



**United States
Department of
Agriculture**

Animal and
Plant Health
Inspection
Service

Plant Protection
and Quarantine

Export Program Manual



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Export Program
Manual

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Purpose

The *Export Program Manual* (XPM) is a reference to use when inspecting commodities and issuing export certificates. Guidance provided in the XPM is based on PPQ policy.

Unless specified otherwise, all references to “export certificate(s)” in the XPM refer to the following:

- ◆ PPQ Form 577, Phytosanitary Certificate
- ◆ PPQ Form 578, Export Certificate, Processed Plant Products
- ◆ PPQ Form 579, Phytosanitary Certificate for Reexport

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

Although foreign countries have established plant quarantine regulations that U.S. exporters are required to meet, the U.S. **does not require** export certification of commodities.



The United States Department of Agriculture, Animal and Plant Health Inspection Service, Plant Protection and Quarantine (USDA-APHIS-PPQ) **does not** regulate the exportation of commodities.

If requested by U.S. exporters, however, PPQ will provide this service for commodities that are eligible for certification. PPQ will assist U.S. exporters with commodities that are eligible for certification to meet the plant quarantine import requirements of foreign countries.

The information presented in this section covers topics that Authorized Certification Officials (ACOs) are required to know before working through the procedures to inspect and certify commodities offered for export certification. Topics include roles and responsibilities of each party involved in the certification process, the established contact protocol when assistance is needed, and a general overview of PPQ policy and special procedures of the export program.

Scope

The information in the XPM is based on international standards, PPQ policy, and regulations providing procedures for certifying commodities offered for export. The XPM also covers information about PPQ's Export Certification Project, EXCERPT, an electronic database that provides current information on the plant import requirements of foreign countries.

This manual is divided into the following chapters:

- ◆ *Introduction*
- ◆ *Policy*
- ◆ *General Procedures*
- ◆ *Special Procedures*

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

The *Introduction* provides basic information about the XPM. This chapter includes the manual's *Purpose*, *Scope*, *Users*, *Elements of a Credible Program*, and *Conventions*.

The *Policy* chapter provides the framework needed to coordinate and execute activity throughout the export program. Policy statements help focus attention and resources on high-priority issues—aligning and merging efforts to achieve program goals.

The *General Procedures* chapter explains the operational processes required to implement program policy and how ACOs carry out their responsibilities.

The *Special Procedures* chapter is subdivided into two groups:

- ◆ *Commodity* – covers the special procedures for certifying specific commodities
- ◆ *Special Programs* – covers the special procedures for certifying commodities associated with special programs

The *Appendixes* contain the following topics:

- ◆ Supplementary information **not** considered procedural
- ◆ Explanations and elaborations **not** essential to the manual but helpful to the user
- ◆ Information that interrupts the main flow of the procedures, making them more difficult to follow

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

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

Although the XPM does mention and give some direction for using EXCERPT as related to the procedures, the XPM **does not** comprehensively cover the use of databases related to export certification. Related databases include EXCERPT (<http://excerpt.ceris.purdue.edu/>), ACO (Authorized Certification Official) database, and the PCIT (Phytosanitary Certificate Issuance and Tracking System) <https://pcit.aphis.usda.gov/pcit/>.

Users

ACOs use the XPM as a reference for inspecting commodities and issuing export certificates. Export Certification Specialists, Trade Specialists, PPQ management, and State officials also use the XPM. Other interested parties reference the XPM.

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

- ◆ PPQ policy
- ◆ EXCERPT
- ◆ *Treatment Manual* (http://www.aphis.usda.gov/import_export/plants/manuals/ports/treatment.shtml)
- ◆ Usage of PPQ operational manuals

Elements of a Credible Program

Enabling Legislation

Plant Protection Act

Foreign countries have established plant quarantine regulations that exporters of U.S. agricultural products are required to meet. To enable PPQ to help exporters meet the plant quarantine import requirements of foreign countries, Section 418, CERTIFICATION FOR EXPORTS, of the Plant Protection Act provides the authority for issuing export certificates for the export of commodities. The regulation for enforcing the Plant Protection Act is 7CFR Part 353.

7CFR Part 353—Export Certification

This section (http://www.access.gpo.gov/nara/cfr/waisidx_06/7cfr353_06.html) provides the following:

- ◆ Contains a provision to ensure that ACOs **do not** inspect and certify shipments of commodities in which they or members of their family have a direct or indirect financial interest
- ◆ Describes accreditation of facilities and the standards for accreditation of non government facilities to perform laboratory seed health testing and seed crop phytosanitary inspection
- ◆ Describes the application for certification as well as the export certificates
- ◆ Identifies the purpose and administration of the export program as a service to U.S. exporters
- ◆ Identifies the responsibilities of ACOs to sign and issue PPQ Forms 577 or 579 based on the findings of an inspection
- ◆ Identifies the responsibilities of exporters

- ◆ Lists designated ports where PPQ Forms 577 or 579 may be issued for terrestrial plants listed in 50CFR Part 17 or 23
- ◆ Lists PPQ regional offices where information can be obtained for issuing export certificates
- ◆ Provides for issuing export certificates and entering into cooperative programs

Program Standards

The U.S. export program is based on standards established by the International Plant Protection Convention (IPPC) and the North American Plant Protection Organization (NAPPO). The U.S. export program has an obligation and responsibility to meet the standards developed by the IPPC and NAPPO. The primary standards on which the U.S. export program is based are the following.

IPPC Standards

The IPPC Standards consist of International Standards for Phytosanitary Measures (ISPM) <http://www.spc.int/pps/ispm.htm>.

- ◆ ISPM 1: *Principles of Plant Quarantine as Related to International Trade*
- ◆ ISPM 4: *Requirements for the Establishment of Pest Free Areas*
- ◆ ISPM 5: *Glossary of Phytosanitary Terms*
- ◆ ISPM 7: *Export Certification System*
- ◆ ISPM 10: *Requirements for the Establishment of Pest Free Places of Production and Pest Free Production Sites*
- ◆ ISPM 12: *Guidelines for Phytosanitary Certificates*
- ◆ ISPM 15: *Guidelines for Regulating Wood Packaging Material in International Trade*
- ◆ ISPM 22: *Requirements for the Establishment of Areas of Low Pest Prevalence*
- ◆ ISPM 23: *Guidelines for Inspection*

NAPPO Standards

The NAPPO Standards consist of Regional Standards for Phytosanitary Measures (RSPM) <http://www.nappo.org/Standards/Std-e.html>.

- ◆ RSPM 5: *NAPPO Glossary of Phytosanitary Terms*
- ◆ RSPM 8: *The Accreditation of Individuals to Sign Federal Phytosanitary Certificates*

PPQ is delegated as the National Plant Protection Organization (NPPO) and assumes the responsibilities for ensuring the U.S. export program meets international standards. To facilitate the export of commodities for our stakeholders and have a credible export program that is respected by our trading partners, our program will follow the policies and procedures in this manual. Our policies and procedures are designed to be consistent with IPPC and NAPPO standards.

The primary roles related to export certification and their responsibilities are outlined in [Appendix J](#) on **page J-1-1**.

Conventions

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

Advisories

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



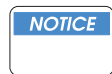
DANGEROUS indicates that people could easily be hurt or killed.



WARNING indicates that people could possibly be hurt or killed.



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



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



IMPORTANT indicates helpful information.

Boldfacing

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

Bulleted Lists

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

Chapters

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

Contents

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

Control Data

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

Decision Tables

Decision tables are used throughout the XPM. Read decision tables from left to right, beginning with the column headings and moving left one column at a time. Each column represents a condition with the last column on the right representing the action to take once all the conditions are considered. Using [Table 1-1-1 on page-1-1-7](#); if you are a 28-year-old female, you would schedule a physical.

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

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

Examples

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

EXAMPLE

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

Footnotes

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

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

Heading Levels

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

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

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

EXAMPLE

See [TABLE L-1-1](#) to determine how to report problems with the XPM.

Indentions

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

Italicized Brackets

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

Numbered Lists

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

Numbering Scheme

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

Section

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

2

Export Program
Manual

Policy

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Accreditation

Accreditation is official recognition of proficiency resulting in the approval and authority to perform specific tasks or provide specific services in full or partial support of official obligations. Accrediting people, organizations, facilities and processes associated with phytosanitary inspection, treatment, or testing, enhances the ability of Plant Protection and Quarantine (PPQ) to protect plant resources and facilitate trade. Accreditation recognizes consistent levels of competency and confers specific authority. Those accredited have obligations with respect to applications, personnel training, and quality assurance to become and remain accredited. Accreditation standards set out the responsibilities for both PPQ and the accredited facilities.

Authorized Certification Official (ACO) Accreditation is in accordance with 7CFR353 and the [North American Plant Protection Organization \(NAPPO\)](#) standard for authorized certification officials for issuance of export certificates. See also [Special Programs • Authorized Certification Official \(ACO\) Accreditation](#) on [page 5-1-1](#) and PPQ's [accreditation website](#).

For information on seed health accreditation, see [Special Programs • Seed Health Accreditation](#) on [page 5-9-1](#).

Additional Declarations (ADs)

An AD is “a statement that is required by an importing country to be entered on a phytosanitary certificate and which provides specific additional information on a consignment in relation to regulated pests.” [FAO, 1990; revised ICPM, 2005]. Additional requirements may be listed in the EXCERPT export summary or on official communication from the National Plant Protection Organization (NPPO) of the importing country.

Acceptable ADs

Before attesting to the conditions of an AD, ACOs must determine that the AD is allowed by PPQ policy. ADs can only be included on PPQ Forms 577 or 579 when they are required by the importing country and conform to PPQ policy. If a required AD is prohibited by PPQ policy, certification cannot be provided. ADs of this type are typically requirements that ACOs cannot verify (such as heat treatment of seed), or ADs of a non phytosanitary nature. All ADs must be verified by an ACO and supported by documentation.

Authority for Entering Additional Declarations

Only ACOs and Authorized Entities in PCIT have the authority to enter ADs on PPQ Forms 577 or 579. Exporters, shippers, or brokers are not allowed to enter ADs on PPQ Forms 577 or 579, except when the ACO's workload does not allow preparation of the certificate. In these rare cases, the ACO must dictate the required AD to the exporter and check the wording for accuracy. It is not permissible to put ADs on PPQ Form 578, Export Certificate, Processed Plant Products.

Amending an Additional Declaration

There are instances in which the AD required by an importing country must be amended. If the pest or pathogen is not known to occur in the U.S. or a political subdivision thereof, such as a State, and the requested AD asks for freedom from the pest or pathogen, the AD must be changed to read that the pest does not occur in the U.S. or identified State(s).



ACOs **must never** attest to freedom or apparent freedom from plant disease causing organisms such as fungi, nematodes, etc.

Exceptions to this policy are the following:

- ◆ When the pathogen is not known to occur in the U.S.
- ◆ When there is an ongoing national survey for the pathogen (currently **only** Karnal bunt of wheat, *Tilletia indica*)
- ◆ Special programs approved by ES

In addition, laboratory testing **cannot** be used as a basis for certification because a methodology for representative sampling and testing for disease causing organisms in grain has **never** been developed. This prohibition applies regardless of whether the requirement is stated in an export summary, an IP, or letter of credit.

Prohibited ADs

A list of prohibited statements is found in [Appendix B](#). These statements are **not** allowed by PPQ policy because they are **not** phytosanitary in nature. Some of the prohibited statements are of a commercial nature and that is **not** the purpose of the PPQ 577 or PPQ 579.

Certification of Canadian Produced Seed

All propagative material imported into the United States is required to have a phytosanitary certificate from the country of exportation, except for Canadian produced seed. Seed produced in Canada and reexported from the United States has experienced entry problems when shipped to a third country because of the absence of a Canadian phytosanitary certificate. To facilitate the United States' trade of Canadian produced seed, options are available for certifying Canadian produced seed being reexported from the United States (see [Certifying Canadian Produced Seed](#) on page 4-5-15).

Commodity Sampling and Testing

It is PPQ policy that all samples used for export certification purposes be officially drawn by Federal, State, or County officials or by a non government-accredited entity. This includes samples for laboratory analysis for pathogens, weed seed examination, insect examination, etc.

Additionally:

1. The shipment **must** remain intact, meaning there are **no additions** to the total count or weight of the shipment.
2. The shipment **must** remain unadulterated after testing has taken place.

For those pests that normally infest or infect plants in the field, Authorized Certification Officials (ACOs) **must** ensure the regulated pests of concern cannot infest or infect the commodity after official inspection, testing, or treatment has taken place. To make this determination ACOs should confer with an entomologist, pathologist, nematologist, etc. If a PPQ Form 577 or 579 is issued based on a laboratory test conducted outside of specified time limits, keep documentation supporting the decision with the file copy of the export certificate.

The above policy **does not**:

- ◆ Supersede specific instructions in an export summary in EXCERPT, work plans, or other official communication with respect to laboratory tests and time limits
- ◆ Change the policy with respect to inspection and time limits; inspections **must** be conducted within specified time limits

Laboratory Analyses Time Limits

ACOs **must** caution exporters that shipments **cannot** be certified prior to receipt of the laboratory analyses.

Genetically Modified Organisms

PPQ Forms 577, 578, 579 **cannot** be used to certify the Genetically Modified Organism (GMO) status of a commodity. If a country requires that these export certificates attest to GMO status, then the export certificate **cannot** be issued. Export Services, once notified, will contact the importing country to negotiate the removal of any GMO requirement.

If the importing country has GMO requirements that are not tied to phytosanitary certification, various other Federal agencies may be able to assist an exporter to meet foreign GMO requirements.

The Grain Inspection, Packers and Stockyards Administration (GIPSA) is a source for GMO certification or letterhead statements for grain. These letterhead statements may or may not meet an importing country's requirements. ACOs can refer exporters to the GIPSA Office of International Affairs (202-720-0226) for assistance on GMO inquiries for grain.

Refer to [GIPSA Directive 9180.67](#) for information.

Grain

The U.S. inspects for weed seed in grain when it is required by an additional declaration or other official communication from the importing country. By definition grain is intended for processing or consumption and is generally recognized as low risk for the introduction of weeds. This policy remains in effect even if the weed is listed as a regulated pest by the importing country.

When ACOs are certifying shipments of grain, and a particular pathogen that occurs in the U.S. must be addressed, PPQ's policy prohibits making statements regarding disease freedom in any AD. The reason for this policy is that it is impractical to:

- ◆ Inspect parent plants during active growth in the field
- ◆ Identify and preserve the grain produced from those fields due to normal movement and commingling
- ◆ Adequately inspect for disease organisms once grain is harvested

Federal Grain Inspection Service (FGIS) Inspection Authority

The demand for phytosanitary certification services has increased due to U.S. trading partners' progressively more complex phytosanitary requirements and increases in the volume of trade. To meet this demand, PPQ has explored alternative resources to provide phytosanitary inspections. One such resource is the FGIS, which has been a cooperative partner providing phytosanitary inspection for grains for over twenty years. Expanding on this cooperative relationship, PPQ and FGIS have agreed to extend the list of eligible plant products for which they can provide phytosanitary inspection. In addition to inspecting grain (milled or not), FGIS is authorized to provide phytosanitary inspections for the commodities listed under the heading [Species that FGIS Can Inspect](#) on [page 4-3-4](#) if they are derived from grain.

International Plant Protection Convention (IPPC)

The [IPPC](#) is an international treaty to secure action to prevent the spread and introduction of pests and to promote appropriate measures for their control. It is governed by the Commission on Phytosanitary Measures (CPM) which adopts International Standards for Phytosanitary Measures (ISPMs). The CPM has provided the International Phytosanitary Portal (IPP) as the preferred forum for national IPPC reporting and the exchange of more general information among the phytosanitary community. The IPPC Secretariat coordinates the activities of the Convention and is hosted by the [Food and Agriculture Organization \(FAO\) of the United Nations](#). The U.S. is a signatory to the [IPPC](#).

Letters of Credit

For the purposes of export certification, letters of credit **cannot** be considered official notifications of changes or exceptions to plant quarantine regulations. Official notifications or exceptions **must** come from the National Plant Protection Organization (NPPO) of the foreign countries. Therefore, letters of credit are **not** phytosanitary documents and **cannot** be referenced on an export certificate.

All export certificates **must** contain **only** information related to phytosanitary matters. They should **not** include statements that requirements have been met and should **not** include references to animal or human health matters, pesticide residues or radioactivity, or commercial information such as letters of credit.

PPQ policy is consistent with [standards produced by the International Plant Protection Convention \(IPPC\) policy](#).

Official Samples and Inspection

It is PPQ policy that the issuance of a PPQ Form 577 **must always** be based on an official sample and official inspection. Adhering to this policy further ensures shipment integrity and program credibility.

The sampling and inspection of commodities for the issuance of a PPQ Form 578 **do not** have to be official samples; they may be submitted by the exporter.

The necessity to conduct official sampling and inspections of commodities being certified with either a PPQ 578 or PPQ 579 will depend on a number of factors. For detailed information on the sampling and inspection requirements for the issuance of these certificates, refer to the following:

- ◆ PPQ 578: *Completing PPQ Form 578* on page 3-9-1
- ◆ PPQ 579: *PPQ Form 579, Phytosanitary Certificate for Reexport* on page 3-8-14

Only authorized officials can draw samples and conduct inspections of commodities for which a PPQ 577 and PPQ 579 (when an inspection is required) may be issued. Under **no** circumstances can an exporter provide his or her own sample for inspectional purposes.

Official sampling and inspecting may be conducted by:

- ◆ Cooperating agencies such as Federal Grain Inspection Service (FGIS) for grain and grain products (see *Commodity • Grain (Federal Grain Inspection Service (FGIS))* on page 4-3-1) or Agricultural Marketing Service (AMS) for specific commodities
- ◆ Federal, State, or County officials
- ◆ Non government entities accredited for seed sampling and inspection (see *Special Programs • Seed Health Accreditation* on page 5-9-1)

Export Certificates

PPQ Forms 577 and 579

The export program **does not** require certification of exports, but does provide certification of commodities as a service to U.S. exporters. After assessing the phytosanitary condition of the commodities intended for export, relative to the receiving country's regulations, an ACO issues these internationally recognized phytosanitary certificates:

- ◆ Phytosanitary Certificate (PPQ Form 577)
- ◆ Phytosanitary Certificate for Reexport (PPQ Form 579)

No liability is attached to the United States Department of Agriculture (USDA) or to any of its representatives with respect to phytosanitary certificates.



Phytosanitary certificates can **only** be used in international trade.

PPQ Forms 577 and 579 follow the format of the international model established by the [International Plant Protection Convention \(IPPC\)](#), and are used to document the phytosanitary condition of exported commodities. Before issuing PPQ Form 577 or 579, the Authorized Certification Official (ACO) signing the form **must** officially verify that the consignment has been inspected and that all the phytosanitary requirements of the importing country have been met. Anytime a PPQ Form 577 or 579 is issued, the preprinted certification statement assures the importing country that the shipment conforms to its requirements regarding freedom from regulated pests and practically free from non regulated pests.

PPQ issues phytosanitary certificates in accordance with [ISPM 12](#) of the [IPPC](#).

ACOs can issue PPQ Forms 577 and 579 for those commodities listed in an export summary as unrestricted products if they are eligible for certification. Therefore, if the exporter still wants an export certificate for an unrestricted product, is willing to pay the user fee, and the commodity is eligible for an export certificate; then ACOs can issue one with **no** additional declaration and based on inspection results.

PPQ Form 578

Even though a PPQ Form 578 (Export Certificate, Processed Plant Products) is not a phytosanitary certificate, there is a similar statement preprinted in the signature block regarding freedom from injurious plant pests due to the processed nature of the shipment.

In addition, PPQ Form 578 assists U.S. exporters whose shipments may be placed in jeopardy if an official document is **not** issued. PPQ Form 578 was created by PPQ to fill a void where **no** other USDA agency certification existed or could be adapted. PPQ Form 578 can only be issued for items listed in EXCERPT under “Commodities Eligible for a PPQ 578.”

Phytosanitary Certificate Issuance & Tracking (PCIT) System

The USDA, Animal and Plant Health Inspection Service (APHIS) 2007 Regional Operational Plans included implementation of the PCIT system as a main objective. U.S. industry’s desire to utilize this system is growing, and APHIS must respond to that need. PPQ employees involved with the export program are required to support and facilitate the use of PCIT by industry and cooperators.



Important

Use of PCIT for export certification became mandatory for all PPQ offices on October 1, 2007.

What This Means to PPQ Offices

- ◆ All PPQ employees involved with the export program should know how to log in and use PCIT
- ◆ All PPQ Forms 577 and 579 **must** be issued through PCIT
- ◆ Paper PPQ Forms 577 and 579 should be retained for back-up in case the system is down for more than 4 hours
- ◆ All applications for certification should either be entered by the exporter through PCIT or be entered by the associated PPQ duty station. Ideally, industry will enter these applications; therefore, PPQ employees should encourage industry to use PCIT to submit applications.
- ◆ PPQ employees should work with industry contacts by educating them on the system and its advantages.

Industry or government officials may [access the PCIT system directly](#). Industry users can register their own organizations and submit applications to any duty station. Government users should contact their local Export Certification Specialist for their initial user ID and password.

The system currently allows users to generate the following three forms:

- ◆ PPQ Form 572 - Application for Inspection and Certification of Domestic Plant and Plant Products for Export
- ◆ PPQ Form 577 - Phytosanitary certificate¹
- ◆ PPQ Form 579 - Phytosanitary Certificate for Reexport¹

Additional enhancements to the PCIT system are underway.

The PCIT system enables PPQ managers to obtain real-time information in order to respond to foreign notices of non-compliance and World Trade Organization notices.

Record Keeping

Confidentiality

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

If someone requests a completed or partially completed certificate, a State record that provides the basis for a certificate, or any information in these documents, the request **must** be forwarded to the Freedom of Information Act/Privacy Act (FOIA/PA) Officer for PPQ at the following address:

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

¹ A copy can be printed by an exporter, while the original can only be printed by authorized entities and authorized certification officials.

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

Retention

PPQ policy on retaining forms is as follows:

- ◆ PPQ Forms 577, 578, and 579 and all supporting documentation: retain for 3 years
- ◆ All CITES and supporting documentation: retain for 5 years

Replacing PPQ Forms 577 or 579 for Commodities in a Foreign Country

If a consignment has been exported from the United States and it has been or is being stored or repackaged in a foreign country, a PPQ Form 577 or 579 **cannot** be replaced to change the country name to a different country. This policy applies whether the commodity has or has not officially entered the commerce of the importing country. The storage or repackaging of a consignment in another country may result in a change of the phytosanitary status of the consignment and the exporter will need to request a reexport certificate from the country in which the commodity is being stored or repackaged.

Seed Sampling and Testing

Federal laboratories, State university laboratories, private labs, and companies accredited under the USDA-APHIS-PPQ Accreditation Program may test and sample seed. A list of non government-accredited entities is provided as a Phytosanitary Note in EXCERPT. Additionally, non government-accredited entities are authorized to perform **only** those specific phytosanitary functions for which accreditation is held and listed.



Seed **must** be sampled and inspected prior to encapsulation (pelletized seed) or embedding into other media (e.g., seed mats).

- ◆ Should the seed be treated with a fungicide or pelletized after the laboratory analysis or test, the increase in weight **must** match the amount of product applied to the seed.
- ◆ Some laboratory analyses **cannot** be conducted on treated seeds. The ACO **must** check with the laboratory first before submitting a sample(s).
- ◆ The lot number **cannot** change after the laboratory analysis or test has taken place.

Samples drawn or submitted by a seed company or other industry representatives (i.e., nonaccredited entities) are **not** permitted.

Time Limits

If a country requires a laboratory test and the pests (any class of regulated pest) of concern **do not** attack/**cannot** attack the commodity post-harvest, the laboratory test **does not** have to be conducted within the time limits specified either by the country or PPQ's general policy on time limits, if the following conditions are met:

1. Seeds were harvested and were put into storage;
2. Regulated pests of concern **cannot** infest the seeds post-harvest;
3. The seed lot has remained unadulterated since the laboratory test was conducted.

In addition, field inspections **do not** have to meet time limits if the regulated pests of concern cannot infest the seeds post-harvest.

For general information on time limits pertaining to inspections and certificate issuance, see [Time Limits](#) below.

Time Limits

“Time limits” refer to restrictions on the period that is allowed between inspections and certificate issuance. In addition to PPQ's policy on time limits, each importing country may specify its own time limit requirements.

In order to ensure time limits are met, it is important to understand the difference between each type of date.

- ◆ Inspection date: date an Authorized Certification Official (ACO) or other authorized entity conducts the phytosanitary inspection
- ◆ Issuance date: date a certificate is signed

While the dates of issuance and inspection can be the same, they are two different actions.

PPQ's policy on time limits is that an export certificate **must** be issued within 30 days of the phytosanitary inspection. PPQ policy **must** be met even if a country's time limits refers to the time period between certificate issuance and exportation.



The exporter is responsible for maintaining the identity and integrity of the consignment and for safeguarding the commodity after inspection from infestation or infection from harmful organisms.

Importing Country Requirements

Importing countries' time limits, if specified, will be included in the country's definition of a phytosanitary certificate, phytosanitary certificate for reexport, and the processed product certificate in EXCERPT under *Definitions of Terms and Coded Abbreviations*. Additionally, time limits may be specified for an individual commodity or class of commodities elsewhere in an export summary. Failure to review an individual country's time limits may result in improper certification.



Consignments must continue to meet the importing country's time limits. If an importing country's time limit is more restrictive than PPQ's policy, the country's time limit requirement will take precedence.

Replacing PPQ Forms 577 and 579

Replacing PPQ Forms 577 and 579 is acceptable outside the 30 day time limit if the original certificate was issued within 30 days of inspection and the quantity is not increased.

Treatments

Introduction

All treatments required as the basis for issuing PPQ Forms 577 and 579 **must**:

- ◆ Be conducted following the procedures in the PPQ *Treatment Manual* or any labelled use product—this is true if the treatment is supervised by PPQ or by a State or County official
- ◆ Be monitored or supervised by a Federal, State, or County plant quarantine official
- ◆ Be conducted under the conditions of the APHIS/FGIS MOU and listed on FGIS Form 921-2



ACOs may **not** certify any treatment that violates State or Federal EPA label requirements, even if the importing country requires such a treatment for certification.



If a treatment is mandatory, it **must** be included in the treatment section of the certificate.

PPQ Policy does not permit treatment details to be recorded in the *Disinfestation and/or Disinfection Treatment* block unless the treatment is witnessed or verified by an ACO, conducted by FGIS and listed on FGIS form 921-2, or specified in EXCERPT as an exception. Verify and record details of the treatment in the appropriate section of the certificate. Examples of the verification of treatments not witnessed by the ACO are the following:

EXAMPLE

- ◆ Evidence of kiln drying by “KD” marks on lumber, checking moisture content and inspecting kiln charge chart
- ◆ Evidence of compression of cotton bales such presence of PBI tags and bale weight(s)

Official sampling and inspections should be done before any treatment, even if the treatment is mandatory. Should pests be detected, use the *Treatment Manual* to verify the required treatment efficacious against the pests of concern. After the appropriate treatment there should be **no** need to reinspect. If there was **no** opportunity to inspect prior to treatment, it would be necessary to inspect to meet the inspection requirement.

Regardless of the type of treatment the commodity was subjected to, the treatment may **not** have been efficacious against all the regulated pests that may be present in a shipment.

EXAMPLE

- ◆ Methyl bromide (MB) treatments: Mandatory MB treatment is required for a specific pest. Even though a mandatory treatment may be required, this treatment may **not** be effective against all quarantine pests in the shipment. Therefore, it is important to inspect the product prior to treatment to determine all the quarantine pests that are present. Then you will need to determine if the mandatory MB treatment required for certification would be effective against all the pests. If it is **not**, then the shipment may **not** be able to be certified.
- ◆ Seeds treated with a fungicide: fungicides may **not** kill insects, snails, etc.



Important

Treatments listed on an FGIS Form 921-2 (01-07) can be included on a PPQ Form 577 or 579. Refer to the following topics for more information:

- ◆ **Does the Commodity Require Treatment or Was a Treatment Conducted?** on **page 3-4-13**
- ◆ **“Step 1: Determine if the Exporter Has Acceptable Documentation That Would Preclude an Additional Inspection”** on **page-3-5-3**.

Treatments are **not** allowed to be included on PPQ 578.

Under certain circumstances a notarized letter of the treatment performed can be accepted from a licensed pest control operator. Prior to these special treatments, the pest control operator should be provided with the appropriate parts of the PPQ *Treatment Manual* and be advised to follow these procedures. This type of unmonitored treatment should **only** be used when the company is **not** routinely involved in regulatory treatments and when other options are **not** available.

Fumigation

Any commodity for export requiring fumigation **must** be fumigated in the same manner as prescribed in the PPQ *Treatment Manual*. ACOs **must** ensure the minimum concentration readings are achieved. Maintaining the minimum concentration level ensures an effective treatment. This practice includes both PPQ and its authorized cooperators.



Important

Caution exporters that all in-transit vessels are required to be equipped with a proper recirculation system for phosphine fumigation in ship holds. This system allows the fumigant to circulate evenly. Do not issue an export certificate until this system is in place. Contact the Center for Plant Health Science and Technology (CPHST) at 919-855-7450 for technical guidance.

Certifying Seed Treatments

With the exception of fumigation, it may **not** be necessary to be physically present to witness the treatment when certifying a seed treatment on an export certificate. If a treatment is indicated on the label of the seed, it is monitored by the State personnel to insure Environmental Protection Agency (EPA) compliance. In such cases it is acceptable to attest to seed treatments based on the information contained on the seed label.



Do not attest to treatments listed on foreign seed labels on a reexport certificate because a U.S. plant quarantine official did **not** monitor the treatment in the foreign country.

USDA Letterhead Statements

On some occasions, exporters request certification for commodities that are not eligible for any type of export certification from USDA-APHIS. In these cases, USDA-APHIS may issue a letterhead document to facilitate exporters' shipments. These documents are issued **only** by PPQ personnel. If needed, State, or County ACOs must request this document from the appropriate ECS, SPHD or PPQ regional office personnel.

User Fees

It is PPQ policy to collect user fees for export certificates. PPQ has the authority to collect user fees through [7 CFR 354.3](#).

PPQ's policy regarding user fees is as follows:

- ◆ Charge **no** fees for certificates replaced due to Authorized Certification Official (ACO) error
- ◆ Charge overtime for issuance of certificates outside of normal duty hours
- ◆ Collect fees from government agencies through interagency agreements

State/County cooperators can establish their own fees for issuing PPQ Forms 577, 578, or 579, based on [7 CFR 354.3](#).

