services (FSIS) I-Houses are Rapid-Defrost Facilities; refer to Foreign Origin Ruminant Meats and Meat Products Section in the Animal Product Manual. Products not from FMD affect countries are not required to go to a Rapid-Defrost Facility but must be forwarded to a FSIS I-House.	
8A. CBP Agriculture Specialist's Name (Printed):	Badge Number:
CBP / AI Office must retain a hard copy for 3 years	
Section B: USDA / FSIS / IID	
Fill out bottom portion <u>ONLY</u> for shipments requiring PJT or for shipments eligible for MIT testing and return entire page to DHS, CBP, AI above.	
NOTE: If Item 1B, 2B and/or 3B (if required) is NO, or pink juice is detected, immediately contact the DHS, CBP, AI office indicated above.	Today's Date:
1B. The shipment was received intact (as specified above):	(Check one) <input type="checkbox"/> Yes <input type="checkbox"/> No
2B. Is the meat boneless?	(Check one) <input type="checkbox"/> Yes <input type="checkbox"/> No
3B. PJT performed?	(Check one) <input type="checkbox"/> Yes <input type="checkbox"/> No
4B. If test was performed:	(Check one) <input type="checkbox"/> Pink Juice Detected <input type="checkbox"/> Pink Juice Not Detected
5B. Were samples selected for MIT testing?	(Check one) <input type="checkbox"/> Yes <input type="checkbox"/> No
6B. FSIS Disposition	(Check One) <input type="checkbox"/> Released <input type="checkbox"/> FSIS Hold <input type="checkbox"/> Referred back to CBP/AI
7B. FSIS Inspector:	Badge Number:
CBP Form AI-629 (06/06)	

FIGURE A-1-28: Example of CBP Form AI-629, Notification for Perishable Cooked Ruminant or Cooked Swine Meat from Restricted Countries

Purpose

CBP Form AI-629 is used to notify the United States Department of Agriculture, Food Safety and Inspection Service (USDA-FSIS) on a shipment of perishable cooked ruminant or cooked swine meat from restricted countries at a port of entry.

Instructions

Section A

DHS/CBP/AI fills out this part of the form.

TABLE A-1-16: Instructions for Completing CBP Form AI-629

Block	Instructions
Date Issued, Port of Arrival, Phone and Fax Numbers of the Port of Arrival	Print or type the entries
1A, 2A, 3A	Fill in
4A, 5A	Check one of the boxes
6A	Enter the seal number, then check one of the boxes
6	Enter the name and address of the shipper
7A	Enter the name of the importer/broker, name of the I-house and the establishment number
8A	Enter the Agriculture Specialist's name and badge number

After completion, e-mail the form to the appropriate FSIS-IID address as listed below:

1. Outlook:\\Public Folders\\All Public Folders\\OIA\\IID\\Detroit Region
2. Outlook:\\Public Folders\\All Public Folders\\OIA\\IID\\Los Angeles Region
3. Outlook:\\Public Folders\\All Public Folders\\OIA\\IID\\Miami Region
4. Outlook:\\Public Folders\\All Public Folders\\OIA\\IID\\Philadelphia Region

Section B

FSIS-IID fills out blocks 1B through 7B and returns the form to CBP-AI via facsimile or e-mail.



It is **mandatory** to use on-line communication as the transmittal medium.

Keep a hard copy of this form at the POE for 3 years.

PPQ Form 203, Foreign Site Certificate of Inspection and/or Treatment

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE FOREIGN SITE CERTIFICATE OF INSPECTION AND/OR TREATMENT		1. CERTIFICATE NO. 111	2. COUNTRY OF ORIGIN Guatemala
		3. DATE LOADED June 10, 1997	4. FOREIGN PORT OF EXPORT Santo Tomas de Castilla
5. CARRIER IDENTIFICATION Sealand Lines "Ship X" Voy. #123		6. U. S. PORT OF ENTRY Port Everglade, FL.	
7. SHIPPER (Name & Address) MANGOESAM 97 Calle 1234 Zona 17 Guatemala PH; 502-3-4567		8. CONSIGNEE (Name & Address - Include Zip Code) Mangoman 7575 NW. 99th Avenue Miami, FL 33333 PH: 305-999-9999	
9. COMMODITY	10. NO. CONTAINERS (Identify as box, sack, y. Bruce box, flat, card- board box, etc.)	11. CONTAINER IDENTIFICATION MARKS	
Mangifera indica (fresh mango fruit)	3,333 cardboard boxes	Container # SEAV 555 443 USDA Seal # APHIS 090909	
12. LOCATION OF INSPECTION AND/OR TREATMENT MANGOESAM, Villa Nueva, Guatemala		13. DATE June 10, 1997	
This certifies that the shipment described above has been inspected and/or treated in accordance with agricultural requirements for entry into the United States.			
14. SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICER <i>J. M. Ann Inspector</i>		15. DATE ISSUED June 11, 1997	
PPQ FORM 203 (AUG 78)			

FIGURE A-1-29: Example of PPQ Form 203, Foreign Site Certificate of Inspection and/or Treatment

Purpose





PPQ Form 203 verifies that PPQ has precleared the commodity it accompanies (either through inspection or treatment) at the foreign site.

Instructions

The Agriculture Specialist at Port of Entry (POE) examines this form when a precleared commodity arrives at your port.

The APHIS officer completes this form at the foreign site where the commodity is inspected or treated. The form may either be handwritten in ink or typed. Use [Table A-1-17](#) to decide what paperwork should be presented upon the arrival of a precleared commodity.

TABLE A-1-17: Determine Paperwork to Be Presented upon Arrival of a Precleared Commodity

If arriving from:	And by:	Then the exporter or the exporter's agent must provide the following paperwork:
Australia, Japan, Korea, or the Republic of South Africa		<ul style="list-style-type: none"> ◆ Original (yellow or white) PPQ Form 203 (includes locally produced forms) for the commodity, or a copy of the master PPQ Form 203 for the commodity ◆ An original phytosanitary certificate that specifies the number of units shipped or the number of units remaining in cold storage from the master 203
Chile ¹	Vessel	<ul style="list-style-type: none"> ◆ Original Chilean Phytosanitary Certificate ◆ E-mail notification of the cargo on board and its status from the IS Region II office to the POE <p>NOTE: No PPQ Form 203 will accompany the commodity</p>
	Air	<ul style="list-style-type: none"> ◆ Original (yellow or white) PPQ Form 203 (includes locally produced forms) for the commodity ◆ Original Chilean Phytosanitary Certificate
India or Thailand		<ul style="list-style-type: none"> ◆ Original (yellow or white) PPQ Form 203 (includes locally produced forms) for the commodity ◆ Original Indian or Thailand Phytosanitary Certificate
New Zealand		<ul style="list-style-type: none"> ◆ Original (yellow or white) PPQ Form 203 (includes locally produced forms) for the commodity, or a copy of the master PPQ Form 203 for the commodity ◆ Original New Zealand Ministry of Agriculture forms specifying the number of units shipped or remaining in cold storage from the master PPQ Form 203, Final Balances-Balance Sheet for USA-Passed Product in Coolstore and Details of Loading Certificate
Other than a country listed above ¹		<ul style="list-style-type: none"> ◆ Original (yellow or white) PPQ Form 203 (includes locally produced forms) for the commodity

1 Commodities may be treated in Chile, then moved to Argentina by truck or air. Commodities may also be treated in Argentina or Uruguay, then moved to the other country to be shipped to the U.S. The PPQ Form 203 will show that the commodity was treated in one country and exported from another.

Verify that any seals listed on the form are still intact. Also, confirm that the information and conditions described on the form agree with the cargo manifest, invoice, or other CBP entry documents. Contact QPAS at 301/734-8295 if **any** of the following occurs:

- ◆ PPQ Form 203 is missing
- ◆ Seals are broken
- ◆ Information on the PPQ Form 203 does **not** match the entry documents



Refer to your *Plant Import: Nonpropagative Volume of Manuals* for the commodity being shipped. The commodity may be undergoing in-transit cold treatment. If it is, you need to ensure that the commodity meets the time and temperature requirements.

Instructions for Issuing Officer

The APHIS Issuing Officer will complete PPQ Form 203, as follows:

1. Type the form or write in ink.
2. Number the certificate using the numbering system assigned by the Area Office with responsibility for the program.
3. If the commodity was treated, mark the form with the plant's approved stamp.
4. Fill in the remaining, self-explanatory information.

Distribution

Issuing Officer

The APHIS Issuing Officer will distribute PPQ Form 203 using **Table A-1-18** as a guide.

TABLE A-1-18: Distribution of PPQ Form 203, Foreign Site Certificate of Inspection and/or Treatment

If:	Then:
Original and first copy	GIVE to the exporter (the original must be presented at the first POE)
Copy	SEND to the Area Office, IS, with responsibility for the program
Copy	RETAIN by the certifying APHIS officer
Copy (through the office of cooperator) ¹	FAX a copy to the U.S. Port of Arrival
Copy	ATTACH to trip report

¹ This does **not** apply to all programs. Check the technical packet or with the IS Field Office in Charge.

Agriculture Specialist

The CBP Officer at the first POE will retain the original PPQ Form 203 and all accompanying documents.

PPQ Form 213, Airplane Inspection Record

AIRPLANE INSPECTION RECORD		USDA-APHIS		AIRPORT		Houston Intercontinental		LOCATION		Houston, TX		DATE		04/20/02						
DATE	BLOCK TIME	PLANE	FROM	NUMBER		INSECTIONS		SHOES		SEIZURES		QTRS		STORES		OPTIONAL USE		INSPECTOR		
				PAX	BAGG	TOTAL	POS	C & D	P	A	WGT	P	A	WGT	P	A	WGT	PL	INSPECTOR	
1.	04/20	0020	Air Mexico Flight 219	Cancun/MX	86	258	15	2	0	1	1	1	0	2	0	0	Cargo Manifest checked	N	P	
2.		0019	CO #173	Mexico City	119	271	8	3	0	1	2	4	0	1	0	0	5 lines-stores	C	N	
3.		1059	PA 15	Mexico City	271	542	22	2	1	2	3	2	1	3	1	5		R	JS	
4.																				N BS
5.																				
6.																				
7.																				
8.																				
9.																				
10.																				
11.																				
12.																				
13.																				
14.																				
15.																				
16.																				
17.																				
18.																				
				TOTALS	476	1071	45	7	1	4	6	17	1	6	1	5				
REMARKS																				

PPQ FORM 213 (AUG 96) Previous edition obsolete.

FIGURE A-1-30: Example of PPQ Form 213, Airplane Inspection Record

Purpose

PPQ Form 213 is designed to be used to record information associated with air traffic. The form is a worksheet for local port use.

Instructions

Since PPQ Form 213 is a worksheet for port use, follow any modifications in completing the form that are required by local needs. You can find some of the information needed to complete this form on the Customs General Declaration. Information concerning referrals and seizures can be obtained from CBP Agriculture Specialists responsible for clearing the flight. Complete this form after the aircraft, passengers, and crew are cleared. See instructions in [Table A-1-19](#).

TABLE A-1-19: Instructions for Completing PPQ Form 213, Airplane Inspection Record

Block	Instructions
Airport	Fill in
Location	Fill in
Date	Fill in
Block Time	<ul style="list-style-type: none"> ◆ Enter arrival time ◆ Include time passenger inspection was completed (if required)
Plane	Fill in the country of registry, plane number, and flight number as needed
From	<ul style="list-style-type: none"> ◆ Fill in where the flight is coming from (last departure location) ◆ “From” may be changed to “To” for preflight inspections; include U.S. ports where partial clearance occurred
Number	NOTE: This section does not need to be completed if it is local practice to obtain periodic figures from Customs
Number	PAX—Enter the number of passengers on the flight
	BAGG—Enter the number of bags
Inspections	TOTALS—Enter the total number of passenger inspections conducted on the flight
	POS—Enter the total number of inspections that resulted in seizures of prohibited or restricted agricultural products
Shoes C&D	Enter the number of pairs of shoes cleaned and disinfected from the flight

TABLE A-1-19: Instructions for Completing PPQ Form 213, Airplane Inspection Record (continued)

Block	Instructions
Seizures	<p>P—Enter the total number of plant seizures (each kind of fruit or plant material seized counts as a separate plant seizure per inspection)</p> <p>Example 5 limes and 3 apples count as 2 plant materials seized (5 limes + 3 apples = 2 plant material seizures)</p> <p>A—Enter the total number of classes of animal seizures (each animal class counts as a separate animal seizure per inspection)</p> <p>WGT—Enter the total weight (in kilos) of the animal products seized</p> <p>Example 10 ham (swine) sandwiches @ 2 kilos (swine) and 4 hamburgers (ruminant) count @ 1 kilo count as 2 animal seizures at 3 kilos</p>
QTRS	<p>◆ Enter the number of animal and plant seizures made in quarters/cabin (each animal class counts as a separate animal seizure per seat and each kind of fruit or plant material seized counts as a separate seizure per seat)</p> <p>◆ Draw a line to divide the box in two when you have both plant and animal seizures to separate the entries</p> <p>Example 5 limes taken from 2 seats and 1 apple taken from 1 seat count as 3 seizures</p> <hr/> <p>2 ham (swine) sandwiches taken from 2 seats and 1 hamburger (ruminant) taken from 1 seat count as 3 seizures</p> <p>So you would enter 3 animal products and 1 plant material</p>
Stores	<p>P—Enter the total number of kinds of plant material seized in stores/galley</p> <p>Example 5 limes and 3 apples count as 2 plant materials seized (5 limes + 3 apples = 2 plant materials)</p> <p>A—Enter the total number of animal products seized in stores</p> <p>Example 10 ham sandwiches (swine) and 4 hamburgers (ruminant) count as 2 animal products seized (10 ham sandwiches + 4 hamburgers = 2 animal products)</p> <p>WGT—Enter the total weight (kilos) of the animal products seized</p>
Optional Use and Remarks	<p>Fill in any appropriate remarks (e.g., hitchhiking pests found in baggage hold—treated using T409 and released)</p>
Inspector	<p>PL—Fill in the initials of the officer clearing the aircraft</p>
Totals	<p>Total columns</p>
Remarks	<p>Fill in if needed</p>

Distribution

Since PPQ Form 213 is a local worksheet, there is no distribution outside the port.



Important

The information recorded on this form is important to collect and a useful mechanism to track activities to transfer the results to the Activities Report: AQAS systems/WADS.

PPQ Form 250, Aircraft Clearance or Safeguard Order

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE AIRCRAFT CLEARANCE OR SAFEGUARD ORDER		FORM APPROVED - OMB NO. 0579-0094		
		1. AIRCRAFT NO. N5879	2. TRIP/FLIGHT NO. V92	3. NAME OF CARRIER U.S. National Guard
		4. FOREIGN ORIGIN (When applicable) Spain		5. PLACE OF DEPARTURE (U.S.) McGuire AFB, NJ
		6. DESTINATION AIRPORT OR AIR BASE (U.S.) Edwards AFB		
THE ABOVE AIRCRAFT HAS BEEN INSPECTED AND -				
7. <input type="checkbox"/> COMPLETELY CLEARED (Including all baggage, personal effects, stores, garbage, and cargo.)		8. <input checked="" type="checkbox"/> PARTIALLY CLEARED (Exceptions and safeguard conditions noted in Item 11 below.)		
9. SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICER			10. DATE 2/10/02	
11. EXCEPTIONS AND SAFEGUARD CONDITIONS		14. FINAL DISPOSITION ACTION		
1. Foreign garbage to be removed and properly disposed of on arrival at Edwards AFB		Garbage removed and incinerated		
2. Cargo subject to agriculture inspection after discharge		Cargo inspected and released		
		15. SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICER	16. DATE 2/11/02	
AFTER FINAL DISPOSITION ACTION RETURN TO:				
I agree to see that the conditions in Item 11 are carried out.		17. NAME AND ADDRESS OF ORIGINATING OFFICE USDA-APHIS-PPQ Box 1215 McGuire AFB, NJ 07039		
12. SIGNATURE OF AIRCRAFT COMMANDER <i>Jefferson J. Smith</i>	13. DATE 2/10/02			
PPQ FORM 250 (NOV 91) (Previous editions may be used.)		*U.S. Government Printing Office 2002-717-371		

FIGURE A-1-31: Example of PPQ Form 250, Aircraft Clearance or Safeguard Order

Purpose

PPQ Form 250 is used for flights from Hawaii, Puerto Rico, the U.S. Virgin Islands, or a foreign airbase or airport for foreign site preclearance.



For flights that are partially cleared, **not** regularly scheduled, and proceed beyond the first airport for clearance elsewhere in the United States, use **CBP Form AI-250, Aircraft Clearance or Safeguard Order** on page A-1-36.

Instructions

You need to complete an original of PPQ Form 250 when it is issued as a preclearance certificate to the aircraft commander or representative when departing from Hawaii, Puerto Rico, the U.S. Virgin Islands³; a foreign airbase in the case of certain military airlifts; and certain foreign commercial preclearance sites to indicate that agriculture preclearance has been completed. See **Table A-1-20** for instructions.

TABLE A-1-20: Instructions for Completing CBP Form AI-250, Aircraft Clearance or Safeguard Order, When Used as a Preclearance Certificate

Block	Instructions
1-6	Fill in
7	Check <i>Completely Cleared</i> block
8	Leave blank
9	Sign
10	Leave blank
11-16	Leave blank
17	Fill In

Distribution

Instruct the aircraft commander to deliver PPQ Form 250 to the airline operations office, Air Base Operations Office, CBP Agriculture Specialist or PPQ officer as appropriate.

³ CBP is not responsible for agriculture inspection of carriers moving interstate.

PPQ Form 252-R, Quarterly Inspection Checklist for Handling of Regulated Garbage—Airport Caterer

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE				NAME OF ESTABLISHMENT									
QUARTERLY INSPECTION CHECKLIST FOR HANDLING OF REGULATED GARBAGE -- AIRPORT CATERER				DATE OF INSPECTION		INSPECTION THIS FISCAL YEAR							
				<input type="checkbox"/> 1st		<input type="checkbox"/> 2nd		<input type="checkbox"/> 3rd		<input type="checkbox"/> 4th			
For each item, "X" one column only indicating yes, no, or not applicable. Inspector must explain "No" answers and list suggestions for correction in item 26. Cite item number.				YES	NO	Not Appl	For each item, "X" one column only indicating yes, no, or not applicable. Inspector must explain "No" answers and list suggestions for correction in item 26. Cite item number.				YES	NO	Not Appl
1 During the previous quarter was PPQ at the airport notified immediately when a malfunction occurred with the sterilizer or incinerator?							15 Dumpsters and compacters containing regulated garbage are clearly marked with letters a minimum of 4 inches high						
2 Sterilization cycle is such that it will assure garbage is held at 212° F (100° C) internal temperature or higher for 30 minutes. In the case of an incinerator, the garbage is reduced to ash							16 In-house containers, e.g., trash barrels, clearly marked with letters at least 2 inches high						
3 A thermocouple probe is available for determination of an adequate sterilizer temperature cycle							17 Compactor activated after each load of garbage is emptied into it						
4 Heating cycle verification is supervised by PPQ 2 times/year							18 Procedures for handling regulated garbage are posted conspicuously in the work area						
5 Recalibration of recording thermometer is done a minimum of twice per year							19 Regulated garbage awaiting sterilization or incineration is separated from domestic origin garbage						
6 Recording charts for time and temperature are initialed and dated by the operator for each batch and signed by supervisory personnel of the concern							20 Sterilized garbage is removed to a sanitary landfill						
7 Recording charts are available to USDA, APHIS inspector							21 Establishment's trucks normally meet arriving aircraft within 15 minutes following passenger departure						
8 Recording charts are retained for 6 months by the establishment							22 An APHIS approved disinfectant is present at the catering establishment						
9 The sterilizer/incinerator and area around the sterilizer/incinerator are clean and free of spillage							23 Is area around container/compactor holding regulated garbage for incineration cleaned and disinfected each time container is removed.						
10 Sterilizer drain is cleaned between each batch (cycle)							For each item, "X" one column only indicating Poor, Good, or Excellent.			Poor	Good	Excellent	
11 All regulated garbage is removed from the aircraft in covered leakproof containers							MANAGEMENT						
12 Aircraft galley equipment identified as foreign origin prior to removal from the truck or immediately on removal from aircraft, as applicable							24 General attitude and cooperation						
13 Sterilization or incineration is done daily							25 Knowledge of responsibility						
14 Outside holding of uncleaned aircraft galley equipment (trays, silverware, plates, etc.) is in closed containers							EMPLOYEES						
							26 General attitude and cooperation						
							27 Knowledge of responsibility						
26. REMARKS (if more space is needed continue on reverse)													

NAME OF PERSON AT CATERER PROVIDED COPY OF THIS CHECKLIST	SIGNATURE OF PPQ OFFICER
PPQ FORM 252-R (AUG 91) (Local Reproduction Authorized)	(Previous editions are obsolete)

FIGURE A-1-32: Example of PPQ Form 252-R, Quarterly Inspection Checklist for Handling of Regulated Garbage—Airport Caterer

PPQ Form 280, Web Based Database

This form is now web-based. The paper form is obsolete.

Purpose

The PPQ 280 is used to track the disposition of plants and plant products into and out of the United States. It is used to identify import problems with specific plant products and track trends that exist with respect to specific plant imports. PPQ 280 data are probably used more than any other data collected. Listed below are examples of how the PPQ 280 data are used and who uses the data.

- ◆ When a quarantine pest is found on an enterable item, the Pest Risk Analysis unit needs to know where and how much of that commodity came in.
- ◆ PPQ 280 data support the Border Cargo Release and the National Cargo Release programs. These data are critical for risk analysis.
- ◆ PPQ 280 data support the Cargo AQIM program. Target fruits and vegetables are selected using PPQ 280 data.
- ◆ PPQ 280 data are provided to support the North American Free Trade Agreement (NAFTA) requirements.
- ◆ When a regulation is proposed that affects Quarantine 56, an economic risk analysis is needed. That information comes from the PPQ 280 data.
- ◆ State, local authorities, universities, and APHIS contractors doing risk analysis use PPQ 280 data.
- ◆ Other country authorities may request import information. This information may come from the PPQ 280 reports.
- ◆ Congressional inquiries may require that PPQ report on the import of commodities.
- ◆ Legal entities and the general public file requests through the Freedom of Information Act (FOIA) requesting import information from the PPQ 280 database.
- ◆ Program Policy and Development staff uses PPQ 280 data to support program initiatives.
- ◆ Since the Harmonized Tariff System (HTS) codes lump commodities, PPQ 280 data provide the only source of import data for a selected number of commodities.
- ◆ Other government agencies such as the Foreign Agriculture Service or the Economic Research Service request PPQ 280 data.
- ◆ PPQ 280 data are provided to the Deputy Administrator as requested.

Refer to **Table A-1-21** to determine which commodities to report and which not to report on PPQ 280.

TABLE A-1-21: Reporting Requirements for PPQ 280

Commodities to Report	Do Not Report
◆ Fresh fruits & frozen fruits and vegetables	◆ Dried fruits, vegetable, and herbs used for consumption
◆ Fresh cut flowers	◆ Flower or vegetable seeds used for consumption
◆ Propagative plant materials	◆ Processed wood products such as Plywood and veneer except for CITES
◆ Prohibited plant products	◆ Preserved or processed fruits or vegetables (i.e. jars of fruit salad)
◆ Cotton/Cotton Products	◆ Fruit juices or purees
◆ Lumber, Logs, Wood Chips, and CITES Plywood, Veneers, and products made from CITES woods	◆ Animal products
◆ CITES plants and plant products	

The PPQ 280 does not include reports of soil, machinery, dunnage, bagging or other non-plant related products that may be contaminated with soil and/or infested with pests. These reports are taken from other databases such as the EAN (Emergency Action Notification) and PIN 309 databases.

Instructions

1. Commodity types that can be selected:
 - A. Fresh fruits and vegetables - FV
 - B. Fresh cut flowers - CF
 - C. Propagative material - PM
 - D. Cotton/Cotton Products - CT
 - E. Logs/firewood - LO
 - F. Lumber - LU
 - G. Wood chips - WC
2. For fruit and vegetables use the BOLD term found in the Fruit and Vegetable Glossary or Vegetable Guide. Do not use the broad terms such *Brassica*, but break down to the individual fruit or vegetable such as broccoli. The System Administrator must be contacted to add names to the pick list.
3. Report cut flowers (except bouquets) using genus names.
4. Report propagative materials by scientific names and genus.

5. Report propagative material types as follows:
 - A. Bonsai
 - B. Bulbs, Corms, Rhizomes
 - C. Nonpermit Seed
 - D. Other Propagative Material – Permit Required
 - E. Permit Seed
6. Record lumber and logs using the genus names. If the product is a CITES lumber or log, select the genus and species name.
7. Listed under lumbers, you will report CITES plywood, veneer, and other manufactured products such as, *Gonystylus* sp., plywood, *Gonystylus* sp., veneer, and *Gonystylus* sp., other manufactured.
8. We no longer use the MC code to report miscellaneous products.

Units of Measure

1. Report FV in kilograms.
2. Report CF in stems. Convert cartons to stems.
3. Report PM in kilograms and plant units.
4. Report CT in kilograms and metric tons.
5. Report LU in cubic meters. Report LU-CITES plywood and veneers in square meters. Report other manufactured, such as dowels, moldings, music instruments, etc., in kilograms.
6. Report LO in cubic meters.
7. Report WC in cubic meters.

Use only whole numbers, rounding up or down. **Do not use commas.** Report PM in decimals for small amounts, such as .001 kilograms.

Condition of Product

1. Fresh
2. Frozen

Number of Shipments

This refers to how many times a given commodity was presented for entry. Each commodity in a mixed shipment of produce would be counted individually. Do not confuse the unit of inspection (i.e. bill of lading, airway bill, entry, or truck manifest entry) with the “# of shipments/entries”. For example, a truck manifest may have seven commodities on it. This would be one regulated inspection with a total of seven shipments, one for each commodity.

Remarks This field is for applicable information about the record being created.

When the **Disposition** indicates a **Contaminated**, then enter the identity of the contaminant, i.e. “Wheat Seed” or “Soil”.

309# Enter the PPQ 309 number whenever actionable pests are found.
Use these **Dispositions**: DEAP, FUAP, OTAP, RXAP.

Exported to Name the country to which the product is sent when the Disposition is “**TEOC**” or “**IEND**”.

Enter the reports in real time to the database through the web based system. Enter each month by the 4th of the next month. The Port Director should close the month. Data can be corrected by editing the data. To correct data for months that have been closed, the PD must open and then close the months again.

Negative Monthly Reports Ports having a negative report for the month should report negative and close the month.

Disposition The action taken on the product when presented for entry into or through the United States. Use the following codes in **Table A-1-22**:

TABLE A-1-22: Codes for Recording Disposition of Products

Code	Definition
CCNA	Cargo Clearance; No further Action taken.
CTPT	Sent to Cold Treatment facility in U.S.; Precautionary Treatment to meet entry requirements.
DPRP	Entered with a Departmental Permit; Restricted Product.
DEAP	Destroyed; Actionable Pest found on/with product ¹ .
DECC	Destroyed; Container Contaminated with non-enterable products such as citrus leaves, soil, blood, or noxious weed seeds.
DEPD	Destroyed; Phyto Discrepancy (including lack of phyto). A discrepancy may be defined as wrong phyto, lack of an AD, wrong quantity, weight, or commodity.
DEPC	Destroyed; Product Contaminated with another non-enterable product such as citrus leaves, soil, or noxious weed seeds.
DEPP	Destroyed; Product Prohibited.
ESRC	Endangered Species. Sent to Rescue Center.
ENPE	Entered under Post Entry requirements.
FUAP	Fumigated; Actionable Pest was found associated with the product ¹ .
FUCC	Fumigated; Container Contamination.
FUPT	Fumigated as a Precautionary Treatment to meet entry requirements.
FUPC	Fumigated; Container Contamination.
ITNE	IT Avocados entering into the U.S. for destination to 31 Northern States.
IEND	Immediate (DIRECT) Export, No Diversion allowed.

TABLE A-1-22: Codes for Recording Disposition of Products

Code	Definition
IRAR	Inspected and Released under the Agricultural Release Program.
IRMR	Inspected and Released; Meets U.S. entry Requirements
IRPD	Inspected and Released; Phyto Discrepancy has been Reconciled to meet U.S. entry requirements. A superseded phyto or new phyto was issued for the commodity.
OTAP	Other Action Taken on product because of Actionable Pest so that product meets U.S. entry requirements ¹ .
OTCC	Other Action Taken on product because of Carrier Contamination . Product transferred and allowed to enter. Carrier refused entry.
OTPD	Other Action Taken on product because of Phyto Discrepancy .
OTPC	Other Action Taken on product because of Product Contamination so that product meets U.S. entry requirements.
PPRP	Plant Pest Permit Regulated Product .
PCIR	Precleared in another country. Inspected and Released to monitor preclearance program.
RXPD	Re-exported due to Phyto Discrepancy .
REAR	Released under the Agricultural Release Program.
RXAP	Re-exported to country of origin because Actionable Pest was found ¹ .
RXCC	Re-exported to country of origin because of Carrier Contamination .
RXPC	Re-exported to country of origin because of Product Contamination with non-enterable products such as blood, citrus leaves, manure, etc.
RXPP	Re-Exported to country of origin because Product is Prohibited entry into the U.S.
TEOC	Transits from one U.S. port to another U.S. port then Exported to Other Country .

1 309# is required.

Canadian Origin Plant Material

The following plant material (PM) is listed as requiring a Canadian Permit or Postentry Permit in addition to a Phytosanitary Certificate (PC). CBP should enter these articles in the PPQ 280 report except for articles that are referred on to a Plant Inspection Station. The Plant Inspection Station would record these items in the PPQ 280 report.

- ◆ *Abelmoschus* spp. & *Hibiscus* spp. (seeds only) – in addition to the permit, a treatment is required.
- ◆ *Allium sativum* (bulbs only).
- ◆ *Berberis* spp., *Mahoberberis* sp. & *Mahonia* spp. – Postentry permit material must also go to the closest PIS. If destined to IL, IN, IA, KS, MN, MO, MT, NE, ND, OH, SD, WV, WI and WY the plants are prohibited. Seeds of all three genera are prohibited.
- ◆ Plants in the family Bromeliaceae destined to HI are Postentry and must go to the closest Plant Inspection Station.
- ◆ *Castanea* sp. – (PM) prohibited entry into the U.S. from all countries including Canada.
- ◆ *Castanopsis* sp. – requires a Canadian Permit when destined to CA & OR.

- ◆ *Chaenomeles* sp., *Cydonia* sp., *Malus* sp. *Prunus* sp., & *Pyrus* sp.
- ◆ *Corylus* sp. – requires a Canadian Permit only when from provinces east of Manitoba and is destined to OR & WA.
- ◆ *Humulus* spp. – Postentry permit material and must go to the closest Plant Inspection Station.
- ◆ *Pinus* spp. (all pines) when destined to CA, ID, MT, OR & UT and 5 needle pines when destined to WI.
- ◆ *Planera aquatica*, *Ulmus* spp. & *Zelkova* spp.- when destined to CA, NV & OR.
- ◆ *Prunus* spp. (seeds) – when destined to CO, MI, NY, WA & WV
- ◆ *Ribes* spp. – when destined to MA, NY, WV & WI
- ◆ *Rubus* spp. – Postentry permit material unless the appropriate additional declaration is on the PC.
- ◆ *Vitis* spp. – when destined to CA, NY, OH, OR & WA.
- ◆ *Zea mays* (seed).

Refer to **Table A-1-23** summarizing the average number of stems or bunches that AMS uses to convert box counts.

TABLE A-1-23: Stems or Bunches of Flowers to Convert to Box Counts

Flower	Stems/Bunches Per Box
<i>Alstroemeria</i>	300 Stems
<i>Aster</i>	400 Stems
Bouquets	30 Bunches
<i>Calla</i>	300 Stems
Carnations	600 Stems
Carnations Mini	50 Bunches
Chrysanthemums	300 Stems
Pompons	50 Stems
<i>Delphinium</i>	300 Stems
Daisies	280 Stems
<i>Freesia</i>	300 Stems
<i>Gerbera</i>	250 Stems
<i>Gladiolus</i>	300 Stems
<i>Gypsophila</i>	40 Bunches
<i>Iris</i>	500 Stems
<i>Liatris</i>	500 Stems
Lilies	200 Stems
<i>Lisianthus</i>	400 Stems
Roses	300 Stems
Statice (<i>Limonium</i>)	35 Bunches
Tulip	300 Stems
Others	300 Stems



Orchid – Cymbidium is counted by BLOOMS. All Orchids – Other are counted as stems.