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The Process of Export Certification

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Steps for Certifying a Commodity **page 3-1-3**

Introduction

See **Figure 3-1-1** on **page 3-1-2** for an overview of the steps for certifying commodities offered for export. The overview is followed by a brief summary of each step that corresponds to the tabbed sections of the *General Procedures* chapter. The *General Procedures* chapter contains the guidelines that Authorized Certification Officials (ACOs) **must** consider before certifying commodities offered for export.

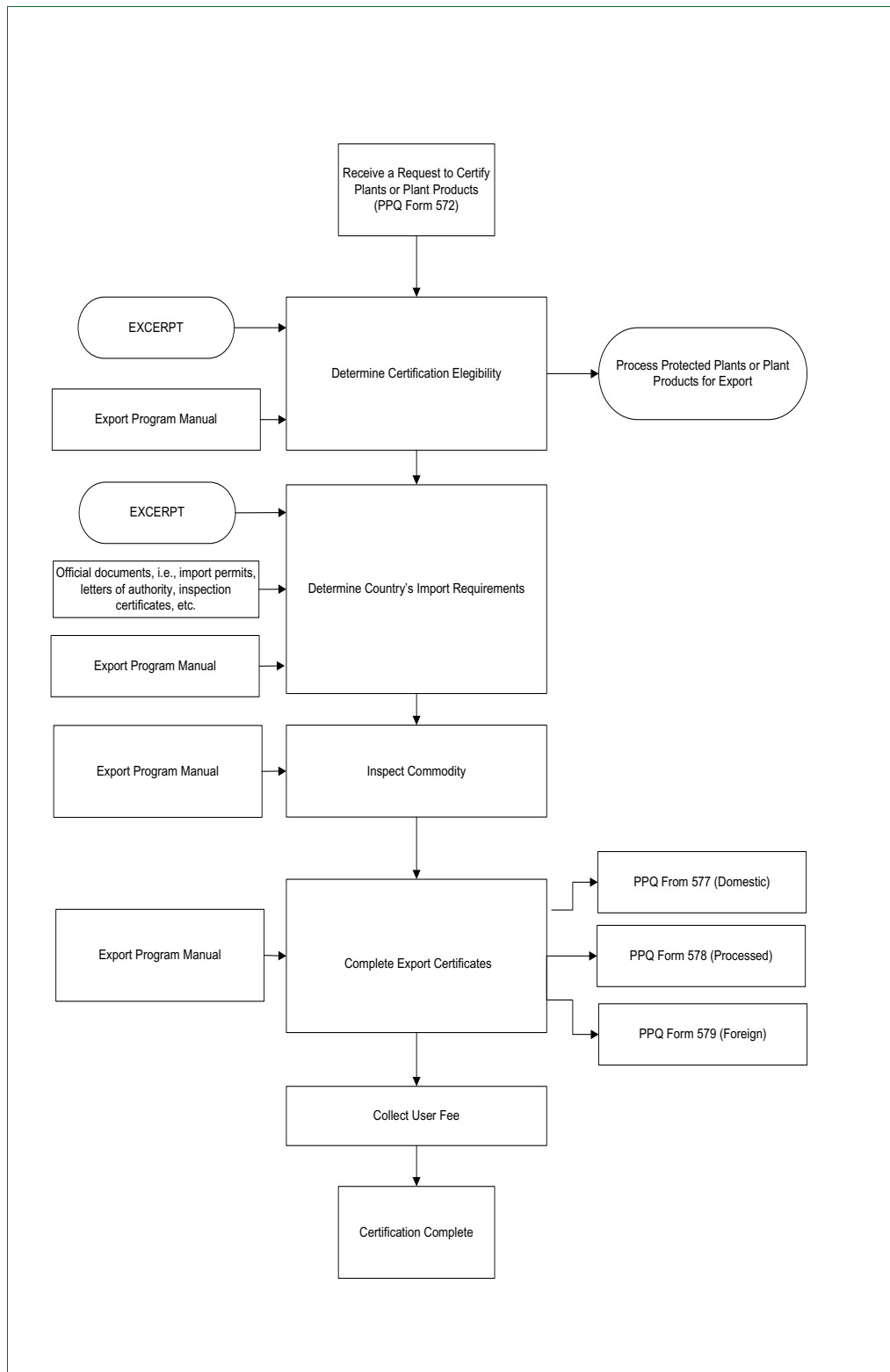


FIGURE 3-1-1: Schematic of the Process of Export Certification

Steps for Certifying a Commodity

The basic steps are as follows.

Step 1: Determine Certification Eligibility

Before referring to a country's export summary, inspecting a shipment, or completing a certificate, ACOs **must** determine whether the commodity is eligible for any type of certificate. Their assessment is based on what the commodity is, the product's origin and destination, and the commodity's protected status (see [Determining Eligibility for Certification](#) on page 3-3-1).

Step 2: Determine Country's Import Requirements

ACOs **must** determine the importing country's phytosanitary requirements before conducting an inspection or issuing a certificate. The import requirements of a country may be provided by either the EXCERPT database or official communication from the NPPO of the importing country. These tools may also identify requirements that would prevent certifying commodities.



Important

Official communication from a foreign country's National Plant Protection Organization (NPPO) may supersede or supplement information found in the country's summary in EXCERPT.

Based on whether the commodity can meet the import requirements, ACOs then determine whether they can issue a certificate (see [Determining the Country's Import Requirements](#) on page 3-4-1).

Step 3: Inspect Commodity

Once the import requirements have been identified, the commodity **must** be inspected and/or other importation conditions **must** be verified (see [Inspecting Commodities](#) on page 3-5-1).

Step 4: Complete Export Certificate

ACOs prepare the appropriate certificate as listed and described below. See [Completing PPQ Forms 577 and 579](#) on page 3-8-1 and [Completing PPQ Form 578](#) on page 3-9-1 for further information.

- ◆ PPQ Form 577, Phytosanitary Certificate
- ◆ PPQ Form 578, Export Certificate, Processed Plant Products
- ◆ PPQ Form 579, Phytosanitary Certificate for Reexport



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

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

- ◆ Different genera of bulk materials loaded on one carrier
- ◆ If bulk grain, multiple berths in the same port
- ◆ If containerized shipments, each van may require an original certificate
- ◆ Multiple ports of discharge in the foreign country
- ◆ Multiple ports of loading in the U.S.

Step 5: Collect User Fee

PPQ has established user fees exporters **must** pay in order to receive certificates. These user fees **only** apply when the certificate is issued by a Federal ACO. User fees are collected for the following:

- ◆ PPQ Form 577, Phytosanitary Certificate
- ◆ PPQ Form 578, Export Certificate, Processed Plant Products
- ◆ PPQ Form 579, Phytosanitary Certificate for Reexport

Refer to [Collecting User Fees](#) on **page 3-11-1** for further information.

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Completing Application for Export Certification (PPQ Form 572)

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Introduction **page 3-2-1**
Required Information **page 3-2-2**

Introduction

It is the exporter's (exporter, broker, shipper, or representative from another government office such as Agricultural Research Service (ARS) and Agricultural Marketing Service (AMS)) responsibility to submit a request for a certificate.

PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, is specifically designed to provide the information needed to determine a commodity's eligibility and import requirements, and to complete a certificate.

A written application is best because it serves these purposes:

- ◆ Places the responsibility on the applicant for providing the required information and its accuracy
- ◆ Provides information necessary to determine the phytosanitary requirements a commodity may need to meet for certification
- ◆ Provides Authorized Certification Officials (ACOs) with reliable information for properly completing a certificate
- ◆ Serves as a worksheet for ACOs to record inspection and treatment results (see *PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export* on **page K-1-12** for directions on completing the form¹)

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

Required Information

Applicants **must** provide the following information in order for an ACO to determine if a commodity may be certified. Most of this information should be provided on PPQ Form 572 or other comparable form. Any missing information **must** be provided by the exporter and should be provided in writing.

- ◆ Commodity's scientific (botanical) name—if the exporter **only** provides a common name, have the exporter precisely identify the commodity for the purpose of identifying specific import requirements (e.g., wheat grain versus wheat seeds). The scientific name is required in most cases to search EXCERPT, and it is the exporter's responsibility to provide the scientific name.
- ◆ Country to which the commodity is being exported, including port(s) of entry
- ◆ Exportation date
- ◆ Location where the commodity can be inspected
- ◆ Location where the commodity was grown (country, State, or county)
- ◆ Supporting documents: foreign export certificate or equivalent, import permit, State or other Federal agency inspection certificate, laboratory test results, etc.
- ◆ Whether the commodity is a processed product and if so, a description of the process

After you have collected the key information, go to [Determining Eligibility for Certification](#) on page 3-3-1.

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Determining Eligibility for Certification

Contents

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Determine Your Authority to Certify Protected Commodities for Export	page 3-3-6
Designated CITES Ports Directory	page 3-3-7

Introduction

The following tables will help the Authorized Certification Official (ACO) determine eligibility based on commodity type, origin, destination, and possible protected status.

Eligibility Based on What the Commodity Is

Use [Table 3-3-1](#) on [page-3-3-2](#) to decide if you can certify the commodity based on what it is.

TABLE 3-3-1: Determine Eligibility for Certification Based on What the Commodity Is

If the articles are:	And they are:	And they are:	Then based on what the articles are:
Plants, parts of plants, or something derived from plants (including edible mushrooms as vegetables)	Processed products	Listed in EXCERPT under Commodities Eligible for a PPQ Form 578	1. CONSIDER eligible for PPQ Form 578 2. GO to Eligibility Based on Origin and Destination on page 3-3-4
		Listed in EXCERPT under <i>Commodities Ineligible for Certification</i> ¹	1. CONSIDER ineligible for a certificate 2. EXIT this manual
		Not on the Commodities Eligible for a PPQ Form 578 list in EXCERPT	1. CONSIDER ineligible for a certificate 2. EXIT this manual
		Listed in EXCERPT under Export Summary Inquiry, Product Requirements Information as eligible for certification and all conditions can be met	1. CONSIDER eligible for a PPQ Form 577 or 579 2. GO to Eligibility Based on Origin and Destination on page 3-3-4
	Unprocessed products	→	
Mushroom spawn	→	→	1. CONSIDER eligible for PPQ Form 577 only 2. GO to Table 3-3-2 on page-3-3-3
Neither plants nor anything derived from plants	→	→	1. CONSIDER ineligible for a certificate 2. EXIT this manual
Mixture or combination of plant and nonplant materials	→	→	Follow the contact protocol in Table C-1-1 on page-C-1-2

1. The Commodities Ineligible for Certification Menu is **not** all inclusive. **Do not** use this list to determine if a commodity is **ELIGIBLE** for certification – **only** that a commodity is **INELIGIBLE**.

TABLE 3-3-2: Determine Action to Take on Mushroom Spawn

If:	Then:
<p>The shipment meets the following conditions:</p> <ul style="list-style-type: none"> ◆ Export Services (ES) has received official communication from the importing country that PPQ Form 577 is required and EXCERPT reflects that information¹ ◆ The intended use of the mushroom spawn is for propagation ◆ The mushroom spawn manufacturing facility is participating in the pilot Mushroom Spawn Facility Accreditation Program² 	<ol style="list-style-type: none"> 1. INSPECT the shipment, looking for insects 2. COMPLETE PPQ Form 577 (refer to Completing PPQ Forms 577 and 579 on page 3-8-1) <p style="margin-left: 20px;">In Block 9, Name of Produce, enter "Mushroom spawn"</p> <p style="margin-left: 20px;">In Block 10, enter scientific name</p> <p style="margin-left: 20px;">Do not enter an additional declaration (AD) concerning the phytosanitary condition of the shipment³</p>
<p>The shipment does not meet the above conditions</p>	<ol style="list-style-type: none"> 1. CONSIDER ineligible for an export certificate 2. EXIT this manual

- 1 If an exporter presents an Import Permit (IP) from a country **not** listed in EXCERPT as requiring an export certificate, contact ES before providing any certification services.
- 2 ACOs **must** contact their Export Certification Specialist (ECS) or Regional Program Manager (RPM) using the approved contact protocol, **prior** to certification to determine which mushroom spawn manufacturing facilities are participating in the pilot program.
- 3 The **only** ADs allowed are for referencing IPs or for replacing an export certificate.

Eligibility Based on Origin and Destination

Use [Table 3-3-3](#) on [page-3-3-4](#) to decide if you can certify the commodity based on origin and destination.

TABLE 3-3-3: Determine Eligibility for Certification Based on Origin and Destination

If the articles originated in:	And the articles are being exported:	Then:
U.S., American Samoa, Guam, Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands, (St. Thomas, St. Croix, St. John)	To a foreign country	<ol style="list-style-type: none"> 1. CONSIDER eligible for PPQ Form 577 or PPQ Form 578. A State export certificate may be used only if accepted by the U.S.-affiliated island 2. Handle the shipment as a domestic-origin shipment for export 3. GO to Eligibility Based on Protected Status on page 3-3-5
	Interstate via Canada	
A foreign country or the Marshall Islands (islands affiliated with the U.S.)	To the Marshall Islands	<ol style="list-style-type: none"> 1. CONSIDER ineligible for a certificate 2. REFER exporter to the State, country, or affiliated island's plant regulatory agency for certification using a State export certificate 3. EXIT this manual
	To a foreign country	<ol style="list-style-type: none"> 1. CONSIDER eligible for PPQ Form 578 or PPQ Form 579 2. HANDLE the shipment as a foreign-origin shipment for reexport 3. GO to Eligibility Based on Protected Status on page 3-3-5
	Interstate via Canada	
To American Samoa, Guam, Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, St. John)	To the Marshall Islands	<ol style="list-style-type: none"> 1. CONSIDER eligible for a certificate 2. HANDLE the shipment as a foreign-origin shipment for reexport 3. GO to Eligibility Based on Protected Status on page 3-3-5
	To American Samoa, Guam, Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, St. John)	

Eligibility Based on Protected Status

PPQ is responsible for enforcing The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and The Endangered Species Act (ESA) for exporting and reexporting listed plants. Therefore, ACOs **must** identify whether the commodity is protected by CITES or ESA before confirming that it can meet the import requirements of the foreign country.


ACOs can use EXCERPT to determine if the plant name is a protected plant or plant part. The same listings can also be found at:

- ◆ CITES Web site address: <<http://www.CITES.org/>>
- ◆ ESA Web site address: <<http://www.fws.gov/endangered/wildlife.html>> (then click on the link for “Federal list of endangered and threatened wildlife and plants”)

All protected plants are listed in EXCERPT, including genera in the families Cactaceae and Orchidaceae. Refer to *Characteristics of Cactaceae* on **page 4-15-5** and *Characteristics of Orchidaceae* on **page 4-15-5** to help visually identify commodities that may be regulated by CITES or ESA.

Use **Table 3-3-4** on **page-3-3-5** to decide if you can certify the commodity based on its protected status.

TABLE 3-3-4: Determine Eligibility for Certification Based on CITES and ESA Status

If the articles being exported are:	And they are:	Then:
Neither protected by CITES nor ESA	Domestic plants or unprocessed plant products	1. CONSIDER eligible for PPQ Form 577 2. GO to <i>Determining the Country's Import Requirements</i> on page 3-4-1
	Foreign-origin plants or unprocessed plant products	1. CONSIDER eligible for PPQ Form 579 2. GO to <i>Determining the Country's Import Requirements</i> on page 3-4-1
	Eligible processed products listed in EXCERPT	1. CONSIDER eligible for PPQ 578 2. GO to <i>Determining the Country's Import Requirements</i> on page 3-4-1
Protected by CITES or ESA		GO to Table 3-3-5 on page-3-3-6 to decide what action you can take for certifying protected commodities

Determine Your Authority to Certify Protected Commodities for Export

If the commodities are protected by CITES or ESA, go to [Table 3-3-5](#) on [page-3-3-6](#).

TABLE 3-3-5: Determine Authority to Certify Protected Commodities

If you are:	Then:
Located at a designated CITES port (refer to Table 3-3-6 on page-3-3-7)	REFER to Determining the Country's Import Requirements on page 3-4-1 AND GO to Overview of Processing Protected Commodities on page 4-15-3
Not at a designated CITES port	1. CONTACT the nearest designated CITES port or a PPQ regional botanist (through proper channels) or Export Certification Specialist (ECS) for guidance to arrange to move the shipment to a designated port (at the owner's expense). Some designated CITES ports have established procedures for ACOs at interstate locations and non designated CITES ports to assist in inspecting and processing shipments of protected plants ¹ 2. EXIT this manual. You are not authorized to complete a certificate for a commodity regulated by CITES or ESA

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

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

Designated CITES Ports Directory

Use this table to determine the nearest location for CITES certification.



Important

Some locations can only certify specific CITES commodities. Contact the location in question before sending any commodity for certification.

TABLE 3-3-6: Designated CITES Ports Directory

State	Address	Plants	Staff
Alabama	USDA, APHIS, PPQ 3737 Government Blvd., Ste.517 Mobile, AL 36693 Phone (251) 661-2742 Fax (251) 661-4381	Logs and lumber	Jeffrey Lasiter, Plant Health Safeguarding Specialist (PHSS)
Arizona	USDA, APHIS, PPQ Plant Inspection Station 9 North Grand Avenue, Room 120 Nogales, AZ 85621 Phone (520) 287-6463 Fax (520) 397-0138	All CITES regulated plants, plant parts & derivatives	Allen Dawson, Plant Pathologist Jeff Conn, PHSS Dan Walega, PHSS
California	USDA, APHIS, PPQ Los Angeles Inspection Station 11840 S. La Cienega Blvd. Hawthorne, CA 90250 Phone (310) 725-1910 Fax (310) 725-1947	All CITES regulated plants, plant parts & derivatives	Jamal Al-Henaid, Botanist Andy Lee, Botanist Kristen Kaser, Botanist (in Long Beach) (562) 628-8900
	USDA, APHIS, PPQ Plant Inspection Station 9777 Via de la Amistad, Room 140 San Diego, CA 92154 Phone (619) 661-3316 Fax (619) 661-3047	All CITES regulated plants, plant parts & derivatives	Robert Fitch, Officer in Charge (OIC)
	USDA, APHIS, PPQ Plant Inspection Station 389 Oyster Point Blvd., Suite 2 South San Francisco, CA 94080 Phone (650) 876-9093 Fax (650) 876-9008	All CITES regulated plants, plant parts & derivatives	Tim Torbett, Botanist (CITES Specialist) Arthur Berlowitz, OIC

TABLE 3-3-6: Designated CITES Ports Directory (continued)

State	Address	Plants	Staff
Florida	USDA, APHIS, PPQ 1800 Eller Dr., Ste. 414 Fort Lauderdale, FL 33116 Phone (954) 356-7080 Fax (954) 356-7113	Logs and lumber	George Robinson, PHSS Dan Campese, PHSS Sonia Hernandez, PHSS
	USDA, APHIS, PPQ 2431 St. John's Bluff Rd., South Ste. 119 Jacksonville, FL 32246 Phone (904) 620-9501 Fax (904) 620-9496	Logs and lumber	L. Oscar Vazquez, PHSS Mike Mulligan, PHSS
	USDA, APHIS, PPQ Plant Inspection Station 3500 NW 62nd Avenue Miami, FL 33122 Regular Mail - P.O. Box 660520 Miami, FL 33266 Phone (305) 526-2825 Fax (305) 871-4205	All CITES regulated plants, plant parts & derivatives	Leo Castaneda, Botanist Fred Zimmerman, Plant Pathologist
	USDA, APHIS, PPQ Plant Inspection Station 3951 Centerport Street Orlando, FL 32827 Phone (407) 825-4237 Fax (407) 825-4235	All CITES regulated plants, plant parts & derivatives	Metwaly Sheta, Identifier
Georgia	USDA, APHIS, PPQ Plant Inspection Station Hartsfield Perishable Complex 1270 Woolman Pl. Atlanta, GA 30354 Phone (404) 765-3821 Fax (404) 763-7429	All CITES regulated plants, plant parts & derivatives	Carlos Perez, OIC
	USDA, APHIS, PPQ 5514 Export Blvd. Garden City, GA 31408 Regular mail: P.O. Box 9268 Savannah, GA 31412 Phone (912) 963-9936 Fax (912) 963-9975	Logs and lumber	Stephen Davis, OIC Phil Boyd- Robertson, PHSS Tim Brackney, PHSS Wally Harrington, PHSS
Guam	USDA, APHIS, PPQ Plant Inspection Station 905 East Sunset Blvd., Tiyan Barrigada, GU 96913 Phone (671) 475-1427 Fax (671) 477-9487	All CITES regulated plants, plant parts & derivatives	Russell Campbell, Entomologist

TABLE 3-3-6: Designated CITES Ports Directory (continued)

State	Address	Plants	Staff
Hawaii	USDA/APHIS/PPQ Hilo International Airport Hilo, HI 96720 Phone (808) 933-6930 Fax (808) 933-6932	Orchids (for exports and re-exports only)	Ron Tom, Port Director Trudy Hanohano, OIC Lloyd Yoshina, PHSS
	USDA, APHIS, PPQ Honolulu Inspection Station Honolulu International Airport 300 Rodgers Blvd., #58 Honolulu, HI 96819 Phone (808) 861-8494 Fax (808) 861-8500	All CITES regulated plants, plant parts & derivatives	Mark Towata, Botanist
Illinois	USDA, APHIS, PPQ 2300 E. Devon, Ste. 222 Des Plaines, IL 60018 Phone (847) 699-2400 Fax (847) 699-2429	Orchids (for exports and re-exports only), ginseng, and goldenseal	Rick Gammons, PHSS Scot Saiki, PHSS
Louisiana	USDA, APHIS, PPQ Plant Inspection Station Mail: P.O. Box 20114 New Orleans, LA 70141-0114 Deliveries: 900 East Airline Hwy. Service Rd. A Kenner, LA 70063 Phone (504) 464-0430 Fax (504) 465-0968	All CITES regulated plants, plant parts & derivatives	Tony Di Vittorio, Identifier Eric White, Entomologist
Maryland	USDA, APHIS, PPQ 2200 Broening Highway, Room 140 Baltimore, MD 21224 Phone (410) 631-0073 Fax (410) 631-0069	Ginseng and goldenseal; logs and lumber	C. Frederic Mann, SPHD
Michigan	USDA, APHIS, PPQ 11200 Metro Airport Center Dr. Ste. 140 Romulus, MI 48174 <i>(Exports via Detroit & Port Huron)</i> Phone (734) 942-9005 Fax (734) 942-7691	All CITES regulated plants, plant parts & derivatives destined to Canada	David Dehn, PHSS Sarah Clore, PHSS
Mississippi	USDA, APHIS, PPQ 3505 25TH Ave. Bldg. 16, Rooms 1-4 Gulfport, MS 39501 Phone (228) 822-3136 Fax (228) 822-3132	Logs and lumber	Pam Strecker, PHSS Don Haynes, PHSS Beth Ann Lotz, PHSS
Missouri	USDA, APHIS, PPQ 500 Northwest Plaza, Suite 919 St. Ann, MO 63074 Phone (314) 291-8773 Fax (314) 344-0660	Ginseng and goldenseal	Brenda Hutchins, PHSS

TABLE 3-3-6: Designated CITES Ports Directory (continued)

State	Address	Plants	Staff
New Jersey	USDA, APHIS, PPQ Frances Krim Memorial Inspection Station 2500 Brunswick Avenue, Building G Linden, NJ 07036 Phone (908) 862-2012 Fax (908) 862-2095 (covers the Port of New York; Elizabeth and Newark, NJ)	All CITES regulated plants, plant parts & derivatives	Martin Feinstein, Plant Pathologist
New York	USDA, APHIS, PPQ 500 New Karner Road Albany, New York 12205 <i>(Exports via Champlain)</i> Phone (518) 218-7515 Fax (518) 218-7518	All CITES regulated plants, plant parts & derivatives destined to Canada	Bruce McDowell, ECS
	USDA, APHIS, PPQ 23 Elizabeth Dr. Lockport, NY 14094 <i>(Exports via Buffalo)</i> Phone (716) 433-6482 x200 Fax (716) 433-6593	All CITES regulated plants, plant parts & derivatives destined to Canada	Jacqueline Klahn, PHSS
	USDA, APHIS, PPQ Plant Inspection Station 230-59 International Airport Centers Boulevard Building C-Suite 100-Room 109 Jamaica, NY 11413 Phone (718) 553-1732 Fax (718) 553-0060	All CITES regulated plants, plant parts & derivatives	John Arcery, Botanist (CITES Specialist) Keith Clancy, Botanist
North Carolina	USDA, APHIS, PPQ 1809-C Associates Lane Charlotte, NC 28217 Phone (704) 424-1014 Fax (704) 357-1667	Ginseng and goldenseal	William O. Torres, PHSS Timothy J. Bergstrom, PHSS
	USDA, APHIS, PPQ 1815 Gardner Drive Wilmington, NC 28405 Phone (910) 815-4678 Fax (910) 815-4652	Logs and lumber; Venus flytrap	Darlene Brown, PHSS Timothy Stevens, PHSS
Oregon	USDA, APHIS, PPQ 6135 NE 80th Ave., Ste. A-5 Portland, OR 97218 <i>(Also handles Vancouver, WA)</i> Phone (503) 326-2140 Fax (503) 326-2969	Logs and lumber	Ken Ball, Plant Pathologist
Pennsylvania	USDA, APHIS, PPQ 4900 S. Broad St. Philadelphia, PA 19112 Phone (215) 334-0300 Fax (215) 334-9799	Logs and lumber	Stacey Boyd, Entomologist

TABLE 3-3-6: Designated CITES Ports Directory (continued)

State	Address	Plants	Staff
Puerto Rico	USDA, APHIS, PPQ Plant Inspection Station 150 Central Sector Bldg. C2, Warehouse #3 Carolina, PR 00979 Phone (787) 253-7850 Fax (787) 253-4514	All CITES regulated plants, plant parts & derivatives	Lionel Pagan, Entomologist Wilfredo Garcia, Plant Pathologist
South Carolina	USDA, APHIS, PPQ 4600 Goer Dr., Ste. 104 North Charleston, SC 29406 Phone (843) 746-2950, ext. 101 Fax (843) 746-2954	Logs and lumber	Mary Douglass, OIC
Texas	USDA, APHIS, PPQ Plant Inspection Station 19581 Lee Road Humble, TX 77338 Phone (281) 443-2063 Fax (281) 443-7643	All CITES regulated plants, plant parts & derivatives	Norma Diaz, Botanist Eric McDonald, Entomologist
	USDA, APHIS, PPQ 120 San Francisco Bridge II Complex Building 5, Room 505 Laredo , TX 78040 Phone (956) 726-2225 Fax (956) 726-2322	Logs and lumber	Willis Gentry, Botanist William Graves, Plant Pathologist
	USDA, APHIS, PPQ Plant Inspection Station P. O. Drawer Box 399 100 Los Indios Boulevard Los Indios, TX 78567 Phone (956) 399-2085 Fax (956) 399-4001	All CITES regulated plants, plant parts & derivatives	Guadalupe Gracia, PHSS
Virginia	USDA, APHIS, PPQ 200 Granby St., Rm. 331 Norfolk, VA 23510-1811 Phone (757)-441-3211 Fax (757) 441-9646	Logs and lumber	Karen Williams, OIC
Washington	USDA, APHIS, PPQ 100 Peace Portal Dr. Peach Arch Border Stn., Rm. 222 Blaine, WA 98230 Phone (360) 332-1766 Fax (360) 332-1395	All CITES regulated plants, plant parts & derivatives destined to Canada	William Carlson, PHSS Stacey Herron, PHSS
	USDA, APHIS, PPQ Plant Inspection Station 835 South 192nd St., Suite 1600 SeaTac, WA 98148 Phone (206) 878-6600 Fax (206) 870-8043	All CITES regulated plants, plant parts & derivatives	Margaret Smither-Kopperl, Botanist

TABLE 3-3-6: Designated CITES Ports Directory (continued)

State	Address	Plants	Staff
Wisconsin	USDA, APHIS, PPQ 4369 South Howell Ave., Ste. 201 Milwaukee, WI 53207 Phone (414) 744-6601 Fax (414) 744-6662	Ginseng and goldenseal	Alecia Marson, PHSS

3

Export Program
Manual

General Procedures

Determining the Country's Import Requirements

Contents

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Introduction

Once you have determined that a commodity is eligible for a certificate you **must** determine what the country's import requirements are. The main source of information on a country's import requirements is the EXCERPT database (see [Appendix D](#)). Also check the Special Procedures sections (Chapter 4) to determine if any of the information in those sections applies to the commodity. Additionally, exporters may present an Import Permit (IP) or some other type of official communication from the National Plant Protection Organization (NPPO) of the importing country.

NOTICE

ACOs can issue export certificates for those commodities listed in an export summary as unrestricted products if they are eligible for certification. Therefore, if the exporter still wants an export certificate for an unrestricted product, is willing to pay the user fee, and the commodity is eligible for an export certificate; then ACOs can issue one with **no** additional declaration and based on inspection results.

Determining if the Commodity Can Meet Import Requirements

Once you have identified the import requirements, you **must** determine whether the commodity can meet those requirements.

Is the Commodity Prohibited?

Prohibited commodities **cannot** be certified unless an IP or other form of official communication from the NPPO of the importing country is presented by the exporter. For a discussion on IPs, refer to *Types of Official Communication* on page C-1-3.

The action to take when a commodity is prohibited pertains to any commodity that is prohibited, regardless of whether it is processed or unprocessed. Go to [Table 3-4-1](#) on page 3-4-2.



Do not certify a prohibited commodity with any export certificate unless the exporter presents official communication from the NPPO allowing entry of the commodity.

TABLE 3-4-1: Action to Take on Prohibited Commodities

If the exporter has:	Then:
No IP or other official communication	<ol style="list-style-type: none"> 1. REFUSE to issue an export certificate 2. INFORM the exporter that the commodity is prohibited by the importing country and must have an IP to be certified 3. EXIT this manual
An IP or other official communication was presented	<ol style="list-style-type: none"> 1. REVIEW the IP to identify phytosanitary import requirements 2. CHECK the export summary for other import requirements that may pertain to the commodity. Generally, an IP supersedes the export summary, but may also supplement the requirements in the export summary. 3. RECORD an AD that states: Import Permit [number on the IP] was presented. 4. GO to <i>Inspecting Commodities</i> on page 3-5-1 to inspect the commodities and ensure that they meet the import requirements listed on the IP

Is the Commodity Restricted?

Once the required actions have been identified and met **or** the commodity **does not** need to meet any of the requirements in [Figure 3-4-1](#) on [page 3-4-3](#), go to [Inspecting Commodities](#) on [page 3-5-1](#).