PPQ Form 287, Mail Interception Notice

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE MAIL INTERCEPTION NOTICE		1. PORT OF ENTRY <p style="text-align: center; font-size: 1.2em;">JFKIA</p>			
		2. DATE <p style="text-align: center; font-size: 1.2em;">07/26/02</p>			
3. REFERENCE					
The material described below was found to be moving in the mail in violation of the agriculture quarantine regulations pertaining to the entry and movement of plants, plant products, animal products, soil, and plant pests. These violations may result in criminal or civil penalties. Disposition was taken under authority of laws administered by the U.S. Postal Service, U.S. Customs Service, and U.S. Department of Agriculture. All inquiries concerning condition, delays, shortages, or breakage should be addressed to the postmaster at the above port (Item 1). Information concerning the quarantine referred to in Item 12 may be secured on application to U.S. Department of Agriculture, APHIS, P.Q., 4700 River Road, Unit 60, Riverdale, Maryland 20737.					
4. TO (Addressee) <p style="font-size: 1.1em;">A. Kathryn Nicomette 104 East Mason St. Newburyport, MA</p>	5. FROM (Addressor) <p style="font-size: 1.1em;">Pascal Nicomette Lamipeau Aka Aka BP 84 Mata Utu, Wallis</p>				
6. INTERCEPTED MATERIAL <p style="font-size: 1.1em;">Roast pork, mangoes, papaya</p>					
7. POSTMARK <p style="font-size: 1.1em;">Wallis Futuna Islands</p>	8. DATE <p style="font-size: 1.1em;">07/11/02</p>	9. MAIL REGISTRY NO. <p style="font-size: 1.1em;">None</p>			
10. BREAKAGE <p style="font-size: 1.1em;">None</p>	11. RECONDITIONING REQUIRED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	12. QUARANTINE OR REGULATION IN VIOLATION <p style="font-size: 1.1em;">9CFR 94; 7CFR 39.56</p>			
13. DISPOSITION <input checked="" type="checkbox"/> Prohibited material removed and destroyed. <input type="checkbox"/> Container and contents destroyed. <input type="checkbox"/> Package returned to origin.					
14. REASON FOR DISPOSITION 1. <input type="checkbox"/> Addressee, after due notice, failed to apply for permit required by law. 2. <input checked="" type="checkbox"/> Contains meat not admitted by U.S. Department of Agriculture. Meat may carry animal diseases that do not occur in the United States. For follow-up cases fill out the below: <table style="width: 100%; border: none;"> <tr> <td style="width: 33%; vertical-align: top;"> a. Type of animal product per label <input type="checkbox"/> Swine <input type="checkbox"/> Ruminant <input type="checkbox"/> Poultry b. Certificates/Permits <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No </td> <td style="width: 33%; vertical-align: top;"> c. Country of origin per label <p style="font-size: 1.1em; text-align: center;">unlabeled</p> d. Meat product is: <input type="checkbox"/> Dried/Cured <input type="checkbox"/> Foil packaged <input type="checkbox"/> Vacuum packed <input type="checkbox"/> Fresh, Chilled, or Frozen <input checked="" type="checkbox"/> Can/Jar </td> <td style="width: 33%; vertical-align: top;"> e. Other animal products: <p style="font-size: 1.1em; text-align: center;">None</p> f. Reason considered not to be shelf stable (Specify below in Remarks) </td> </tr> </table>			a. Type of animal product per label <input type="checkbox"/> Swine <input type="checkbox"/> Ruminant <input type="checkbox"/> Poultry b. Certificates/Permits <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	c. Country of origin per label <p style="font-size: 1.1em; text-align: center;">unlabeled</p> d. Meat product is: <input type="checkbox"/> Dried/Cured <input type="checkbox"/> Foil packaged <input type="checkbox"/> Vacuum packed <input type="checkbox"/> Fresh, Chilled, or Frozen <input checked="" type="checkbox"/> Can/Jar	e. Other animal products: <p style="font-size: 1.1em; text-align: center;">None</p> f. Reason considered not to be shelf stable (Specify below in Remarks)
a. Type of animal product per label <input type="checkbox"/> Swine <input type="checkbox"/> Ruminant <input type="checkbox"/> Poultry b. Certificates/Permits <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	c. Country of origin per label <p style="font-size: 1.1em; text-align: center;">unlabeled</p> d. Meat product is: <input type="checkbox"/> Dried/Cured <input type="checkbox"/> Foil packaged <input type="checkbox"/> Vacuum packed <input type="checkbox"/> Fresh, Chilled, or Frozen <input checked="" type="checkbox"/> Can/Jar	e. Other animal products: <p style="font-size: 1.1em; text-align: center;">None</p> f. Reason considered not to be shelf stable (Specify below in Remarks)			
3. <input type="checkbox"/> Material infested or infected and treatment not feasible. Insect pests and plant diseases in fruits, vegetables, or other plant material could become established and threaten U.S. agriculture. 4. <input checked="" type="checkbox"/> Material not authorized entry. 5. <input type="checkbox"/> Material in or contaminated with soil. Soil can carry many plant pests and diseases. 6. <input type="checkbox"/> Other (Specify below in Remarks)					
15. REMARKS (Include any pertinent information, i.e. condition of material, condition of cans which indicates not shelf stable, etc.) <p style="font-size: 1.2em;">Pork appeared to be home prepared - roasted and put in a jar</p>					
16. OFFICER (Signature) <p style="font-size: 1.5em; font-family: cursive;">Hong Theau</p>					

FIGURE A-1-33: Example of PPQ Form 287, Mail Interception Notice

Purpose

PPQ Form 287, Mail Interception Notice, is completed for the following reasons:

- ◆ Notify the individual (addressee) receiving the mail package that unauthorized animal products, animal by-products, plants, plant products, plant pests, or soil were removed
- ◆ Inform the sender (addressor) of the reason for removing the animal products, animal by-products, plants, plant products, plant pests, or soil
- ◆ Record the regulatory action CBP takes when intercepting mail
- ◆ Provide information for preparing monthly and quarterly reports

Instructions

Complete PPQ Form 287 using the instructions in [Table A-1-24](#).

TABLE A-1-24: Instructions for Completing PPQ Form 287, Mail Interception Notice

Block	Instructions
1	Enter your port of entry
2	Enter the date
3	Leave blank
4	Enter the complete name and address of the individual who is receiving the package (addressee)
5	Enter the complete name and address of the individual who sent the package (addressor)
6	Describe in detail the animal product, animal by-product, plant, plant product, plant pest or soil you have removed, destroyed, or returned (the intercepted material)
7	Enter the location where the package was postmarked
8	Enter the date of the postmark
9	Enter the mail registry number recorded on the package, if any
10	<ul style="list-style-type: none"> ◆ If contents were broken, leaked, or skilled, then list ◆ If there was no breakage, enter "NONE"
11	<ul style="list-style-type: none"> ◆ If reconditioning to the package was required by the agent of the carrier, broker, or addressee check "Yes" ◆ If reconditioning of the package was not required, check "No"
12	<ul style="list-style-type: none"> ◆ Enter the regulation that governs the unauthorized animal product, animal by-product, plant, plant product, plant pest, or soil ◆ If you do not know the regulation, then refer to
13	<ul style="list-style-type: none"> ◆ Check the block that states what regulatory action you took—removed, destroyed, or returned ◆ Do not seek advice from the individual receiving the package as to whether the animal product, animal by-product, plant, plant product, or plant pest should be destroyed or returned to origin

TABLE A-1-24: Instructions for Completing PPQ Form 287, Mail Interception Notice

Block	Instructions
14	<ul style="list-style-type: none"> ◆ Check the block that states the reason why you took regulatory action ◆ If the reason is not specifically listed, then check the “Other” block and list the reason
15	<ul style="list-style-type: none"> ◆ Detail what you did and why so that the individuals who sent and receive the package understand what was done and why <p>Example Pork appeared to be home prepared–roasted and put in a jar.</p> <ul style="list-style-type: none"> ◆ If the package is being returned to the sender, list in this block “The package was returned by surface mail.” The Postal Service will not return packages by air
16	Sign your name
Reverse side of PPQ 287	<ul style="list-style-type: none"> ◆ When some items are removed from a package, it is good policy to list the remaining contents and their condition on the reverse side of this form ◆ Note who handled the repackaging and wrapping of the package before the package was returned to the mail is advisable (this information will be useful to answer any complaints of missing items or breakage)

TABLE A-1-25: Determine the Regulation that Governs the Plants, Plant Products, Animal Products, Soil, and Plant Pests

If the product is:	And it is:	Then the regulation is:
Animal product or animal by-product	Semen or embryos	9CFR Part 98
	Edible products such as: <ul style="list-style-type: none"> ◆ Meat and meat products ◆ Milk and milk products ◆ Eggs 	9CFR Part 94
	Inedible by-products such as: <ul style="list-style-type: none"> ◆ Bones ◆ Hay or straw ◆ Hides ◆ Skins 	9CFR Part 95
	Casings	9CFR Part 96
	Biological products such as viruses, serum, toxins that are intended for use in treating animals	9CFR Part 104
	Organisms and vectors	9CFR Part 122

TABLE A-1-25: Determine the Regulation that Governs the Plants, Plant Products, Animal Products, Soil, and Plant Pests (continued)

If the product is:	And it is:	Then the regulation is:
Plant or plant products	Citrus canker and other citrus diseases	7CFR Part 319.19
	Citrus fruit (and peel)	7CFR Part 319.28
	Coffee (beans into Puerto Rico and Hawaii)	7CFR Part 319.73
	Corn diseases	7CFR Part 319.24
	Cotton, cottonseed, etc. (Hawaii, Puerto Rico, and Virgin Islands)	7CFR Part 318.47
	Cut flowers	7CFR Part 319.74
	Exotic bee diseases and parasites	7CFR Part 319.76
	Foreign cotton and covers	7CFR Part 319.8
	Fruits & vegetables (Puerto Rico and Virgin Islands)	7CFR Part 318.58
	Hawaiian fruits and vegetables	7CFR Part 318.13
	Honeybees and honeybee semen	7CFR Part 322
	Indian corn or maize, broomcorn, and related plants	7CFR Part 319.41
	Kaphra beetle	7CFR Part 319.75
	Logs, lumber, and other unmanufactured wood articles	7CFR Part 319.40
	Nursery stock, plants, roots, bulbs, seeds, and other plant products	7CFR Part 319.37
	Packing materials	7CFR Part 319.69
	Plants and plant products in mail	7CFR Part 351
	Rice (grain, straw, hulls, plants)	7CFR Part 319.55
	Sugarcane	7CFR Part 319.15
	Sugarcane (Hawaii, Puerto Rico)	7CFR Part 301.87
Sweet potatoes (Hawaii, Puerto, Rico, and Virgin Islands)	7CFR Part 318.30	
Wheat diseases (grain, straw, plants)	7CFR Part 319.59	
Other Regulations	Endangered Species Convention	50CFR Part 23
	Safeguard Regulations	7CFR Part 352
	Soil	7CFR Part 330.300
	Plant Pests	7CFR Part 330.200

Distribution

Distribute PPQ Form 287 as follows:

1. Use **Table A-1-26** to determine where to send the original PPQ Form 287.

TABLE A-1-26: Distribution of PPQ Form 287, Mail Interception Notice

If the package is:	And the contents are:	Then the original copy of PPQ Form 287 is:
Released to the addressee	→	Enclosed in the package
Destroyed or returned to sender	Prohibited or restricted	Mailed to the addressee
	Unrestricted	Sent to the postal official

2. Distribute the copies of PPQ Form 287 as follows:
 - ❖ If the package is returned to the sender, enclose a copy inside the package
 - ❖ If necessary, give a copy to the Postal supervisor
 - ❖ Place a copy in the port file and maintain for an official record



The information recorded on this form is important to collect and a useful mechanism to track activities to transfer the results to the Activities Report: AQAS systems/WADS.

PPQ Form 301-R, Remedial Measures Billing (Statement of Services)

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE REMEDIAL MEASURES BILLING <i>(Statement of Services)</i>		1. ORIGINATING OFFICE AND TELEPHONE NO.	2. LOCATION CODE (4 Digits)		
		3. SERVICE DATE	4. IRS TAX ID NO./SS NO.		
5. OWNER/AGENT NAME	6. OWNER/AGENT ADDRESS	7. OWNER/AGENT TELEPHONE NO.			
<p>NOTE: Partial units must be in quarter increments (e.g., 15 minutes = 1; 30 minutes = 2; 45 minutes = 3)</p>					
8. REIMBURSABLE TIME (2 hour minimum)	9. UNIT COST		10. NUMBER OF UNITS		11. TOTAL DOLLARS
	FOR HOURS	FOR QUARTERS	FOR HOURS	FOR QUARTERS	
Normal Tour of Duty	\$84.00	\$21.00			
Outside Normal Tour of Duty					
Sunday/Holiday	\$112.00	\$28.00			
Other than Sunday/Holiday	\$100.00	\$25.00			
Commuted Travel Time (If applicable under 7 CFR § 354.2)	\$65.00	\$16.25			
					12. TOTAL REIMBURSABLE CHARGE \$ _____
13. ADDITIONAL COSTS (See Attached Invoice(s)) <input type="checkbox"/> Destruction \$ _____ <input type="checkbox"/> Treatment \$ _____ <input type="checkbox"/> Handline \$ _____ <input type="checkbox"/> Transit \$ _____ <input type="checkbox"/> Other \$ _____					14. TOTAL ADDITIONAL COSTS \$ _____
15. IDENTIFICATION OF CARGO Carrier _____ Entry No. _____ Airway Bill/ Bill of Lading No. _____ Broker Reference No. (If Applicable) _____					16. TOTAL AMOUNT DUE \$ _____
17. REMARKS					
CERTIFICATION: I CERTIFY THAT SERVICES RECORDED ABOVE WERE PERFORMED.					
18. PLANT PROTECTION AND QUARANTINE OFFICER'S SIGNATURE					19. SIGNATURE DATE
PPQ FORM 301-R APR 2007					

FIGURE A-1-34: Example of PPQ Form 301-R, Remedial Measures Billing (Statement of Services)

Purpose

PPQ Form 301-R, Remedial Measures Billing (Statement of Services), is used to record costs incurred when CBP arranges and takes remedial action for articles (import cargo) after the importer or agent fails to comply with prescribed remedial measures.

Instructions

TABLE A-1-27: Instructions for Completing PPQ Form 301-R

Block	Instructions
1	Enter the issuing office's city, state, and telephone number (including area code)
2	Enter the fourth through seventh digits of your local accounting code
3	Enter the date the service is provided. If the service extends over two or more days, enter the beginning date
4	Enter the IRS-assigned taxpayer identification number (TIN) or the individual's Social Security number; all Federal Agencies are required to obtain a TIN from each person doing business with the Agency
5	Enter the company or agent's name
6	Enter the company or agent's complete mailing address
7	Enter the company or agent's telephone number (including area code)
8	Enter a two-hour minimum time, regardless of when the service is provided; the two-hour minimum includes the Officer's time, time spent making all necessary arrangements, and time spent completing paperwork
9	<i>Current hourly and quarter cost for services are already listed on the form</i>
10	Enter the number of units next to the service provided EXAMPLE If service is provided outside the normal tour of duty on a Sunday, and takes 2-3/4 hours, then enter a 2 in the Hours column and enter a 3 in the Quarters column. Complete the Commuted Travel Time column following 7CFR 354.2.
11	1. Multiply the cost per unit by the number of units 2. Enter the total amount for that particular line
12	1. Add all the dollar amounts in <i>Block 11</i> 2. Enter the total dollar amount
13	1. Check the appropriate boxes 2. Enter the actual costs for each service 3. Attach supporting documentation (invoices, etc.) to the PPQ Form 301-R to substantiate the claim
14	1. Add all the amounts in <i>Block 13, Additional Costs</i> 2. Enter the total dollar amount
15	Enter applicable information to identify the specific cargo abandoned or seized
16	1. Add the amounts in <i>Block 12</i> and <i>Block 14</i> 2. Enter the total dollar amount
17	List any additional comments
18	CBP Officer performing the service signs this block
19	Enter the date the CBP Officer signed <i>Block 18</i>

Distribution

After the PPQ Form 301-R is complete, distribute it as follows:



- ◆ Forward the billing worksheet (Form 301-R) and copies of all associated bills, invoices, EAN, VISA purchase card receipts, statements, etc., to the Marketing and Regulatory Program Business Site (MRPBS):

USDA, APHIS, MRPBS, FMD
Billing and Collections Team
100 N Sixth Street
Suite 510C
Minneapolis, MN 55403

The Billing and Collections Team (BCT) will collect the money from the owner/agent and reimburse the funds to the national accounting code. The contact number is 1-877-777-2128. It is a Help Line voicemail system on which you need to leave a message requesting assistance from BCT member. The fax number is (612) 370-2083.