The remainder of this part of the section provides detailed information about each import requirement along with the correct action to take. [Figure 3-4-1](#) on [page 3-4-3](#) summarizes the most common import requirements in order of most to least restrictive. If you are using the electronic form of the manual, you can click on the hypertext link to go directly to the information you need.

- ["1. Is Import Permit Necessary or Did Exporter Present One?"](#) on [page-3-4-4](#)
- ["2. Does the Commodity Have to Originate from an "Area" or "Production Area" Free from a Pest or Pathogen?"](#) on [page-3-4-8](#)
- ["3. Does the Commodity Require a Growing Season Inspection?"](#) on [page-3-4-11](#)
- ["4. Is There a Specific Period When the Commodity Is Permitted to Enter the Importing Country?"](#) on [page-3-4-12](#)
- ["5. Does the Commodity Require Treatment or Was a Treatment Conducted?"](#) on [page-3-4-13](#)
- ["6. Is an Additional Declaration \(AD\) Required?"](#) on [page-3-4-16](#)
- ["7. Does the Commodity Have to be Free of Specific Pests?"](#) on [page-3-4-17](#)
- ["8. Does the Foreign Country Limit the Import of the Commodity to Specified Ports?"](#) on [page-3-4-20](#)
- ["9. Are There Other Phytosanitary Import Requirements That the Commodity Must Meet as a Condition Of Entry?"](#) on [page-3-4-21](#)

FIGURE 3-4-1: Summary of Common Import Requirements Presented from Most-to-Least Restrictive

1. Is Import Permit Necessary or Did Exporter Present One?

This import requirement pertains to those commodities that require an IP as a condition of entry, but are **not** listed in the export summary as being prohibited. Also, an exporter may have an IP without being a condition of entry specified by the foreign country. Begin at [Table 3-4-2](#).



An IP may supersede or supplement information contained in an export summary.

Once an IP has been presented, the conditions of the IP **must** be met.



IPs may be:

◆ **Required, but not mandatory:** EXCERPT will then state: “Import permit is required.”

If the exporter **does not** present an IP, **do not** refuse to issue an export certificate, but caution the exporter that all phytosanitary requirements may **not** be met and the shipment may be rejected.

◆ **Mandatory:** EXCERPT will then state: “**Do not** issue a export certificate unless an IP is presented.”

Authorized Certification Officials (ACOs) **cannot** issue an export certificate unless an IP is presented and all conditions are met.


TABLE 3-4-2: Identify Commodities That May Require an Import Permit

If the commodities:	Then:
Require an IP as stated in the export summary, but are not listed as being prohibited	<ol style="list-style-type: none"> 1. CONSIDER the commodities as restricted 2. GO to Table 3-4-3 on page 3-4-5
Do not require an IP	<ol style="list-style-type: none"> 1. CONTINUE to identify other import requirements that apply to the commodities 2. GO to Table 3-4-4 on page 3-4-6

For additional information on IPs, refer to [Types of Official Communication](#) on [page C-1-3](#).

Verify the validity of the document—refer to [Verifying Documentation Validity](#) on [page C-1-6](#) for additional information.

TABLE 3-4-3: Action to Take on Restricted (Non prohibited) Commodities Requiring an Import Permit


If, after reviewing the supporting documents, you determine that the exporter:	Then:
Has a copy of a valid IP issued by the NPPO of the foreign country ¹	<ol style="list-style-type: none"> 1. REVIEW the IP to identify phytosanitary import requirements that must be met by the exporter 2. CHECK the export summary for other import requirements that may pertain to these commodities. Generally, an IP supersedes the export summary, but may also supplement the requirements in the export summary 3. RECORD an additional declaration on PPQ Form 577 that states: "Import permit [number on the IP] was presented." <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="background-color: #e0f2f1; padding: 5px; border: 1px solid #c8e6c9;"> <p>Once an IP is presented, do not issue PPQ Form 577 with an additional declaration that states, "No import permit was presented." Doing so would constitute a fraudulent statement on the certificate.</p> </div> </div> <ol style="list-style-type: none"> 4. GO to <i>Inspecting Commodities</i> on page 3-5-1 to inspect the commodities and ensure that they meet the import requirements listed on the IP
Does not have a copy of a valid IP	<ol style="list-style-type: none"> 1. GO to Table 3-4-5 on page 3-4-7

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



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

TABLE 3-4-4: Action to Take on Commodities Accompanied by an Import Permit That Is Not Required

If, after reviewing the supporting documents, you determine that the exporter:	Then:
Has a copy of a valid IP issued by the NPPO of the foreign country ¹	<p>1. REVIEW the IP to identify phytosanitary import requirements that must be met by the exporter</p> <p>2. CHECK the export summary for other import requirements that may pertain to these commodities. Generally, the IP supersedes the export summary, but may also supplement requirements in the export summary</p> <p>3. RECORD an additional declaration on PPQ Form 577 that states: "Import permit [number on the IP] was presented."</p> <div data-bbox="792 751 901 871" style="text-align: center;">  Important </div> <div data-bbox="930 737 1417 892" style="background-color: #e0f2f1; padding: 5px;"> <p>Once an IP is presented, do not issue PPQ Form 577 with an additional declaration that states, "No import permit was presented." Doing so would constitute a fraudulent statement on the certificate.</p> </div> <p>4. GO to <i>Inspecting Commodities</i> on page 3-5-1 to inspect the commodities to ensure that they meet all the import requirements listed on the IP</p>
Does not have a copy of a valid IP	<p>1. CHECK the export summary for other import requirements that may pertain to these commodities</p> <p>2. GO to <i>"2. Does the Commodity Have to Originate from an "Area" or "Production Area" Free from a Pest or Pathogen?"</i> on page-3-4-8</p>

1 This official document may **not** look like a U.S.-issued IP. A foreign-issued IP is issued to the importer in the foreign country and a copy is sent to the exporter. Official documents **must** be translated into English if presented to ACOs in a language other than English. Bilingual information is acceptable as long as one of the languages is English. If exporters **cannot** provide an English translation of the official document, certified in writing as accurate, advise them that you **cannot** proceed. If an ACO questions the validity of a presented IP, then the ACO **cannot** issue an export certificate until the permit's validity is ascertained. Forward the IP for validation to Export Services through appropriate contact protocol.

TABLE 3-4-5: Action to Take When an IP Is Required But Not Presented

If an:	Then:
IP is not mandatory	<ol style="list-style-type: none">1. DO NOT refuse to issue an export certificate (see <i>Important Note</i> below)2. INFORM the exporter that failure to provide an IP may result in the shipment not meeting the country's requirements and may be rejected3. RECORD an AD that states: No Import Permit was presented4. CHECK the export summary for other import requirements that may pertain to these commodities5. GO to "2. Does the Commodity Have to Originate from an "Area" or "Production Area" Free from a Pest or Pathogen?"" on page-3-4-8
IP is mandatory	<ol style="list-style-type: none">1. REFUSE to issue an export certificate2. EXIT this manual



Important

ACOs **cannot** refuse to issue an export certificate if an IP is **not** presented, unless one of the following conditions applies:

- ◆ The commodity is prohibited
- ◆ The commodity **does not** meet the import requirements
- ◆ The IP is mandatory

2. Does the Commodity Have to Originate from an “Area” or “Production Area” Free from a Pest or Pathogen?

A country may require that a commodity originate from an “area” or a “production area” free from specific pests. In order to qualify for this requirement, “freedom” **must** be demonstrated by scientific evidence.

Area: An officially defined country, part of a country, or all or parts of several countries.

Pest-free Production Area: Place of production in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period.

Any determination that a commodity meets “area freedom” or “production area freedom” **must** meet the conditions specified in the following International Plant Protection Convention (IPPC) International Standards for Phytosanitary Measures (ISPMs):

<https://www.ippc.int/servlet/CDSServlet?status=ND0xMzM5OSY2PWVuJjMzPSomMzc9a29z>

- ❖ ISPM # 04: Requirements for the establishment of Pest Free Areas (https://www.ippc.int/servlet/BinaryDownloaderServlet/13700_ISPM_4_E.pdf?filename=1146657783053_ISPM4.pdf&refID=13700)
- ❖ ISPM # 05: Glossary of phytosanitary terms (https://www.ippc.int/servlet/BinaryDownloaderServlet/133607_ISPM05_2006_E.pdf?filename=1151504714760_ISPM05_2006_E.pdf&refID=133607)
- ❖ ISPM # 08: Determination of pest status in an area (https://www.ippc.int/servlet/BinaryDownloaderServlet/13730_ISPM_8_E.pdf?filename=1146658133679_ISPM8.pdf&refID=13730)
- ❖ ISPM # 10: Requirements for the establishment of pest-free places of production and pest-free production sites (https://www.ippc.int/servlet/BinaryDownloaderServlet/13738_ISPM_10_E.pdf?filename=1146658291869_ISPM10.pdf&refID=13738)

A country may state that a commodity is prohibited from:

- ❖ Areas in which a specific pest occurs (they **do not** specify the area)
- ❖ Areas considered infected/infested with a pest

Conversely, some countries may specify the areas in the U.S. that they recognize as free from a specific pest, but **not always**. If EXCERPT **does not** specify which areas of the U.S. are considered free of a pest, the ACO **must** make that determination before deciding whether a commodity is prohibited.



For guidance and clarification on this topic, follow the approved contact protocol listed in [Table C-1-1](#) on [page C-1-2](#).

Refer to [Resources](#) on [page 3-4-19](#) to determine the status of a pest in the U.S. and the procedure for ensuring a commodity is free of a specific pest.

If the importing country requires an AD referring to the presence or absence of a pest, see [Is an Additional Declaration \(AD\) Required?](#) on [page 3-4-16](#).

Continue to [Table 3-4-6](#) on [page 3-4-10](#).

TABLE 3-4-6: Action to Take When Commodity Originates from an Area Infected or Infested with a Specific Pest

If:	And:	And the commodity:	Then:
Country prohibits commodity from specific areas it considers infected or infested		Originated from specified area	<ol style="list-style-type: none"> 1. REFUSE to issue an export certificate 2. EXIT this manual
		Does not originate from infected or infested specified area	<ol style="list-style-type: none"> 1. DOCUMENT origin 2. CHECK the export summary for other import requirements that may pertain to the commodity 3. GO to <i>“3. Does the Commodity Require a Growing Season Inspection?”</i> on page-3-4-11
		Does not originate from specified area, but the pest of concern occurs in the area of origin	<ol style="list-style-type: none"> 1. REFUSE to issue an export certificate 2. CONTACT Export Services (ES) using the approved contact protocol (Table C-1-1 on page C-1-2)
Country does not specify areas it considers infected or infested	You can determine status of pest in place of origin	Originated from area infected or infested with pest	<ol style="list-style-type: none"> 1. REFUSE to issue an export certificate 2. EXIT this manual
		Does not originate from an area infected or infested with pest	<ol style="list-style-type: none"> 1. DOCUMENT origin and pest status findings 2. CHECK the export summary for other import requirements that may pertain to the commodity 3. GO to <i>“3. Does the Commodity Require a Growing Season Inspection?”</i> on page-3-4-11
	You cannot determine status of pest in place of origin		<ol style="list-style-type: none"> 1. REFUSE to issue an export certificate 2. EXIT this manual

3. Does the Commodity Require a Growing Season Inspection?



Requirements for growing season inspections **cannot** be provided for all types of commodities.

Growing season inspections can be conducted by:

- ❖ Accredited nongovernmental entities (see *Special Programs • Seed Health Accreditation* on page 5-9-1)
- ❖ ACOs who have been trained in conducting field inspections
- ❖ Agents: individuals who meet the eligibility requirements set forth in 7CFR353.6, and are designated by PPQ to conduct phytosanitary field inspections of seed crops to serve as a basis for the issuance of export certificates. Agents may conduct phytosanitary field inspections of seed crops in cooperation with and on behalf of State plant health agencies that elect to use agents and maintain a Memorandum of Understanding (MOU) with PPQ. The MOU **must** state that agents will be used in accordance with the regulations.
- ❖ Employees of a State plant health agency who are authorized by PPQ. Employees of a State plant health agency who are **not** agents may perform field inspections **only** under the supervision of an ACO.

Use [Table 3-4-7](#) on page 3-4-11 to take the correct action.

TABLE 3-4-7: Action to Take When Commodity Requires a Growing Season Inspection

If the commodity:	And after reviewing the supporting documents, you determine that a growing season inspection was:	Then:
Requires a growing season inspection	Not satisfactorily conducted	1. REFUSE to issue an export certificate 2. EXIT this manual
Does not require a growing season inspection	Satisfactorily conducted —————→	1. CHECK the export summary for other import requirements that may pertain to the commodity 2. GO to <i>“4. Is There a Specific Period When the Commodity Is Permitted to Enter the Importing Country?”</i> on page-3-4-12

4. Is There a Specific Period When the Commodity Is Permitted to Enter the Importing Country?


ACOs **must** advise the exporters about a country's restrictions on when a commodity may be imported. If the declared date of exportation will result in the shipment arriving during prohibited periods, **do not** issue an export certificate unless the exporter adjusts the date of exportation.



Important

Exporters should provide documentation indicating that the commodity will be imported during the allowed period.

TABLE 3-4-8: Action to Take on Commodities That May Enter the Foreign Country Only During Specific Times of the Year

If the export summary:	And after reviewing the supporting documents, you determine that the commodities:	Then:
Lists a specific time when the commodities are enterable only when conditions are met	Cannot meet the conditions of entry that are consistent with the specified time	1. REFUSE to issue an export certificate 2. EXIT this manual
	Can meet the conditions of entry when entering during the specified time period	1. CHECK the export summary for other import requirements that may pertain to these commodities
Does not list specific times for entry		2. GO to <i>“5. Does the Commodity Require Treatment or Was a Treatment Conducted?”</i> on page-3-4-13

5. Does the Commodity Require Treatment or Was a Treatment Conducted?



Do not certify any commodity that has exceeded the label requirements set by the EPA. All treatments must strictly conform to all label requirements.



Important

Treatments **do not** preclude or substitute for a phytosanitary inspection.




Treatments conducted by the Federal Grain Inspection Service (FGIS) are acceptable to put on an export certificate as long as the treatment is indicated on an acceptable FGIS certificate. Refer to ***“Step 1: Determine if the Exporter Has Acceptable Documentation That Would Preclude an Additional Inspection”*** on **page-3-5-3**.

Begin at **Table 3-4-9** on **page 3-4-13** to take the correct action.

TABLE 3-4-9: Action to Take When Commodity May Require Treatment

If the commodity:	And the commodity:	Then:
Requires treatment	—————→	GO to Table 3-4-10 on page 3-4-14
Does not require treatment	Was treated	GO to Table 3-4-11 on page 3-4-15
	Was not treated	1. CHECK the export summary for other import requirements that may pertain to the commodity 2. GO to <i>“6. Is an Additional Declaration (AD) Required?”</i> on page-3-4-16

TABLE 3-4-10: Action to Take When Commodity Requires Treatment

If:	And the exporter is:	Then:
An acceptable treatment was conducted and was monitored ¹ by a Federal, State, or county plant quarantine official ²		1. RECORD details of all acceptable treatments on the export certificate 2. CHECK the export summary for other import requirements that may pertain to the commodity 3. GO to "6. Is an Additional Declaration (AD) Required?" on page-3-4-16
No acceptable treatment was conducted or the treatment was not monitored by a Federal, State, or county plant quarantine official	Not willing to arrange for treatment	1. REFUSE to issue an export certificate 2. EXIT this manual
	Willing to arrange for treatment which will be monitored by a Federal, State, or county plant quarantine official ¹	1. MONITOR treatment 2. RECORD details of all treatments on PPQ Form 577 or 579 3. CHECK the export summary for other import requirements that may pertain to the commodity 4. GO to "6. Is an Additional Declaration (AD) Required?" on page-3-4-16

- 1 Section 18 treatments **must** be supervised by Federal ACOs (per USDA-APHIS-PPQ Center for Plant Health Science and Technology (CPHST)).
- 2 As relates to quarantine treatments of commodities offered for export, PPQ policy is for ACOs to attest to a treatment on an export certificate **only** when one of the following occurs:
 - ◆ Fumigation treatment performed following procedures specified in the USDA-APHIS-PPQ *Treatment Manual* (http://www.aphis.usda.gov/ppq/manuals/port/Treatment_Chapters.htm) and monitored or supervised by a Federal, State, or county plant quarantine official
 - ◆ Notarized letter attesting to a fumigation treatment performed by a licensed pest control operator (certified for the type of treatment performed) or a compliance agreement for fumigation treatment in a chamber that followed the procedures specified in the USDA-APHIS-PPQ *Treatment Manual* (http://www.aphis.usda.gov/ppq/manuals/port/Treatment_Chapters.htm), which is presented to the ACO for those occasions when a treatment is **not** monitored by a Federal, State, or county plant quarantine official. Treatments **not** officially monitored can be attested to **only** when **both** of the following circumstances are true:
 - ❖ Licensed pest control operator is **not** routinely involved in regulatory treatments
 - ❖ **No** other option was available
 - ◆ Fumigation treatment indicated on seed labels which was officially monitored by State regulatory personnel to ensure EPA compliance. **NOTE:** Treatments listed on foreign seed labels **cannot** be attested on PPQ Form 579, since a U.S. plant quarantine official did **not** monitor the treatment in the foreign country)

TABLE 3-4-11: Action to Take on Treated Commodities That DO NOT Require Treatment as a Condition of Entry

If commodity was treated and:	And the exporter:	Then:
The treatment was acceptable and was monitored ¹ by a Federal, State, or county plant quarantine official ²	→	<ol style="list-style-type: none"> 1. RECORD details of all treatments on PPQ 577 or 579 2. CHECK the export summary for other import requirements that may pertain to the commodity 3. GO to <i>"6. Is an Additional Declaration (AD) Required?"</i> on page-3-4-16
The treatment is not acceptable or was not monitored by a Federal, State, or county plant quarantine official	Wants the shipment treated	<ol style="list-style-type: none"> 1. MONITOR the treatment 2. RECORD details of all treatments on PPQ 577 or 579 3. CHECK the export summary for other import requirements that may pertain to the commodity 4. GO to <i>"6. Is an Additional Declaration (AD) Required?"</i> on page-3-4-16
	Does not want the shipment treated	<ol style="list-style-type: none"> 1. CHECK the export summary for other import requirements that may pertain to the commodity 2. GO to <i>"6. Is an Additional Declaration (AD) Required?"</i> on page-3-4-16

- 1 Section 18 treatments **must** be supervised by Federal ACOs (per USDA-APHIS-PPQ Center for Plant Health Science and Technology (CPHST)).
- 2 As relates to quarantine treatments of commodities offered for export, PPQ policy is for ACOs to attest to a treatment on PPQ Form 577 or 579 **only** when one of the following occurs:
 - ◆ Fumigation treatment performed following procedures specified in the USDA-APHIS-PPQ *Treatment Manual* (http://www.aphis.usda.gov/ppq/manuals/port/Treatment_Chapters.htm) and monitored or supervised by a Federal, State, or county plant quarantine official
 - ◆ Notarized letter attesting to a fumigation treatment performed by a licensed pest control operator (certified for the type of treatment performed) or a compliance agreement for fumigation treatment in a USDA certified chamber that followed the procedures specified in the USDA-APHIS-PPQ *Treatment Manual* (http://www.aphis.usda.gov/ppq/manuals/port/Treatment_Chapters.htm), which is presented to the ACO for those occasions when a treatment is **not** monitored by a Federal, State, or county plant quarantine official. Treatments **not** officially monitored can be attested to **only** when **both** of the following circumstances are true:
 - ❖ Licensed pest control operator is **not** routinely involved in regulatory treatments
 - ❖ **No** other option was available
 - ◆ Fumigation treatment indicated on seed labels which was officially monitored by State regulatory personnel to ensure EPA compliance. **NOTE:** Treatments listed on foreign seed labels **cannot** be attested on a re-export phytosanitary certificate since a U.S. plant quarantine official did **not** monitor the treatment in the foreign country)

6. Is an Additional Declaration (AD) Required?

If an AD is required, the ACO must officially verify that all the phytosanitary requirements of the importing country have been met before signing PPQ Form 577 or 579.

Exception: Treatments required by an importing country **must always** be included in the Treatment section of PPQ Form 577 or 579. Including the treatment on these certificates means the ACO verified that the treatment was conducted.

Refer to *Record Keeping* on page 2-1-10 for additional guidance on prohibited ADs and attachments, listing the IP number, or that an IP was **not** presented, etc.

When the commodity **must** comply with an AD, use **Table 3-4-12** on page 3-4-16 to take the correct action.

TABLE 3-4-12: Action to Take When Commodity Must Comply With an AD

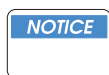
If:	And requirements and conditions:	Then:
Requirements and conditions have been met	→	<ol style="list-style-type: none"> 1. RECORD applicable AD on PPQ Form 577 or 579 2. CHECK the export summary for other import requirements that may pertain to the commodity 3. GO to "7. Does the Commodity Have to be Free of Specific Pests?" on page-3-4-17
No clear evidence exists that requirements and conditions have been met	Can be met	<ol style="list-style-type: none"> 1. ALLOW exporter to provide evidence that the requirements and conditions have been met 2. RECORD applicable AD on export certificate 3. CHECK the export summary for other import requirements that may pertain to the commodity 4. GO to "7. Does the Commodity Have to be Free of Specific Pests?" on page-3-4-17
	Cannot be met	<ol style="list-style-type: none"> 1. REFUSE to issue an export certificate 2. EXIT this manual

7. Does the Commodity Have to be Free of Specific Pests?

EXAMPLE Export certificate is required. **Must** be free from *Ascochyta rabiei*, **Megaselia arietina*, and *Trogoderma* spp.

If a commodity **must** be free of specific pests, ACOs **must** determine:

- ❖ Method to determine that commodity is free of the pests that occur in the U.S. If a country **does not** specify the procedure to use to determine if a commodity is free of a specific pest, ACOs **must** determine what method to use. The method **must** be based on the specific pest's biology and the host. Some of the common methods to determine the presence or absence of a pest are:
- ❖ Status of the pest in the U.S.



The information in the Product Requirements section of EXCERPT is based on the best available scientific data of the status of the pest in the U.S.


- Field inspection during growth
- Laboratory tests
- Visual inspection

Use [Table 3-4-13](#) on [page 3-4-18](#) to take the correct action.

Refer to [Resources](#) on [page 3-4-19](#) to determine the status of a pest in the U.S. and the procedure for ensuring a commodity is free of a specific pest.

If the importing country requires an AD referring to the presence or absence of a pest, refer to [Is an Additional Declaration \(AD\) Required?](#) on [page 3-4-16](#).

TABLE 3-4-13: Action to Take When Commodity Must be Free From Applicable Harmful Organisms

If after reviewing the supporting documents or after inspecting the commodity, you determine that:	And freedom from applicable harmful organisms:	Then:
Clear evidence exists that the commodity is free from listed harmful organisms (e.g., laboratory tests or field inspection results)		<ol style="list-style-type: none"> 1. CHECK the export summary for other import requirements that may pertain to the commodity 2. GO to <i>"8. Does the Foreign Country Limit the Import of the Commodity to Specified Ports?"</i> on page-3-4-20
No clear evidence exists that the commodity is free from listed harmful organisms	Can be met (e.g., testing, field inspection results)	<ol style="list-style-type: none"> 1. ALLOW exporter to provide evidence of freedom or 2. INSPECT, test, etc. the commodity to ensure freedom from harmful organisms (if practical) 3. CHECK the export summary for other import requirements that may pertain to the commodity 4. GO to <i>"8. Does the Foreign Country Limit the Import of the Commodity to Specified Ports?"</i> on page-3-4-20
	Cannot be met	<ol style="list-style-type: none"> 1. REFUSE to issue an export certificate 2. EXIT this manual

Resources

Use the following resources to determine the status of a pest in the U.S. and the procedure for ensuring a commodity is free of a specific pest:

- ◆ Area identifiers, PPQ
- ◆ Biological and Technical Services, PPQ—Riverdale through your ECS
- ◆ Cooperative extension services
- ◆ Crop Protection Compendium (CABI) at:

<http://www.cabi.org/compendia/cpc/>



Important

The information in CABI is based on voluntary reports; if CABI **does not** list a pest as occurring in the U.S., the pest may occur, but no one has sent a report to CABI.


- ◆ EXCERPT: search EXCERPT for the name of the pest using the *Keyword Search of Export Summaries*
- ◆ Export Certification Specialists (ECS)
- ◆ National Agricultural Pest Information System (NAPIS): for pests listed in EXCERPT and pests listed in NAPIS, EXCERPT will provide a direct link to the appropriate information—the absence of data on a particular pest may only be an indication that a state or states have **not** sent in a report on the pest
- ◆ Plant Pest Home Page at: http://www.aphis.usda.gov/plant_health/identification/idaids.shtml
- ◆ State or county officials
- ◆ Universities
- ◆ *Widely Prevalent Plant Pathogenic Organisms* at: http://www.aphis.usda.gov/plant_health/permits/organism/plant_pathogens.shtml

You can also access this site from the PPQ Home Page under Hot Topics, Plant Pest Home Page, and the Plant Pathogens Home page.

8. Does the Foreign Country Limit the Import of the Commodity to Specified Ports?

Use [Table 3-4-14](#) on [page 3-4-20](#) to take the correct action.

TABLE 3-4-14: Action to Take When Commodity Is Limited to Enter Specific Ports

If the exporter has designated:	Then:
A port other than specified in the export summary	<ol style="list-style-type: none"> 1. WARN the exporter that the shipment may be refused or delayed if entering a port other than specified in the export summary <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p>Important</p> <p>Do not refuse to issue an export certificate if this is the only requirement that is not met.</p> </div> </div> <ol style="list-style-type: none"> 2. CHECK the export summary for other import requirements that may pertain to the commodity 3. GO to <i>“9. Are There Other Phytosanitary Import Requirements That the Commodity Must Meet as a Condition Of Entry?”</i> on page-3-4-21
One of the specified ports	<ol style="list-style-type: none"> 1. CHECK the export summary for other import requirements that may pertain to the commodity 2. GO to <i>“9. Are There Other Phytosanitary Import Requirements That the Commodity Must Meet as a Condition Of Entry?”</i> on page-3-4-21

9. Are There Other Phytosanitary Import Requirements That the Commodity Must Meet as a Condition Of Entry?

Use [Table 3-4-15](#) on [page 3-4-21](#) to take the correct action.

TABLE 3-4-15: Action to Take When Commodity May Need to Meet Other Phytosanitary Import Requirements as a Condition of Entry

If there are:	And after reviewing supporting documents, you determine that the commodity:	And requirements or conditions:	Then:
Other import requirements to be met that are not mentioned elsewhere in this section	Met the requirements	→	1. GO to <i>Inspecting Commodities</i> on page 3-5-1 to inspect the commodities to ensure they meet all the import requirements
	Do not meet the requirements	Can be met (e.g., treatment, reconditioning)	1. ALLOW the exporter to meet the requirement or condition 2. GO to <i>Inspecting Commodities</i> on page 3-5-1 to inspect the commodities to ensure they meet all the import requirements
		Cannot be met	1. REFUSE to issue an export certificate 2. EXIT this manual
No other import requirements to be met		→	1. REFER to <i>General Information</i> of the export summary to identify unrestricted commodities ¹ or general requirements that have to be met by all or groups of commodities 2. GO to <i>Inspecting Commodities</i> on page 3-5-1 to inspect the commodities to ensure they meet all the import requirements

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

3

Export Program
Manual

General Procedures

Inspecting Commodities

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Introduction

This section covers the general inspection guidelines that Authorized Certification Officials (ACOs) should follow when sampling, inspecting, and verifying eligible commodities offered for export certification. For procedures to inspect specific commodities, refer to special procedures included in Chapter 4 of this manual.



Items listed in EXCERPT as processed products eligible **only** for PPQ Form 578 are believed to be free of injurious plant pests. Therefore, the steps beginning on page 3-5-2 **do not** apply to these processed products. Refer to the processed products menu in EXCERPT to identify eligible processed products.

General Inspection Guidelines

Inspections **cannot** begin until these actions have been taken:

- ◆ You have reviewed the export summary and identified import requirements
- ◆ Exporter has given you a copy of a mandatory import permit (IP), with translation, if appropriate
- ◆ Exporter has presented the entire consignment all together, clearly marked and labeled

Go to **Figure 3-5-1** on **page-3-5-2** for a list of the main inspection steps followed by detailed guidelines.

“Step 1: Determine if the Exporter Has Acceptable Documentation That Would Preclude an Additional Inspection” on **page-3-5-3**

“Step 2: Determine Lead Time and Time Limits” on **page-3-5-4**

“Step 3: Determine the Sample Size” on **page-3-5-5**

“Step 4: Compare Shipment to Supporting Documents” on **page-3-5-10**

“Step 5: Inspect the Commodity” on **page-3-5-11**

“Step 6: Obtain Pest Identity” on **page-3-5-12**

“Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest”
on **page-3-5-13**

“Step 8: Look for Packaging or Other Material” on **page-3-5-15**

“Step 9: Record Inspection Results” on **page-3-5-16**

“Step 10: Prepare an Export Certificate” on **page-3-5-18**

FIGURE 3-5-1: Overview of General Inspection Guidelines

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

PPQ, through accreditation programs, compliance agreements, Memorandums of Understanding (MOUs) and other special programs cooperates with other Federal agencies, State and county governments, and nongovernmental entities to conduct various phytosanitary laboratory tests, inspections, etc. for specific commodities. If presented with documentation, go to [Appendix A](#) for a list of acceptable inspection certificates and documentation. Use [Table 3-5-1](#) on [page-3-5-3](#) to take the appropriate action.

TABLE 3-5-1: Determine If the Consignment Has Acceptable Documentation

If the consignment:	Then:
Has acceptable documentation	GO to <i>“Step 2: Determine Lead Time and Time Limits”</i> on page-3-5-4
Lacks acceptable documentation	<ol style="list-style-type: none"> 1. REFUSE to issue an export certificate or, if applicable, proceed to conduct a visual inspection 2. GO to <i>“Step 2: Determine Lead Time and Time Limits”</i> on page-3-5-4

Step 2: Determine Lead Time and Time Limits

Lead time refers to the amount of time needed to inspect or to examine commodities before their shipping date.

Determine if there is enough lead time to conduct any required phytosanitary actions and if time limits can or have been met. Time limits **must** be met regardless of whether an ACO or another authorized entity performs the phytosanitary inspection, testing, etc.

Check the shipping date to ensure there is enough lead time for a laboratory examination/test and to plan for visual inspections in order to meet any time limit specified by the foreign country.