- ◆ Keep a copy for the port file

PPQ Form 309A, Pest Interception Record

 Plant Protection & Quarantine PEST INTERCEPTION RECORD			Interception Number: <small>(Database Generated) For PPQ Use</small> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>				
Location:		Forward To: <small>For PPQ Use</small> <input type="checkbox"/> None <input type="checkbox"/> PPQ <input type="checkbox"/> SEL <input type="checkbox"/> Other					
Port Reference Number:		Priority: <input type="checkbox"/> Urgent <input type="checkbox"/> Prompt <input type="checkbox"/> Routine <input type="checkbox"/> CRA-Tally					
Interception Date:	Pathway: <input type="checkbox"/> Airport <input type="checkbox"/> Maritime <input type="checkbox"/> SITC <input type="checkbox"/> Land Border <input type="checkbox"/> Foreign Site <input type="checkbox"/> Rail <input type="checkbox"/> Pre-Departure <input type="checkbox"/> Inspection Station		Mode of Transportation: <input type="checkbox"/> Aircraft <input type="checkbox"/> Vessel <input type="checkbox"/> Railcar <input type="checkbox"/> Vehicle <input type="checkbox"/> Truck <input type="checkbox"/> Train <input type="checkbox"/> Bus <input type="checkbox"/> Pedestrian				
Inspector: <small>(Last Name, First Name Middle Initial)</small>	Overtime: <input type="checkbox"/>	Origin:		Unsure: <input type="checkbox"/>			
Destination: <small>(City, State, Zip Code)</small>		Airline / Ship Name:		Flight # / Ship #:			
Inspected Host: <small>(Imported Commodity + Host Part)</small>		Imported As: <input type="checkbox"/> Fruit <input type="checkbox"/> Leaf <input type="checkbox"/> Stem <input type="checkbox"/> Root <input type="checkbox"/> Bulb <input type="checkbox"/> Seed <input type="checkbox"/> Soil <input type="checkbox"/> Cut Flower <input type="checkbox"/> Plant <input type="checkbox"/> Cutting <input type="checkbox"/> Wood Product		Shipment Identification #: Shipment Type: <input type="checkbox"/> Air Waybill <input type="checkbox"/> Entry # <input type="checkbox"/> Bill of Lading <input type="checkbox"/> Container # <input type="checkbox"/> Other			
Host Quantity: <small>(Shipment Size)</small> NUMBER: <input type="text"/> UNITS: <input type="text"/>	Material For: <input type="checkbox"/> Consumption <input type="checkbox"/> Propagation <input type="checkbox"/> Non-Entry		NARP: <input type="checkbox"/> Yes <input type="checkbox"/> No				
Biological or Pest Host:		Where Intercepted: <input type="checkbox"/> General Cargo <input type="checkbox"/> Baggage <input type="checkbox"/> Stores <input type="checkbox"/> Holds <input type="checkbox"/> Permit Cargo <input type="checkbox"/> Mail <input type="checkbox"/> Quarters <input type="checkbox"/> Miscellaneous					
Pest Proximity: <input type="checkbox"/> In <input type="checkbox"/> On <input type="checkbox"/> With		Pest Stage: <small>(Insects, Mites, & Nematodes)</small>	Immature	Pupae	Adults	Eggs	Cysts
Pest Type: <input type="checkbox"/> Botany <input type="checkbox"/> Disease <input type="checkbox"/> Insect <input type="checkbox"/> Mite <input type="checkbox"/> Mollusk <input type="checkbox"/> Nematode		Alive	Dead	Pest Order:	Quarantine Status: <small>For PPQ Use</small> <input type="checkbox"/> Action <input type="checkbox"/> No Action <input type="checkbox"/> Check Regs		
Final: <input type="checkbox"/>	Pest Determination:	Reportable: <input type="checkbox"/> Yes <input type="checkbox"/> No	Determined By:		Date:		
<input type="checkbox"/>		<input type="checkbox"/> Yes <input type="checkbox"/> No					
<input type="checkbox"/>		<input type="checkbox"/> Yes <input type="checkbox"/> No					
Remarks:							

PPQ Form 309A (September 2007)

Previous versions are obsolete.

FIGURE A-1-35: Example of PPQ Form 309A, Pest Interception Record

Purpose

PPQ Form 309A is a worksheet that provides information pertaining to organisms intercepted from materials of foreign origin. Information on this form is used to determine the quarantine status of the intercepted organism and may be entered into the Pest Identification Database (Pest ID) to create an official record of the interception.

Instructions

Cargo Instructions

Submit interceptions on the basis of a shipment. The term shipment usually refers to commodities from a single exporter entering under a single Customs entry number. Shipments may be one or more plants, plant parts, plant products, or other articles arriving individually or as parts of a group, usually received at one time from a single exporter (even though the material may have been assembled from several sources). Material under separate APHIS permits may be included in a single shipment, and several shipments may arrive under one Customs entry. Remember the key words “from a single exporter entering under a single Customs entry number.”

Complete a separate PPQ Form 309A for interceptions made on each shipment. If a shipment is covered by multiple permits, you may prepare separate forms for interceptions made from items under different permits within the shipment.

Prepare a separate PPQ Form 309A for each origin when infested materials in the same shipment are from different origins.

Complete a separate PPQ Form 309A for each infested host in a shipment, including each host family (if only family is known), genus (if only genus is known), or species. Submit specimens with the accompanying form for identification.

Never submit multiple forms for what is obviously the same pest species in the same shipment. See [Figure A-1-36](#) for more guidance.

Other Interceptions

Submit from sources **other than** cargo (i.e. baggage, interception, stores, quarters, holds, ship’s deck, etc.) if differences occur in any of the following:

- ◆ Pest
- ◆ Host
- ◆ Origin
- ◆ Carrier

EXAMPLE

Anastrepha sp. fruit fly larvae are found in a mombin and in a mango in passenger baggage off the same airline flight from Jamaica. Because two different hosts are involved, submit two interceptions of *Anastrepha* sp.

Instructions for Completing Form 309A APHIS-PPQ Pest Interception Record

Form 309A is an interactive PDF document that was designed to be filled out either online or by hand. The information requested on the form reflects the data needed to create a 309 Interception Record in the Pest Interception Database (Pest ID). The instructions below provide guidance on completing each of the fields on the form.

1. Location – Select the appropriate location from the drop down list and confirm that your selection reflects the appropriate agency affiliation (CBP, PPQ).

2. Port Reference Number – Include a user-defined reference number following any locally established protocols.

3. Priority – Indicate the priority of the interception:

Urgent – Immediate attention required, cargo on hold pending identification.

Prompt – Identification desired within two weeks.

Routine – Identification desired within 30 days.

CRA-Tally – Indicates interception of a pest covered under the Cargo Release Authority Program.

4. Interception Date – Enter the date on which the interception was made.

5. Inspector – Indicate the inspector(s) involved in the interception (Last Name, First Name Middle Initial) and indicate if the interception was made during an overtime shift.

6. Origin – Select the country of origin from the drop down list. If the origin is questionable, check the Unsure box.

7. Pathway – Indicate the pathway through which the interception was made.

Airport – All interceptions made at airports

Maritime – All interceptions made at seaports

SITC – All interception associated with PPQ Smuggling Interdiction & Trade Compliance activities

Land Border – All interceptions made from pedestrians and personal or commercial vehicles inspected at the Canadian and Mexican borders

Foreign Site – All interceptions made during Preclearance or other offshore activities

Rail – All interceptions made from rail freight of foreign origin

The image shows a screenshot of the 'PEST INTERCEPTION RECORD' form. It is a complex grid of fields with various checkboxes and dropdown menus. Numbered callouts (1-29) are placed over the form to indicate specific fields mentioned in the instructions. For example, callout 1 points to the 'Location' dropdown, callout 2 to the 'Port Reference Number' field, and callout 3 to the 'Priority' checkboxes. The form includes sections for 'Interception Details', 'Pathway', 'Mode of Transportation', 'Destination', 'Airline / Ship Name', 'Flight # / Ship #', 'Inspection Details', 'Host Quarantine', 'Material For', 'Biological Host', 'Pest Stage', 'Pest Type', 'Pest Order', 'Quarantine Status', 'Final Determination', and 'Remarks'.

Pre-Departure – All interceptions made from pre-departure inspection of passengers traveling between US destinations

Inspection Station – All interceptions made from propagative material examined at PPQ Plant Inspection Stations

8. Mode of Transportation – Indicate the type of conveyance used to transport the inspected item(s).

9. Destination – Identify the declared destination (City, State, Zip Code) of the inspected item(s). At minimum, provide the destination state using the drop down list.

10. Airline / Ship Name – When applicable, identify the airline or ship used to transport the inspected item(s).

11. Flight # / Ship # – When applicable, provide the identification number of the flight or ship used to transport the item(s).

FIGURE A-1-36: Instructions for Completing PPQ Form 309A, Pest Interception Record (page 1)

12. Inspected Host – Enter the scientific name for all plants and plant products, as well as the part of the plant affected. Typical host part values include:

- Bagging	- Dried	- Pod
- Bark	- Dunnage	- Root
- Bulb	- Flower	- Seed
- Cargo	- Fruit	- Slab
- Crating	- Granules	- Soil
- Cutting	- Leaf	- Stem
- Dried Flower	- Pallet	- Straw
- Dried Fruit	- Petal	- Trunk
- Dried Leaf	- Plant	- Wood

Identify all miscellaneous products using general descriptive terminology (i.e. gravel, machinery, tiles, etc.)

13. Host Quantity – Enter the shipment size of the inspected commodity and select the appropriate unit of measure from the drop down list.

14. Material For – Indicate the proposed usage of the item(s) being inspected.

15. NARP – Indicate whether the inspected item(s) are covered under the National Agricultural Release Program.

16. Imported As – For plant-related commodities, indicate the form of the inspected material.

17. Shipment Identification # - Enter a unique identification number for the shipment and indicate the source of this number. If Other is selected, please provide additional information in the Remarks section at the bottom of the form.

18. Biological Host – If the intercepted pest is encountered on host material that differs from the inspected commodity, enter the identity of the contaminant, packing material, etc.

19. Where Intercepted – Indicate where the pest was found:

General Cargo – Manifested items that are not quarantine regulated. (e.g. processed wood products, household goods, dried flowers)

Permit Cargo – Manifested items requiring a formal permit and/or quarantine-regulated items, (e.g. unprocessed wood products including dunnage, fruits and vegetables, cut flowers, propagative material.)

Baggage – Passenger baggage.

Mail – Mail packing and mail bags.

Stores – Food kept aboard carriers to feed crew, passengers, or animals.

Quarters – Living areas including cabins on a ship, passenger, and crew cabins on a plane, etc.

Holds – Cargo compartments, also use for pests that cannot be associated with specific cargo.

Miscellaneous – Found at large, on or within various parts of carriers (ship, plane, or vehicle) except when found in the carrier stores, quarters, or holds.

20. Pest Proximity – Identify the location of the pest in relation to the host:

In – Pest(s) extracted from inside the commodity.

On – Pest(s) are attached and feeding on the commodity.

With – Pest(s) associated with the host, but not on or in the host.

21. Pest Type – Indicate the type of pest intercepted.

22. Pest Stage – Enter the number of specimens of each life stage intercepted and indicate whether the specimens collected were Alive or Dead.

23. Pest Order – If known, identify the order of the intercepted pest.

24. Final – Indicate if the associated pest determination represents a final identification. For tentative identifications, leave this block blank.

25. Pest Determination – Enter the scientific name of the identified pest.

26. Reportable – Indicate whether the identified pest is reportable (Quarantine Significant).

27. Determined By – Enter the identifier's name.

28. Date – Enter the date on which the identification was made.

29. Remarks – Include any notes that may aid identifier(s). Follow any local protocols that make use of this field to collect additional information about the interception. Examples include: Brokers, Farms, Growers, Locations, Varieties, etc.

****The following fields are to be used by PPQ Identifiers or National Specialists:**

Interception Number – The interception number is automatically assigned by Pest ID and can be transcribed on to the form, if needed.

Forward To – Identifiers use this field to indicate if the interception has been forwarded to a National Specialist.

Quarantine Status – This field allows the Identifier or National Specialist to indicate whether the interception should result in quarantine action.

FIGURE A-1-37: Instructions for Completing PPQ Form 309A, Pest Interception Record (page 2)

Distribution

Send the completed, single-page, PPQ Form 309A along with the specimen to the appropriate identifier or specialist for identification. See ***Sending Specimens for Identification*** on **page 7-1-10**.

PPQ Form 508, Green and Yellow Label for Mailing Plant Quarantine Material



This Package Contains
PLANT QUARANTINE MATERIAL

DELIVER TO
U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

230-59 International Airport Centers Blvd
Jamaica, NY 11413

PPQ FORM 508 (JUN 2004) PERMIT NO. 37-12344

FIGURE A-1-38: Example of PPQ Form 508, Green and Yellow Label without Bar Code



FIGURE A-1-39: Example of PPQ Form 508, Green and Yellow Label with Bar Code

Purpose

PPQ Form 508 is a green and yellow shipping label issued by USDA, APHIS, Permit Services. It serves to designate a package as containing a regulated plant product covered by an APHIS permit. The G&Y label includes the APHIS permit number and the address where inspection is authorized, typically at an APHIS Plant Inspection Station (APHIS PIS). It authorizes movement of an intact package to the address on the label. No other delivery addresses can appear on the package exterior unless it matches the address on the PPQ Form 508 label.

The permitted material falls into one of the following categories:

- ◆ Live plants, including those requiring post entry quarantine
- ◆ CITES material
- ◆ Soil
- ◆ Prohibited plant material authorized by a Departmental permit
- ◆ Certain regulated seeds

USDA APHIS inspects these articles and confirms that the permit conditions are met.

Instructions

Expedite containers with these labels to the APHIS plant inspection station listed on the label (see [Appendix O](#)).



For USPS mail, if additional delivery addresses are on the package that do **not** match the green and yellow label address, forward the package to the local APHIS Plant Inspection Station, using existing transfer mechanisms.


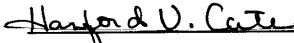


For Express Courier packages, if the courier delivery label on the outside of the package bears an address that is different from the address on the PPQ Form 508 shipping label, explain the problem to the courier agent. The courier may choose to return the package to origin, or, if the location has a local APHIS PIS, the package may be allowed to move to the local APHIS PIS for inspection. Coordinate the transfer of packages using existing mechanisms.

See [Appendix O](#) for a list of APHIS PIS locations.

PPQ Form 518, Report of Violation

The information requested is voluntary, and is needed to record your knowledge of possible irregularities under the USDA Plant Protection and Quarantine Program.

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLAN PROTECTION AND QUARANTINE		SERIAL NO. A3998345	
REPORT OF VIOLATION		1. DATE VIOLATION DISCOVERED 10/5/02	2. VIOLATED - REG/COMPL. AGREEMENT 7CFR 330.400 & 9CFR 94.5 *
3. WHERE INTERCEPTED (City or port, and State; also county if domestic) San Francisco, CA		4. ORIGIN OF ARTICLE (Include county if domestic) China, People's Republic of	
5. ARTICLE MOVED IN VIOLATION OF REGULATIONS Regulated garbage		6. IDENTITY OF ARTICLE (Serial No., Waybill No., description, etc.) Milk cartons listed China as the country of origin	
7. NAME AND BUSINESS ADDRESS OF VIOLATOR (Shipper, caterer, cleaner, garbage handler, servicing agent, broker, ship's agent, etc. Identify which) Sky Chefs (caterer) 9600 Camino Road San Mateo, CA 96472		8. VIOLATOR HAD Compliance agreement? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Permit? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
10. NAME AND BUSINESS ADDRESS OF CARRIER China Air PO Box 9700 San Francisco, CA 95731		9. IF NO, VIOLATOR WAS AWARE OF REGULATION? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown If "Yes," how informed and when? Sky Chefs' manager Doug Ho was informed orally of the garbage regulation and signed, **	
12. IDENTITY OF CARRIER PLANE Acft. No. RG 1123 Flight No. 1250 SHIP Flag Name ROAD VEHICLE License No.		11. CARRIER WAS AWARE OF REGULATION? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown If "Yes," how informed and when? Carrier signed compliance agreement SF 15 on April 1, 2002.	
13. NAME AND BUSINESS ADDRESS OF CONSIGNEE Not applicable			
14. DISPOSITION OF PEST RISK (i.e., articles named in item 5 were fumigated, destroyed, etc) Foreign garbage was picked up, taken to the US Air incinerator, and incinerated.			
15. REMARKS (Attach additional sheet, if needed) (Block 2) * Compliance agreement number SF 7. (Block 9) ** and was given a copy of compliance agreement number SF 7 on 4/1/02. The compliance agreement specified the requirements for handling regulated garbage.			
16. VIOLATOR OR CARRIER'S STATEMENT OF VIOLATION (Attach additional sheet, if needed. Identify who gave statement) See the attached "Violator's Statement."			
17. OFFICER'S STATEMENT: Must attach a detailed, signed, and dated statement. State how the action violated the regulations or compliance agreement cited in item 2. Describe fully the facts of the violation from discovery through disposition of pest risk including when, who, what, and where.			
18. SIGNATURE OF INITIATING OFFICER 		19. PRINTED NAME OF OFFICER AND WORK UNIT Heather Gross San Francisco	
		20. DATE REPORT COMPLETED 10/5/02	
21. OFFICER IN CHARGE COMMENTS (Attach additional sheet, if needed) List Previous Violations RSS-CP-62-01 (given warning letter), RSS-CP 95-01 (assessed \$750 fine) Recommendations Assess \$2,000 fine			
22. SIGNATURE OF OFFICER IN CHARGE 		23. PRINTED NAME OF OFFICER IN CHARGE AND WORK UNIT Hanford V. Cate San Francisco	
		24. DATE SIGNED 10/5/02	

PPQ FORM 518
AUG 2002

Previous editions are obsolete

FIGURE A-1-40: Example of PPQ Form 518, Report of Violation

Purpose

PPQ Form 518 is used to report the following:

- ◆ Smuggled or misrepresented merchandise
- ◆ The violator's **not** presenting the required certificates or permits
- ◆ Violations for unauthorized movement of regulated cargo

Together with statements from the officer, violator, and witnesses, and documentary and physical evidence, PPQ Form 518 becomes a part of the total case file. This form is also used for violations of domestic quarantines including Hawaii and Puerto Rico.