TABLE 3-5-2: Decide to Inspect Commodity

If:	And:	Then:
Time limits have been met	You decide to verify only the contents of the shipment because the exporter has an acceptable inspection certificate	1. VERIFY the contents of the shipment 2. SKIP to “Step 9: Record Inspection Results” on page-3-5-16
	You decide to inspect the shipment	GO to “Step 3: Determine the Sample Size” on page-3-5-5
Time limits have not been met and shipment must be reinspected or retested	—————→	

Step 3: Determine the Sample Size

Whether inspecting the commodity visually or drawing samples for a laboratory analysis, ACOs **must** decide whether the sample size includes the entire shipment or an officially drawn representative sample.



Always follow [Safety Precautions for Sampling and Inspecting](#) on [page 3-5-9](#).

Factors to consider when determining sample size:

- ◆ Existing guidelines
- ◆ Experience with similar commodities
- ◆ Import requirements of the foreign country
- ◆ Size of shipment
- ◆ Where the commodity was grown or produced

Go to [Table 3-5-4](#) on [page-3-5-8](#) to determine sample size.

Officially Drawn Representative Samples

Representative samples, for inspectional or testing purposes, **must be** drawn by an ACO or other designated personnel. For policy about who may draw official samples, refer to [Official Samples and Inspection](#) on [page 2-1-7](#).

Only officially drawn samples may be used to certify *seeds*. Officially drawn samples of seeds may include those for weed seed examination, laboratory analysis for pathogens, or insect examination. Samples of seeds drawn by a seed company or other industry representatives are **not** permitted unless the entity is accredited to perform such phytosanitary functions as established by the National Seed Health System and the PPQ Accreditation Manager. See [Special Programs • Seed Health Accreditation](#) on [page 5-9-1](#).

Officially drawn samples, which are the basis for certification, **must be** large enough to represent the entire lot and **must be** of a nature to accurately reflect the conditions of the entire shipment.

Two Percent Level

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

EXAMPLE

A shipment of 400 boxes of fruits would require 100% inspection of 8 boxes (.02 x 400 boxes = 8 boxes). 2% is a minimal level.

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

Hypergeometric Table (95% confidence level)

You may use the hypergeometric table for inspecting large consignments where it is impracticable to use the two percent inspection level. To be 95 percent sure that you will find the pest when 10 percent or more of the shipment is infested, randomly select a specific number of units in the shipment. Determine this number of units by using the hypergeometric table illustrated in [Table 3-5-3](#) on [page-3-5-7](#). Inspect each of these units to ensure that:

- ◆ No hitchhiker pests or surface feeders are present in the unit
- ◆ No internal feeding insects are present in randomly selected plant part in the unit
- ◆ No mismanifested or smuggled items are present

This 10 percent infestation level may change as data for Agricultural Quarantine Inspection Monitoring (AQIM) is collected and analyzed.

TABLE 3-5-3: Hypergeometric Table for Random Sampling

Total number of inspectional units:	Randomly select this number of units to inspect:
1-10	10
11-12	11
13	12
14-15	13
16-17	14
18-19	15
20-22	16
23-25	17
26-28	18
29-32	19
33-38	20
39-44	21
45-53	22
54-65	23
66-82	24
83-108	25
109-157	26
158-271	27
272-885	28
886-200,000	29

TABLE 3-5-4: Determine Sample Size

If you are going to:	Then:
Inspect 100% of the shipment	<ol style="list-style-type: none"> 1. OBSERVE <i>Safety Precautions for Sampling and Inspecting</i> on page 3-5-9 2. GO to <i>“Step 4: Compare Shipment to Supporting Documents”</i> on page-3-5-10
Inspect a representative sample of the shipment	<ol style="list-style-type: none"> 1. DETERMINE the sample size considering the following: <ul style="list-style-type: none"> ◆ Existing guidelines ◆ Experience with similar commodities ◆ Import requirements of the foreign country ◆ Size of shipment ◆ Where the commodity was grown or produced 2. OBSERVE <i>Safety Precautions for Sampling and Inspecting</i> on page 3-5-9 3. DRAW an official sample 4. GO to <i>“Step 4: Compare Shipment to Supporting Documents”</i> on page-3-5-10
Require an additional sample for laboratory examination	<ol style="list-style-type: none"> 1. DETERMINE the sample size considering the following: <ul style="list-style-type: none"> ◆ Existing guidelines ◆ Experience with similar commodities ◆ Import requirements of the foreign country ◆ Size of shipment ◆ Where the commodity was grown or produced 2. OBSERVE <i>Safety Precautions for Sampling and Inspecting</i> on page 3-5-9 3. DRAW an official sample 4. SEND the official sample to the nearest identifier, public university or public laboratory, or an accredited laboratory as conditions warrant¹ 5. KEEP the exporter informed of delays that may arise from laboratory examination 6. GO to <i>“Step 4: Compare Shipment to Supporting Documents”</i> on page-3-5-10

1 For information on laboratory accreditation, go to the following Web site address: <<http://www.aphis.usda.gov/ppq/pim/accreditation/>> or see *Special Programs • Seed Health Accreditation* on **page 4-16-1**.

Safety Precautions for Sampling and Inspecting

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

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

Keep informed. Safely inspect treated plant material. Potential illness can be prevented. Well-informed officials are more likely to take precautionary measures in handling treated plant material and contribute to PPQ's excellent safety record (for additional information on safety, see *Pesticide Safety* in the PPQ *Treatment Manual* <http://www.aphis.usda.gov/ppq/manuals/port/Treatment_Chapters.htm>).

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


Step 4: Compare Shipment to Supporting Documents

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

- ◆ Distinguishing marks and numbers
- ◆ Quantity of commodity
- ◆ Type of commodity

Use [Table 3-5-5](#) on [page-3-5-10](#) to take the appropriate action.

TABLE 3-5-5: Verify That Commodity is as Listed on Supporting Documents

If the commodity:	And after allowing the exporter the opportunity to correct the discrepancies, the exporter:	Then:
Is the same as listed on supporting documents		GO to <i>“Step 5: Inspect the Commodity”</i> on page-3-5-11
Is different than listed on supporting documents (allow the exporter to correct the discrepancies)	Corrects the discrepancies Does not correct the discrepancies	

Step 5: Inspect the Commodity

Inspect the commodity for general pests, those pests usually associated with that host, and those pests specifically listed in the export summary or on the IP. Use [Table 3-5-6](#) on [page-3-5-11](#) to take the appropriate action.

Seed Shipments

If possible, inspect seeds prior to treatment. Requirements for laboratory testing **must** be met prior to the seeds being treated **except** in the following cases:

- ◆ Fungicide- or insecticide-treated corn seed (*Zea mays*) may be tested using ELISA technique to detect Stewart’s bacterial wilt (*Pantoea stewartii*) (=Erwinia stewartii)¹
- ◆ Laboratory testing for *Claviceps africana* which **must** include a structural examination at 10x or greater magnification¹

Pelletized and *embedded* seeds **cannot** be certified unless the inspection is conducted prior to treatment and time limits are met.



Always follow [Safety Precautions for Sampling and Inspecting](#) on [page 3-5-9](#).

Look for insects, weed seeds, ergot, etc.

Seeds cannot be certified based **only** on the fact that the seeds have been treated and/or vacuum packed. Appropriate seed sampling and inspection **must always** be conducted. Refer to [Special Procedures](#) on [page 4-5-1](#) and [Commodity • Seed](#) on [page 4-5-1](#) for further information.

TABLE 3-5-6: Action to Take Based on Inspection Results

If pests or diseases are:	Then:
Present	<ol style="list-style-type: none"> 1. If you anticipate a delay that will allow for the identification and/or reconditioning of the shipment, INFORM the exporter of the infestation and/or infection 2. GO to “Step 6: Obtain Pest Identity” on page-3-5-12
Absent	GO to “Step 8: Look for Packaging or Other Material” on page-3-5-15

¹ Based on a 2004 review by the National Seed Health System, Seed Technical Working Group of the Pataky and Block paper (Plant Disease 88: 633-640).

Step 6: Obtain Pest Identity

Obtain the identity of the intercepted plant pest. Use [Table 3-5-7](#) on [page-3-5-12](#) to take the appropriate action.

TABLE 3-5-7: Action to Take to Identify the Intercepted Plant Pests

If you are a:	And you:	Then:
Federal ACO	Have identification authority for the intercepted plant pest	GO to <i>“Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest”</i> on page-3-5-13
	Cannot identify the intercepted plant pest, or you lack identification authority	<ol style="list-style-type: none"> 1. COMPLETE PPQ Form 309 or PPQ Form 309a 2. SEND the specimen along with the form to the nearest PPQ identifier 3. If applicable, INFORM the exporter of the delay 4. GO to <i>“Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest”</i> on page-3-5-13
State or county ACO	Have identification authority for the intercepted plant pest	GO to <i>“Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest”</i> on page-3-5-13
	Cannot identify the intercepted plant pest, or you lack identification authority	<ol style="list-style-type: none"> 1. SEND the specimen to the nearest State or Federal identifier 2. If applicable, INFORM the exporter of the delay 3. GO to <i>“Step 7: Determine if the Plant Pest Is Quarantine Significant or an Injurious Plant Pest”</i> on page-3-5-13

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

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

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

Use [Table 3-5-8](#) on [page-3-5-13](#) and [Table 3-5-9](#) on [page-3-5-14](#) to take the appropriate action.

TABLE 3-5-8: Action to Take When Commodities Are Found Infested or Infected

If the identified plant pest is:	And is considered to be:	And the infestation level:	Then:
Listed in the export summary of the foreign country as being quarantine significant	—————→	—————→	GO to Table 3-5-9 on page-3-5-14
Not listed in the export summary as being quarantine significant	Injurious to the commodity	Is considered practically free ¹	GO to “Step 8: Look for Packaging or Other Material” on page-3-5-15
		Cannot be considered practically free	GO to Table 3-5-9 on page-3-5-14
	Not injurious to the commodity	—————→	GO to “Step 8: Look for Packaging or Other Material” on page-3-5-15

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

TABLE 3-5-9: Action to Take When the Plant Pest Is Quarantine Significant or the Infestation Exceeds the Practically Free Condition

If a treatment is:	Then:
Available for the plant pest and acceptable by the foreign country as a condition of entry	1. ALLOW the exporter to treat or recondition the commodity 2. MONITOR the treatment <div style="text-align: center;">  Important </div> <div style="background-color: #e0f2f1; padding: 5px; margin-top: 10px;"> Make no mention of the infestation or infection on the export certificate; only RECORD the treatment in the appropriate section. </div> 3. GO to “Step 8: Look for Packaging or Other Material” on page-3-5-15
Unavailable for the plant pest	1. REFUSE to issue an export certificate 2. GO to “Step 9: Record Inspection Results” on page-3-5-16
Unacceptable to the foreign country as a condition of entry	3. EXIT this manual

Step 8: Look for Packaging or Other Material

Packaging or other material that may be associated with the shipment, such as wood packaging material, bagging, containers, soil, etc., **must** also meet the importing country’s requirements.

Use **Table 3-5-10** on **page-3-5-15** to determine the action to take on shipments contaminated with soil or with unauthorized packing material, bagging, or containers.

TABLE 3-5-10: Action to Take when Commodity is Associated with Packaging Material, Bagging, Containers, etc.

If the shipment:	And the exporter:	Then:
Is free from prohibited material, or contains material that meets importing country’s requirements	→	GO to “Step 9: Record Inspection Results” on page-3-5-16
Is not free from prohibited material, or contains material that does not meet importing country’s requirements	Cleans, treats, and/or reconditions shipment	<ol style="list-style-type: none"> 1. REFUSE to issue an export certificate 2. GO to “Step 9: Record Inspection Results” on page-3-5-16 3. EXIT this manual
	Refuses to clean, treat, or recondition shipment	

Step 9: Record Inspection Results

ACOs **must** record results of their inspection and additional information about the shipment that will support their decision to certify or not to certify the commodity. Inspection results may be recorded at the bottom of PPQ Form 572; on the reverse side of PPQ Form 577, Issuing Office Copy; or on the reverse side of PPQ Form 579, Issuing Office Copy. See [Table 3-5-11](#) on [page-3-5-17](#).

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

1. Place (port and location) where the commodity was inspected.
2. Percentage (how much) of material was inspected.
3. Percentage of material infested or infected.
4. Pests intercepted and treatments given.
5. Actions taken by the exporter (as a result of inspection) making the commodity eligible for certification such as repackaging, reconditioning, or debarking.
6. Unusual situations concerning the shipment, **such as reasons for not certifying the shipment**.
7. ACO signature.
8. Date and time of the inspection (ensure that the inspection was conducted within specified time limits).


TABLE 3-5-11: Record Inspection Results

If you are recording inspection results on:	Then:
PPQ Form 572, Application for Certification	<ol style="list-style-type: none"> 1. RECORD the inspection results under Export Inspection Data as follows: <ul style="list-style-type: none"> ◆ LIST in <i>Block 12</i>, place (port and location) where the commodity was inspected ◆ LIST in <i>Block 13</i>, percentage (how much) of material was inspected ◆ LIST in <i>Block 14</i>, percentage of material infested or infected ◆ LIST in <i>Block 15</i>, pests intercepted and treatments given, actions taken by the exporter and ACO (as a result of the inspection) to make the commodity eligible for certification (such as repackaging, reconditioning, debarking, intended use, notation of AD, pest or disease freedom, presence or absence of IP, foreign export certificate, or other import requirements and unusual situations concerning the shipment) ◆ SIGN your name in <i>Block 16</i> ◆ LIST in <i>Block 17</i>, date and time of inspection 2. ATTACH PPQ Form 572 to the Issuing Office Copy of PPQ Form 577 or PPQ Form 579, if applicable 3. GO to “Step 10: Prepare an Export Certificate” on page-3-5-18, if applicable
PPQ Form 577, Phytosanitary Certificate	<ol style="list-style-type: none"> 1. RECORD the inspection results on the reverse side of the Issuing Office Copy as follows: <ul style="list-style-type: none"> ◆ LIST in <i>Block 1</i>, place (port and location) where the commodity was inspected
PPQ Form 579, Phytosanitary Certificate for Reexport	<ol style="list-style-type: none"> ◆ LIST in <i>Block 2</i>, percentage (how much) of material was inspected ◆ LIST in <i>Block 3</i>, percentage of material infested or infected ◆ LIST in <i>Block 4</i>, pests intercepted and treatments given, actions taken by the exporter and ACO (as a result of inspection) to make the commodity eligible for certification (such as repackaging, reconditioning, debarking, intended use, notation of AD, pest or disease freedom, presence or absence of IP, foreign export certificate, or other import requirements and unusual situations concerning the shipment) ◆ SIGN your name in <i>Block 5</i> ◆ LIST in <i>Block 6</i>, date and time of inspection <ol style="list-style-type: none"> 2. GO to “Step 10: Prepare an Export Certificate” on page-3-5-18, if applicable

Step 10: Prepare an Export Certificate

After recording the inspection results and deciding to issue an export certificate, proceed to preparing and distributing the proper export certificate. Use [Table 3-5-12](#) on [page-3-5-18](#) to determine the action to take based on the inspection results.

TABLE 3-5-12: Action to Take Based on Inspection Results

If the commodity:	And you are a:	And the commodity is:	Then:
Met the import requirements based on supporting documents and inspection results	Federal ACO	Unprocessed, domestic origin	<ol style="list-style-type: none"> GO to PPQ Form 577, Phytosanitary Certificate on page 3-8-2 COLLECT a user fee or RECORD a prepaid PPQ Form 577 (see Collecting User Fees on page 3-11-1)
		Unprocessed, foreign origin	<ol style="list-style-type: none"> GO to PPQ Form 579, Phytosanitary Certificate for Reexport on page 3-8-14 COLLECT a user fee or RECORD a prepaid PPQ Form 579 (see Collecting User Fees on page 3-11-1)
	State or county ACO	Unprocessed domestic origin	<ol style="list-style-type: none"> GO to PPQ Form 577, Phytosanitary Certificate on page 3-8-2 If applicable, SEE your local policy for collecting user fees
		Unprocessed foreign origin	<ol style="list-style-type: none"> GO to PPQ Form 579, Phytosanitary Certificate for Reexport on page 3-8-14 If applicable, then SEE your local policy for collecting user fees
Did not meet the import requirements based on inspection results			<ol style="list-style-type: none"> REFUSE to issue an export certificate EXIT this manual

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Export Program
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General Procedures

Testing

Testing **must** be done at a USDA or State laboratory, or a USDA accredited facility.



Testing conducted by any private entity **must** be accredited by the USDA. Currently only the National Seed Health System (NSHS) provides specific standards for laboratory seed health tests and seed crop field inspections that may be used for the issuance of a phytosanitary certificate to meet international regulations regarding export of seed from the United States. For more information on accreditation issues please contact Michael Ward, Senior Accreditations Program Manger at michael.d.ward@aphis.usda.gov or 301-734-5227.

Refer to “**Step 2:Determine Lead Time and Time Limits**” on **page-3-5-4** for further information.

For information on accreditation, refer to the USDA accreditation website: http://www.aphis.usda.gov/import_export/plants/plant_exports/accreditation.shtml.

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Export Program
Manual

General Procedures

Certifying Treatments

Refer to these sections:

Treatments on page 2-1-13.

Does the Commodity Require Treatment or Was a Treatment Conducted? on page 3-4-13

“Step 5: Inspect the Commodity” on page-3-5-11

Here is a link to the PPQ *Treatment Manual*:

http://www.aphis.usda.gov/ppq/manuals/port/Treatment_Chapters.htm

Here is a link to CPHST's on-line treatment search website:

<https://manuals.cphst.org/TIndex/index.cfm>

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Export Program
Manual

General Procedures

Completing PPQ Forms 577 and 579

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Introduction

This section contains information and instructions for completing the following certificates:

- ◆ *PPQ Form 577, Phytosanitary Certificate* on page 3-8-2
- ◆ *PPQ Form 579, Phytosanitary Certificate for Reexport* on page 3-8-14

For instructions on completing PPQ Form 578, see *Completing PPQ Form 578* on page 3-9-1.



Important

Confidentiality: Hold all information in strict confidence to protect buyers and exporters. Disclosure of confidential information may reveal trade secrets or may cause financial harm to buyers and exporters.

PPQ Form 577, Phytosanitary Certificate

PPQ Form 577, Phytosanitary Certificate is an accountable inspection certificate used to certify domestic plants and unprocessed plant products for export. See [Figure 3-8-1](#) on [page 3-8-3](#) for an example. For instructions on filling out the form, see [Completion](#) on [page 3-8-4](#). For instructions on distributing copies of the form, see [Distribution of PPQ Form 577 Issued on Multipart Paper Forms](#) on [page 3-14-3](#).

PPQ Form 577 follows the format of the international model established by the International Plant Protection Convention (IPPC), and is used to document the phytosanitary condition of exported commodities.

Authorized Certification Officials (ACOs) are responsible for holding in strict confidence the information in these official documents, collecting user fees (if applicable), and maintaining an accountability system for tracking these documents. For details about these topics, see [Confidentiality](#) on [page 2-1-10](#) and [Collecting User Fees](#) on [page 3-11-1](#).

Purpose

The purpose of PPQ Form 577 is to expedite the entry of domestic plants or unprocessed or unmanufactured plant products into a foreign country. ACOs certify that the domestic commodities:

- ◆ Are considered to be free from regulated pests
- ◆ Conform with the current phytosanitary requirements of the importing country
- ◆ Have been inspected, tested, or treated according to appropriate official procedures

Example


No phytosanitary certificate can be issued until an application is completed (7 CFR 353)		See reverse for additional OMB information.	FORM APPROVED OMB NO. 0579-0052
UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE PHYTOSANITARY CERTIFICATE TO: THE PLANT PROTECTION ORGANIZATION(S) OF SAMPLE		FOR OFFICIAL USE ONLY	
		PLACE OF ISSUE SAMPLE	
		NO: FPC XXXXXXXX	
		DATE INSPECTED	
CERTIFICATION			
This is to certify that the plants, plant product or other regulated articles described herein have been inspected and/or tested according to appropriate official procedures and are considered to be free from the quarantine pests, specified by the importing contracting party and to conform with the current phytosanitary requirements of the importing contracting party including those for regulated non-quarantine pests.			
DISINFESTATION AND/OR DISINFECTION TREATMENT			
1. DATE		2. TREATMENT	
3. CHEMICAL (active ingredient)		4. DURATION AND TEMPERATURE	
5. CONCENTRATION		6. ADDITIONAL INFORMATION	
DESCRIPTION OF THE CONSIGNMENT			
7. NAME AND ADDRESS OF THE EXPORTER		8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE	
9. NAME OF PRODUCE AND QUANTITY DECLARED SAMPLE		10. BOTANICAL NAME OF PLANTS SAMPLE	
11. NUMBER AND DESCRIPTION OF PACKAGES SAMPLE		12. DISTINGUISHING MARKS SAMPLE	
13. PLACE OF ORIGIN SAMPLE		14. DECLARED MEANS OF CONVEYANCE SAMPLE	
		15. DECLARED POINT OF ENTRY	
WARNING: Any alteration, forgery, or unauthorized use of this phytosanitary certificate is subject to civil penalties of up to \$250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).			
ADDITIONAL DECLARATION			
SAMPLE		SAMPLE	
			
16. DATE ISSUED	17. NAME OF AUTHORIZED OFFICER (Type or Print)	18. SIGNATURE OF AUTHORIZED OFFICER	
No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.			
PPQ FORM 577 FEB 2001		Previous editions are obsolete after 6/30/01	
PART 1 - SHIPPER'S ORIGINAL			

FIGURE 3-8-1: Example of PPQ Form 577, Phytosanitary Certificate (blank)

Completion

See [Table 3-8-1](#) on [page 3-8-4](#) for specific instructions, techniques, and examples about how to complete PPQ Form 577.



Important

Prepare all export certificates in English. They can be handwritten or typed unless specified otherwise in an Export Summary. Handwritten certificates **must** be legible and **must** be written using upper case (capital) letters. Errors and/or corrections are **not** allowed on PPQ Form 577. If an error occurs, the certificate **must** be redone.



Important

To certify Canadian produced seed using PPQ Form 577, refer to [Certifying Canadian Produced Seed, Option 1](#) on [page 4-5-15](#).




Important

If certification for freedom from animal diseases is required, refer exporters to PPQ Veterinary Regulatory Services (VRS) for letterhead statements to attest to freedom from specific animal diseases. **Do not** attach these statements to export certificates.



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

TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate

If the block is:	Then follow these instructions to complete PPQ Form 577:
TO: THE PLANT PROTECTION ORGANIZATION(S) OF	ENTER the approved name of the foreign country as listed in Appendix F <div style="display: flex; align-items: center; margin-top: 10px;">  <div data-bbox="841 1241 1421 1377" style="border: 1px solid #ccc; background-color: #e6f2e6; padding: 5px;"> <p>The country name entered in this block must be the same as the country identified in <i>Block 8, Declared Address of the Consignee</i>.</p> </div> </div> <p>Important</p>
PLACE OF ISSUE	<ul style="list-style-type: none"> ◆ ENTER the complete name of the city and State of the issuing office; do not abbreviate ◆ VALIDATE each PPQ Form 577 only by the issuing office accountable for that certificate ◆ VERIFY that the correct issuing office is listed for prepaid PPQ 577s (this block must already be completed when presented for issuance.)
NO.: FPC	DO NOT WRITE in this space

CONTINUE to the DATE INSPECTED block on the next page.

TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:								
DATE INSPECTED	<ul style="list-style-type: none"> ◆ ENTER the actual date(s) of inspection. If there is not enough space to list all dates, ENTER “See Additional Declaration” and insert the inspection dates in the AD block (see AD block on page-3-8-12). ◆ ENTER date in correct order (month, day, year); never use European format ◆ SPELL OUT the month (February 15, 2007); never use numbers for the month and never abbreviate the month ◆ CONSULT the country’s export summary for specific time limits. Generally, the information will be included in the definitions section of a summary. Unless specified otherwise, an export certificate must be issued within 30 days of the phytosanitary inspection. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">  <p>Important</p> <p>Never enter dates of a field or growing season inspection or laboratory tests.</p> </div> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="text-align: center; color: blue; font-weight: bold;">NOTICE</p> <ul style="list-style-type: none"> ◆ When calculating how many days have passed since the date of inspection, count the date of inspection as day one. ◆ When calculating how many days have passed since the date of inspection when a consignment has multiple dates of inspection, the 30 day time limit begins on the first (earliest) date of inspection. </div>								
<p>CERTIFICATION DO NOT WRITE in this space. This statement describes the certification responsibilities as dictated by the IPPC. PPQ will continue its policy to inspect and certify consignments practically free from other injurious pests</p>									
<p>DISINFESTATION AND/OR DISINFECTION TREATMENT</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">  <p>Important</p> <p>Complete this section only if an acceptable treatment was conducted, which includes label information for treated seeds.</p> <p>Complete all blocks in this section.</p> </div> <p>If no acceptable treatment was conducted LINE OUT the unused space and continue on to the DESCRIPTION OF CONSIGNMENT. The following example shows lining out of the treatment section by drawing two diagonal lines from left to right, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: center;">DISINFESTATION AND/OR DISINFECTION TREATMENT</th> </tr> </thead> <tbody> <tr> <td style="width: 50%; padding: 2px;">1. DATE</td> <td style="width: 50%; padding: 2px;">2. TREATMENT</td> </tr> <tr> <td style="padding: 2px;">3. CHEMICAL (active ingredient)</td> <td style="padding: 2px;">4. DURATION AND TEMPERATURE</td> </tr> <tr> <td style="padding: 2px;">5. CONCENTRATION</td> <td style="padding: 2px;">6. ADDITIONAL INFORMATION</td> </tr> </tbody> </table> <p style="text-align: center; font-size: small;">DESCRIPTION OF THE CONSIGNMENT</p>		DISINFESTATION AND/OR DISINFECTION TREATMENT		1. DATE	2. TREATMENT	3. CHEMICAL (active ingredient)	4. DURATION AND TEMPERATURE	5. CONCENTRATION	6. ADDITIONAL INFORMATION
DISINFESTATION AND/OR DISINFECTION TREATMENT									
1. DATE	2. TREATMENT								
3. CHEMICAL (active ingredient)	4. DURATION AND TEMPERATURE								
5. CONCENTRATION	6. ADDITIONAL INFORMATION								



CONTINUE to Block 1. DATE on the next page.

**TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate
 (continued)**

If the block is:	Then follow these instructions to complete PPQ Form 577:
1. DATE	<ul style="list-style-type: none"> ◆ ENTER the actual date of the treatment ◆ ENTER date in correct order (month, day, year); never use European format ◆ SPELL OUT the month (February 15, 2007); never use numbers for the month and never abbreviate the month
2. TREATMENT	ENTER the full description of the treatment, e.g., fumigation, cold treatment, dip, spray (do not use abbreviations or partial terms such as T101)
3. CHEMICAL (<i>active ingredient</i>)	ENTER the name of the active ingredient
4. DURATION AND TEMPERATURE	ENTER the duration of the treatment and temperature, if applicable (use of internationally recognized scientific abbreviations such as C for Celsius and F for Fahrenheit is acceptable)
5. CONCENTRATION	ENTER the concentration of chemicals (use of internationally recognized scientific abbreviations, e.g., 32 g/m ³ , 2 lb./1000 ft ³ , 100 mm Hg is acceptable)
6. ADDITIONAL INFORMATION	ENTER information that further identifies the treatment (such as dip, slurry, dusted, sprayed)

CONTINUE to Block 7. NAME AND ADDRESS OF THE EXPORTER on the next page.

TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
DESCRIPTION OF CONSIGNMENT	
<p>7. NAME AND ADDRESS OF THE EXPORTER</p>	<ul style="list-style-type: none"> ◆ ENTER the complete name and address of the exporter (street or Post Office Box, city, State) ◆ SPELL OUT names of cities and States (do not abbreviate) ◆ ENTER only the physical address of the exporter in this block. Do not include other information such as birth dates, tax identification numbers, letter of credit information, or other information not related to the address descriptor. <div style="text-align: center; margin: 10px 0;">  <p>Important</p> </div> <div style="background-color: #e0f2f1; padding: 10px; margin: 10px 0;"> <p>Exporter's address must be in the U.S. or a U.S. territory or commonwealth. If an international company with a foreign address is the exporter, use the name and address of a local exporter's agent or shipper.</p> <p>Do not include phone or FAX numbers.</p> <p>Never enter more than one exporter's name and address.</p> <p>Do not use statements such as "In-care-of" (c/o), "Attention to," "Agent for," or "Notify."</p> </div>
<p>8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE</p>	<ul style="list-style-type: none"> ◆ ENTER the complete name and address of the consignee (person or company taking delivery of the commodity); at a minimum, include a name, city, and the approved country name (see Table F-1-2 on page F-1-2) ◆ SPELL OUT names of cities and countries (do not abbreviate) ◆ ENTER only the physical address of the consignee in this block. Do not include other information such as birth dates, tax identification numbers, letter of credit information, or other information not related to the address descriptor. <div style="text-align: center; margin: 10px 0;">  <p>Important</p> </div> <div style="background-color: #e0f2f1; padding: 10px; margin: 10px 0;"> <p>Never enter more than one consignee's name and/or address.</p> <p>Do not include phone or FAX numbers.</p> <p>Do not use statements such as "In-care-of" (c/o), "Attention to," "Agent for," or "Notify."</p> <p>Consignee's address must be in the country listed in the block "TO: THE PLANT PROTECTION ORGANIZATION(S) OF."</p> </div>

CONTINUE to Block 9. NAME OF PRODUCE AND QUANTITY DECLARED on the next page.

TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:	
9. NAME OF PRODUCE AND QUANTITY DECLARED	◆ ENTER the common name of the commodity for precise identification; see the following table for additional instructions	
	If the produce is:	Then:
	Beans for consumption	Enter fresh or dried beans
	Seeds for animal feed	Enter the specific grain (such as oats or corn)
	Seeds for planting	Enter seeds
	Seeds for human consumption	Enter grain
	Propagative articles other than seeds	List the number of each different propagative article followed by its name; see the example below EXAMPLE Enter 600 anemone bulbs for 3 cartons each containing 200 anemone bulbs. Enter the weight for bulk shipments to better describe the articles.
◆ SPELL OUT abbreviations EXAMPLE The abbreviation “lbs” is spelled out as pounds. ◆ DO NOT LIST or refer to any of the following: <ul style="list-style-type: none"> ❖ Grades ❖ Intended uses ❖ Other commercial terms ❖ Sizes ❖ Trade names ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate.		


CONTINUE to Block 10. BOTANICAL NAME OF PLANTS on the next page.

TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
10. BOTANICAL NAME OF PLANTS	<ul style="list-style-type: none"> ◆ ENTER the botanical name, including genus and specific epithet (species classification) ◆ Botanical names are mandatory for all commodities. Information inserted here should identify commodities using accepted botanical names at least to genus level but preferably to species level. ◆ Exporters are responsible for providing the botanical name ◆ ACOs must verify the botanical name to the best of their ability ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate.
11. NUMBER AND DESCRIPTION OF PACKAGES	<ul style="list-style-type: none"> ◆ INCLUDE sufficient detail in this section to enable the NPPO of the importing country to identify the consignment and its component parts, and verify their size if necessary. Container numbers and/or railcar numbers are a valid addition to the description of the packages and may be included here, if known. <div style="background-color: #e0f2f1; padding: 5px; margin: 5px 0;"> <p>EXAMPLE 50 wooden crates 150 cardboard cartons 500 burlap bags</p> </div> <ul style="list-style-type: none"> ◆ For bulk shipments, ENTER “In Bulk” ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate.



CONTINUE to Block 12. DISTINGUISHING MARKS on the next page.

TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
12. DISTINGUISHING MARKS	<ul style="list-style-type: none"> ◆ ENTER the markings exactly as they appear on the containers, cartons, bags, bales, boxes, products, truck licenses, or railway cars. A Letter of Credit (LC) number may be included when the packaging is clearly marked with the LC number ◆ If entered by the exporter or established after inspection, visually verify information entered in Block 12 using a supporting document such as the bill of lading ◆ If there are no distinguishing marks, ENTER "NONE" ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate.
13. PLACE OF ORIGIN	<ul style="list-style-type: none"> ◆ ENTER where the commodity was grown or cultivated by State, county, district, or other geographical or political subdivision as necessary by the phytosanitary regulations of the importing country (export summary, IP, etc.) ◆ SPELL OUT names of counties ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ When the phytosanitary regulations of the importing country do not require a more definitive designation of origin (such as State, county, pest free area etc.), WRITE "USA." <div style="display: flex; align-items: center; margin-top: 10px;"> <div style="text-align: center; margin-right: 10px;">  Important </div> <div style="border: 1px solid black; background-color: #e0f2f1; padding: 5px;"> <p>ACOs can require whatever document is necessary to verify origin.</p> <p>Never leave blank. If further refinements are not required by the importing country's phytosanitary regulations, WRITE "United States of America" or "USA."</p> </div> </div> <ul style="list-style-type: none"> ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate.

CONTINUE to Block 14. DECLARED MEANS OF CONVEYANCE on the next page.

TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
14. DECLARED MEANS OF CONVEYANCE	<ul style="list-style-type: none"> ◆ ENTER the name of the airline, rail line, truck line, or vessel ◆ ADD “or substitute” after a vessel’s name (acceptable) ◆ If the specific name of means of conveyance is unknown ENTER as appropriate, “airfreight,” “ocean vessel,” “railroad,” or “truck line” ◆ If mail shipments ENTER “air mail,” “surface mail,” “express mail,” or the carrier’s name <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="background-color: #e0f2f1; padding: 5px; border: 1px solid #ccc;"> <p>Never enter “Unknown.”</p> <p>Never leave blank.</p> </div> </div> <p>Important</p>
15. DECLARED POINT OF ENTRY	<ul style="list-style-type: none"> ◆ ENTER the point of entry declared by the exporter. This is the first point of entry in the destination country ◆ CHECK the export summary to see if the declared point of entry is authorized; if the point of entry is not authorized, WARN the exporter that the shipment may be delayed or refused entry <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="background-color: #e0f2f1; padding: 5px; border: 1px solid #ccc;"> <p>Never enter “Unknown.”</p> </div> </div> <p>Important</p> <ul style="list-style-type: none"> ◆ ENTER the approved country name if the point of entry is unknown. In PCIT this is done automatically if the point of entry block is left blank. ◆ ENTER the point of entry for the final destination in cases where the consignment only transits through another country; you may include multiple transit points if they are required by the transiting countries and the consignment physically transits those points ◆ SPELL OUT names of cities
<p>WARNING This warning alerts all parties that any alteration, forgery, or unauthorized use of PPQ Form 577 is subject to civil penalties or punishable by a fine or imprisonment.</p>	

CONTINUE to the AD Block on the next page.


TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
ADDITIONAL DECLARATION (AD)	
AD (See also Additional Declarations (ADs) on page 2-1-2 and Additional Declaration (AD) Pullout Sheet on page B-1-1)	<ul style="list-style-type: none"> ◆ RECORD only those ADs required by the importing country in the export summary, on official communication from the NPPO (e.g., IP), or by the <i>Export Program Manual (XPM)</i> ◆ USE English only, except for botanical names of plants, plant products, and plant pests or plant diseases ◆ If there is not enough space to list all dates in the DATE INSPECTED block, list the dates here. EXAMPLE Inspection Dates: October 15, 17, 19, 21, 23, 25, 29, 31, September 1, 3, 5, 7, 9, 11, 13, 2007. ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space. See examples below for handwritten certificates. If using an electronic method to fill out the certificate, you may also use horizontal lines or symbols. <p style="text-align: center;">Example 1</p> <div data-bbox="683 1010 1414 1192" style="border: 1px solid black; padding: 5px;"> <p style="text-align: center; margin: 0;">ADDITIONAL DECLARATION</p> <p style="font-size: small; margin: 0;">The cotton in this shipment originated from areas free from the pink bollworm, <i>Pectinophora gossypiella</i>. The cotton bales in this shipment were compressed at a minimum of 28 pounds per cubic foot.</p> <hr style="border: 0.5px solid black;"/> <div style="display: flex; justify-content: space-between; font-size: x-small; margin-top: 10px;"> 16. DATE ISSUED 17. NAME OF AUTHORIZED OFFICER (Type or Print) 18. SIGNATURE OF AUTHORIZED OFFICER </div> </div> <p style="text-align: center; margin-top: 20px;">Example 2</p> <div data-bbox="683 1283 1414 1472" style="border: 1px solid black; padding: 5px;"> <p style="text-align: center; margin: 0;">ADDITIONAL DECLARATION</p> <hr style="border: 0.5px solid black;"/> <div style="display: flex; justify-content: space-between; font-size: x-small; margin-top: 10px;"> 16. DATE ISSUED 17. NAME OF AUTHORIZED OFFICER (Type or Print) 18. SIGNATURE OF AUTHORIZED OFFICER </div> </div>

CONTINUE to Block 16. DATE ISSUED on the next page.

AUTHORIZATION

TABLE 3-8-1: Instructions to Complete PPQ Form 577, Phytosanitary Certificate (continued)

If the block is:	Then follow these instructions to complete PPQ Form 577:
16. DATE ISSUED	<ul style="list-style-type: none"> ◆ ENTER the date the certificate is signed by an ACO (in contrast to the date of inspection recorded in the HEADING). Do not pre or post date. ◆ ENTER date in correct order (month, day, year); never use European format ◆ SPELL OUT the month (February 15, 2007); never use numbers for the month; never abbreviate the year
17. NAME OF AUTHORIZED OFFICER (<i>Type or Print</i>)	<p>TYPE or PRINT the full name of the ACO who will sign the certificate</p> <div style="display: flex; align-items: center;">  <div style="background-color: #e0f2f1; padding: 5px; border: 1px solid #ccc;"> <p>DO NOT ADD titles. Use all capital letters if handwritten.</p> </div> </div> <p>Important</p>
18. SIGNATURE OF AUTHORIZED OFFICER	<ul style="list-style-type: none"> ◆ SIGN your name; only ACOs can authenticate export certificates; stamped signatures are not permitted ◆ Only one original signature is authorized

PPQ Form 579, Phytosanitary Certificate for Reexport

PPQ Form 579, Phytosanitary Certificate for Reexport, is an accountable inspection certificate used to certify foreign plants and unprocessed or unmanufactured plant products for reexport. See [Figure 3-8-2](#) on [page 3-8-19](#) for an example of a blank PPQ Form 579.

Purpose

The purpose of PPQ 579 is to certify to the NPPO of the importing country that the foreign origin plants or unprocessed or unmanufactured plant products meet its phytosanitary requirements.

ACOs certify that, based on an original foreign export certificate and/or additional inspections or laboratory tests that the foreign commodity:

- ◆ Has been safeguarded against the risk of infestation or infection while in the U.S.
- ◆ Is considered to conform to the current phytosanitary regulations of the importing country

To decide if an inspection is necessary, refer to [Table 3-8-2](#) on [page 3-8-14](#).

TABLE 3-8-2: Decide Whether to Inspect the Commodity

If the commodity:	Then ACOs:
Has been safeguarded since entering the U.S. and has an export certificate from the country of origin	Do not need to perform an official inspection
Has not been safeguarded since entering the U.S., or if safeguarding cannot be verified	Must perform an official inspection.

In order to ensure that foreign-origin commodities meet the importing country's requirements it is important that the import requirements be available to PPQ. The requirements can be through published plant health legislation and/or by official communication from the NPPO of the importing country.

PPQ **does not** provide the import requirements for commodities from third countries in EXCERPT, therefore, encourage exporters to provide an IP or requirements from the foreign country. If a commodity is certified without knowledge of the import requirements caution exporters that their consignment may **not** meet the importing countries requirements and could be refused entry.



Export Services is currently removing third country import requirements from EXCERPT. The exporter is responsible for providing official communication from the importing country regarding third country import requirements (see [Types of Official Communication](#) on [page C-1-3](#)).



If the import requirements are available and you **cannot** verify that the requirements have been met, **do not** issue PPQ Form 579.

Determining Eligibility for PPQ Form 579

This section discusses which commodities are eligible for certification with a PPQ Form 579. **Only** commodities that have entered U.S. commerce are eligible for certification. Foreign commodities transiting the U.S. are **ineligible** for certification. Refer to *Determining Eligibility for Certification* on **page 3-3-1** for a more detailed discussion on the eligibility of commodities for certification.

Commodities That Are Eligible for PPQ 579

The following commodities are eligible for a PPQ Form 579:

- ◆ Blended commodities: Blended commodities are U.S.- and foreign-origin commodities that have been mixed together. If domestic and foreign commodities have been blended to the extent that their identity has been lost, a PPQ Form 579, **not** a PPQ Form 577, **must** be used to certify the consignment. In addition, an inspection **must** be conducted. For blended commodities, both the US and the foreign country of origin **must** be listed on the PPQ 579 as the “Place of Origin.”

EXAMPLE

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

- ◆ Foreign origin plants and unprocessed or unmanufactured plant products that are offered for reexport.

Commodities Ineligible for PPQ Form 579

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

- ◆ Commodities transiting the U.S. under U.S. Customs’ bond. Transiting shipments should be accompanied by an original, foreign export certificate if certification is required by the destination country.
- ◆ Processed products of foreign origin (see *Completing PPQ Form 578* on **page 3-9-1**)
- ◆ Commodities requiring certification relative to conditions that **must** be verified in the originating country and are **not** attested to on a foreign export certificate¹

¹ Export certificates issued by the NPPO of the originating country **must** address these types of issues.

Reviewing Import Requirements

Using EXCERPT, determine the time limits and check for specific ports of entry and other requirements of the importing country. Refer to [Appendix D](#) on [page D-1-1](#) for further information on EXCERPT.

To decide whether to issue PPQ Form 579, refer to [Table 3-8-3](#) on [page 3-8-16](#).

TABLE 3-8-3: Decide Whether to Issue PPQ Form 579

If the exporter:	And:	And:	Then:
Does not have official communication from the NPPO (see Types of Official Communication on page C-1-3)	The commodity is eligible for a PPQ 579	→	1. DO NOT REFUSE certification 2. CAUTION the exporter that the shipment may be refused entry because all phytosanitary requirements may not be met 3. USE one of the following additional declarations as appropriate: <ul style="list-style-type: none"> ◆ The commodity met the entry requirements of the United States ◆ The United States does not require phytosanitary certification as a condition of entry for this commodity (If appropriate)
	The commodity is ineligible for a PPQ 579	→	1. REFUSE to issue PPQ Form 579 2. EXIT this manual
Has official communication from the NPPO (see Types of Official Communication on page C-1-3)	The commodity is eligible for a PPQ 579	The requirements can be met ¹	1. VERIFY that the commodity was safeguarded ² 2. ISSUE PPQ Form 579
		The requirements cannot be met or verified	1. REFUSE to issue PPQ Form 579 2. EXIT this manual
	The commodity is ineligible for a PPQ 579	→	

1 Refer to [Verifying Compliance with Import Requirements](#) on [page 3-8-17](#).

2 Refer to [Verifying Whether the Consignment Was Safeguarded](#) on [page 3-8-18](#).

Verifying Compliance with Import Requirements

If the exporter provides import requirements through official communication from the NPPO, ACOs **must** determine if the commodity meets those requirements. Unlike domestic-origin commodities, the phytosanitary conditions of a foreign-origin consignment **cannot always** be determined once the commodity is in the U.S.

ACOs need to determine if the import requirements can be met by:

- ◆ Additional declarations (ADs) on an original or certified true copy of a foreign export certificate from the originating country
- ◆ Conducting supplemental inspections
- ◆ Initiating laboratory testings
- ◆ Monitoring or supervising treatments

If an original or certified true copy of a foreign export certificate is present it can be used to confirm that specific phytosanitary requirements were met in the originating country.

The following types of requirements **must** be attested to on a foreign export certificate because they **cannot** be confirmed once the consignment is in the U.S.:

- ◆ Active growth field inspection
- ◆ Area freedom or production area freedom
- ◆ Growing season and field inspections
- ◆ Pest conditions in the originating country
- ◆ Virus indexing, etc.

ACOs **must** record the results of any supplemental phytosanitary inspection, testing, and/or treatments conducted in the U.S. on PPQ Form 579. Such supplemental inspection, testing, or treatment carried out for the purpose of providing export certification for a foreign origin commodity **must** be tailored to the known import requirements of the intended receiving country.

Only supplemental laboratory testing, visual inspections and treatments may be conducted in the U.S. Supplemental phytosanitary inspections of foreign-origin products **must** be officially conducted by ACOs. Laboratory testing, indexing, etc., **must** be accomplished by Federal, State, or accredited university laboratories approved by PPQ.

EXAMPLE

The import requirements for the third country that can be verified by an ACO: The import requirements for a commodity originating from India requires the following AD: "The shipment is free of Khapra beetle."

In this case, if an export certificate issued by the NPPO of India is **not** available or is available but **does not** contain the AD, ACOs can conduct an inspection and, if appropriate, include the required AD on the PPQ 579. In this case, the AD can be attested to because a visual inspection is sufficient to determine that the commodity is free of Khapra beetle. Whether the commodity was inspected in India for this pest is irrelevant because the pest status can be confirmed by an ACO.

This would hold true for other types of pests as long as pest status confirmation can be confirmed by the ACO. ACOs **must** determine whether an inspection, laboratory test, etc. can be conducted in the U.S. If the requirements for the originating country include laboratory analysis which is **not** on the foreign export certificate, you can include the AD for laboratory requirements if the analysis was conducted by an authorized laboratory in the U.S.

EXAMPLE

The import requirements for the third country **cannot** be verified by an ACO: The import requirements for a commodity originating from India requires the following AD: "The shipment originates from an area free of citrus canker."

In this case, if an export certificate issued by the NPPO of India is **not** available or is available but **does not** contain the AD, ACOs **cannot** verify the commodity originated from an area free of citrus canker. The required AD **cannot** be provided in this case and therefore, the commodity **cannot** be certified.

Verifying Whether the Consignment Was Safeguarded

ACOs **must** determine if the commodity was:



- ◆ Kept under suitable safeguards to prevent the risk of infestation or infection while in the U.S.
- ◆ Segregated and its identity maintained

Make the determination by using your knowledge of and experience with the exporting company, the supporting documents, and the commodities being exported.

If the commodity was **not** segregated and safeguarded, the commodity **must** be inspected in order to issue a PPQ 579.

Example

No phytosanitary certificate can be issued until an application is completed (7 CFR 353) See reverse for additional OMB information. FORM APPROVED OMB NO. 0579-0052

UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE PHYTOSANITARY CERTIFICATE FOR REEXPORT		FOR OFFICIAL USE ONLY	
		PLACE OF ISSUE	SAMPLE
TO: THE PLANT PROTECTION ORGANIZATION(S) OF		NO	-R
		FPC	XXXXXXX
			
CERTIFICATION			
This is to certify that the plants or plant products described below were imported into the United States from (Country of origin) _____ covered by Phytosanitary Certificate _____ <input type="checkbox"/> original <input type="checkbox"/> certified true copy of which is attached to this certificate. That they are <input type="checkbox"/> packed <input type="checkbox"/> repacked <input type="checkbox"/> in original <input type="checkbox"/> in new containers, that based on the <input type="checkbox"/> original Phytosanitary Certificate <input type="checkbox"/> and additional inspection, they are considered to conform with the current phytosanitary regulations of the importing country, and that during storage in the United States, the consignment has not been subjected to the risk of infestation or infection.			
DISINFESTATION AND/OR DISINFECTION TREATMENT			
1. DATE	2. TREATMENT		
3. CHEMICAL (active ingredient)	4. DURATION AND TEMPERATURE		
5. CONCENTRATION	6. ADDITIONAL INFORMATION		
DESCRIPTION OF THE CONSIGNMENT			
7. NAME AND ADDRESS OF THE EXPORTER		8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE	
SAMPLE		SAMPLE	
9. NAME OF PRODUCE AND QUANTITY DECLARED		10. BOTANICAL NAME OF PLANTS	
SAMPLE		SAMPLE	
11. NUMBER AND DESCRIPTION OF PACKAGES		12. DISTINGUISHING MARKS	
SAMPLE		SAMPLE	
13. PLACE OF ORIGIN		14. DECLARED MEANS OF CONVEYANCE	
		15. DECLARED POINT OF ENTRY	
WARNING: Any alteration, forgery, or unauthorized use of this phytosanitary certificate is subject to civil penalties of up to \$250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).			
ADDITIONAL DECLARATION			
SAMPLE		SAMPLE	
			
16. DATE ISSUED	17. NAME OF AUTHORIZED OFFICER (Type or Print)	18. SIGNATURE OF AUTHORIZED OFFICER	
	SAMPLE		
No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.			

PPQ FORM 579 FEB 2001 Previous editions are obsolete after 6/30/01 **PART 1 - SHIPPER'S ORIGINAL**

FIGURE 3-8-2: Example of PPQ Form 579, Phytosanitary Certificate for Reexport (blank)

Completion

See [Table 3-8-4](#) on [page 3-8-20](#) for specific instructions, techniques, and examples about how to complete PPQ Form 579.



Important


Prepare all export certificates in English. They can be handwritten or typed unless specified otherwise in an Export Summary. Handwritten certificates **must** be legible and **must** be written using upper case (capital) letters. Errors and/or corrections are not allowed on PPQ Form 579. If an error occurs, the certificate must be redone.



Important


To certify Canadian produced seed using PPQ Form 579, refer to [Certifying Canadian Produced Seed, Option 2](#) on [page 4-5-16](#).

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport

If the block is:	Then follow these instructions to complete PPQ Form 579:
TO: THE PLANT PROTECTION ORGANIZATION(S) OF	ENTER the approved name of the foreign country as listed in Appendix F  Important <div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px; margin-left: 20px;"> The country name entered in this block must be the same as the country identified in <i>Block 8, Declared Address of the Consignee</i>. </div>
PLACE OF ISSUE	<ul style="list-style-type: none"> ◆ ENTER the complete name of the city and State of the issuing office; do not abbreviate ◆ Each PPQ 579 can only be prepared by the issuing office accountable for that certificate ◆ VERIFY the correct issuing office is listed for prepaid PPQ 579s (this block must already be completed when presented for issuance.)


CONTINUE to the CERTIFICATION block on the next page.

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport (continued)

If the block is:	Then follow these instructions to complete PPQ Form 579:						
CERTIFICATION	<ul style="list-style-type: none"> ◆ ENTER the name of the foreign country from which the commodity originated from; more than one country can be listed for each commodity ◆ ENTER the number of the foreign export certificate, if available, and check whether the certificate is an original or certified true copy. USE the decision table below to determine what to enter in this space <table border="1" data-bbox="740 598 1455 1182" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th data-bbox="740 598 979 646">If the exporter:</th> <th data-bbox="979 598 1455 646">Then:</th> </tr> </thead> <tbody> <tr> <td data-bbox="740 646 979 997">Has the original, a true copy, or a photocopy of the foreign certificate</td> <td data-bbox="979 646 1455 997"> <ol style="list-style-type: none"> 1. ENTER the number of the foreign certificate 2. CHECK whether the certificate is the original or a certified true copy 3. STAMP the foreign phytosanitary certificate with an ink stamp that references your affiliation (“USDA,” “County of _____,” or “State of _____”) 4. SIGN and DATE the foreign phytosanitary certificate next to your stamp </td> </tr> <tr> <td data-bbox="740 997 979 1182">Does not have a foreign certificate (only for non propagative plant products to other than Canada)</td> <td data-bbox="979 997 1455 1182">ENTER “none” in the space to the right of the words “covered by Phytosanitary Certificate _____”</td> </tr> </tbody> </table> <ul style="list-style-type: none"> ◆ CHECK whether the commodity is packed in the original containers or was repacked in new containers ◆ CHECK whether the conformance with the current phytosanitary requirements of the importing foreign country are based on the original (or certified true copy) of the foreign export certificate and/or based on additional (supplemental) inspection <div data-bbox="760 1495 863 1612" style="text-align: center; margin-top: 20px;">  <p>Important</p> </div> <div data-bbox="893 1482 1446 1665" style="background-color: #e0f2f1; padding: 10px; margin-top: 20px;"> <p>If the third country import requirements are not presented, you may still issue PPQ Form 579 according to existing procedures, but caution exporters that their shipment may be rejected if it does not meet the importing country’s phytosanitary requirements.</p> </div>	If the exporter:	Then:	Has the original, a true copy, or a photocopy of the foreign certificate	<ol style="list-style-type: none"> 1. ENTER the number of the foreign certificate 2. CHECK whether the certificate is the original or a certified true copy 3. STAMP the foreign phytosanitary certificate with an ink stamp that references your affiliation (“USDA,” “County of _____,” or “State of _____”) 4. SIGN and DATE the foreign phytosanitary certificate next to your stamp 	Does not have a foreign certificate (only for non propagative plant products to other than Canada)	ENTER “none” in the space to the right of the words “covered by Phytosanitary Certificate _____”
If the exporter:	Then:						
Has the original, a true copy, or a photocopy of the foreign certificate	<ol style="list-style-type: none"> 1. ENTER the number of the foreign certificate 2. CHECK whether the certificate is the original or a certified true copy 3. STAMP the foreign phytosanitary certificate with an ink stamp that references your affiliation (“USDA,” “County of _____,” or “State of _____”) 4. SIGN and DATE the foreign phytosanitary certificate next to your stamp 						
Does not have a foreign certificate (only for non propagative plant products to other than Canada)	ENTER “none” in the space to the right of the words “covered by Phytosanitary Certificate _____”						



CONTINUE to the DISINFESTATION/OR DISINFECTION TREATMENT block on the next page.

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport (continued)

If the block is:	Then follow these instructions to complete PPQ Form 579:								
DISINFESTATION AND/OR DISINFECTION TREATMENT									
 Important	<p>Complete this section only if an acceptable treatment was conducted, which includes label information for treated seeds.</p> <p>Complete all blocks in this section.</p>								
<p>If no acceptable treatment was conducted, LINE OUT the unused space and continue on to the DESCRIPTION OF CONSIGNMENT. The following example shows lining out the treatment section by drawing two diagonal lines from left to right, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols</p>									
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: center;">DISINFESTATION AND/OR DISINFECTION TREATMENT</th> </tr> </thead> <tbody> <tr> <td style="width: 50%; text-align: center;">1. DATE</td> <td style="width: 50%; text-align: center;">2. TREATMENT</td> </tr> <tr> <td style="text-align: center;">3. CHEMICAL (active ingredient)</td> <td style="text-align: center;">4. DURATION AND TEMPERATURE</td> </tr> <tr> <td style="text-align: center;">5. CONCENTRATION</td> <td style="text-align: center;">6. ADDITIONAL INFORMATION</td> </tr> </tbody> </table> <p style="text-align: center; font-size: small;">DESCRIPTION OF THE CONSIGNMENT</p>		DISINFESTATION AND/OR DISINFECTION TREATMENT		1. DATE	2. TREATMENT	3. CHEMICAL (active ingredient)	4. DURATION AND TEMPERATURE	5. CONCENTRATION	6. ADDITIONAL INFORMATION
DISINFESTATION AND/OR DISINFECTION TREATMENT									
1. DATE	2. TREATMENT								
3. CHEMICAL (active ingredient)	4. DURATION AND TEMPERATURE								
5. CONCENTRATION	6. ADDITIONAL INFORMATION								
1. DATES	<ul style="list-style-type: none"> ◆ ENTER the actual date of the treatment. ◆ ENTER date in correct order (month, day, year); never use European format ◆ SPELL OUT the month (February 15, 2007); never use numbers for the month and never abbreviate the month 								
2. TREATMENT	ENTER the full description of the treatment, e.g., fumigation, cold treatment, dip, spray (do not use abbreviations or partial terms such as T101)								
3. CHEMICAL (active ingredient)	ENTER the name of the active ingredient								
4. DURATION AND TEMPERATURE	ENTER the duration of the treatment and temperature, if applicable (use of internationally recognized scientific abbreviations such as C for Celsius and F for Fahrenheit is acceptable)								
5. CONCENTRATION	ENTER the concentration of chemicals (use of internationally recognized scientific abbreviations, e.g., 32 g/m ³ , 2 lb./1000 ft ³ , 100 mm Hg is acceptable)								
6. ADDITIONAL INFORMATION	ENTER information that further identifies the treatment (such as dip, slurry, dusted, sprayed)								
DESCRIPTION OF CONSIGNMENT									

CONTINUE to Block 7. NAME AND ADDRESS OF THE EXPORTER on the next page.

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport (continued)

If the block is:	Then follow these instructions to complete PPQ Form 579:
7. NAME AND ADDRESS OF THE EXPORTER	<ul style="list-style-type: none"> ◆ ENTER the complete name and address of the exporter (street or Post Office Box, city, State) ◆ SPELL OUT names of cities and States (do not abbreviate) ◆ ENTER only the physical address of the exporter in this block. Do not include other information such as birth dates, tax identification numbers, letter of credit information, or other information not related to the address descriptor. <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="border: 1px solid black; padding: 5px; background-color: #e0f2f1;"> <p>Important</p> <p>Exporter's address must be in the U.S. or a U.S. territory or commonwealth, which includes American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and U.S. Virgin Islands.</p> <p>Do not include phone or FAX numbers.</p> <p>Never enter more than one exporter's name and/or address.</p> <p>Do not use statements such as "In-care-of" (c/o), "Attention to," "Agent for," or "Notify."</p> </div> </div>
8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE	<ul style="list-style-type: none"> ◆ ENTER the complete name and address of the consignee (person or company taking delivery of the commodity); at a minimum, include a name, city, and the approved country name (see Table F-1-2 on page F-1-2) ◆ SPELL OUT names of cities and countries (do not abbreviate) ◆ ENTER only the physical address of the consignee in this block. Do not include other information such as birth dates, tax identification numbers, letter of credit information, or other information not related to the address descriptor. <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="border: 1px solid black; padding: 5px; background-color: #e0f2f1;"> <p>Important</p> <p>Never enter more than one consignee's name and address.</p> <p>Do not include phone or FAX numbers.</p> <p>Do not use statements such as "In-care-of" (c/o), "Attention to," "Agent for," or "Notify."</p> <p>Consignee's address must be in the country listed in the block "TO: THE PLANT PROTECTION ORGANIZATION(S) OF."</p> </div> </div>

CONTINUE to Block 9. NAME OF PRODUCE AND QUANTITY DECLARED on the next page.

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport (continued)

If the block is:	Then follow these instructions to complete PPQ Form 579:	
9. NAME OF PRODUCE AND QUANTITY DECLARED	◆ ENTER the common name of the commodity for precise identification; see the following table for additional instructions	
	If the produce is:	Then:
	Beans for consumption	Enter fresh or dried beans
	Seeds for animal feed	Enter the specific grain (such as oats or corn)
	Seeds for planting	Enter seeds
	Seeds for human consumption	Enter grain
	Propagative articles other than seeds	List the number of each different propagative article followed by its name; see the example below EXAMPLE Enter 600 anemone bulbs for 3 cartons each containing 200 anemone bulbs. Enter the weight for bulk shipments to better describe the articles.
◆ SPELL OUT abbreviations EXAMPLE The abbreviation “lbs” is spelled out as pounds. ◆ DO NOT LIST or refer to any of the following: <ul style="list-style-type: none"> ❖ Grades ❖ Intended uses ❖ Other commercial terms ❖ Sizes ❖ Trade names ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate.		


CONTINUE to Block 10. BOTANICAL NAME OF PLANTS on the next page.

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport (continued)

If the block is:	Then follow these instructions to complete PPQ Form 579:
10. BOTANICAL NAME OF PLANTS	<ul style="list-style-type: none"> ◆ ENTER the botanical name, including genus and specific epithet (species classification) ◆ Botanical names are mandatory for all commodities. Information inserted here should identify commodities using accepted botanical names at least to genus level but preferably to species level. ◆ Exporters are responsible for providing the botanical name ◆ ACOs must verify the botanical name to the best of their ability ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate.
11. NUMBER AND DESCRIPTION OF PACKAGES	<ul style="list-style-type: none"> ◆ INCLUDE sufficient detail in this section to enable the NPPO of the importing country to identify the consignment and its component parts, and verify their size if necessary. Container numbers and/or railcar numbers are a valid addition to the description of the packages and may be included here, if known <div style="background-color: #e0f2f1; padding: 5px; margin: 5px 0;"> <p>EXAMPLE 50 wooden crates 150 cardboard cartons 500 burlap bags</p> </div> <ul style="list-style-type: none"> ◆ For bulk shipments, ENTER “In Bulk” ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate.



CONTINUE to Block 12. DISTINGUISHING MARKS on the next page.