Instructions

Use the instructions in **Table A-1-28** for completing PPQ Form 518. The person who first detects the violation initiates the PPQ Form 518 and the subsequent investigation. Investigate the violation (before or while completing PPQ Form 518) by interviewing violators and witnesses to get their statements, by collecting physical evidence, and by obtaining documentary evidence.



Funds received from civil penalties assessed for violation of the Plant Protection Act and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are not controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. If you have any questions, contact QPAS at 301-734-8295.


TABLE A-1-28: Instructions for Completing PPQ Form 518, Report of Violation

Block	Instructions	
1	<ul style="list-style-type: none"> ◆ Enter date violation was discovered ◆ If violation was discovered after it occurred, EXPLAIN in <i>Block 15</i> 	
2	Specify as follows:	
	If:	Then:
	Violation of compliance agreement	Enter C.A.
	Cargo violation	Enter the regulation(s) violated; for example, if the violation involved fresh fruit, you would enter 319.56
	Animal regulation that has been violated is unknown (you don't know the regulation)	Contact PPQ, VRS in Riverdale at 301/734-7633
3	Fill in the name of the port where the cargo that was moved in violation of the regulation was discovered or where the garbage violation was observed	
4	Cargo—fill in the name of the country where the cargo originated or was grown	

TABLE A-1-28: Instructions for Completing PPQ Form 518, Report of Violation (continued)

Block	Instructions
5	Fill in the name of the cargo moved, e.g., "5 cases of yams"
6	Enter the air waybill number, bill of lading, etc.
7	<ol style="list-style-type: none"> 1. Fill in the violator's name 2. Indicate the person's position in parentheses after the violator's name (such as caterer, shipper, cleaner, etc.) 3. List the violator's business address
8, 9	Check and fill in as appropriate
10	Fill in the name and the business address of the carrier
11	Check and fill in as appropriate
12	Fill in as appropriate
13	Fill in the name and the business address of the consignee
14	List the action(s) taken to eliminate the pest risk, e.g., foreign garbage was picked up and incinerated; area where garbage was lying on the ground was cleaned and disinfected with sodium hypochlorite
15	Fill in any pertinent remarks
16	<ul style="list-style-type: none"> ◆ Ask the violator to provide an explanation of the incident ◆ Get a written statement if possible ◆ Get statements from the carrier agent, importer, caterer, or any other involved party, as follows: <ul style="list-style-type: none"> ❖ The statement may be written on a separate sheet of paper or you may use the sample format in Appendix C ❖ Title the statement using a description of the person's designation, e.g., "Violator's Statement," "Agent's Statement," etc. ❖ Give the statement an exhibit number ◆ If a person refuses to write a statement <ul style="list-style-type: none"> ❖ Ask that person to tell you what happened relative to the violation ❖ Write down exactly what the person tells you ❖ Indicate that the statement was transcribed by you, the officer ❖ Use your transcription as the statement ❖ If the person gives you only a few brief remarks, enter these directly in <i>Block 16</i> ◆ If you got a written statement, enter "See attached [<i>Violator/Carrier Agent/Importer, Caterer, etc.'s</i>] Statement."

TABLE A-1-28: Instructions for Completing PPQ Form 518, Report of Violation (continued)

Block	Instructions
17	<p>An Officer's Statement must be written and accompany each PPQ Form 518 submitted.</p> <ul style="list-style-type: none"> ◆ Write your explanation of the violation on a separate sheet of paper titled "Officer's Statement" ◆ Give this statement an exhibit number ◆ Describe all the facts that resulted in the article listed in <i>Block 5</i> being in violation of the regulation listed in <i>Block 2</i> ◆ State all facts including who, what, when, where, and how ◆ Include the following information where appropriate: <ul style="list-style-type: none"> ❖ State when and where the violation occurred ❖ Describe how the violation occurred ❖ Identify the carrier from which the garbage was removed and where the garbage came from ❖ Identify the owner of the cargo ❖ Identify the employer of the violator ❖ Refer to your exhibits and explain their relevance to the case ❖ State if you witnessed the violation ◆ Sign and date the Officer's Statement (only the officer signs); if more than one officer was involved in the violation, each officer must write a separate statement
18-20	Fill in
 Important	<p><i>Blocks 21, 22, 23, and 24 are to be completed by the Port Director.</i></p>
21	<ul style="list-style-type: none"> ◆ Fill in any additional information¹ that may help to substantiate the case such as previous warning letters and the dates sent, signed compliance agreements, any known previous civil penalties, case numbers, dates, and amounts of penalties assessed; such as, Case #RSS-CP-62-01 fined \$1,000 on 9/11/01 ◆ Enter your recommendation for one of the following: <ul style="list-style-type: none"> ❖ Warning letter ❖ Civil penalty ❖ Criminal penalty
22-24	Fill in

1 This information will help determine if the case warrants civil or criminal penalties and the amount of the spot settlement.

Distribution

Distribute the case file, including PPQ Form 518 as follows:

TABLE A-1-29: Distribution of PPQ Form 518, Report of Violation

- ◆ FORWARD Part 1 and all supporting documents (such as CBP Form AI-288 and the Violator's and Officer's Statements) to Investigative and Enforcement Services (IES) at the following address:

USDA-APHIS-IES
4700 River Road, Unit 85
Riverdale, MD 20737
Phone 301/734-8684

- ◆ KEEP Parts 2 and 3 for the port files

PPQ Form 519, Compliance Agreement

(Fillable versions: pdf: <http://www.aphis.usda.gov/library/forms/pdf/ppq519.pdf>
 Word: <http://www.aphis.usda.gov/library/forms/pdf/ppq519.dot>)

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 numbers for this information collection are 0579-0054, 0088, 0129, 0198, 0238, 0257, 0306, 0310. The time required to complete this information collection is estimated to average 1.25 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 NUMBER 0579-
0054/0088/0129/0198/
0238/0257/0306/0310

UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		COMPLIANCE AGREEMENT	
1. NAME AND MAILING ADDRESS OF PERSON OR FIRM		2. LOCATION	
3. REGULATED ARTICLE(S)			
4. APPLICABLE FEDERAL QUARANTINE(S) OR REGULATIONS			
5. I/WE AGREE TO THE FOLLOWING:			
6. SIGNATURE		7. TITLE	8. DATE SIGNED
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.			9. AGREEMENT NO.
			10. DATE OF AGREEMENT
11. PPQ/CBP OFFICIAL (NAME AND TITLE)		12. ADDRESS	
13. SIGNATURE			
14. U.S. GOVERNMENT/STATE AGENCY OFFICIAL (NAME AND TITLE)		15. ADDRESS	
16. SIGNATURE			

PPQ FORM 519 (MAY 2007) Previous editions are obsolete.

FIGURE A-1-41: Example of PPQ Form 519, Compliance Agreement

Purpose

PPQ Form 519, Compliance Agreement, provides a signed, written agreement with shippers, dealers, carriers, garbage handlers and processors to indicate their understanding 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, and is used to formalize agreements with airline caterers, both maritime and airport garbage haulers, and airport garbage processors. The PPQ Form 519 is also used to submit as evidence for a violation case.



A compliance agreement for aircraft garbage caterers (kitchens) may be granted **only** to kitchens on, or immediately adjacent to the international airport.

Instructions

Review compliance agreements at least annually, but preferably twice a year. Amend compliance agreements as appropriate. Any compliance agreement may be cancelled, either orally or in writing, by an inspector whenever the inspector finds that the person who has entered into the compliance agreement has failed to comply with the conditions of the agreement. However, **never** cancel an agreement made with an establishment that handles regulated garbage without consultation with the State Plant Health Director or the CBP Port Director and VRS HQ. These compliance agreements may be revoked only by the APHIS Administrator.

If you cancel a compliance agreement orally, confirm it in writing as soon as possible. The establishment has 10 days to appeal the cancellation. Appeals must be made to the APHIS Administrator.

Complete PPQ Form 519 as instructed in [Table A-1-30](#). See also Appendix B, *Completing Compliance Agreements* on page B-1-1.

TABLE A-1-30: Instructions for Completing PPQ Form 519, Compliance Agreement

Block	Instructions
1	Fill in
2	Fill in the location of the specific property(s) for which the Agreement is signed
3	Fill in the specific regulated articles to which the Agreement applies, e.g. "Regulated garbage"
4	List the titles, parts, and subparts, e.g. for regulated garbage — "7 CFR 330.400 – 330.403 and 9 CFR 94.5"

TABLE A-1-30: Instructions for Completing PPQ Form 519, Compliance Agreement

Block	Instructions
5	<p>If completing a Compliance Agreement for regulated garbage:</p> <ul style="list-style-type: none"> ◆ Write “See Attached Compliance Agreement (# pages) and Addendum to Compliance Agreement” ◆ See Completing Compliance Agreements on page B-1-1 <p>If completing a Compliance Agreement for other than regulated garbage:</p> <ul style="list-style-type: none"> ◆ See Completing Compliance Agreements on page B-1-1 ◆ Outline stipulations which apply to the establishment for each quarantine or regulation affecting the establishment ◆ Make clear to the establishment that stipulations in the Compliance Agreement do not preclude compliance with other sections of a quarantine or regulation ◆ If space in <i>Block 5</i> is inadequate for listing the stipulations, then write “See Attached Sheets”
6	Have a responsible official of the establishment sign
7	Fill in
8	Fill in
9	Assign a compliance agreement number
10	Fill in
11	Fill in name of PPQ or CBP Official
12	Fill in
13	Have the PPQ or CBP Official sign
14	Fill in name of the U.S. Government or State Agency Official
15	Fill in
16	Have the U.S. Government or State Agency Official sign

Distribution

Use [Table A-1-31](#) when distributing PPQ Form 519.

TABLE A-1-31: Distribution of PPQ Form 519, Compliance Agreement

If Compliance Agreement:	Then:
Affects one work unit	<ul style="list-style-type: none"> ◆ GIVE original to the establishment ◆ KEEP a copy for port files in the area where the establishment is located
Affects more than one work unit	<ul style="list-style-type: none"> ◆ GIVE original to the establishment ◆ GIVE copies to all work units affected by the compliance agreement ◆ KEEP a copy for port files in the area where the establishment is located

PPQ Form 523, Emergency Action Notification

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 is 0579-0102. The time required to complete this information collection is estimated to average 1 hour per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.
 FORM APPROVED - OMB NO. 0579-0102

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE EMERGENCY ACTION NOTIFICATION		SERIAL NO. 1339-POE	
		1. PPQ LOCATION FL Miami Sea CBP	2. DATE ISSUED 09/14/2006
3. NAME AND QUANTITY OF ARTICLE(S) Article Name Chemicals Quantity 100 Each Description Industrial Cleaning Solution In Barrels		4. LOCATION OF ARTICLES Maersk Line	
		5. DESTINATION OF ARTICLES Custom Broker's Warehouse 1093 Indian Spring Drive Plantation FL 39284 United States of America	
6. SHIPPER London Freight 3827 Queensway Boulevard London RHY3029 United Kingdom of Great Britain and N. Ireland		7. NAME OF CARRIER M/V Trinidad 32948	
		8. SHIPMENT ID NO.(S) Airway Bill, B/L, Etc. 439548574643 Tariff Number 34022011 Container Num CNRU39284 Customs Entry Num 94837562847	
9. OWNER/CONSIGNEE OF ARTICLES Name United Supply Company Address 3928 Overland Park Lane City Orlando State FL Zip 39485 Country United States of America		10. PORT OF LADING Pembroke United Kingdom of Great Britain and N. Ireland	11. DATE OF ARRIVAL 09/10/2006
		12. ID OF PEST(S), NOXIOUS WEEDS, OR ARTICLE(S) Lacking Ispm 15 Marking	
		12a. PEST ID NO.	12b. DATE INTERCEPTED 09/13/2006
PHONE 482-555-4938 FAX 482-555-0938	13. COUNTRY OF ORIGIN United Kingdom of Great Britain and N. Ireland		14. GROWER NO.
SS NO. TAX ID NO.	15. FOREIGN PHYTOSANITARY CERTIFICATE NO. Certificate Status Not Required		
		15a. PLACE ISSUED	15b. DATE
Under Sections 411,412 and 414 of the Plant Protection Act(7 USC 7711,7712 and 7714) and Sections 10404 through 10407 of the Animal Health Protection Act (7 USC 8303 through 8306), you are hereby notified, as owner or agent of the owner of said carrier, premises, and/or articles, to apply remedial measures for the pest(s), noxious weeds, and/or article(s) specified in Item12, in a manner satisfactory to and under the supervision of an Agriculture Officer. Remedial measures shall be in accordance with the action specified in Item 16 and shall be completed within the time specified in Item 17.*			
AFTER RECEIPT OF THIS NOTIFICATION, ARTICLES AND/OR CARRIERS HEREIN DESIGNATED MUST NOT BE MOVED EXCEPT AS DIRECTED BY AN AGRICULTURE OFFICER. THE LOCAL OFFICER MAY BE CONTACTED AT: 847-555-0283			
16. ACTION REQUIRED <input type="checkbox"/> TREATMENT <input type="checkbox"/> RE-EXPORTATION <input type="checkbox"/> DESTRUCTION <input type="checkbox"/> OTHER			
The Wood Packing Material (WPM) with this shipment is in violation of adopted international standards. The WPM must be exported out of North America. Please contact an Agriculture Officer for further explanation. Note: No cost in the remedial measures for this shipment will be incurred by The United States Government. 7 CFR 319.40			
* Should the owner or owner's agent fail to comply with this order within the time specified below, USDA is authorized to recover from the owner or agent cost of any care, handling, application of remedial measures, disposal, or other action incurred in connection with the remedial action, destruction, or removal.			
17. AFTER RECEIPT OF THIS NOTIFICATION COMPLETE SPECIFIED ACTION WITHIN (Specify No. Hours or No. Days): 24 Hours		18. SIGNATURE OF OFFICER Gretchen L. Rector	
ACKNOWLEDGEMENT OF RECEIPT OF EMERGENCY ACTION NOTIFICATION <i>I hereby acknowledge receipt of the foregoing notification.</i>			
SIGNATURE AND TITLE Tom Kincaid Yard Master		DATE AND TIME 09/14/2006	
19. REVOCATION NOTIFICATION			
ACTION TAKEN Reexported			
SIGNATURE OF OFFICER Gretchen L. Rector		DATE 09/16/2006	

FIGURE A-1-42: Example of PPQ Form 523, Emergency Action Notification (Miscellaneous)

Appendix A: Completing and Distributing Forms
PPQ Form 523, Emergency Action Notification

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 is 0579-0102. The time required to complete this information collection is estimated to average 1 hour per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.
 FORM APPROVED - OMB NO. 0579-0102

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		SERIAL NO. 1336-POE	
EMERGENCY ACTION NOTIFICATION		1. PPQ LOCATION TX Laredo CBP	2. DATE ISSUED 10/02/2006
3. NAME AND QUANTITY OF ARTICLE(S) Article Name Asparagus, FV Quantity 1,000 Kilogram		4. LOCATION OF ARTICLES World Trade Bridge Cargo 715 Bob Bullock Loop	
6. SHIPPER Albatros Truckline 9384 Los Alamos Mexico City Mexico		7. NAME OF CARRIER Albatros Trucks Mx32932	
9. OWNER/CONSIGNEE OF ARTICLES Name Food Lion Address 309 Seashore Drive City Galveston State TX Zip 94837 Country United States of America		8. SHIPMENT ID NO.(S) Airway Bill, B/L, Etc. 39284756347 Tariff Number 07092010 ISPM 15 Marking MX932HT Customs Entry Num 48372584938	
PHONE 329-555-3847 FAX 329-555-3291		10. PORT OF LADING Mexico City Mexico	11. DATE OF ARRIVAL 09/30/2006
SS NO. TAX ID NO.		12. ID OF PEST(S), NOXIOUS WEEDS, OR ARTICLE(S) Contaminant - Other	
		12a. PEST ID NO.	12b. DATE INTERCEPTED 10/01/2006
		13. COUNTRY OF ORIGIN Mexico	14. GROWER NO. 236587
		15. FOREIGN PHYTOSANITARY CERTIFICATE NO. Certificate Status Not Required	
		15a. PLACE ISSUED	15b. DATE

Under Sections 411,412 and 414 of the Plant Protection Act(7 USC 7711,7712 and 7714) and Sections 10404 through 10407 of the Animal Health Protection Act (7 USC 8303 through 8306), you are hereby notified, as owner or agent of the owner of said carrier, premises, and/or articles, to apply remedial measures for the pest(s), noxious weeds, and/or article(s) specified in Item12, in a manner satisfactory to and under the supervision of an Agriculture Officer. Remedial measures shall be in accordance with the action specified in Item 16 and shall be completed within the time specified in Item 17.*

AFTER RECEIPT OF THIS NOTIFICATION, ARTICLES AND/OR CARRIERS HEREIN DESIGNATED MUST NOT BE MOVED EXCEPT AS DIRECTED BY AN AGRICULTURE OFFICER. THE LOCAL OFFICER MAY BE CONTACTED AT: **621-555-4784**

16. ACTION REQUIRED

<input type="checkbox"/> TREATMENT	A contaminant was found on this shipment. The shipment must be re-exported or destroyed. Please discuss options with an Agriculture Officer. Note: No cost in the remedial measures for this shipment will be incurred by The United States Government.
<input type="checkbox"/> RE-EXPORTATION	
<input type="checkbox"/> DESTRUCTION	7 CFR 319.56
<input type="checkbox"/> OTHER	

* Should the owner or owner's agent fail to comply with this order within the time specified below, USDA is authorized to recover from the owner or agent cost of any care, handling, application of remedial measures, disposal, or other action incurred in connection with the remedial action, destruction, or removal.