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport (continued)

If the block is:	Then follow these instructions to complete PPQ Form 579:
12. DISTINGUISHING MARKS	<ul style="list-style-type: none"> ◆ ENTER the markings exactly as they appear on the containers, cartons, bags, bales, boxes, products, truck licenses, or railway cars. A Letter of Credit (LC) number may be included when the packaging is clearly marked with the LC number. ◆ If entered by the exporter or established after inspection, visually verify information entered in Block 12 using a supporting document such as the bill of lading ◆ If there are no distinguishing marks, ENTER “NONE” ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate.
13. PLACE OF ORIGIN	<ul style="list-style-type: none"> ◆ ENTER the name of the country of origin; do not abbreviate ◆ For blended commodities list all countries of origin, including the U.S., if appropriate ◆ If multiple commodities from multiple origins, distinguish which commodity is from which country ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate. <div style="display: flex; align-items: center; margin-top: 10px;"> <div style="text-align: center; margin-right: 10px;">  Important </div> <div style="background-color: #e0f2f1; padding: 5px; border: 1px solid #ccc;"> <p>ACOs can require whatever document is necessary to verify origin.</p> <p>Never leave blank. If further refinements are not required by the importing country’s phytosanitary regulations, WRITE “United States of America” or “USA.,” if appropriate</p> </div> </div>


CONTINUE to Block 14. DECLARED MEANS OF CONVEYANCE on the next page.

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport (continued)

If the block is:	Then follow these instructions to complete PPQ Form 579:
14. DECLARED MEANS OF CONVEYANCE	<ul style="list-style-type: none"> ◆ ENTER the name of the airline, rail line, truck line, or vessel ◆ ADD “or substitute” after a vessel’s name (acceptable) ◆ If the specific name of means of conveyance is unknown, ENTER as appropriate, “airfreight,” “ocean vessel,” “railroad,” or “truck line” ◆ If mail shipments, ENTER “air mail,” “surface mail,” “express mail,” or the carrier’s name <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="background-color: #e0f2f1; padding: 5px; border: 1px solid #ccc;"> <p>Never enter “Unknown.”</p> <p>Never leave blank.</p> </div> </div> <p>Important</p>
15. DECLARED POINT OF ENTRY	<ul style="list-style-type: none"> ◆ ENTER the point of entry declared by the exporter. This is the first point of entry in the destination country. ◆ CHECK the export summary to see if the declared point of entry is authorized; if the point of entry is not authorized WARN the exporter that the shipment may be delayed or refused entry <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="background-color: #e0f2f1; padding: 5px; border: 1px solid #ccc;"> <p>Never enter “Unknown.”</p> </div> </div> <p>Important</p> <ul style="list-style-type: none"> ◆ ENTER the approved country name if the point of entry is unknown. In PCIT this is done automatically if the point of entry block is left blank. ◆ ENTER the point of entry for the final destination in cases where the consignment only transits through another country; you may include multiple transit points if they are required by the transiting countries and the consignment physically transits those points ◆ SPELL OUT names of cities (preferred)


CONTINUE to the AD Block on the next page.

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport (continued)

If the block is:	Then follow these instructions to complete PPQ Form 579:		
AD (See also <i>Additional Declarations (ADs)</i> on page 2-1-2 and <i>Additional Declaration (AD) Pullout Sheet</i> on page B-1-1)	If the import requirements are:	And the required condition:	Then:
	Known (provided by the exporter via official communication or in EXCERPT)	Can be based on a foreign export certificate	<ul style="list-style-type: none"> ◆ ENTER no AD if an import permit is not presented ◆ ENTER “Import Permit No. _____ presented” if applicable
		Can be based on phytosanitary actions taken in the U.S.	<ul style="list-style-type: none"> ◆ RECORD the results of supplemental phytosanitary inspection, testing, or treatment (see Table 3-5-11 on page 3-5-17) ◆ ENTER no AD if an import permit is not presented ◆ ENTER “Import Permit No. _____ presented” if applicable ◆ ENTER AD(s) if required by the importing country based on actions taken in U.S.
	Cannot be based on foreign export certificate or phytosanitary actions taken in the U.S.	REFUSE to issue a PPQ 579	
Unknown (not provided by the exporter via official communication or in EXCERPT)		ENTER only the following ADs: <ul style="list-style-type: none"> ◆ “The commodity met the entry requirements of the United States.” ◆ “The United States does not require phytosanitary certification as a condition of entry for this commodity.” (if appropriate) 	

CONTINUE to the AD (continued) Block on the next page.

TABLE 3-8-4: Instructions to Complete PPQ Form 579, Phytosanitary Certificate for Reexport (continued)

If the block is:	Then follow these instructions to complete PPQ Form 579:
AD (continued) (See also Additional Declarations (ADs) on page 2-1-2)	<ul style="list-style-type: none"> ◆ RECORD only those ADs required by the importing country in the export summary, on official communication from the NPPO (e.g. IP), or by the XPM ◆ USE English only, except for botanical names of plants, plant products, plant pests, or plant diseases ◆ Do not record ADs already on the original foreign certificate ◆ If there is not enough space to list all entries, fill out PPQ Form 576 (refer to Attachment Sheets for PPQ Form 577 or 579 on page 3-10-1) ◆ LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space must be sufficiently lined out so that information cannot be added to the certificate. <p style="text-align: center;">Example 1</p> <div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center; font-size: small;">ADDITIONAL DECLARATION</p> <p style="font-size: x-small;">The cotton in this shipment originated from areas free from the pink bollworm, <i>Pectinophora gossypiella</i>. The cotton bales in this shipment were compressed at a minimum of 28 pounds per cubic foot.</p> </div> <p style="text-align: center;">Example 2</p> <div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center; font-size: small;">ADDITIONAL DECLARATION</p> </div>
16. DATE ISSUED	<ul style="list-style-type: none"> ◆ ENTER the date the certificate is signed by an ACO (in contrast to the date of inspection recorded in the HEADING). Do not pre or post date. ◆ ENTER date in correct order (month, day, year); never use European format ◆ SPELL OUT the month (February 15, 2007); never use numbers for the month; never abbreviate the year
17. NAME OF AUTHORIZED OFFICER (Type or Print)	TYPE or PRINT the full name of the ACO who will sign the certificate <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="background-color: #e0f2f1; padding: 5px; border: 1px solid #ccc;"> <p>DO NOT ADD titles. Use all capital letters if handwritten.</p> </div> </div> <p style="text-align: center; margin-top: 5px;">Important</p>
18. SIGNATURE OF AUTHORIZED OFFICER	<ul style="list-style-type: none"> ◆ SIGN your name; only ACOs can authenticate certificates; stamped signatures are not permitted ◆ Only one original signature is authorized

Attachment Sheets

Use PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport when there is insufficient space on PPQ Form 577 or 579 (refer to [Attachment Sheets for PPQ Form 577 or 579](#) on page 3-10-1).



PPQ Form 576 can **only** be used with a Phytosanitary Certificate (PPQ Form 577) or Phytosanitary Certificate for Reexport (PPQ Form 579).

PCIT generates additional pages as necessary and **does not** generate a PPQ Form 576.

Corrections

Errors and/or corrections are not allowed on PPQ Forms 577 or 579. If an error occurs, the certificate must be redone.



Extraneous marks (i.e. tick marks, check marks, etc.) are **not** allowed.

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

When there is evidence an export certificate has been altered, in violation of 7 CFR 353, follow the guidelines for determining the action to take. See [Special Programs • Export Certification Violations](#) on page 5-3-1.

Distribution

Refer to [Distribution of PPQ Form 577 Issued on Multipart Paper Forms](#) on page 3-14-3 and [Distribution of PPQ Form 579 Issued on Multipart Paper Forms](#) on page 3-14-4.

Maintenance

Refer to [Keeping Records](#) on page 3-14-1.

3

Export Program
Manual

General Procedures

Completing PPQ Form 578

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Introduction

PPQ Form 578, Export Certificate, Processed Plant Products, is an accountable certificate used to certify processed commodities. See [Figure 3-9-1](#) on [page 3-9-3](#) for an example of a blank PPQ Form 578.



PPQ Form 578 is **not** a phytosanitary certificate and **does not** serve as a substitute for one.

It is PPQ policy that PPQ 578s can **only** be used to certify commodities identified by Export Services (ES) as being free of plant pests as a consequence of processing. These commodities are specified in EXCERPT in the Processed Products Menu.

Purpose of PPQ Form 578

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



If a country requires a PPQ Form 577 or 579 for certification then a PPQ Form 578 **cannot** be issued.

If EXCERPT states that a PPQ Form 577 or 579 is required but the commodity is listed as ineligible for either certificate then a PPQ Form 578 **cannot** be issued.

Authorized Certification Officials (ACOs) should **always** check the export summary for additional information.

PPQ Form 578 may **only** be issued for those processed products listed in EXCERPT as eligible for a PPQ Form 578 in the Commodities Eligible for a PPQ 578 section of EXCERPT. ACOs **cannot** issue PPQ Form 578 for the following products:

- ◆ Processed products **not** listed in the Commodities Eligible for a PPQ 578 section of EXCERPT or,
- ◆ Products listed as ineligible in the Ineligible Commodities section of EXCERPT.

There are some processed products listed as eligible for both PPQ Form 577 and PPQ Form 578. In these situations, check the requirements for the commodity in the export summary as some countries will specify that a PPQ Form 577 is required and this requirement would take precedence over issuing a PPQ Form 578.

EXAMPLE Flour meal and soy flour are eligible for both PPQ Form 577 and 578.

If a PPQ Form 577 is **not** required, issue a PPQ Form 578.

Example

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


UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		FOR OFFICIAL USE ONLY PLACE SAMPLE DATE: _____ NUMBER: P 340042
EXPORT CERTIFICATE PROCESSED PLANT PRODUCTS		
NAME AND ADDRESS OF EXPORTER SAMPLE	NAME AND ADDRESS OF CONSIGNEE SAMPLE	
MEANS OF CONVEYANCE	POINT OF ENTRY	
DESCRIPTION OF CONSIGNMENT		
PRODUCT (Kind, Quantity, and Weight) SAMPLE		
SAMPLE		
IDENTIFICATION SAMPLE		
ORIGIN		
<p>WARNING: Any alteration, forgery, or unauthorized use of this certificate is subject to civil penalties of up to \$250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).</p> <p>This is to affirm that, based upon inspection of submitted samples and/or by virtue of processing received, the plant products described above are believed to be free from injurious plant pests.</p>		
		NAME OF AUTHORIZED OFFICER SAMPLE SIGNATURE
No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.		
PPQ FORM 578 SEP 2001 Previous edition dated FEB 2001 may be used.		PART 1 - SHIPPER'S ORIGINAL

FIGURE 3-9-1: Example of PPQ Form 578, Export Certificate, Processed Plant Products (blank)

Completion

See [Table 3-9-1](#) on [page-3-9-4](#) for specific instructions, techniques, and examples about how to complete PPQ Form 578.



Prepare all export certificates in English. They can be handwritten or typed unless specified otherwise in an Export Summary. Handwritten certificates **must** be legible and **must** be written using upper case (capital) letters. Errors and/or corrections are **not** allowed on PPQ Form 578. If an error occurs, the certificate **must** be redone.



Additional declarations (ADs) are **prohibited** on PPQ Form 578. Therefore, **do not** add statements about a replaced certificate, even though ACOs may replace and void PPQ Form 578.

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

If certification for freedom from animal diseases is required, refer exporters to PPQ Veterinary Regulatory Services (VRS) for letterhead statements to attest to freedom from specific animal diseases. **Do not** attach these statements to certificates.



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

TABLE 3-9-1: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products

If the block is:	Then follow these instructions to complete PPQ Form 578:
PLACE	<ul style="list-style-type: none"> ◆ ENTER the complete name of the city and State of the issuing office; do not abbreviate ◆ Each PPQ 578 can be prepared only by the issuing office accountable for that certificate ◆ VERIFY that the correct issuing office is listed for prepaid PPQ 578s (this block must already be completed when presented for issuance)
DATE	<ul style="list-style-type: none"> ◆ ENTER the date when the certificate is prepared by an ACO ◆ ENTER date in correct order (month, day, year); never use European format ◆ SPELL OUT the month (January 1, 2004); never use numbers for the month and never abbreviate the year
NUMBER	DO NOT WRITE in this space; all PPQ Forms 578 are pre numbered to deter forgeries and to facilitate accountability

CONTINUE to the NAME AND ADDRESS OF EXPORTER Block on the next page.

TABLE 3-9-1: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products (continued)

If the block is:	Then follow these instructions to complete PPQ Form 578:
NAME AND ADDRESS OF EXPORTER	<ul style="list-style-type: none"> ◆ ENTER the complete name and address of the exporter (street or Post Office Box, city, State) ◆ SPELL OUT names of cities and States (do not abbreviate) ◆ ENTER only the physical address of the exporter in this block. Do not include other information such as birth dates, tax identification numbers, letter of credit information, or other information not related to the address descriptor. <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="border: 1px solid black; padding: 5px; background-color: #e0f2f1;"> <p>Never enter more than one exporter’s name and address.</p> <p>Do not use statements such as “In-care-of” (c/o), “Attention to,” “Agent for,” or “Notify.”</p> <p>Exporter’s address must be in the U.S., a U.S. territory or a U.S. commonwealth.</p> </div> </div>
NAME AND ADDRESS OF CONSIGNEE	<ul style="list-style-type: none"> ◆ ENTER the complete name and address of the consignee (person or company taking delivery of the commodity); at a minimum, include a name, city, and the approved country name (see Table F-1-2 on page-F-1-2) ◆ SPELL OUT names of cities and countries (do not abbreviate) ◆ ENTER only the physical address of the consignee in this block. Do not include other information such as birth dates, tax identification numbers, letter of credit information, or other information not related to the address descriptor. <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="border: 1px solid black; padding: 5px; background-color: #e0f2f1;"> <p>Never enter more than one consignee’s name and address; doing so would violate PPQ policy to enter one consignee’s name.</p> <p>Do not use statements such as “In-care-of” (c/o), “Attention to,” “Agent for,” or “Notify.”</p> <p>Consignee’s address must be in the importing country.</p> </div> </div>
MEANS OF CONVEYANCE	<ul style="list-style-type: none"> ◆ ENTER the airline, railroad, truck line, or vessel name (only pertains to exports to Canada or Mexico) ◆ ADD “or substitute” after a vessel’s name (acceptable) ◆ If the specific name of the means of conveyance is unknown ENTER as appropriate, “airfreight,” “ocean vessel,” “railroad,” or “truck line” ◆ If mail shipments ENTER “air mail,” “surface mail,” or “express mail”



CONTINUE to the POINT OF ENTRY Block on the next page.

TABLE 3-9-1: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products (continued)

If the block is:	Then follow these instructions to complete PPQ Form 578:
POINT OF ENTRY	<ul style="list-style-type: none"> ◆ ENTER the point of entry (the first port of entry in the destination country) declared by the exporter ◆ ENTER “unknown” if a specific point of entry is not declared by the exporter ◆ SPELL OUT the names of cities (preferred) ◆ ENTER multiple points of entry (acceptable)
DESCRIPTION OF CONSIGNMENT	
PRODUCT (<i>Kind, Quantity, and Weight</i>)	<ul style="list-style-type: none"> ◆ ENTER the name of the processed product exactly as identified in the list of Eligible Processed Products in EXCERPT; do not add scientific names ◆ CHECK shipper documentation to ensure the name of the commodity on the shipper’s documentation is the same as that entered on PPQ Form 578. ◆ LIST the amount and description of the shipping containers as declared by the exporter (see example below) <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p>EXAMPLE</p> <p>11 wooden crates 123 cardboard cartons 5 burlap bags If the shipment is a bulk shipment, enter “In Bulk”</p> </div> <ul style="list-style-type: none"> ◆ SPELL OUT abbreviations ◆ LIST the declared weight in kilograms; if impracticable, LIST the weight in pounds ◆ If there is not enough space to list all entries, fill out a continuation sheet (refer to Continuation Sheets for PPQ Form 578 on page 3-10-2) ◆ LINE OUT unused space ◆ Never enter ADs or treatment information on PPQ 578. Do not add statements about a replaced certificate, even though PPQ 578s may be replaced.

CONTINUE to the IDENTIFICATION Block on the next page.

TABLE 3-9-1: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products (continued)

If the block is:	Then follow these instructions to complete PPQ Form 578:
IDENTIFICATION	<ul style="list-style-type: none"> ◆ ENTER the markings as declared by the exporter, which may include markings applied to containers, cartons, bags, boxes, products, truck licenses, or railway cars ◆ If there are no distinguishing marks, ENTER “NONE” ◆ If there is not enough space to list all entries, ENTER “See attachment” and create a continuation sheet unless directed otherwise in the export summary (see <i>Continuation Sheets for PPQ Form 578</i> on page 3-10-2) ◆ A Letter of Credit (LC) number may be included on a PPQ 578 when the packaging is clearly marked with the LC number. The LC number can then be included in this block. ACOs must inspect the cargo and verify that the LC number is marked on packages in order to include the LC number on the PPQ 578
ORIGIN	<ul style="list-style-type: none"> ◆ ENTER the origin as declared by the exporter; always specify the country of origin when the processed product originates from a foreign country ◆ SPELL OUT names of counties, State(s), or countries (preferred)
<p>WARNING This warning alerts all parties that any alteration, forgery, or unauthorized use of export certificates is subject to civil penalties or punishable by a fine or imprisonment</p>	
<p>AUTHORIZATION</p>	
NAME OF AUTHORIZED PHSS	<p>TYPE or PRINT the name of the ACO who will sign the certificate</p> <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p>Do not ADD titles.</p> </div> </div> <p style="text-align: center;">Important</p>
SIGNATURE	<ul style="list-style-type: none"> ◆ SIGN your name; only ACOs can authenticate a certificate; stamped signatures are not permitted ◆ Only one original signature is authorized <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p>DO NOT sign multiple copies of a certificate. If a number of originals are needed have the exporter make copies and suggest the copies be notarized by a Notary Public as true copies of the original.</p> </div> </div> <p style="text-align: center;">Important</p>

Corrections



Errors and/or corrections are **not** allowed on PPQ Form 578. If an error occurs the certificate **must** be redone.

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

When there is evidence an export certificate has been altered, in violation of 7CFR 353, follow the guidelines for determining the action to take. See *Special Programs • Export Certification Violations* on page 5-3-1.

Distribution

Refer to *Distribution of PPQ Form 578 Issued on Multipart Paper Forms* on page 3-14-3.

Maintenance

Refer to *Keeping Records* on page 3-14-1.

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Attachment Sheets and Continuation Sheets

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Attachment Sheets for PPQ Form 577 or 579 [page 3-10-1](#)

Continuation Sheets for PPQ Form 578 [page 3-10-2](#)

Attachment Sheets for PPQ Form 577 or 579

Use PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport when there is insufficient space on PPQ Form 577 or PPQ Form 579. Follow these steps:

1. In the block of the certificate, ENTER “See attachment.”
2. Fill out PPQ Form 576. This form and instructions for filling it out are in [Appendix K](#), beginning on [page-K-1-17](#).

A fillable copy of this form and instructions can also be downloaded at <http://www.aphis.usda.gov/ppq/pim/exports/ppq576.pdf>.

3. Review the listed information for accuracy.
4. Record an additional declaration on the certificate that refers to the attachment (see below an example of an additional declaration for Block 9).

EXAMPLE

See attached PPQ Form 576 numbered FPC 1234567 for a list of produce names and quantity declared.

5. Include the original PPQ Form 576 with the original certificate. Include a copy of the attachment sheet(s) with each copy of the certificate.



PPQ Form 576 Attachment Sheet can only be used with a Phytosanitary Certificate (PPQ 577) or Phytosanitary Certificate for Reexport (PPQ 579).

When all the required information **does not** fit on a PPQ 577 or PPQ 579, use PPQ 576.

PCIT generates additional pages as necessary and **does not** generate a PPQ 576.

Continuation Sheets for PPQ Form 578

When there is insufficient space on a PPQ Form 578, Export Certificate, Processed Plant Products, do the following:

1. In the block of the certificate, ENTER “See attachment.”
2. List the information on a separate sheet of plain paper without letterhead, unless required by the importing country as specified in the export summary. **Never** use letterhead **other than** PPQ letterhead.
3. Indicate the name and number of the certificate, if applicable, and the issuance date at the top of each continuation sheet.
4. Review the listed information for accuracy.
5. Sign each continuation sheet.
6. Include the original continuation sheet(s) with the original certificate. Include a copy of the continuation sheet(s) with each copy of the certificate.

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Collecting User Fees

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Forms Used for Collecting User Fees	page 3-11-13

Introduction

This section provides Federal Authorized Certification Officials (ACOs) guidance to collect user fees. State or county ACOs should refer to their local policy for collecting user fees when issuing export certificates.

The funding for PPQ’s export program is generated directly by user fees. Therefore, the collecting of user fees is a crucial task in order to maintain the financial soundness of PPQ’s export program. User fees are collected for the following export certificates:

- ◆ PPQ Form 577, Phytosanitary Export Certificate
- ◆ PPQ Form 578, Export Certificate, Processed Plant Products
- ◆ PPQ Form 579, Phytosanitary Certificate for Reexport

Each ACO work location has an inventory of accountable security paper and export certificates. Exporters pay for each export certificate at the time of service. Exporters may deposit funds in advance for future export certificates.

Step 1: Determine Shipment Value

Commercial Shipments

Shipments with a value greater than or equal to \$1250 are considered commercial and export certificates cost \$50.



Samples are considered to be commercial shipments.

Noncommercial Shipments

Shipments whose value is less than \$1250 cost \$23.00. If the exporter requests that the export certificate be provided at the lower fee (\$23), they **must** provide a commercial invoice indicating that the value is less than \$1250. Furthermore, the quantity of produce declared and the number and the description of packages on the application for service **must** match, exactly, those found on the invoice. Attach a copy of the invoice to the Issuing Office Copy of the export certificate.

Shipments certified under the interagency agreement are charged the non-commercial rate. See [Collecting Fees from USDA Agencies](#) on page 3-11-7.



To qualify for the \$23.00 rate, the exporter, shipper, or broker must present one of the following documents: CCC 512, Notice of Commodity Availability; KC 269, Notice to Deliver; KC 269-A, Forwarding Notice.



ACOs **must** use their professional judgment and the shipment's accompanying documentation to establish the shipment's value and to determine whether a shipment is commercial or noncommercial.

Humanitarian Shipments

Shipments that are neither for gain nor profit are considered noncommercial regardless of the value. Exporters of noncommercial shipments **must** provide documentation indicating the shipment is noncommercial. All humanitarian shipments qualify for the \$23.00 rate.

Step 2: Set User Fee

In addition to charging a user fee for export certificates, PPQ will also charge for an exporter's request to inspect commodities on overtime (outside the normal tour of duty hours). PPQ user fees and

reimbursable overtime (ROT) charges conform to 7 CFR 354, Overtime Services Relating to Imports and Exports and User Fees, and 7 CFR 354.3, User Fees for Certain International Services.

Export Certificates Issued on Regular Time or Contiguous ROT

If export certification service is performed on regular time, PPQ **only** charges the user fee for the export certificate.

If export certification service is performed on Contiguous ROT, PPQ **must** charge the user fee for the export certificate and the overtime charges.

See [Table 3-11-1](#) on [page-3-11-3](#) for instructions about how to set the user fee for export certificates issued on regular time or ROT.

TABLE 3-11-1: Set User Fee for Export Certificates Issued on Regular or Contiguous, Reimbursable Overtime

If the invoice value is:	Then:
Less than \$1,250 (noncommercial)	1. SET the fee at \$23 2. GO to Step 3: Collect User Fee on page 3-11-4
At or greater than \$1,250 (commercial)	1. SET the fee at \$50 2. GO to Step 3: Collect User Fee on page 3-11-4

Export Certificates Issued on Noncontiguous ROT

If the exporter obtains service on noncontiguous ROT, PPQ **does not** charge the user fee for the export certificate.

Follow these steps to charge for the ROT:

1. Charge ROT on an APHIS Form 89 recording the export certificate's number in Block 12.
2. Follow standard billing or c.o.d. procedures.



PCIT will collect certification fees only. Overtime fees are still handled according to APHIS policy.



The PCIT system automatically sets the fee according to the shipment value. The ACO can override the fee through step 2 or the print certificate screen.

Step 3: Collect User Fee

Export certificates may be paid by check (cashier's, certified, traveler's, personal¹) or money order.



- ◆ Exporters **must** pay for export certificates at the time of service.
- ◆ Payment **must** be in U.S. funds.
- ◆ Credit cards are accepted **only** when using Pay.gov.
- ◆ All checks and money orders must be made payable to USDA-APHIS.

Checks drawn on foreign banks **must** be payable in U.S. dollars and **must** be marked as payable in U.S. dollars.²

All checks **must** have a 10-digit accounting code written in the lower left corner on the front of each check or money order



- Do not** write below the memo and signature lines on a check as the writing can interfere with processing if it is too close to the micro line at the bottom of a check (account and bank routing numbers).
- Do not** write on the back of checks or money orders.
- Do not** endorse checks or money orders with a stamp.



If a check is returned by the bank for insufficient funds and the exporter fails to settle the balance, then refuse export certification service until the outstanding balance is paid.

Personal Checks

Accept a personal check **only** if the total amount due is \$100 or less. If the total amount due is more than \$100, the payment **must** be by cashier's check, certified check, traveler's check, or money order **only**. These **must** be made payable to USDA, APHIS. The following information should appear on the face of the check, as required by the Debt Collection Improvement Act (DCIA); the Department of Treasury, Financial Management Service policy directives; and Departmental, and APHIS policy directives:

- ◆ Complete mailing address
- ◆ Driver's license, or taxpayer identification number
- ◆ Phone number
- ◆ Social security number

1 Accept a personal check only if the total amount is \$100.00 or less. Include the complete mailing address, drivers license or tax id number, phone number, and social security number on all checks.
2 If possible, send foreign checks on a separate PCIT APHIS 94, as they are processed differently.

How to Process Monetary Transactions in PCIT

See the following examples for using the payment system in PCIT:

Example

Paid Transaction in PCIT using pay.gov

Company A uses pay.gov and submits an application. Exporters should always select prepurchase account in this example.

1. The ACO processes the submitted application.
2. The ACO ensures that the fee is set correctly before pushing the “printed” button.
3. As long as there are sufficient funds in Company A’s account, the ACO needs to take **no** further action.
4. Company A may run a debit transaction report to view all credits and debits made to their account. PCIT displays a running balance on Company A’s welcome screen.

The PCIT APHIS 94 is **not** required since all financial information has been submitted through pay.gov.

Example

Paid Transaction in PCIT with a Submitted Check

Company B submits applications via PCIT, but does **not** use pay.gov. They give the duty station a check for \$250.00. They should also select “prepurchase” when submitting applications.

To handle the check, in PCIT, the ACO must:

1. Click “Financial Management” and search for Company B.
2. Click “Transactions” for Company B.
3. On update account drop down menu select “Add funds to prepurchase account.”
4. Enter the check information and click save. Company B now has \$250.00 in their account.

To create the PPQ Form 577, the ACO must:

1. Process the submitted application.
2. Ensure that the fee is set correctly before clicking the “Printed” button.
3. As long as there are sufficient funds in Company B’s account, the ACO needs to take no further action.
4. Company B may run a debit transaction report to view all credits and debits made to their account. PCIT displays a running balance on Company B’s welcome screen.

The PCIT APHIS 94 **must** reflect \$250.00 for Company B.

Example

Paid Transaction in PCIT Using a Shell Account with a Submitted Check

Company C is **not** using PCIT and hands you a check for \$500.00. The ACO must use a shell account.

To handle the check in PCIT, the ACO must:

1. Click “Financial Management” and search for Company C.
 - ◆ If you find Company C, then a shell account was already created. Go to step 2.
 - ◆ If you do **not** find Company C, then click “Create applicant organization,” complete the information, and click save. Return to step 1.
2. Click “Transactions” for Company C.
3. On update account dropdown menu select “add funds to prepurchase account.”
4. Enter the check information and click save. Company C now has \$ 500.00 in their account.

To create the application in PCIT, the ACO must:

5. Create an application for Company C.
6. On the general screen, update applicant to Company C.
7. Submit the application to the duty station.

To create the PPQ Form 577 in PCIT, the ACO must:

8. Process the submitted application.
9. Ensure that the fee is set correctly before clicking the “Printed” button.
10. As long as there are sufficient funds in Company C’s account, the ACO needs to take no further action.
11. The duty station may run a debit transaction report to view all credits and debits made to Company C’s account.

The PCIT APHIS 94 **must** reflect \$500 for company C.



No fees are removed from accounts until certificates are in Printed status.



If a company submits an application, you will **never** need to create a shell account.



The use of wildcard searches can increase the effectiveness of your search in PCIT. Entering less specific information yields a larger result.

Example: You are looking for “U.S. Export Company.”

If you search for “US Export Company” you will not find U.S. Export Company since the periods are missing from “US”. If you search by entering just the letter “U” then you will see all results beginning with “U.”

Collecting Fees from USDA Agencies

Charges for export certificates issued to other USDA agencies can be collected through an interagency agreement. If a USDA agency or facility requests such an arrangement, an interagency agreement **must** be signed before issuing an export certificate.³

Step 4: Remit Collected User Fees

Since PCIT use is mandatory for all PPQ offices, all funds for export certificates must be processed through PCIT. After collecting user fees, PCIT will populate the “PCIT generated APHIS 94 information report” (PCIT APHIS 94). Overtime and other miscellaneous charges are not handled through the PCIT system. This section provides supplemental guidelines for remitting collected user fees on the PCIT generated APHIS 94 for issued export certificates.



Important

The PCIT APHIS 94 can be submitted in lieu of “APHIS Form 94, Record of Public Funds Received.”¹

- 1 APHIS Form 94 is available for downloading from the following Web site address: <http://www.aphis.usda.gov/library/forms/>. More than one transaction can be recorded on APHIS Form 94 for remitting collected user fees. See Chapter 10 of the APHIS Budget and Accounting Manual for detailed instructions about how to complete APHIS Form 94.

When remitting the PCIT APHIS 94, do the following:

1. Review the report for accuracy.
2. Complete blocks 11 and 12.
3. Photocopy each check or money order for the work location records.
4. Attach checks and/or money orders to the PCIT APHIS 94.
5. Keep a copy of the PCIT APHIS 94 and the associated checks or money orders until a receipted copy is returned from the Minneapolis Financial Services Branch (MFSB). (After the MFSB receives the PCIT APHIS 94 from the lock box in St. Louis, it will return the receipted copy to the originating office address in *Block 4*.)
6. Send (see important note below) the PCIT APHIS 94 with the checks and/or money orders to the address printed in *Block 3*.

³ To set up an interagency agreement, the agency or facility should contact the Agreement Services Center at PPQ headquarters in Riverdale, Maryland. To identify the agencies and facilities that have valid agreements, check with PPQ Export Services (ES), 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301-734-8537; FAX 301-734-7639 at the beginning of each fiscal year (October).



Important

If practical, send the collected fees within 24 hours; but, **never** send the collected fees later than the second workday from date you received the fees. Use the date of the first transaction on the PCIT APHIS 94 as a guide.

7. File the receipted copy. If you **do not** receive a receipted copy within 3 weeks of your submission, notify the Minneapolis Financial Services Branch.