17. AFTER RECEIPT OF THIS NOTIFICATION COMPLETE SPECIFIED ACTION WITHIN (Specify No. Hours or No. Days): 24 Hours	18. SIGNATURE OF OFFICER Gretchen L. Rector
--	---

ACKNOWLEDGEMENT OF RECEIPT OF EMERGENCY ACTION NOTIFICATION

I hereby acknowledge receipt of the foregoing notification.

SIGNATURE AND TITLE Jose Salvador Truck Driver	DATE AND TIME 10/02/2006
--	------------------------------------

19. REVOCATION NOTIFICATION

ACTION TAKEN Reexported	DATE 10/02/2006
SIGNATURE OF OFFICER Gretchen L. Rector	

FIGURE A-1-43: Example of PPQ Form 523, Emergency Action Notification (Plant)

Purpose and Scope

The Emergency Action Notification (EAN) is a document that serves purposes for APHIS regulations. When an emergency action must be taken on a shipment, this form allows Customs and Border Protection - Agriculture Inspection (CBPAI) and/or Plant Protection and Quarantine (PPQ) to communicate the need for a specific action on a shipment to the interested parties. The EAN specifies to the broker, shipper, market owner, or other stakeholder the reason(s) why the shipment is being refused and basic explanation(s) as to what action is necessary.

The document also serves other critical needs. Use of the EAN information assists in determining risks and identifying trends. Through data compilation and analysis PPQ will use the information to update regulations, inform trade partners of areas of concern in foreign countries, and help with domestic emergencies. Targeting is another use for the information. CBPAI will be better able to determine which shipments may need closer inspection.

An EAN **must be issued from the National AQAS EAN Database** every time an emergency action is ordered for an agricultural purpose in the cargo or express courier environment. Agricultural purposes would be those that relate back to a violation of a regulation within the 7 CFR or 9 CFR chapters.



EANs **MAY NOT** be issued as a hand written document, typed on a manual typewriter, from any local database, or any means of issuance other than the **National AQAS** system.¹

1 The only acceptable reason for issuing an EAN from a source other than the AQAS National EAN Database is if the AQAS system is not in operation. In this instance, the EAN issued in another format must be entered into the AQAS National EAN Database within 24 hours.

Issue an EAN when:

- ◆ The Agriculture Specialist finds an actionable pest, potential quarantine pest, a contaminant, or prohibited product
- ◆ The Agriculture Specialist needs to record a commercial seizure
- ◆ The shipment lacks proper documentation
- ◆ The shipment contains non-compliant WPM
- ◆ The shipment is in the express courier environment (i.e. FedEx, UPS, DHL, etc.).

An EAN must **not** be issued for the following reasons:

- ◆ Condition of Entry/Precautionary Treatments - An EAN is **not** to be issued for a shipment requiring treatment as a condition of entry.
- ◆ Holding a Shipment - An EAN is only for taking immediate action. Do **not** use an EAN as a hold or supplemental hold for a shipment for any other reason than immediate treatment.
- ◆ Quality Issues - An EAN is **not** to be issued for the quality of a shipment. If the shipment does not pose a pest risk do not write an EAN.
- ◆ No inspection - An EAN is only to be issued if a shipment has been inspected (either a physical inspection of the goods or a paperwork inspection when that is the requirement) and an agricultural problem has been found. Do **not** write an EAN in lieu of inspection.
- ◆ Mail - Do **not** issue an EAN for any USPS mail. A Mail Interception Notification (PPQ 287) must be used for these shipments.
- ◆ Selected Animal Products - EANs are **not** to be issued on shipments of live animals or live animal products that are regulated by Veterinary Services. Refer to the [Animal Product Manual](#) for instructions on these products.
- ◆ Other Agencies' regulations - EANs are **not** to be issued for a violation of other agencies regulations. The only regulations that may be cited on an EAN are chapters 7 CFR and 9 CFR.

Refer to [Table A-1-32](#) and [Table A-1-33](#) below for further guidance.

TABLE A-1-32: Determining if an EAN is the Correct Form to Issue

If the shipment is presented in:	Then issue:
Air Cargo, Maritime Cargo, Rail Cargo, Truck/ Vehicle Cargo	PPQ 523 (EAN) GO to Table A-1-33 on page A-1-109
United States Postal Service Mail	PPQ 287 (Mail Interception Notification) GO to Table A-1-24 on page A-1-83
Express Courier (ex: FedEx, DHL, UPS, etc.)	PPQ 523 (EAN) GO to Table A-1-33 on page A-1-109

TABLE A-1-33: Determining Documents to Issue When Taking Action on a Shipment

If:	And:	And:	Then:
The shipment needs a paperwork inspection only	The shipment lacks the required documents	The shipment will be transferred from CBP-AI custody to PPQ custody	ISSUE PPQ 523 (EAN) and CBP AI-523A (Chain of Custody)
		The shipment will not change custody. The inspecting agency will complete final action.	ISSUE PPQ 523 (EAN)
	The shipment has all of the required documentation	→	Continue clearing/inspecting the shipment as needed. No documents need to be issued at this time.
A physical inspection is performed in addition to a paperwork inspection	A pest is found and action will be taken	The shipment will be transferred from CBP-AI Custody to PPQ custody	ISSUE PPQ 523 (EAN), CBP-AI 523A (Chain of Custody), and PPQ 309A (Interception Record)
		The shipment will not change custody. The inspecting agency will complete final action.	ISSUE PPQ 523 (EAN) and PPQ 309A (Interception Record)
	A contaminant seed is found and action will be taken	The shipment will be transferred from CBP-AI Custody to PPQ custody	ISSUE PPQ 523 (EAN), CBP-AI 523A (Chain of Custody), and PPQ 309A (Interception Record)
		The shipment will not change custody. The inspecting agency will complete final action.	Issue PPQ 523 (EAN) and PPQ 309A (Interception Record)
	The WPM with the shipment is not properly marked with the accepted ISPM 15 symbol	→	ISSUE PPQ 523 (EAN)
	The shipment contains a manifested, but prohibited product or prohibited animal product	The shipment will be transferred from CBP-AI Custody to PPQ custody	ISSUE PPQ 523 (EAN) and CBP AI-523A (Chain of Custody)
		The shipment will not change custody. The inspecting agency will complete final action.	ISSUE PPQ 523 (EAN)
	The shipment is found with a contaminant that does not need to be submitted to an identifier	The shipment will be transferred from CBP-AI Custody to PPQ custody	ISSUE PPQ 523 (EAN) and CBP AI-523A (Chain of Custody)
The shipment will not change custody. The inspecting agency will complete final action.		ISSUE PPQ 523 (EAN)	
The shipment contains smuggled merchandise	→	<ul style="list-style-type: none"> ◆ ISSUE PPQ 523 (EAN) and PPQ 518 (Report of Violation) ◆ INITIATE seizure case in SEACATS ◆ SEE Important box below 	



Seize smuggled agricultural merchandise. Re-export or treatment are not options for such shipments. Do **not** provide a copy of the EAN to the importer because the importer will be given notice through the issuance of the Notice of Seizure by the Fines, Penalties and Forfeitures Officer (FPFO). In order to inform USDA of the seizure, the CBPAS must reference the SEACATS case number (which will also reflect the Notice of Seizure) in Block #16 of the EAN being transmitted to USDA.

Instructions

The instructions in **Table A-1-34** on **page A-1-110** are for initiating an EAN. The electronic version of PPQ Form 523 which is located in the National Agricultural Quarantine Activity System (AQAS) at <https://mokcs14.aphis.usda.gov/aqas/login.jsp> is the only method by which an Emergency Action Notification may be initiated. **Emergency Action Notifications MAY NOT be issued in any other format, either manual or electronic.**

TABLE A-1-34: Instructions for Initiating an EAN

Block Number	Field Name	Instructions
1	Issuing Port	Select the port in which the EAN is being issued. Please note that some users will have multiple locations. If the user is assigned to multiple locations, be sure to select the correct location. If the user is not assigned to a port to which he/she requires access, contact the help desk.
2	Date Issued	Enter the date that the EAN was issued.

TABLE A-1-34: Instructions for Initiating an EAN

Block Number	Field Name	Instructions
3 Name and Quantity of Manifested Article	Article Category* Article Name*	<p>This block is to determine the commodity of the shipment. Only one commodity is allowed to be listed per EAN. Do NOT list pallets, crates, dunnage, etc. as the Name of Article unless they are the actual commodity being shipped.</p> <p>Article Category - Select a category (Animal Product, Plant Product, or Miscellaneous). The user must select the appropriate category as the other fields in this block are dependent upon it.</p> <p>Animal Products</p> <p>Animal Classification - Select the classification of the shipment. The classification selected will determine the drop down list for the classification category in the next field. See the Animal Product Manual (APM) contents page for further clarification.</p> <p>Classification Category - Select the classification category. The classification category will determine if a classification subcategory is required. To decide on a classification category see the APM classification selected in the previous field.</p> <p>Classification Subcategory - Select the classification subcategory. This information can be found in shipment documentation.</p> <p>* The drop down lists in this category have come directly from the Animal Product Manual. If you need assistance with this menu, see the APM.</p> <p>Plant Products</p> <p>This selection is for fresh cut flowers, fresh fruits and vegetables, logs, lumber, and propagative materials only. Any processed plant products (mulch, handicrafts, potpourri, Chinese Teas, etc.) will be found in the Miscellaneous Category.</p> <p>Miscellaneous Products</p> <p>This category is for all products that do not fit into either Animal Products or Plant products as defined above. Select the category that best fits the commodity. If there is not a category that fits your item please contact the help desk, National Coordinator, or Regional Coordinators before continuing. If the user selects miscellaneous, a description of the article must be entered. The description should be as accurate as the information available. For example, brake pads, bolt screws, linen fabric, stuffed toys, etc. If the product is agricultural but processed, the user must give an exact description of the article. For example, wooden birdhouses with grass roofs, dried whole apricots, wood carvings with bark edging, etc.</p> <p>Article Name - This drop down list has been determined by the user's previous selections. If the user does not find the article name in the drop down list please contact the help desk.</p>

TABLE A-1-34: Instructions for Initiating an EAN

Block Number	Field Name	Instructions
3 Name and Quantity of Manifested Article (continued)	Quantity* Unit of Measure*	Enter the numerical quantity of the shipment. When determining the article quantity, use the most specific number. For example, kilograms is a better selection than box count when dealing with most produce or meat products, but square meter is a better selection for veneer. “Boxes/Crates” may not be used if another option is available.
	APHIS Permit Number	APHIS Permit Number - If the shipment has any kind of APHIS permit, enter the number here.
	Wood Packing Material*	Check the appropriate boxes. If the user selects none or non-compliant only one box may be selected, but if the wood is non-compliant the user may chose both non-compliant for timber pest and no markings. If wood is not marked with an acceptable symbol, then it is considered unmarked.
4	Location of Articles*	The location of articles is the place where the shipment is located when it is inspected. For example, US Air Warehouse, 123 Airplane Way, Butte, MT 12345. Each port will have a local drop down list so that users will not have to type addresses that have already been added to the system. If using the drop down list, ensure that the correct location has been selected. If the location that the user needs to select is not on the default list, it may be added by port users and supervisors by selecting "Set Defaults". All locations must contain the name of the facility, the physical address, city, state, and zip code.
5 Delivery Address of Articles	Name*	Enter the name of the company/individual accepting the goods as destination of the articles (delivery address). Do not use the broker as destination. Do not automatically assume that the consignee address and delivery address is the same.
	Address where the articles will be delivered*	Enter the address where the goods are intended to be delivered including street address, city, state (within the US), country, and zip/postal code. If the shipment has multiple destinations, the officer should include the destination to which the majority of the shipment is being delivered. If the shipments will be distributed evenly then choose the location to which the product could potentially cause the greatest risk. When determining the address to select the officer should use his/her best judgment. Additional delivery addresses should be entered into the “Comments” field on page 4 of the data entry screens. Questions regarding this should be directed to the officer’s first line supervisor.
6 Shipper	Name*	Enter the name of the shipper.
	Address of Shipper*	Enter the address of the shipper including street address, city, and country. Enter state/province and postal code if known. This must be a foreign address.

TABLE A-1-34: Instructions for Initiating an EAN

Block Number	Field Name	Instructions
7 Name of Carrier	Name*	Enter the name of the carrier company. For example, Northwest Airlines, M/V Panama, Canadian Pacific, Yellow Freight. On the land borders independent trucks frequently cross. If the truck is independent use the name of the owner of the tractor. Do not enter vehicle numbers in this field. Do NOT enter abbreviations for the name of carrier including airline codes.
	Flight/ Voyage/ Trip Number*	Enter the appropriate number based on pathway. For trucks use the trailer license number.
8 Shipment Identification Numbers	Airway Bill, Bill of Lading, PAPS Code*	Enter the bill of lading number. If the cargo is border cargo and does not have a bill number, use the PAPS code. This is a mandatory field. Every shipment will have this number at the time that shipment is presented for inspection.
	Tariff Number*	Enter the 10 character tariff number as provided in ACS or ATS. This is indicated in ATS as the HTS number. Do not add any punctuation, numbers only. If the user cannot find the tariff number in ATS or ACS then use this link to look up the number: http://dataweb.usitc.gov/scripts/tariff_current.asp
	Customs Entry Number*	Enter the Customs Entry Number. Do not add any punctuation, numbers only. *If the entry has not yet been filed at the time of inspection, enter "Not Yet Filed" *If the shipment is of low value (under \$2000 as of 09/2006) it is considered informal and no entry number will ever be processed, enter "Informal" Do not enter N/A or Not Available. If the user doesn't have an entry number other than listed above, describe why.
	Container Number	Enter the complete container number. This is usually a 4-letter code followed by 5 or 6 numbers. Include the check digit.
	ISPM Markings	Enter the complete information from the ISPM Marking (IPPC wood marking). If the officer finds a pest in marked wood, this is a required field.
	Other Identifying Number	This field is available to include another number that there is either not a field for or can be used for a number collected for port policy. Examples include invoice number, shipment number, etc. If the pathway is air cargo, the House Airway Bill must be entered here.
	Other Identifying Number Description	If the user enters an "Other Identifying Number" then this field must be completed. The entry should clearly identify what the "Other Identifying Number" is. Do not use abbreviations in the description other than HAWB for "House Airway Bill."

TABLE A-1-34: Instructions for Initiating an EAN

Block Number	Field Name	Instructions
9 Consignee of Articles	Name*	Enter the name of the Consignee. This will be a company name most of the time. If the shipment owner is an individual, enter the name of the individual. The Consignee is the owner of the shipment. The broker is usually not the consignee.
	Address of Consignee*	Enter the street address of the consignee. Street address, city, and country must be entered. Enter the state/province and postal code if known.
	Phone and Fax Numbers	Enter the phone and fax numbers of consignee if known
10 Port of Lading	City*	Enter the foreign city where the shipment was last loaded onto a vessel, plane, railcar, or vehicle.
	Country*	Enter the foreign country where the shipment was last loaded onto a vessel, plane, railcar, or vehicle.
11	Date of Arrival*	Enter the date that the shipment entered the port.
12	Reason for EAN*	Select the reason(s) that the EAN is being issued. The following is a guideline to help determine the reason. Pest - If a pest or disease is found on, in, or with a shipment. Do not to enter a tentative ID. A national AQAS Pest ID number will be required. Lacks Documentation or Certification - Shipment is missing documentation or the documentation is not acceptable. Documents may include but are not limited to health certificates, FSIS paperwork, permits, phytosanitary certificates, etc. Contaminant- Seed - Shipment is found to have seed or seed heads that are contaminants, but not part of the manifested commodity. A national AQAS Pest ID number is required. Contaminant-Other - Shipment is found to have any contaminant that does not need to be sent to an identifier. Examples include blood, soil, manure, etc. Lacking ISPM15 Marking - Shipment was found to have unmarked or improperly marked WPM. Prohibited Animal Product - Shipment was found to be prohibited by a 9 CFR. Prohibited Product - Shipment was found to be prohibited by 7 CFR regulation.