How to Generate “APHIS 94 Information Report” in PCIT

1. Log into PCIT
2. Select “View Reports”
3. Select “APHIS 94 Record of Public Funds Received”
4. Click submit
5. Select the appropriate duty station
6. Fill in the date range
7. Click next
8. Click generate report
9. Print the report
10. Complete blocks 11 and 12, and remit

Step 5: Replace Export Certificates

Instructions for replacing export certificates are below.



Important

- ◆ PPQ does **not** charge user fees for export certificates that **must** be replaced because of an error caused by an ACO. When replacing in PCIT, set the fee for new certificate at \$0.
- ◆ PPQ does charge user fees for export certificates that **must** be replaced because of an error caused by the exporter or by requested changes to information about a shipment.

If a shipment is split and additional export certificates are needed, the first new export certificate can be issued for the \$7 replacement fee, but subsequent export certificates **must** be charged the full fee.

1. If the exporter requests a single replaced export certificate, charge \$7.



Important

The quantity **cannot** be increased to an amount greater than the amount that was actually certified and listed on the original export certificate. Any increase in quantity would necessitate an additional inspection.

- If the exporter requests the original export certificate be split into multiple certificates, use [Table 3-11-2](#) on [page 3-11-9](#) to determine the appropriate fees, regardless of the number of times the export certificate is replaced.

TABLE 3-11-2: Example for Calculating the Total Cost for Three Replaced Export Certificates for a Split Shipment

If the value of the domestic origin shipment is:	And the export certificate is the:	Then charge the following cost for the replacement export certificates:
\$1,250 or greater	First replacement	\$ 7
	Second replacement	\$ 50
	Third replacement	\$ 50
	Total User Fee Charge	\$107
Less than \$1,250	First replacement	\$ 7
	Second replacement	\$ 23
	Third replacement	\$ 23
	Total User Fee Charge	\$ 53

- If the exporter is paying for the replaced export certificate by check or money order, see [Step 3: Collect User Fee](#) on [page 3-11-4](#)) and [Step 4: Remit Collected User Fees](#) on [page 3-11-7](#).

Handling Refunds and Credits

If an exporter requests a refund, arrange for a refund from USDA-APHIS Financial Management Division, Minneapolis Financial Services Branch (MFSB).



Important

Once an export certificate has been issued and the exporter decides **not** to export the commodity, the user fee is **no** longer refundable. **Do not** refund or credit any of the fee.

Use the worksheet shown in [Figure 3-11-2](#) on [page 3-11-10](#) when processing all refunds, and send the worksheet (memo, FAX, or E-mail) to MFSB requesting the refund.



UNITED STATES DEPARTMENT OF AGRICULTURE
ACH VENDOR ENROLLMENT FORM
(Please type or print all information)

MAIL, FAX, or EMAIL TO:

USDA, APHIS, FMD
Attn: Billings & Collections Team
100 North Sixth Street, 510C
Minneapolis, MN 55403
612-336-3275
612-336-3549 FAX
abshelpline@aphis.usda.gov

Company/Payee Name _____

Address _____

Taxpayer ID Number (TIN) _____ (9 digits)

Financial Institution Name _____

Financial Institution Routing Transit Number (RTN) _____ (9 digits)

Depositor Account Title _____

Depositor Account Number _____

Type _____ Checking _____ Savings

Vendor's Contact Person _____ Phone _____

Vendor's Contact E-mail _____

Vendor's Authorized Signature _____ Date _____

Privacy Act Statement: Collection of this information is authorized by 31 U.S.C. 3332(g), 3325(d), and 7701(c). The information will be used by the Government to make payments by electronic funds to a vendor. This information may also be used for income reporting and for collecting and reporting any delinquent amounts arising out of a vendor's relationship with the Government. Disclosure of the information by the vendor is mandatory. Failure to provide the requested information may result in the delay or withholding of payments to the vendor.

- A. Amount to be refunded _____
- B. Accounting code the payment was posted against. _____
- C. Check number _____
- D. Exporter's name and address _____
- E. Exporter's phone number _____
- F. Exporter's Social Security number (or tax I.D.) _____
- G. PPQ contact in case there are questions _____

FIGURE 3-11-2: ACH Vendor Enrollment Worksheet

Managing Records

To maintain the credibility of the PPQ export program, an accountability system was established to deter forgeries and to control public misuse of export certificates.

ACOs **must** maintain an audit trail because the PPQ export program is one in which money is collected and handled directly. In order to sufficiently maintain an audit trail, each issuing office **must** perform the following:

- ◆ *Monthly Reports*
- ◆ *Annual Maintenance*

Monthly Reports

Monthly reporting about export certificates issued allows for the following:

- ◆ PPQ is able to accurately determine the number of export certificates issued
- ◆ USDA-APHIS, Financial Management Division, User Fee Section in Riverdale, Maryland, is able to track the collected fees and reconcile the funds between the MFSB and PPQ work units, and to analyze prior year and current year costs to accurately develop future phytosanitary export certificate user fee rates at a full cost recovery

Work Units

The SPHD is accountable for preparing and submitting PPQ Form 575, Monthly Summary of Export Certificates Issued.⁴ Complete PPQ Form 575 within 5 working days after the month has ended. Use the instructions on the reverse side of the form along with the following supplemental instructions in **Table 3-11-3** on **page-3-11-12**.



Important

An equivalent report to PPQ Form 575 will be available in PCIT release 3.1.

⁴ An example of PPQ Form 575 is at the end of these special procedures (see *Forms Used for Collecting User Fees* on **page 3-11-13**) and are available for downloading from the following Web site address: <<http://www.aphis.usda.gov/library/forms/>>.

TABLE 3-11-3: Instructions to Complete PPQ Form 575, Monthly Summary of Export Certificates Issued

If the block is:	Then follow the instructions to complete PPQ Form 575:
1. WORK UNIT AND STATION NAME	ENTER the name of your work unit and any work station assigned to the work unit
4. TYPE OF export certificate	COMPLETE Blocks A. through J. as listed below
A. - F.	ENTER the total number of export certificates purchased and the total dollar amount collected and sent to MFSB for each export certificate Use <i>Block 4(B)</i> to record the number of export certificates issued to other USDA or government agencies
G. - J.	ENTER only the number of export certificates issued for each type of export certificate. No fee is collected for these export certificates
8. REMARKS	RECORD the government agencies to which export certificates were issued along with the number of export certificates issued to each agency. Export certificates issued to other agencies are charged at the \$23 rate and need to be accounted for on PPQ Form 575. PPQ Agreement Services Center will work with agencies outside the Federal government to develop an interagency agreement to pay for export certificates issued to them If you had no export certification activity during the past month, SEND a negative report. Indicate in <i>Block 8, Remarks</i> , that this is a negative report

Forward the completed, original PPQ Form 575 to your regional office.

Regional Office

The regional office is responsible for collecting all original PPQ Forms 575 from their work units and preparing a cover memorandum. The regional office will do the following:

1. Prepare a cover memorandum to forward the PPQ Forms 575 to USDA-APHIS, Financial Management Division (FMD), User Fee Section in Riverdale, Maryland. The memorandum should include the statement, "This is to transmit all monthly summaries of export certificates issued for the month of [name of month]."
2. Forward all of the original PPQ Forms 575 received from the work units along with the cover memorandum to the following address by the 20th of each month:

USDA-APHIS-FMD, User Fee Section
4700 River Road Unit 54
Riverdale, MD 20737
ATTN: Cathy Christensen

User Fee Section

USDA-APHIS-FMD, User Fee Section summarizes the information received from the regions and provides Export Services (ES) with an annual summary of export certification activities.



Work units **must** report the number of export certificates issued in the WADS system.

Annual Maintenance

Collect and maintain records and files as follows.

1. Keep a copy of the PCIT APHIS 94 used to send user fee money for export certificates.
2. File the PCIT APHIS 94 and associated check/money order copies for 3 years. After 3 years storage at your duty station, destroy the records according to your duty station's policy for disposal of sensitive documents.

EXAMPLE

At the end of Fiscal Year 2009, you should have the records for Fiscal Years 2006, 2007, and 2008 in storage on site. Destroy all records for fiscal year 2006 according to your duty station's policy for disposal of sensitive documents.

Forms Used for Collecting User Fees

ACOs should have the following official forms to collect and maintain user fees for issued export certificates,⁵ some of which are illustrated in this section:

- ◆ APHIS Form 47, Transmittal and Receipt for Accountable Items (for transferring accountability of export certificates) (see [Figure K-1-1](#) on [page K-1-2](#))
- ◆ APHIS Form 89, Report of Reimbursable Inspection and Quarantine Service
- ◆ APHIS Form 94, Record of Public Funds Received (for remitting fees to a lock box) (see [Figure K-1-3](#) on [page K-1-4](#))
- ◆ PPQ Form 575, Monthly Summary of Export Certificates Issued (for reporting results) (see [Figure K-1-7](#) on [page K-1-15](#))
- ◆ SF Form 1164, Claim for Reimbursement for Expenditures on Official Business
- ◆ SF Form 1165 (book of blank receipts)

⁵ Examples of APHIS and PPQ listed forms are located in [Appendix K](#) and are available for downloading from the following Web site address: <http://www.aphis.usda.gov/library/forms/>.

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Replacing Export Certificates

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Voiding or Returning Unused Export Certificates [page 3-12-3](#)




Replacing Export Certificates

The term “replace” refers to issuing new PPQ Form(s) 577 or 579 to substitute for a previously issued certificate.

Replaced certificates are based on the same inspection date(s) and results of the original certificates. If a new inspection is required the certificate needs to be issued according to [Table 3-8-1](#) on [page-3-8-4](#) or [Table 3-8-4](#) on [page-3-8-20](#). The date of issuance must always be the actual date the ACO signs the certificate. When replacing a certificate, review the time limits for the country to ensure the original PPQ Form(s) 577 or 579 was issued according to the country’s time limits. If the replacement occurs outside of the country’s time limit, include an AD referring to the original certificate and the original date of issuance.

Refer to [Table 3-12-1](#) on [page-3-12-2](#) to help decide whether to replace PPQ Form 577 or 579.

TABLE 3-12-1: Decide Whether to Replace PPQ Form 577 or 579 Based on Original Issuance

If the original PPQ Form 577 or 579 is:	And:	And the replacement date is:	Then:
Surrendered to the ACO	The consignment is reinspected		<ol style="list-style-type: none"> VOID the original PPQ Form 577 or 579 (refer to <i>Keeping Records</i> on page 3-14-1) RETURN all voided certificates (including those ruined while typing or preparing) that were prepaid by exporters to the issuing office ISSUE a new PPQ Form 577 (Table 3-8-1 on page-3-8-4) or 579 (Table 3-8-4 on page-3-8-20) at any duty station¹ based on the new inspection
	The consignment is not reinspected	Within 30 days of inspection or specific country requirements	<ol style="list-style-type: none"> VOID the original PPQ Form 577 or 579 (refer to <i>Keeping Records</i> on page 3-14-1) RETURN all voided certificates (including those ruined while typing or preparing) that were prepaid by exporters to the issuing office CHANGE the appropriate entries REPLACE the PPQ Form 577 or 579 at any duty station,¹ with no AD referencing the replacement ATTACH the original or a copy (if the original is returned to the originating office) to the file copy of the new PPQ Form 577 or 579
	Not within 30 days of inspection or specific country requirements ²	<ol style="list-style-type: none"> VOID the original PPQ Form 577 or 579 (refer to <i>Keeping Records</i> on page 3-14-1) RETURN all voided certificates (including those ruined while typing or preparing) that were prepaid by exporters to the issuing office CHANGE the appropriate entries REPLACE the PPQ Form 577 or 579 at any duty station,¹ with an AD “This certificate replaces phytosanitary certificate (or phytosanitary certificate for reexport) [number], issued on [date], at [issuing office], because [reason for issuing new PPQ Form 577 or 579].” ATTACH the original or a copy (if the original is returned to the originating office) to the file copy of the new PPQ Form 577 or 579 	
Not surrendered	The document was already mailed		<ol style="list-style-type: none"> CHANGE the appropriate entries REPLACE the PPQ Form 577 or 579 at the originating duty station only,³ with an AD “This certificate replaces phytosanitary certificate (or phytosanitary certificate for reexport) [number], issued on [date], at [issuing office], because [reason for issuing new PPQ Form 577 or 579].”
	The document was lost		<ol style="list-style-type: none"> CHANGE the appropriate entries REPLACE the PPQ Form 577 or 579 at the originating duty station only,³ with an AD “This certificate replaces the exporter's lost original of phytosanitary certificate (or phytosanitary certificate for reexport) [number], issued on [date], at [issuing office].”

- ACOs may have to contact the originating office for supporting documents.
- The original export certificate was issued according to PPQ policy concerning time limits.
- With the use of PCIT, PPQ Form 577 can be replaced at any duty station. Until version 3.1 is released, ACOs may have to contact the originating office for supporting documents. With the release of PCIT version 3.1, ACOs will also be able to replace PPQ Form 579 at any duty station.

Voiding or Returning Unused Export Certificates

Issuing offices document on APHIS Form 80-R, Export Certificate Record, when PPQ Forms 578 or 579 are voided or returned unused by industry.



Important

Do **not** use APHIS Form 80-R with PPQ Form 577. With the use of PCIT, PPQ Form 80-R is **not** necessary, since prepaid PPQ Form 577s are no longer maintained outside of the PCIT system.

Issuing offices maintain file copies of either the original APHIS Form 80-R or voided certificates. If your ECS wants to be notified of voided certificates, consider attaching the original or copy of the voided or returned unused certificate to APHIS Form 80-R in order to substantiate the credit.

See also [Step 5: Replace Export Certificates](#) on [page 3-11-8](#) when collecting a user fee for replaced export certificates.

For directions on refunding or crediting voided certificates, see [Handling Refunds and Credits](#) on [page 3-11-9](#).



Important

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

PPQ retains a \$7 administrative fee from the refund or credit for voided certificates.

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Handling Held Export Shipments

Introduction

Submit the worksheet on the following page to your Export Certification Specialist (ECS) for help with held shipments. Your ECS will submit this worksheet to Export Services (ES) using the contact protocol ([Table C-1-1](#) on [page-C-1-2](#)).

ES may be able to assist exporters whose shipments are being detained for phytosanitary reasons. In order for ES to assist with consignments being held at the port of destination, ES must have copies of as much of the documentation pertaining to the consignments as possible.

All documentation must be legible and in English. The ACO, not the exporter, must supply supporting documentation pertaining to phytosanitary actions. Examples of these types of documents are inspection records and fumigation documents.

The submitting ECS must fully review all documentation for completeness and accuracy before forwarding to ES. Alert ES of any problems with the documentation.

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Distribution of PPQ Form 578 Issued on Multipart Paper Forms	page 3-14-3
Distribution of PPQ Form 579 Issued on Multipart Paper Forms	page 3-14-4

Introduction

Maintain multipart paper export certificates following established policy and operational guidelines. Follow the guidelines below to submit documents electronically via attachments in the Phytosanitary Certificate and Tracking System (PCIT). These guidelines have been established for the issuing office and the Export Certification Specialist's (ECS) office.

Responsibilities

Issuing Office

Issuing offices **must** retain the multipart paper Issuing Office Copy of export certificates generated outside of the PCIT system for 3 years. After 3 years, destroy these copies by incinerating or shredding. If the certificate lists protected commodities (*Special Programs • Protected Commodities*), maintain the paper certificates and accompanying documentation for 5 years.



A certificate generated in the PCIT system, along with any electronic attachments, will be archived indefinitely. If you do **not** use the attachment feature in PCIT, then you **must** maintain the supporting documents in a paper file in the issuing office. You do **not** need to send paper copies from the issuing office to the ECS office unless the issuing office is **not** using the attachment feature in PCIT.

File and maintain the multipart paper issuing office copies of export certificates in numerical order by the certificate's accountability number along with the following, if applicable:

- ◆ Acceptable inspection certificate

- ◆ Attachments to the original (such as import permits and attachment sheets, PPQ Form 576)
- ◆ Correspondence
- ◆ Invoice or bill of lading that would substantiate the shipment's value in case of an audit
- ◆ Inspection results
- ◆ PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, or other comparable form
- ◆ State export certificate
- ◆ Translations of supporting documentation

Export Certification Specialist's Office

ECSs are responsible for reviewing export certificates to detect errors (see [Review Guidelines for Certificates](#) on page J-1-11). ECSs retain the multipart paper record copy of export certificates until the forms are reviewed. ECSs may keep the multipart paper forms for training purposes.




If the certificate was generated in PCIT then the ECS may review the certificate within the system.

Distribution of PCIT Generated PPQ Forms 577 and 579

Distribute PCIT generated copies of PPQ Forms 577 and 579 as indicated in [TABLE 3-14-1](#) below.

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

If the copy is:	Then:
Part 1—Shipper's Original (white with blue microprint background)	GIVE only the original to the exporter, shipper, or broker  <div data-bbox="954 1570 1393 1717" style="border: 1px solid black; background-color: #e0f2f1; padding: 5px; display: inline-block;"> Use the PCIT security paper for only the original certificate. </div>
Part 2—Shipper's Copy or additional copies	PRINT additional copies as needed on plain paper (additional copies on security paper are not authorized)

Distribution of PPQ Form 577 Issued on Multipart Paper Forms

Distribute copies of PPQ Form 577 as indicated in [TABLE 3-14-2](#).

TABLE 3-14-2: Distribution of PPQ Form 577, Phytosanitary Certificate

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

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

Distribution of PPQ Form 578 Issued on Multipart Paper Forms

Distribute copies of PPQ Form 578 as indicated in [TABLE 3-14-3](#).

TABLE 3-14-3: Instructions to Distribute PPQ Form 578, Export Certificate, Processed Plant Products

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

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

Distribution of PPQ Form 579 Issued on Multipart Paper Forms

Distribute copies of PPQ Form 579 as indicated in [TABLE 3-14-4](#).

TABLE 3-14-4: Instructions to Distribute PPQ Form 579, Phytosanitary Certificate for Reexport

If the copy is:	Then:
Part 1—Shipper’s Original (white w/blue microprint background)	1. ATTACH the original or certified true copy of the foreign export certificate, if available 2. ATTACH PPQ 576, if appropriate
Part 2—Shippers’ Copy (white)	3. GIVE copies to the exporter, shipper, or broker
Part 3—Record Copy (white)	1. ATTACH any pertinent information for that specific shipment ¹ 2. SEND the record copy to your supervisor, Export Certification Specialist (ECS), or State Plant Health Director (SPHD) (to whom and when to send record copies is established by the ECS and SPHD; a rule-of-thumb is gather and send forward copies of issued certificates on a weekly basis)
Part 4—Issuing Office Copy (white)	1. ATTACH any pertinent information for that specific shipment ¹ 2. RECORD issuance on the Export Certification Record (see Collecting User Fees on page 3-11-1) ¹ 3. FILE at the issuing office

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

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Commodity • Containerized Oak

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Introduction

These special procedures cover inspecting containerized oak lumber. The procedures are an acceptable basis for certification and should be adopted as a standard by all PPQ work locations. These special procedures supplement the general inspection guidelines detailed under *Inspecting Commodities* on [page 3-5-1](#).

Inspection of Containerized Oak Lumber

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

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

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

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

- ◆ Concentrate on examining the exposed edges and butt ends of the lumber
- ◆ If there is evidence of bark or rounded surface tissue when certifying the oak lumber under the square-edged criteria, refuse to certify

- ◆ If the readings are between 15 to 20% when determining the moisture content of containerized lumber, apply the moisture meter prongs to the butt ends of the boards and take additional readings on the boards parallel to the grain
- ◆ Inspect the containerized oak lumber as thoroughly as possible without removing any bundles of lumber from the container
- ◆ Use a flashlight to help examine the lumber

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Issuing a PPQ Form 577 for Baled Compressed Cotton [page 4-2-1](#)

National Cotton Compliance Agreement [page 4-2-2](#)

Introduction

PPQ is currently updating a nationwide template for establishing compliance agreements with the cotton industry. Until the template has been revised, Authorized Certification Officials (ACOs) should contact Mike Ward at 301-734-5227.

Issuing a PPQ Form 577 for Baled Compressed Cotton

Cotton warehouses may be under a compliance agreement to conduct the phytosanitary inspection necessary to issue an export certificate. Below are general guidelines on how to certify baled compressed cotton when the inspection is conducted by a warehouse under compliance.

1. Receive and review PPQ 572 from exporter or designated agent. The PPQ 572 **must** have the name of the warehouse that conducted the inspection, inspection results, and the date of the inspection.
2. Verify the warehouses listed on the PPQ 572 are currently listed on the cotton compliance agreement database. If **not** in the database, contact your Export Certification Specialist (ECS).
3. Verify the number of inspected bales is less than or equal to the number to be placed on the export certificate.
4. Issue the export certificate.
5. Retain all copies from compliant warehouses with file copy of export certificate.

National Cotton Compliance Agreement

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

NATIONAL COTTON COMPLIANCE AGREEMENT STIPULATIONS

That in authorizing and participating in the treatment of uniform universal density compressed baled cotton as a basis for the certification of regulated articles, **no** liability shall be attached either to the United States Department of Agriculture, to cooperating agencies, or to any of their employees in the event to the property or to the regulated articles; to handle, process and move regulated articles in accordance with instructions; to maintain and offer for inspection such records as may be required; to carry out all additional conditions, treatments, procedures, precautions, and sanitary measures which may be required by the Plant Protection and Quarantine (PPQ) Plant Health Safeguarding Specialist (PHSS) in the following stipulations:

1. To export **only** COTTON requiring phytosanitary certification in bales compressed to gin standard density (SD). Gin SD bales must contain between 22 (10 kg) and 28 (12.7 kg) pounds of lint per cubic foot (.028 m³) to qualify for that category.
2. To visually inspect each shipment using the attached hypergeometric sampling chart (see [Table 4-2-1](#) on [page-4-2-5](#)) to ascertain that the bales are free from living insects, cottonseed, soil, plant material, or other contaminants. To verify through random sampling that the bales are compressed to universal density. The integrity of the bale wrapping **must** be maintained to prevent contamination of the cotton with soil, grease, etc.
3. To load **only** cotton that has been stored and entered into the inventory of warehouse(s) party to this agreement.
4. To load **only** clearly marked bales that have been kept segregated from uncompressed cotton into clean containers. Marking **must** include, but is **not** limited to the Permanent Bale Identification tag. Containers **must** be visually inspected for freedom from soil and other contaminants.
5. Containers with less than a full load of compliant warehouse origin cotton **must** be reinspected at a port of export by Federal, state, or county officials if commingled with non-compliant cotton.

6. Cotton inspected at the compliant facility may **only** be offloaded into another container with prior approval from Federal, state or county officials. Offloading without prior approval will invalidate the previous inspection.
7. To maintain files of shipping documents showing the number of bales, marks, weight and origin by state of each bale, signed and completed PPQ Form 572 and the signature of the manager or their authorized agent. Such files will be available for inspection upon request by Federal, state, or county officials. Files of each shipment **must** be maintained for three years even if participant is **no** longer an active participant in the program.
8. After completion of the inspection and loading, contact Federal, state or county officials by using a completed and signed PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, for each shipment.
9. Federal, state, or county officials reserve the right to periodically inspect operations, facilities and individual shipments of cotton shipped under this agreement. Such inspections may occur without prior notice to the warehouse official, but shall occur during normal duty hours.
10. Compliance agreements are non-transferable. If the individual leaves his/her present employer or company, he/she **must** notify the local Federal, state or county officials within fourteen days of the occurrence in writing.
11. With the signature below, the person undertakes the responsibility for compliance for all conditions in the Compliance Agreement for all persons he/she directly supervises who may be involved with the regulated articles.
12. The person who undertakes the responsibility for the compliance of the warehouse will maintain a list of all trained personal who have the authority under this agreement to inspect and sign the inspection report. A current and updated list of signatures will be kept on file with Federal, state, or county officials.
13. Training and review of the conditions of this agreement will be conducted at least annually or more often as conditions warrant. Such training and reviews will be provided by Federal, state, or county officials to individuals who sign as party to this agreement.
14. USDA reserves the right to modify the conditions of this agreement in order to meet any changes in Phytosanitary import requirements of a foreign country(s). USDA will contact Federal, state, or county officials with the new importation requirements.

- 15.** Verification of a facility and individual's participation in the National Cotton Compliance Agreement Program is required prior to issuance of a Phytosanitary certificate for which a completed and signed PPQ Form 572 has been received. Federal, state, or county officials **must** verify the signature on the PPQ 572 with the signature on file.
- 16.** This compliance agreement may be cancelled for repeated violations of the conditions of this agreement. Notification of each violation, major and minor, shall be communicated to the facility and responsible individual(s) by local Federal, state, or county officials. All violations **must** be corrected within fourteen days. Facilities receiving 1 major violation or three or more minor violations in a twelve (12) month period shall have their compliance agreement cancelled. Such cancellation shall be made in writing and with 30 days prior notice.

Major violations include but are **not** limited to:

- a.** Cotton **other than** that compressed to universal density
- b.** Receipt of notification of non-compliance from a foreign country, for which a violation is confirmed
- c.** Unauthorized signature on PPQ Form 572
- d.** Non-compliant facility (list action to this)
- e.** Absence of PBI tags on each bale
- f.** Failure of facility to timely notify Federal, state, or county officials of changes in personnel who sign as party to this agreement within fourteen days

Minor violations include but are **not** limited to:

- a.** Absence of or errors in marks as described on export certificate
 - b.** Bale **not** in conformance with wrapping specifications as adopted and published by the Joint Cotton Industry Bale Packaging Committee
 - c.** Incomplete or inaccurate PPQ Form 572 signed by authorized individuals party to this agreement
- 17.** Affected facilities may reapply for participation in the National Cotton Compliance Agreement Program after a six (6) month waiting period and successful completion of official USDA training program.

TABLE 4-2-1: Hypergeometric Table for Random Sampling

Total number of inspectional units:	Randomly select this number of units to inspect:
1-10	10
11-12	11
13	12
14-15	13
16-17	14
18-19	15
20-22	16
23-25	17
26-28	18
29-32	19
33-38	20
39-44	21
45-53	22
54-65	23
66-82	24
83-108	25
109-157	26
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Commodity • Grain (Federal Grain Inspection Service (FGIS))

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Introduction

The purpose of this section is to provide clarification on certain aspects of inspections conducted by USDA's Federal Grain Inspection Service (FGIS), a program area within the Grain Inspection, Packers and Stockyards Administration (GIPSA).

Under the U.S. Grain Standards Act and the Agricultural Marketing Act of 1946, FGIS conducts official sampling and inspections of grain offered for export. The Animal and Plant Health Inspection Service (APHIS) and FGIS have entered into a [*Memorandum of Understanding \(MOU\)*](#) that sets forth the policies and procedures by which GIPSA and APHIS will collaborate on the issuance of phytosanitary certificates. PPQ Forms 577 and 579 can be issued based upon FGIS inspection results, which will be reported on FGIS Form 921-2 Inspection Report–Insects in Grain.



Important

FGIS Form 921-2 must be presented to the certifying office before issuing PPQ Form 577 or 579. The only exception to this policy is when an ACO performs the official inspection.

FGIS Official Agencies

In addition to FGIS inspectors, FGIS has designated private and state agencies to perform official inspection services at domestic location and delegated some state agencies to perform official inspection services at export port locations. For a listing of these designated and delegated agencies, see the following website:

<http://151.121.3.117/aboutus/oa-dir.htm>

FGIS Inspections

FGIS inspections, generally, only involve the detection of live weevils and other live insects injurious to stored grain.

FGIS issues a number of different documents. However, some of these documents do not indicate the presence of live pests when found. The only FGIS document that will always indicate whether insects were found in a consignment is the FGIS Form 921-2, Inspection Report - Insects in Grain. In order to ensure that the issuance of a PPQ Form 577 or 579 is based on the appropriate FGIS document, ES worked with the FGIS and the grain industry to develop a standard operating procedure (SOP) for using FGIS documents as the basis of phytosanitary certification.

The issuance of PPQ Form 577 or 579 for grain will be based on FGIS inspection results recorded on FGIS 921-2. An original or photocopy of the FGIS Form 921-2 is acceptable and must be kept on file with the Issuing Office copy of the PPQ Form 577 or 579. It is the exporter's responsibility to request an FGIS Form 921-2 from FGIS. See [Appendix A](#) for examples of FGIS Forms 921-2.

This form must be presented regardless of whether any other type of FGIS document was obtained for the consignment. If an FGIS Form 921-2 is not presented, a PPQ Form 577 or 579 cannot be issued without inspection by an ACO. If EXCERPT states that an FGIS document, other than an FGIS Form 921-2, is required for issuance of a PPQ Form 577 or 579, the FGIS Form 921-2 must still be presented.

When an importing country requires a consignment to be free of plant debris, soil, weed seeds, etc., note the following information:

- ◆ The exporter is responsible for requesting that FGIS inspect for plant debris, soil, weed seeds, etc., as part of their official inspection activities since FGIS, generally, only inspects for insects for phytosanitary inspection purposes

- ◆ When there are specific requirements for specific quarantine items in grain that must be attested to in an AD, were communicated through official communication, or provided in a specific grain commodity summary, ACOs **must** verify that the FGIS Form 921-2 indicates a negative result for the specified quarantine items before a PPQ Form 577 or 579 can be issued.

EXAMPLE

Argentina currently requires the following additional declaration (AD) for wheat grain: The shipment is free of *Cirsium arvense*.

In this case, the exporter must request that FGIS conduct an inspection for *Cirsium arvense* (Canadian thistle). FGIS inspectors follow special procedures when they must inspect for the presence of *Cirsium arvense* in wheat shipments. ACOs must review the FGIS Form 921-2 issued for the consignment to ensure it states that the consignment was found free of *Cirsium arvense*. FGIS may use the common name rather than the botanical name.

FGIS routinely inspects grain samples for the presence of the following weed seeds:

- ◆ Castor beans (*Ricinus communis*)
- ◆ Cottonseed in wheat grain to Egypt
- ◆ *Crotalaria* seeds (Fabaceae)
- ◆ Ragweed seeds (*Ambrosia*) for soybean shipments to Russia



If FGIS **cannot** inspect for a particular weed seed, the exporter **must** make arrangements for FGIS to draw an official sample for analysis by an approved laboratory.

The U.S. Grain Standards Act stipulates that all export “grain” consignments be inspected and weighed by FGIS. FGIS defines “grain” to mean: corn, wheat, soybeans, canola, flaxseed, sunflower seed, triticale, oats, barley, rye, sorghum and mixed grain. Certain exceptions to mandatory inspections are made for overland export “grain” consignments to Mexico and Canada and when total export volume from a specific facility is less than 15,000 tons annually.