TABLE A-1-34: Instructions for Initiating an EAN

Block Number	Field Name	Instructions
12a	Pest ID Number*	Enter the Pest ID number generated by the Pest ID system. This number must be provided by the identifier or an APHIS employee acting on behalf of an identifier. If pest or seed contaminant is selected as the reason for the EAN then the user will have to enter the 17 digit Pest ID number. If the user does not have the Pest ID number the EAN may be saved and printed, however the EAN can not be closed in the system until this information has been added. The system will not accept local pest ID numbers in any form.
12b	Date Intercepted*	Enter the date that the reason for writing the EAN was found. This date must match the date that is entered on the Pest ID record (309A).
13	Country of Origin	Enter country of origin. The country of origin is not necessarily the country from which it is being shipped. The country of origin is the location where the commodity was grown, manufactured, or produced. For example, a shipment of handicrafts might be shipped from Canada, but were made in China. China is the country of origin. Canada is the country of lading.
14	Grower/Facility Number	Enter the number of the foreign facility in which the product was processed or the foreign grower number. This number is frequently found on the invoice. It may also be available in ATS.
15	Foreign Sanitary Certificate Status*	Select the status of the certificate. If a certificate is not required continue to Block 16.
15a	Foreign Sanitary Certificate Number	Enter the certificate number.
15b	Place Issued	Enter City/Country where the certificate was issued. This will be a foreign address.
	Date Issued	Enter the date on which the certificate was issued.
Contact Number	Phone Number*	Enter the phone number at which the user issuing the EAN can be reached.
16	Treatment Schedule	Using the drop down menu, if treatment is available , select the appropriate treatment schedule. The treatment schedule MUST be provided by a PPQ Identifier or PPQ Employee acting on behalf of an Identifier. CBP AI should not select a treatment schedule that has not been approved by a PPQ Identifier or PPQ Employee acting on behalf of an Identifier.
	Explanation Text*	Select the explanation text that best matches the scenario for this EAN. This explanation tells the acceptor of the EAN two things: 1) what the problem is and 2) how to correct the situation. This is where the options are given. DO NOT use the "check boxes" printed on the form.
	Phyto-Fumigation Disclaimer	If fumigation is an option, the phyto disclaimer must be selected.

TABLE A-1-34: Instructions for Initiating an EAN

Block Number	Field Name	Instructions
16 (continued)	CFR Regulation*	Select the CFR under which the shipment is being regulated. More than one CFR can be selected. To look up a CFR use this link: http://ecfr.gpoaccess.gov
	Seal Text	If the shipment must be transferred to another location under seal, select the text that is appropriate to scenario. If the shipment is being sent for treatment by PPQ the quantity of the shipment being transferred (preferably in box count) must be included. NOTE: If the PPQ Officer supervising the treatment does not know the quantity to be treated the shipment will not be treated until that information is provided from CBP.
	Comments	If the user has any additional comments to make, they should be recorded in the Comment field. Do not repeat information that has previously been provided. Do not enter any pest name in this location. It may be helpful on a local level to enter a local ID number or broker information here. NOTE: These comments will print on the paper EAN.
17	After Receipt of Notification Complete Specified Action Within:	The user should select the amount of time allowed before treatment begins. For example, if the shipment is to be re-exported then the user should select the amount of time before the shipment must be on the conveyance back to country of origin.
18	Name of Inspecting Officer	Enter the name of the officer that inspected the shipment. DO NOT enter the name of the data enterer unless it is the same individual.
Acknowledgement of Receipt of Notification	Name of Recipient	Enter the first and last name of the person accepting the EAN. The user MUST have this person print their name next to the signature. The only acceptable entry in this field is the first and last name of the person accepting the EAN. DO NOT enter "On File."
	Title of Recipient	Enter the title of the person accepting and signing the EAN. Preferably enter name of their company as well. Example: Dispatcher, American Shipping
	Date Signed	Enter the date the EAN was signed and accepted.
19 Revocation Notification	Reason for Action Taken*	Enter the reason that the EAN was written. This should match the data entered in block 12.

TABLE A-1-34: Instructions for Initiating an EAN

Block Number	Field Name	Instructions
19 Revocation Notification (continued)	Action Taken*	Enter the action that was actually taken. Do not enter an action unless that action was taken. If the action was “Treatment,” select the treatment type. If the action was “Other,” enter what action was taken in the “Additional Remarks” section. Be descriptive in the narrative. Example: The WPM was separated from the shipment. The WPM was re-exported. The commodity entered commerce.
	Was the Article Mislabeled, Misrepresented, or Concealed?*	Select yes or no.
	Form 518 Reference Number	If the above answer is yes, then a 518 number must be entered.
	Additional Remarks	If the user has additional information that was not previously recorded, it should be entered here. This field is required if Action Taken-Treatment Type is equal to “Other.” This field will not print at any time. These are private comments visible only to system users.
	Signature of Officer*	Enter the name of the officer that completed or supervised the treatment, received confirmation of destruction, or received confirmation of re-exportation. Do not enter the data entry clerk’s name unless it is the same officer as described above. This may be a different user than originally opened the EAN.
	Date Action was Completed*	Date - Enter the date that the final action was completed.

Special Instructions for Infested Vessels Sailing Foreign Without Treatment

When an infested vessel is allowed to sail foreign without treatment, type the following statement in the “Comments” field on the EAN.

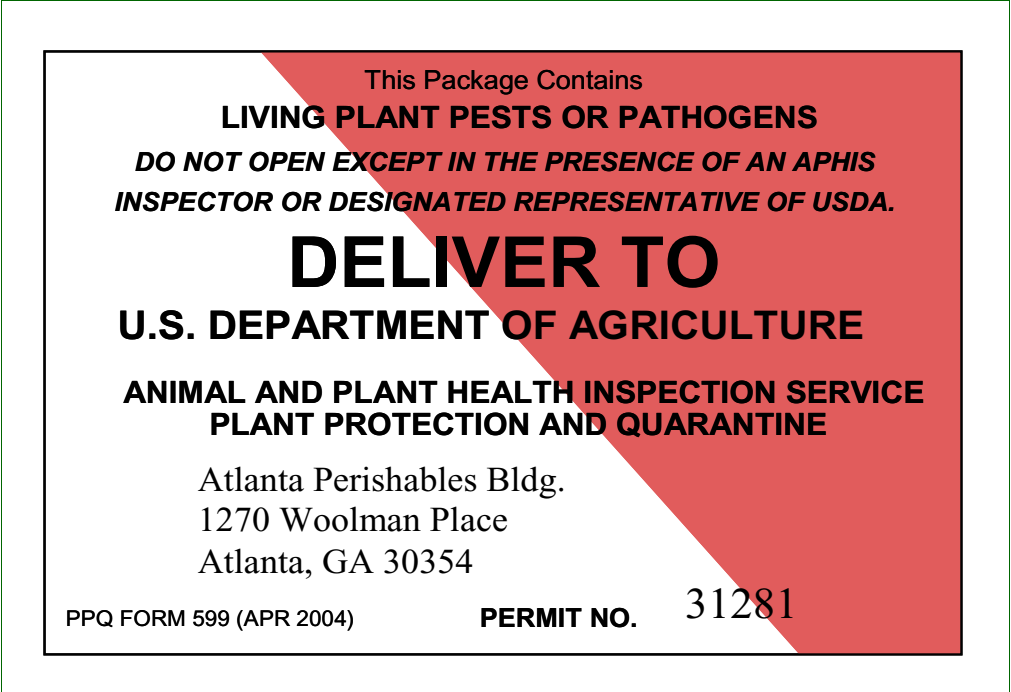
The requirements of the Emergency Action Notification are suspended upon condition that this vessel shall leave the territorial limits of the United States within *[list number]* of hours after receipt of this notice. This vessel shall **not** re-enter any port in the United States unless it has been treated in accordance with the notification and certified by the person who applied the treatment. If the certificate is **not** presented to the CBP officer when arriving at a port in the United States, or if the CBP officer for any other reason is **not** satisfied that the infestation has been eliminated, the notification shall immediately become effective and treatment required.

Distribution

Because PPQ Form 523 is now electronic, distribution as in the past, on every EAN, is unnecessary. The procedure has been that the signing party, who is responsible for the cargo, receives a hard copy of the notification. The hard copy is necessary to communicate to the consignee or shipper, and also gives the broker time to review the options and select one. The CBP contact number is listed as well.

Routinely sending the EAN to any other parties is not required. Sharing courtesy copies between PPQ and CBP should continue for local, regional or national projects. Ports may also keep their own hard copies.

PPQ Form 599, Red and White Label for Mailing Living Plant Pests or Pathogens



This Package Contains
LIVING PLANT PESTS OR PATHOGENS
*DO NOT OPEN EXCEPT IN THE PRESENCE OF AN APHIS
INSPECTOR OR DESIGNATED REPRESENTATIVE OF USDA.*

DELIVER TO
U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

Atlanta Perishables Bldg.
1270 Woolman Place
Atlanta, GA 30354

PPQ FORM 599 (APR 2004) PERMIT NO. 31281

FIGURE A-1-44: Example of PPQ Form 599, Red and White Label without Bar Code



This Package Contains
LIVING REGULATED ORGANISMS
*DO NOT OPEN EXCEPT IN THE PRESENCE OF AN APHIS
INSPECTOR OR DESIGNATED REPRESENTATIVE OF USDA.*

DELIVER TO
U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

Label # 9 Exp 05/11/2009

Miami Inspection Station
3500 N.W. 62nd Avenue
P.O. Box 59-2136
305-526-2825
Miami, FL 33159 USA

PPQ FORM 599 (SEP 2006) PERMIT NO. P330-07-00281

FIGURE A-1-45: Example of PPQ Form 599, Red and White Label with Bar Code

Purpose

APHIS Form 599 is a red and white shipping label issued by the USDA, APHIS, PPQ Permit Unit. It serves to designate a package as containing living organisms regulated under an APHIS PPQ permit (APHIS Form 526). These organisms usually fall into one of the following categories: Live insects, biological control agents, plant pathogens, select agents, worms, snails, bees, parasitic plants or noxious weeds.

The R&W label includes the APHIS permit number and the address where inspection is authorized. Often, but not always, the inspections occur at an APHIS Plant Inspection Station (APHIS PIS). These red and white labeled packages are not to be opened, except under controlled laboratory conditions. The label authorizes movement of a secure and intact package to the address on the label. Six APHIS PIS sites have Biosecurity Cabinets for Class II Type A materials. These include Miami, Linden NJ, JFK, San Francisco, Los Angeles and Beltsville MD.

Under no circumstances should permitted material be shipped via diplomatic pouch. Contact the local PPQ office (or APHIS PIS) if you have any concerns.

Instructions

Expedite containers with these labels to the APHIS PIS listed on the label (see [Appendix O](#)). No other delivery addresses can appear on the package's exterior unless it matches the address on the PPQ Form 599 label. These packages should only be opened and examined under a Class II biosafety cabinet. If the PPQ Form 599 is addressed to other than an APHIS PIS, contact the APHIS Permit Services compliance officer at 301-672-3608 with the addressing details.

If this is a hand carried package, follow the directions for handling in the Passenger Clearance section of this manual. Note the conditions on the permit for the CBP inspector's information. Review the information below, as needed, concerning red and white permits and applicable background information. All hand carried organisms moving under APHIS Plant Pest Permits require prior notice from APHIS to CBP.

Contact CBP APL headquarters before opening any red and white labeled package. An APHIS PPQ representative will need to be present. If the PPQ Form 599 or Form 526 is discovered AFTER opening the permitted package, reseal it and contact the local PPQ or APHIS PIS. CBP needs to provide a written record explaining who opened the package, when it was opened, where it was opened, the circumstances, and any problems. Forward the explanatory letter via email to: pest.permits@aphis.usda.gov. Please include shipment details, as well.

For USPS mail packages, if additional delivery addresses appear on the package that are different than the PPQ Form 599 label, forward the package to the local APHIS PIS using existing mail transfer mechanisms.

For Express Courier packages, if the courier delivery label is addressed differently than the PPQ Form 599, explain the problem to the courier's agent. They may have a policy about handling and delivery of mislabeled packages. The Express Courier may readdress the package to match the red and white label and allow the package to continue, or refuse to accept the costs of onward delivery to the address on the red and white label. If there is a mechanism to move the package to a local APHIS PIS, contact them to accept the package. This will assist PPQ in determining if our import procedures need to be modified for shipments of plant pest organisms.



Express Courier companies must not conceal PPQ permit labels by placing pouches, stickers, tape, or other material over the permit labels. If this practice is evident, contact the APHIS PPQ Compliance officer at 301-672-3608.

See **Appendix O** for a list of APHIS PIS locations.

ITEM 12 - Definitions of Diagnostic Case Categories

General Diagnostic Case - A case in which the tests conducted are for the purpose of diagnosing or confirming a domestic disease, and/or the analysis of environmental products that may be contributing to an existing disease condition.

FAD/EP Diagnostic Case - A case in which the tests conducted are for the purpose of diagnosing or confirming a foreign disease, or for the eradication of a foreign disease that has gained entrance into the U.S.

NVSL Intralab Diagnostic Case - A case in which the tests conducted are for the purpose of diagnosing or confirming a disease condition, analyzing environmental products that may be contributing to a disease condition or for analyzing chemical products for another laboratory of NVSL.

Surveillance/Monitor Case - a case in which the tests conducted are for the purpose of monitoring for a specific disease, for a specific insect or insect vector, or for analyzing specific products that are used in treating animals or poultry or for decontamination of animal or poultry facilities.

Developmental/Research Case - A case in which the tests conducted are for the purpose of supporting a developmental or research project conducted by another laboratory of NVSL, by staff or field personnel of VS or by other laboratories, institutions, or agencies.

Reagent Evaluation Case - A case in which the tests conducted are the purpose of evaluating a reagent produced by another laboratory of NVSL or by other laboratories, institutions, or agencies.

Import Case - A case in which the tests conducted are for the purpose of qualifying animals or poultry, including wild animals and birds, or animal or poultry products for importation into the U.S.

Export Case - A case in which the tests conducted are for the purpose of qualifying animals or poultry, including wild animals and birds, or animal and poultry products for exportation to a foreign country.

TB - A case with a specific request for diagnosis of TB.

Item 20 - Identification

Identify Samples with Consecutive Numbers - Record animal identification (number or name) adjacent to appropriate sample number. Laboratory results will be reported by sample identification number. Indicate approximate age in years(y), months(m), weeks(w), or days(d), and indicate sex of each animal. See sample below. When more than 0 samples, use VS Form 10-4A.

Sample	IDENTIFICATION		AGE	SEX	Sample	IDENTIFICATION		AGE	SEX
	Animal					Animal			
1	12ABC0000		3y	F	6	12ABC0005		10d	F
2	12ABC0001		2y	M	7	12ABC0006		10m	F
3	ABC002		1y	F	8	12ABC0007		8m	M
4	ABC0003		6m	F	9	12ABC0008		21/2y	F
5	12ABC0004		3w	M	10	12ABC0009		15m	M

Send a copy of the VS 10-4 to the Veterinarian-in-Charge (in submitter's State, Retain a copy for your records.

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 is 0579-0090. The time required to complete this information collection is estimated to average . 5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Agriculture, Clearance Officer, Stop 7602, 1400 Independence Ave., S.W., Washington, DC 20250-7602.

VS 10-4 (Reverse)

FIGURE A-1-47: Example of VS Form 10-4, Specimen Submission (back) (continued)

Purpose

VS Form 10-4 accompanies samples sent to NVSL in Ames, Iowa, for laboratory testing needed to determine disinfectant concentration, tick identification, or other tests needed to establish enterability of a product. In addition, use VS Form 10-4A, a continuation sheet, when sending 10 or more samples for testing.

Instructions

See [Table A-1-35](#) to complete the form.

TABLE A-1-35: Instructions for Completing VS Form 10-4, Specimen Submission

Block	Instructions
1	Enter your name, duty station, and office telephone number
2	Enter the name and address of the consignee, broker, or agent
3, 4, 5, 6, 7	Leave blank
8	<ul style="list-style-type: none"> ◆ Enter the test procedure you are requesting; for CBP purposes this would be one of the following: animal species, disinfectant percentage, internal temperature (protein coagulation), pH level, tick identification ◆ When submitting samples of sodium carbonate with sodium silicate: <ul style="list-style-type: none"> ❖ Specify that the examination requested is for concentrate of sodium ❖ Submit samples in plastic containers; never use glass containers ❖ DO NOT refer to any specific disease (such as FMD) when submitting samples to determine pH level or internal temperature
9	Enter the name of the CBP officer who collected the sample from the importer
10	Enter the date collected
11	Enter "HQ, PPQ, VMO"
12	Mark the <i>Import</i> box
13	Enter the country of origin
14	Leave blank
15	Mark the appropriate preservation used (preserved condition of product as imported)
16	<ul style="list-style-type: none"> ◆ Mark the appropriate specimen being submitted ◆ Mark the <i>Other</i> box and enter unknown if the specimen is unknown
17	Enter the total number of specimens submitted
18	<ul style="list-style-type: none"> ◆ Mark the appropriate species or source submitted ◆ Mark the <i>Other</i> box and enter unknown if the specimen is unknown
19	Leave blank
20	<ul style="list-style-type: none"> ◆ Enter the sample identification as consecutive numbers beginning with 1 ◆ Enter the animal identification with a sequence of numbers legible by laboratory personnel; e.g., all or the last part of the air waybill would be a good identification number ◆ Mark all containers (not lids) with the identification numbers ◆ Leave blank the columns <i>Age</i> and <i>Sex</i>

TABLE A-1-35: Instructions for Completing VS Form 10-4, Specimen Submission

Block	Instructions
21	<ul style="list-style-type: none"> ◆ Enter any information about the history of submission, sex of importation, number of containers, number sampled, and additional information ◆ Indicate the articles being submitted for disinfectant samples ◆ Add the statement “Please phone or FAX the results to the CBP office that submitted the request” for all other submissions
22	Sign and date the form

Distribution

Distribute VS Form 10-4 as directed in [Table A-1-36](#).

TABLE A-1-36: Distribution of VS Form 10-4, Specimen Submission

If:	And it:	Then:
Parts 1–3	Includes a specimen sample for identification of disinfectant percentages	SEND using overnight mail to: USDA–APHIS National Veterinary Services Laboratories Chemistry Section PO Box 844 Ames, IA 50010
	Specimen sample is for other than disinfectant percentages	CONSULT with PPQ, VRS at 301/734-7633
Part 4	—————→	USDA–APHIS–PPQ–VRS 4700 River Road, Unit 129 Riverdale, MD 20737-1236
Part 5	—————→	File

Results of Tests

The test results will be telephoned or faxed to PPQ, VRS. PPQ, VRS will inform the origination office. Exception: Test results of disinfectant samples will be mailed directly to the port. If test results **other than** for disinfectant are **not** received within 4 working days of submission, contact PPQ, VRS by telephone at 301/734-7633.

Appendix A: Completing and Distributing Forms

VS Form 16-78, Report of Entry, Shipment of Restricted Imported Animal Products and Animal By-Products, and Other

VS Form 16-78, Report of Entry, Shipment of Restricted Imported Animal Products and Animal By-Products, and Other Material

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE VETERINARY SERVICES REPORT OF ENTRY, SHIPMENT OF RESTRICTED IMPORTED ANIMAL PRODUCTS AND ANIMAL BY-PRODUCTS, AND OTHER MATERIAL		1. CASE NO.	
		2. PORT OF ENTRY New Orleans, LA	
A. REPORT OF ENTRY, AND FORWARDING OF SHIPMENT FROM FIRST PORT OF ARRIVAL			
3. NAME AND ADDRESS OF IMPORTER OR SHIPPER <i>(Include Zip Code)</i> International Casein 2024 Swan Street Slidell, LA 70460		4. COUNTRY OF ORIGIN France	
		5. CUSTOMS ENTRY NO. 140-93-19606	
		6. PRODUCT OR MATERIAL Casein	
		7. DATE OF ARRIVAL 10/30/02	
8. VETERINARIAN IN CHARGE IN STATE WHERE APPROVED ESTABLISHMENT IS LOCATED <i>(Include Zip Code)</i> Area Veterinarian in Charge USDA, APHIS, VS 5825 Florida Blvd., Room 1140 Baton Rouge, LA 70806-9985		9. NAME OF VESSEL Am. Sealand Express	
		10. NAME OF CARRIER <i>(Include R.R. Car No. or Truck License No.)</i> LA Trucking, Inc. LA 45389	
		11. SEAL NOS. OR QUARANTINE TAPE USDA 8369, 48370	
12. TOTAL QUANTITY RECEIVED AT PORT OF ARRIVAL <i>(Lbs. only)</i> 450,000 lbs.		13. NO. UNITS RECEIVED AT PORT OF ARRIVAL <i>(Specify Carton, Boxes, Bundles, etc.)</i> 300 casks	
14. NAME AND ADDRESS OF APPROVED ESTABLISHMENT <i>(Include Zip Code and phone no.)</i> International Casein 2024 Swan Street Slidell, LA 70460 985/643-0315		FROM PORT OF ENTRY TO APPROVED ESTABLISHMENT	
		15. NO. LBS. 450,000 lbs.	16. NO. UNITS 300 casks
17. REMARKS Invoice #IC383154			
18. PRINTED NAME AND SIGNATURE OF INSPECTOR Ronald Rockefeller <i>Ronald Rockefeller</i>		19. PPQ STATION France Road Work Station New Orleans	20. DATE 10/30/02
B. REPORT OF RECEIPT AND TREATMENT BY ESTABLISHMENT <i>(To be completed by Approved Establishment)</i>			
21. DATE RECEIVED	22. NAME OF APPROVED ESTABLISHMENT	23. WAS SHIPMENT INTACT <i>(If "No" explain in Item 30)</i> <input type="checkbox"/> Yes <input type="checkbox"/> No	
24. DATE TREATMENT COMPLETED	25. WERE R.R. CARS, TRUCKS, ETC. CLEANED AND DISINFECTED? <input type="checkbox"/> Yes <input type="checkbox"/> No	26. DISINFECTANT USED	
27. METHOD OF TREATMENT	28. DISPOSITION OF REFUSE		
29. REMARKS			
30. PRINTED NAME OF APPROVED ESTABLISHMENT OWNER	31. SIGNATURE OF APPROVED ESTABLISHMENT OWNER	32. DATE	
VS FORM 16-78 (FEB 2002) Previous editions are obsolete. PART 1 - ORIGINAL			

FIGURE A-1-48: Example of VS Form 16-78, Report of Entry, Shipment of Restricted Imported Animal Products and Animal By-Products, and Other Material

Purpose

VS Form 16-78, Report of Entry, Shipment of Restricted Imported Animal Products and Animal By-Products, and Other Material, is used to accompany all restricted animal products moving from the port of entry to APHIS-approved establishments or APHIS-approved storage facilities.



VS Form 16-78 is **not** to be used for foreign shipments of cooked beef or for transiting shipments. Use USDA, PPQ/FSIS Notification Sheet for Perishable Cooked Ruminant or Cooked Swine Meat from Restricted Countries.

Instructions

Complete VS Form 16-78 (FEB 2002) using the instructions in [Table A-1-37](#). Previous editions of the form are obsolete.

TABLE A-1-37: Instructions for Completing VS Form 16-78, Report of Entry, Shipment, of Restricted Imported Animal Products and Animal By-Products, and Other Material

Block	Instructions
1	Optional—used for identification by the port of entry if needed
2	List the port of arrival (city, State)
3	List the name and address of the importer or shipper
4	List the name of the country of origin
5	List the Customs Entry Number (if applicable) or air waybill number
6	List the product or material (be as specific as possible; such as wart hog hides, wildebeest skull, etc.); continue in <i>Block 17</i> as needed
7	List the date of arrival
8	List the name of the AVIC in the State where the approved establishment is located (in the Animal Product Manual see List of VS-AVIC in Figure H-1-4 and Appendix E)
9	List the name of the incoming vessel/carrier
10	List the name of the carrier moving the importation/shipment to the address listed in <i>Block 14</i>
11	Identify the seal numbers and whose they are, e.g., USDA, Customs
12	List in pounds only , the total quantity received at the port of arrival
13	List the number of units and type of units (box, bundle, carton, cask, etc.) received at the port of arrival
14	If the importation is for animal products or by-products moving to an approved establishment, then list the name, address, zip code, and phone number of the approved establishment (see Appendix E in the Animal Product Manual)
15	List in pounds the total weight of the shipment moved from the port of entry to the approved establishment
16	List the total number of units and type of units moved from the port of entry to the approved establishment


TABLE A-1-37: Instructions for Completing VS Form 16-78, Report of Entry, Shipment, of Restricted Imported Animal Products and Animal By-Products, and Other Material (continued)

Block	Instructions
17	List items such as air waybill number and detailed description of each animal product; for trophies or other personal shipments, list the importer's passport number and driver's license State, number, and expiration date and list the product or material (be as specific as possible; such as wart hog hides, wildebeest skull, etc.)
18	Print the name of the inspector and sign
19	List the name and location of the work station
20	List the date
21-32	Leave blank; these blocks will be completed by the approved establishment

Distribution

Distribute VS Form 16-78 as directed in [Table A-1-38](#).

TABLE A-1-38: Distribution of VS Form 16-78, Report of Entry, Shipment of Restricted Imported Animal Products and Animal Products, and Other Material

If:	Then:
Part 1	MAIL to the address in Block 14
Part 2	SEND with the importation/shipment by attaching to the form to the shipping documents or to the cargo or give the form to the importer <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p>Important</p> <p>If the importation is trophies or a personal shipment, then verify the identity of the transporter or person picking up the trophies or personal shipment for movement to the approved establishment by listing the driver's license number in Block 17.</p> <p>If a commercial courier service is used, then list the name of the service.</p> </div> </div>
Part 3	FAX ¹ to the Area Veterinarian in Charge in the State where the approved establishment is located (in the Animal Product Manual see List of VS-AVIC in Figure H-1-4 and Appendix E)
Part 4	KEEP for the port files

1 Do **not** mail Part 3, even though the form directs you to do so. Be sure to FAX the form to the AVIC.

VS Form 17-8, Agreement of Pet Bird Owner

This report is authorized by law (9 CFR 92). Failure to complete and sign form will result in abandonment of birds.		See reverse side for additional OMB information.		FORM APPROVED OMB NO. 0579-0040	
U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE AGREEMENT OF PET BIRD OWNER			1. NAME AND ADDRESS OF OWNER (Include Zip Code) Barry Brown		
INSTRUCTIONS: Complete items 1 through 6 and the applicable Agreement A, B, or C. Distribute copies as identified.			STREET 119 Meadowlark Drive CITY AND STATE Kansas City, MO ZIP CODE 64123		
2. PASSPORT NO. (If none, give Social Security No., or Driver's License No.) SS#371-82-2117		3. DATE OFFERED FOR ENTRY March 16, 2002		4. NO. OF BIRDS 2	
		5. FROM (Country of Origin) Guatemala		5. KIND OF PET BIRDS Parrots	
7. OWNER'S AGREEMENT - SIGN A - B - C OR D BELOW (Refusal to sign this form, automatically places option D into effect)					
<div style="border: 1px solid black; padding: 5px;"> A <p>I do hereby declare that the pet birds identified above will be maintained in my personal possession, separate and apart from all other birds and poultry at the location indicated in item (1) below for a minimum of 30 days until released by an inspector of the Animal and Plant Health Inspection Service of the United States Department of Agriculture. If the birds must be moved, I agree to contact the official in item (2) below <i>prior to such movement</i>.</p> <p>I hereby agree the bird(s) will be available for inspection during the aforementioned period of confinement at the address in item (1) below and at such times as deemed necessary by an inspector of the Animal and Plant Health Inspection Service of the United States Department of Agriculture. I further agree to immediately notify the Federal Official in item (2) below if any signs of disease are noted or if the bird(s) die during the confinement period.</p> <p>I understand if a laboratory specimen is taken and if found to contain the virus of Newcastle disease that the birds will be disposed of by the Animal and Plant Health Inspection Service of the United States Department of Agriculture.</p> </div>					
(1) LOCATION WHERE BIRDS WILL BE HELD 119 Meadowlark Drive Kansas City, MO 64123			(2) NAME AND ADDRESS OF FEDERAL OFFICIAL TO CONTACT Area Veterinarian in Charge USDA-APHIS-PPQ 1442 Aaron Court P.O. Box 104418 Jefferson City, MO 65110		
STATE Missouri			PHONE NUMBER (Include Area Code) 573/636-3116		
<input checked="" type="checkbox"/> LABORATORY SPECIMEN TAKEN					
SPECIMENS SUBMITTED BY (Name) A. Smith			REFERRAL NO. 006-02		
<div style="border: 1px solid black; padding: 5px;"> B <p><i>Section B applicable to Canadian pet birds and U.S. birds that have been outside the U.S. for less than 60 days (9 CFR 92.2(c)(1) & (2)(i))</i></p> <p>I certify that the birds have been in my possession for at least 90 days; that they are apparently healthy; and that they have not been exposed to any other birds during those 90 days.</p> </div>					
SIGNATURE OF OWNER		DATE SIGNED		OWNER'S TELEPHONE NO.	
		3/16/02		AREA CODE 555	
				PHONE NO. 555-1212	
WITNESSED BY (Signature)		TITLE		DATE	
		PPQ Officer		3/16/02	
<div style="border: 1px solid black; padding: 5px;"> C <p><i>In lieu of A above, I agree to export my birds to (Country)</i></p> </div>					
SIGNATURE OF OWNER				DATE SIGNED	
<div style="border: 1px solid black; padding: 5px;"> D <p><i>In lieu of any of the above options, I hereby abandon my bird(s) to the Animal and Plant Health Inspection Service of the United States Department of Agriculture for disposal.</i></p> </div>					
SIGNATURE OF OWNER				DATE SIGNED	
<i>Barry Brown</i>				3-16-02	
8. PORT OF ENTRY		9. CARRIER AND FLIGHT NO.		10. POST-ENTRY NO.	
11. DETAINING OFFICIAL (Signature)		12. TITLE		13. AGENCY	14. DATE
I certify that I have, this day, inspected the birds identified above offered for importation, and have found them to be free of evidence of communicable disease or exposure thereto, and release them for the purpose as stated above.					
15. PORT RELEASING OFFICIAL (Signature)		16. TITLE		17. DATE RELEASED	
I have inspected the birds inspected above, and find that all applicable provisions of 9 CFR Part 92 as amended have been met.					
18. FINAL RELEASING OFFICIAL (Signature)		19. TITLE		20. DATE RELEASED	
VS FORM 17-8 (JAN 90) Previous edition may be used.			STATE OF DESTINATION		

FIGURE A-1-49: Example of VS Form 17-8, Agreement of Pet Bird Owner

Purpose

VS Form 17-8, Agreement of Pet Bird Owner, is used for the following importations:

- ◆ Canadian origin pet birds which were in the owner's possession for 90 days or more
- ◆ U.S. origin pet birds reentering the country without a health certificate, and the owner chooses to abandon the birds for VS disposition
- ◆ Foreign origin pet birds entering the country and the owner chooses to return the birds to the country of origin or abandon the birds for VS disposition
- ◆ Foreign origin pet birds accompanied by their owners and in transit directly to Canada

The form is only to be completed for pet birds; **do not** complete for poultry or pigeons.

Instructions

If VS personnel are not readily available to obtain applicable information while the owner is present, then the CBP Agriculture Specialist or CBP Officer will obtain the information and fill in the appropriate blocks on VS Form 17-8 (before the owner has to depart the area). Complete VS Form 17-8 using the instructions in **Table A-1-39**. For a printable version of VS Form 17-8 go to: http://www.aphis.usda.gov/library/forms/pdf/vs17_8.pdf

TABLE A-1-39: Instructions for Completing VS Form 17-8, Agreement of Pet Bird Owner

Block	Instructions ¹
1-6	Fill in
7	<ol style="list-style-type: none"> 1. The pet bird owner must complete and sign either Box A, B, C, or D 2. If the owner refuses to sign the form, then advise the owner that option D is automatically placed in effect 3. Attach a note to the form explaining the circumstances 4. Let VS know if the owner is going to contact VS
7A	<ol style="list-style-type: none"> 1. Fill address where the birds will be held for 30 days 2. List the name, address, and telephone number of the VS Area Veterinarian in Charge for the State where the bird will be held (see Appendix H of the <i>Animal Product Manual</i>) 3. Have the owner sign and date the form and list a phone number (if there is not an owner's signature block space or date space on the version of VS Form 17-8 being used, have the owner sign and date in any available space in block 7A)
7B	<ol style="list-style-type: none"> 1. Fill in if appropriate 2. Have the owner sign, date, and provide home phone number 3. The person witnessing signs, dates, and provides title information
7C	<ol style="list-style-type: none"> 1. Have owner fill in the name of the country to which the birds are being exported 2. Have the owner sign and date the form
7D	Have owner sign and date the form when the owner abandons the birds to APHIS
8-9	Fill in
10	If postentry by carrier, enter postentry number
11-14	Fill in
15-20	Leave blank; VS will complete

¹ To obtain applicable information while the owner is available, and before the owner may have to depart the area, appropriate blocks on this form are to be filled in by the CBP Agriculture Specialist or CBP Officer if VS personnel are not readily available.

Distribution

Distribute VS Form 17-8 as instructed in [Table A-1-40](#).

TABLE A-1-40: Distribution of VS Form 17-8, Agreement of Pet Bird Owner

If:	Then:
Original	GIVE to VS
Second copy	GIVE to pet bird owner
Other copies	GIVE to VS as arranged locally between CBP and VS