FGIS has also established regulations governing the inspection of rice, peas, lentils, chickpeas, beans and a number of processed commodities. Official inspections of export consignments of these commodities are not mandatory under FGIS regulations.

When FGIS inspection is not mandatory, exporters can still request that FGIS conduct an inspection of a grain consignment and issue an FGIS Form 921-2 for phytosanitary purposes. Regardless of the situation, export consignments must be officially inspected by FGIS or an ACO in order to obtain a phytosanitary certificate.

Species that FGIS Can Inspect

FGIS is authorized to provide phytosanitary inspections for the commodities (milled or not) listed in [Table 4-3-1](#) on [page 4-3-4](#).

TABLE 4-3-1: Species that FGIS Can Inspect

Botanical Name	Common Name	Botanical Name	Common Name
<i>Avena byzantina</i>	oat	<i>Pisum sativum</i>	pea
<i>Avena sativa</i>	oat	<i>Secale cereale</i>	rye
<i>Brassica napus</i>	canola	<i>Sorghum bicolor</i>	sorghum
<i>Glycine max</i>	soybean	<i>Triticosecale</i> spp.	triticale
<i>Helianthus annuus</i>	sunflower	<i>Triticum aestivum</i>	wheat
<i>Hordeum vulgare</i>	barley	<i>Triticum compactum</i>	wheat
<i>Lens culinaris</i>	lentil	<i>Triticum durum</i>	wheat
<i>Linum usitatissimum</i>	flax	<i>Vigna radiata</i>	mung bean
<i>Oryza sativa</i>	rice	<i>Zea mays</i>	corn
<i>Phaseolus</i> spp.	bean		



“Beans” includes any commodity designated by FGIS on an FGIS 921-2. The exporter is responsible for contacting FGIS to confirm that FGIS can inspect for a specific type of bean or commodity derived from “beans.”



The commodity must be produced solely from grain (only the seeds of a plant) and one of the acceptable species (including beans) for FGIS to conduct the inspections.

A listing of FGIS service providers is available on the FGIS webpage at the following address: <http://www.gipsa.usda.gov/GIPSA/webapp?area=home&subject=fc&topic=fsp>.

FGIS Documentation

FGIS official personnel will record on FGIS Form 921-2 Inspection Report–Insects in Grain information about detections of live insects, larvae and other pests. The FGIS 921-2 Inspection Report–Insects in Grain should be reviewed for the presence of quarantine insects or to determine if the shipment is deemed “infested” under FGIS criteria. Should either situation occur, the shipment must be fumigated according to official procedures before it can be certified.

The remarks section of the FGIS 921-2 Inspect Report–Insects in Grain should also be examined for and action taken to address other phytosanitary concerns that may have also been detected during the official inspection of the shipment.

FGIS Treatments

Phytosanitary treatments listed on the FGIS Form 921-2 Inspection Report–Insects in Grain may be included on an export certificate. Under the APHIS-GIPSA MOU, FGIS personnel or official personnel of agencies designated or delegated by FGIS to perform official services can witness fumigation of grain and processed products for phytosanitary purposes.



FGIS will witness fumigation of vessels, but does **not** require official personnel to witness fumigation of railcars or containers. In the latter cases, the fumigator will provide a document with fumigation details.

Explanation of FGIS Form 921-2 Inspection Results

Refer to *FGIS Form 921-2, Inspection Report–Insects in Grain* on page A-1-18 for an explanation of pertinent information.

U.S. Shipments Exported through Canadian Facilities

For shipments loaded at U.S. ports in the Great Lakes and exported through Canadian facilities, ACOs should consult the following SOP:

Standard Operating Procedure: USDA-APHIS-PPQ Phytosanitary Certification of U.S. Grain Stored in Canadian Elevators

The Great Lakes and the St. Lawrence Seaway are a transportation link for moving goods between the heartland of North America and international markets. U.S. grain that is exported through the Great Lakes/St. Lawrence Seaway is initially loaded onto “laker” vessels. Lakers are small vessels which are able to navigate the Great Lakes and St. Lawrence Seaway to ports which handle ocean-going vessels.

As a laker is loaded, FGIS conducts a phytosanitary inspection and issues an FGIS 921-2 for the consignment loaded. Once the laker reaches ports capable of handling ocean going vessels the grain may be transferred from the laker to a Canadian grain elevator (for storage) or an ocean going vessel. It is standard industry practice that U.S. grain stored at Canadian elevators is segregated and held in bond under identity preservation procedures.

In order to assist in the phytosanitary certification of grain moving through the Great Lakes and the St. Lawrence Seaway a procedure was developed through a Memorandum of Understanding (MOU) between Plant Protection and Quarantine (PPQ) and the Grain Inspection, Packers and Stockyards Administration (GIPSA). GIPSA, in turn, has an MOU with the Canadian Grain Commission (CGC) which allows the CGC to conduct phytosanitary inspections of U.S. origin grain stored in Canadian elevators.

While a U.S. phytosanitary certificate may be issued based on the FGIS inspection, exporters are encouraged to request a U.S. phytosanitary certificate only after obtaining a CGC inspection for any grain stored in Canadian elevators.

Instructions for Issuing a Phytosanitary Certificate

Certification Based on an FGIS Inspection

A phytosanitary certificate for a lot of grain loaded aboard an ocean-going vessel may be issued based on the FGIS 921-2s issued for the laker(s) that make up the lot of grain if:

- ◆ The phytosanitary certificate is issued within 30 days after the FGIS inspection. If the inspection(s) takes place over a period of days, the clock starts on the first day of inspection. If multiple FGIS 921-2s are combined for one consignment, the oldest date of inspection is considered day 1. If the exporter requests a phytosanitary certificate outside the 30 day time limit, the grain must be inspected by CGC. Refer to the heading [Certification Based on a CGC Inspection](#).
- ◆ The phytosanitary certificate must meet the importing country's time limits.

Certification Based on a CGC Inspection

1. Applicants should contact the USDA-APHIS-PPQ Duluth, MN office, by phone, to make sure that the Duluth PPQ Office will be available for phytosanitary certification. The Duluth, MN office phone message will be updated weekly to inform customers of absences and/or alternate contacts. As much lead time as possible is requested. The contact information is as follows:

USDA APHIS PPQ
515 West 1st Street, Rm. 226
Duluth, MN 55802
Ph: 218-720-5282
Fax: 218-720-5281

2. The applicant will submit, by fax, a PPQ Form 572 Application for Inspection and Certification of Domestic Plant and Plant Products to the appropriate USDA-APHIS-PPQ office to apply for a phytosanitary certificate. The application must be complete and include name of importing country and intended use, i.e. consumption, animal feed, planting. A fillable, PDF copy of the application may be found at: <http://www.aphis.usda.gov/ppq/pim/exports/certificates&forms.htm>. US applicants may also apply for service using the web based Phytosanitary Certificate Issuance and Tracking (PCIT) system.

Upon receipt of the application, USDA-APHIS-PPQ will review the importing country's phytosanitary requirements and forward the information, including time limits, to the Canadian Grain Commission (CGC).

3. The applicant will submit, by fax, FGIS 907 Application for Phytosanitary Inspection to the appropriate CGC elevator to schedule the phytosanitary inspection. The exporter will be responsible for scheduling the phytosanitary inspection with CGC to ensure that the importing country's time limits are met. The application must include the name of the importing country. The CGC Supervisor will coordinate the inspection at the elevator.
4. The CGC will forward by FAX a completed FGIS 921-2 to the PPQ Duluth office. The CGC will forward the billing documents, for the phytosanitary inspection, to the FGIS Toledo Field Office.
5. The applicant must submit proof of payment¹ or purchase pre-paid phytosanitary certificates prior to the issuance of the phytosanitary certificate. The Duluth office will prepare and issue² the phytosanitary certificate.

Instructions for Replacing a Phytosanitary Certificate

No U.S. phytosanitary certificate will be replaced more than 30 days after an FGIS inspection unless the following conditions have been met:

1. For grain stored in a Canadian elevator: CGC must conduct a phytosanitary inspection
2. For grain loaded from a laker directly onto an ocean going vessel: exporter must provide documentation proving that the consignment was loaded onto the ocean going vessel prior to the 31st day after the FGIS inspection.

1 Payment should be mailed or sent overnight delivery to the PPQ Duluth office when it has been verified that the phytosanitary certificate can be issued. In interest of time, the phytosanitary certificate will be issued when a faxed copy of the completed check for payment is received.

2 Any charges for FedEx or shipment costs other than regular U.S. Postal Service charges will be the applicant's responsibility. If the applicant wants the completed phytosanitary certificate FedEx'd to a specific location, please provide a FedEx account number along with the shipping information.

Alternate Contact Information and Additional Information

Use the alternate contact information only when the Duluth PPQ Officer has indicated he/she will be out of the office on the day(s) you require the issuance of a PPQ Form 577 or 579.

USDA APHIS PPQ
P.O. Box 18
BHW Federal Building, Rm. 288
One Federal Drive
St. Paul, MN 55111

Contact: Kevin Connors,
Minnesota State Plant Health Director
Phone: 612-725-1722
Fax: 612-725-1723

Phytosanitary certification will be available during the normal working hours of the PPQ offices in Duluth and St. Paul. Requests for certification outside those hours must be arranged in advance to provide for overtime service.

Summary of Activity by Participants

Applicants

- ◆ Submits to USDA-APHIS-PPQ PPQ Form 572 Application for Inspection and Certification of Domestic Plant and Plant Products for Export.
- ◆ Submits to CGC FGIS 907 Application for Phytosanitary Inspection (with country of destination).
- ◆ Schedules the phytosanitary inspection with CGC supervisor at appropriate elevator.
- ◆ Pays USDA-APHIS-PPQ for phytosanitary certificate.
- ◆ Pays USDA-GIPSA-FGIS for phytosanitary inspection service by CGC.

Canadian Grain Commission (CGC)

- ◆ Provides phytosanitary inspection AND forwards inspection certificate, Inspection Report, FGIS 921-2, to USDA-APHIS-PPQ Duluth office
- ◆ Bills USDA-GIPSA-FGIS for phytosanitary inspection service

USDA-APHIS-PPQ

- ◆ Forwards phytosanitary requirements to CGC
- ◆ Issues a PPQ Form 577 or 579 based upon CGC inspection results and payment for the PPQ Form 577 or 579

USDA-GIPSA-FGIS

- ◆ Remits payment to CGC for phytosanitary inspectional services
- ◆ Bills exporter for reimbursement of CGC phytosanitary inspectional services

SOP Date: August 25, 2007

Determining Eligibility For Certification

ACOs can determine their phytosanitary actions by using [Table 4-3-2](#) on [page 4-3-9](#) for all grain inspected by FGIS.

TABLE 4-3-2: Determine Action to Take on Grain Inspected by FGIS

If FGIS found:	And:	And the pest is:	And the consignment:	Then:
No insects	—————→			GO to Table 4-3-3
Live insects	Fumigation was noted on FGIS Form 921-2	—————→		
	Fumigation was not noted on FGIS Form 921-2	Regulated	Was treated	REFUSE to issue PPQ Form 577 or 579
			Was not treated	
		Non-regulated and designated as “infested” on the FGIS Form 921-2	Was treated	GO to Table 4-3-3
	Was not treated	REFUSE to issue PPQ Form 577 or 579		
	Non-regulated and not designated as “infested” on the FGIS Form 921-2		—————→	GO to Table 4-3-3

TABLE 4-3-3: Determine Whether to Issue PPQ Form 577 or 579

If the consignment:	Then:
Meets all the country’s phytosanitary requirements	ISSUE PPQ Form 577 or 579
Does not meet all the country’s phytosanitary requirements	REFUSE to issue PPQ Form 577 or 579

Completion of PPQ Forms 577 or 579 for Grain Products

FGIS has the authority to provide phytosanitary inspections of grain and processed grain products. In addition to inspecting grain (milled or not), FGIS is authorized to provide phytosanitary inspections for the grain products listed in [Table 4-3-4](#) on [page 4-3-11](#).

The commodity must be produced solely from grain (only the seeds of a plant) AND one of the acceptable species (including beans) in order for FGIS to conduct the inspections.



Blocks 9 and 10 are critical blocks; **never** correct information in these blocks unless directed otherwise in the export summary.

NEVER IDENTIFY a commodity to a level below the species classification (e.g., variety, cultivar) unless listed and required as such in an export summary.

Do not list or refer to any of the following:

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

If there is **not** enough space to list all entries, fill out PPQ Form 576 (refer to [Attachment Sheets for PPQ Form 577 or 579](#) on [page 3-10-1](#)).



PCIT will do this automatically.

ENTER the botanical name, including genus and specific epithet (species classification). Botanical names are **mandatory** for certifying propagative material and are preferred or required for all other products (e.g., New Zealand requires the botanical name for all certified commodities). Exporters are responsible for providing the botanical name. ACOs **must** verify the botanical name to the best of their ability.

LINE OUT unused space, recognizing that as information technology advances there are other acceptable methods of lining out, such as using horizontal lines or symbols. White space **must** be sufficiently lined out so that information **cannot** be added to the certificate.

TABLE 4-3-4: Completion of PPQ Forms 577 or 579 for Grain Products

If the block is:	Then follow these instructions to complete PPQ Form 577 or 579:
9. NAME OF PRODUCE AND QUANTITY DECLARED	<p>Enter the common name of the commodity then the following as appropriate (for example, "oat bran")</p> <ul style="list-style-type: none"> ◆ (bran) ◆ (brewers dried grains) ◆ (cakes) ◆ (cubes) ◆ (distillers dried grains) ◆ (dried) ◆ (ground) ◆ (feed) ◆ (flakes) ◆ (flour) ◆ (gluten feed) ◆ (gluten meal) ◆ (gluten pellets) ◆ (grits) ◆ (groats) ◆ (malted grain) ◆ (meal) ◆ (middling) ◆ (middling pellets) ◆ (pellets) ◆ (rolled)
10. BOTANICAL NAME OF PLANTS	<p>Enter only the botanical name of the commodities eligible for FGIS inspection:</p> <p><i>Avena sativa, Avena byzantina, Brassica napus, Glycine max, Helianthus annuus, Hordeum vulgare, Lens culinaris, Linum usitatissimum, Oryza sativa, Phaseolus spp.¹, Pisum sativum, Secale cereale, Sorghum bicolor, Triticosecale spp., Triticum aestivum, Triticum compactum, Triticum durum, Vigna radiata, and Zea mays</i></p>

1 Beans include any commodity designated as "bean" by FGIS on an FGIS Form 921-2.

Other FGIS Documents

There are isolated cases when, in addition to the FGIS Form 921-2, an FGIS certificate is required. EXCERPT will state when other FGIS certificates are required. The FGIS Form 921-2 is **not** considered to be a certificate.



Except for FGIS certificates issued for beans and rice, FGIS certificates issued for official inspections of exports will show the FGIS seal in the center of the certificate. The seal indicates the grain was officially sampled and inspected by FGIS or an official agency working under GIPSA authority.

If EXCERPT states that an FGIS certificate is required, use [Table 4-3-5](#) on [page 4-3-12](#) to determine if the FGIS certificate presented is acceptable. Examples of some acceptable FGIS certificates are in [Table A-1-1](#) on [page A-1-2](#).

TABLE 4-3-5: Determine if You Can Use the FGIS Certificate to Issue a PPQ Form 577 or 579

If the sample and inspection was:	Then the FGIS certificate will be:
“Official”	WHITE and can be used as the basis for issuing PPQ Form 577 or 579
“Submitted” (not officially sampled)	PINK and cannot be used as the basis for issuing PPQ Form 577 or 579
A “warehouse sample” (not officially sampled)	YELLOW and cannot be used as the basis for issuing PPQ Form 577 or 579



Official Grain Inspection Certificates, Official Sample - Lot Inspection, provided by official agencies of FGIS differ from those provided by FGIS. However, an FGIS seal must be visible in the center of the certificate.

06-8100-1064-MU

Memorandum of Understanding (MOU)

Between the Grain Inspection Packers And Stockyards Administration (GIPSA) and the Animal And Plant Health Inspection Service (APHIS) Plant Protection and Quarantine (PPQ)

Article I - Purpose

The Grain Inspection Packers and Stockyards Administration (GIPSA) and the Animal and Plant Health Inspection Service (APHIS) have certain related objectives in the discharge of their responsibilities associated with export shipments of U.S. grain and related products from U.S. and Canadian ports. This document revises an Agreement dated November 05, 1981 between the Federal Grain Inspection Service (FGIS), which is now part of GIPSA, and APHIS/Plant Protection and Quarantine (PPQ). The original agreement was intended to improve GIPSA/APHIS collaboration, and in turn, the efficiency of phytosanitary certification of U.S. grain exports. This document updates the original agreement by providing updated procedures and responsibilities for the phytosanitary inspection and certification of export grain and related products.

Article II - Background

The United States is a signatory to the International Plant Protection Convention (IPPC) of the Food and Agriculture Organization (FAO). The IPPC develops and adopts International Standards for Phytosanitary Measures (ISPMs) by which an importing country may require a phytosanitary certificate for certain agricultural products. Under the IPPC, the National Plant Protection Organization (NPPO) of the exporting country is responsible for establishing and maintaining a national export certification system to produce valid and credible phytosanitary certificates.

APHIS/PPQ is delegated responsibility under Section 108 of the United States Department of Agriculture's Plant Protection Act (PPA) of 2000 to inspect plants and plant products offered for export and to certify to the NPPO of the importing country that such products are free of plant pests in accordance with its phytosanitary requirements.

GIPSA provides quality inspections of grains, rice, pulses, legumes, and related products and processed by-products under the U.S. Grain Standards Act (USGSA) and Agricultural Marketing Act (AMA), and in doing so, provides APHIS with the pest status of consignments. APHIS uses this information to issue a phytosanitary certificates for these commodities.

(The term grain shall mean all products for which GIPSA is responsible for under the USGSA and AMA.) GIPSA carries out its inspection responsibilities through Federal and licensed non-Federal personnel. For the purposes of this document, the term GIPSA will be used to refer to GIPSA or its official inspection personnel.

Article III - Authorities

Title 7, Section 79(e)(1) (Inspection of Exports), of the USGSA, for official inspection personnel employed by the Secretary, or other persons under contract with the Secretary, to officially inspect at export port locations, all grain required or authorized to be inspected.

Section 418 (Certification for Exports), Public Law 106-224, of the PPA to inspect plants and plant products offered for export and to certify to the NPPO of the importing country that such products are free of plant pests in accordance with the phytosanitary requirements of foreign countries; and

Section 431(a) (Cooperation), Public Law 106-224, of the PPA to cooperate with other Federal agencies, the government of foreign countries, international organizations or associations, States and their political subdivisions, farmer's associations and similar organizations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests and diseases.

Article IV - Mutual Responsibilities & Understanding

It is mutually understood and agreed to/that:

- A.** APHIS/PPQ and GIPSA will maintain a working relationship with each other ensuring mutual cooperation and understanding in executing this MOU.
- B.** GIPSA will charge a fee to the applicant for services related to phytosanitary inspection as warranted.

Article V - Aphis Responsibilities

- A.** APHIS/PPQ will specify the specific grains GIPSA and their official service providers can inspect for phytosanitary purposes.
- B.** PPQ will:
 - 1.** Provide technical pest identification training for at least two supervisors from each GIPSA location responsible for activities under this MOU.
 - 2.** Periodically monitor the accuracy of pest identification performed by GIPSA and official service providers; and,
 - 3.** Identify all live insects, larvae, and other pests which cannot be identified by GIPSA.
 - 4.** Provide vials, envelopes, etc., required for the submission of specimens.
- C.** PPQ will be the primary contact point for applicants requesting phytosanitary certification and will provide all necessary information to enable applicants to obtain phytosanitary certification.
- D.** PPQ will not, except under special circumstances (e.g., analysis for plant pathogens, etc.):
 - 1.** Inspect grain at elevators or on waterborne carriers; or
 - 2.** Request official subplot or composite samples of grain.

- E.** PPQ may ask GIPSA to furnish official samples, copies of inspection logs, official grain inspection certificates, or other inspection information (Inspection Report - Insects in Grain, Form FGIS 921-2) for review and will:
- 1.** Issue a Federal Phytosanitary Certificate; or
 - 2.** Inform GIPSA and the exporter or their agent of circumstances that prevent the issuance of a phytosanitary certificate.

PPQ will maintain the integrity of any official samples obtained from GIPSA and official service providers and return such samples as soon as possible.

Article VI - GIPSA and Official Service Provider Responsibilities

A. General:

- 1.** GIPSA personnel shall accept applications from exporters for phytosanitary inspections and perform the requested service. Exporters must provide GIPSA with the importing country's phytosanitary requirements.
- 2.** GIPSA personnel shall, in accordance with prescribed GIPSA procedures, examine officially drawn samples for live insects, larvae, and other pests prohibited by the country of destination.
- 3.** GIPSA personnel will record on Form FGIS 921-2, "Inspection Report - Insects in Grain", pertinent information about any detection of adult insects, larvae, or other pests.
- 4.** GIPSA personnel will notify APHIS/PPQ of live insects or other pests that cannot be accurately identified. Once APHIS/PPQ has been notified, the applicant shall arrange for transportation of the pests to APHIS/PPQ for identification. Official personnel shall secure and preserve the identity of any specimens sent to APHIS/PPQ.
- 5.** Official personnel shall preserve the identity of these pests until such time as they are turned over to APHIS/PPQ. When submitting pests to APHIS/PPQ for identification, the specimens shall be identified by:
 - a.** Name of applicant;
 - b.** Mode of transportation and identification of carrier;
 - c.** Kind of grain;
 - d.** Date found;
 - e.** Sublot number, if applicable
 - f.** Quantity of grain represented by the sample, subsample, component sample, or sublot sample;
 - g.** Hold number (s), if applicable; and
 - h.** Country of destination.
- 6.** Upon request of APHIS/PPQ, GIPSA personnel shall witness the fumigation of grain infested with insects that are prohibited by the country of destination, in accordance with established procedures in the GIPSA Fumigation Handbook.

7. Upon request of APHIS/PPQ, GIPSA personnel may re-inspect grain for infestation after fumigation, in accordance with the established GIPSA procedures.
8. Upon request of APHIS/PPQ, GIPSA personnel shall witness the fumigation of grain infested with insects prohibited by the country of destination. The fumigation procedures shall be identical to the procedures outlined in the GIPSA Fumigation Handbook. For purposes of phytosanitary certification, the fumigation procedure shall be witnessed even if the grain is not considered “Infested” under the United States Grain Standards Act, or designated as “Sample Grade” due to insect infestation for products inspected under the Agricultural Marketing Act.
9. When grain is infested with prohibited insects and the affected shiphold(s) cannot be fumigated because:
 - a. The ship does not meet the requirements for on-board fumigation as outlined in the GIPSA Fumigation Handbook, or
 - b. The receiving country will not accept grain which has been fumigated.

GIPSA personnel shall, upon request of APHIS/PPQ, witness the complete removal of the infested grain.

10. GIPSA personnel will issue FGIS 921-2 Form to reflect the phytosanitary condition of any lot infested with insects when the affected containerized shipment cannot be fumigated.
11. GIPSA personnel will report to APHIS/PPQ any incidence of live or dead *Trogoderma granarium* (khapra beetle).
12. Additional file samples for phytosanitary inspections are not required. Official file samples may be forwarded to APHIS/PPQ if needed. GIPSA personnel shall maintain a record of all official file samples furnished to APHIS/PPQ.
13. Upon completion of inspection, GIPSA personnel shall promptly provide the completed Form FGIS 921-2, “Inspection Report - Insects in Grain” for the shipment directly to the applicant for service, or mail, fax, or electronically submit a completed copy of the Form FGIS 921-2, “Inspection Report - Insects in Grain” to the APHIS/PPQ office that will issue the phytosanitary certificate. Upon request, a completed copy of Form FGIS 909 and/or Form FGIS 909-2, “Official Export Grain Inspection Certificate,” or Form FGIS 917, “Official Grain Inspection and Weighing Certificate,” or other approved official certificate shall also be submitted.

To expedite the issuance of a phytosanitary certificate by APHIS/PPQ, GIPSA personnel may telephone their findings to the APHIS/PPQ office that will issue the phytosanitary inspection certificate.

B. Reporting procedures for U.S. grain in Canadian ports:

When a phytosanitary inspection is completed, regardless of whether it is performed in conjunction with an inspection for official grade, a completed copy of Form FGIS 921-2, "Inspection Report - Insects in Grain," shall be promptly mailed, faxed, or electronically transmitted to the Duluth, Minnesota office of APHIS/PPQ.

Upon request, a completed copy of Form FGIS 909, "Official Export Grain Inspection Certificate," and a completed copy of Form FGIS 916, "Official Certificate," shall be promptly mailed, faxed, or electronically transmitted to:

USDA-APHIS-PPQ
515 West 1st. Street, Rm. 226
Duluth, MN 55802
Phone: 218-720-5282
Fax: 218-720-5281

Article VII - Application Procedures

- A. U.S. Grain in Canadian Ports:** This section applies only to phytosanitary inspection services on U.S. grain shipped through Canadian ports including, but not limited to, Baie Comeau, Montreal, Port Cartier, Quebec City, Sorel, and Trois Rivieres.

Applicants requesting phytosanitary inspection services should check the "other closely related services" block on Form GIPSA 907, "Application for Inspection and Weighing Services" and write "phytosanitary." Exporters or their agents must apply for phytosanitary inspection services with the APHIS/PPQ field office at the following address:

USDA-APHIS-PPQ
515 West 1st. Street, Rm. 226
Duluth, MN 55802
Phone: 218-720-5282
Fax: 218-720-5281

- B. Export Grain at U.S. locations:** Applicants requesting phytosanitary inspection services for grain shipped from export ports and other domestic locations in the United States shall apply with the appropriate APHIS/PPQ office or GIPSA.

Article VIII - Statement of No Financial Obligation

Signature of this MOU does not constitute a financial obligation on the part of APHIS or GIPSA. Each signatory party is to use and manage its own funds in carrying out the purpose of this MOU. Transfers of funds or items of value are not authorized under this MOU.

Article IX - Limitations of Commitment

This MOU and any continuation thereof shall be contingent upon the availability of funds appropriated by the Congress of the United States. It is understood and agreed that any monies allocated for purposes covered by this MOU shall be expended in accordance with its terms and the manner prescribed by the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement must be developed by the parties.

Article X - Congressional Restriction

Under 41 USC 22, no member of or delegate to Congress shall be admitted to any share or part of the MOU or to any benefit to arise therefrom.

Article XI - Amendments

This MOU may be amended at any time by mutual agreement of the parties in writing.

Article XII - Termination

This MOU may be terminated by either party with sixty (60) days written notice to the other party.

Article XIII - Effective Date and Duration

This MOU will be in effect upon date of final signature and will continue for 5 years.

**UNITED STATES DEPARTMENT OF AGRICULTURE
GRAIN INSPECTION PACKERS AND STOCKYARDS ADMINISTRATION**

James E. Link, Administrator

Date

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

W. Ron DeHaven, Administrator

Date

4

Export Program
Manual

Special Procedures

Commodity • Plants in Growing Media

Contents

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Introduction

These special procedures explain the acceptable production and sanitation practices nurseries may establish and maintain for plants in growing media destined to the European Union. (See also the export summary for European Union.) These special procedures include those for certifying plants in containers from Florida destined to the European Union.

PPQ's position is that if plants in growing media (may include soil in its entirety or in part) have been grown under sound production procedures, phytosanitary export certification of these plants will provide the European Union with protection against noxious organisms (within the confines of the certifying statement on PPQ Form 577) and will adequately satisfy our obligation to international plant protection. Therefore, Authorized Certification Officials (ACOs) are authorized to issue PPQ Form 577 for plants in growing media to the European Union. That authorization is based on evidence that the plants were prepared according to the procedures of production and sanitation described in these special procedures.



Do not follow these special procedures to certify plants in growing media if the plants are destined to the French overseas departments of French Guiana, Guadeloupe, Martinique, and Reunion. Follow the import requirements listed in EXCERPT for plant shipments offered for export to these French overseas departments.

Greenhouse Grown Nursery Stock

Greenhouse grown nursery stock **must** be grown under production and sanitation procedures as follows:

1. Nursery routinely disinfects the flats, benches, soil bins, and tools.
2. Plant cuttings are derived from healthy parent stock.
3. Plants are transplanted or repotted to sterile growing media (see [Procedures to Certify Plants in Containers from Florida to the European Union](#) on page 4-4-3).
4. If established plants are moved outdoors from a greenhouse, the plants **must** be transferred to raised benches or to plastic sheeting on the ground.
5. Seeds and cuttings are rooted in sterile media in a greenhouse (see [Procedures to Certify Plants in Containers from Florida to the European Union](#) on page 4-4-3).
6. Plants contained in the shipment have been sampled and found to be negative for *Radopholus similis* (burrowing nematode), or are certified as originating in an area where *Radopholus similis* is **not** known to occur.
7. Shipments are supported by State phytosanitary certificates that attest to the conformity with the above procedures. State phytosanitary certificates **must** be converted to PPQ Form 577 before export.

Field Grown Nursery Stock

Field grown nursery stock **must** be grown under production and sanitation procedures as follows.

1. Containerized (potted) plants intended for export to the European Union **must** be segregated from other nursery stock and held in a readily identifiable area of the nursery until shipment.
2. *Corynebacterium sepedonicum* (potato bacterial ring rot) and *Globodera rostochiensis* (golden nematode) are **not** known to occur at the place of production.
3. Field grown nursery stock are to be washed completely free from soil in an area of the nursery where contamination of other nursery stock, sterile growing media, and holding areas will be avoided. The washing is to be done using clean water under pressure.
4. Nursery routinely disinfects the flats, benches, soil bins, and tools.

5. Nursery operator **must** give 48 hours advance notice to the ACO when a root washing and repotting operation is to begin. The ACO will decide whether to conduct random spot checks or to inspect the entire preparation process.
6. Plants **must** originate in a nursery currently inspected and certified by the plant regulatory branch of the State agriculture department.
7. If known to be hosts of *Radopholus similis* (burrowing nematode) or if host status is unknown, the plants contained in the shipment **must** be sampled and found to be negative for *Radopholus similis*, or certified as originating in an area where *Radopholus similis* is **not** known to occur.
8. Plants are to be transplanted into clean containers using sterile growing media (see [Procedures to Certify Plants in Containers from Florida to the European Union](#) on page 4-4-3). The containers are to be transferred to raised benches or to plastic sheeting on the ground.
9. Shipments are supported by State phytosanitary certificates that attest to the conformity with the above procedures. State phytosanitary certificates **must** be converted to PPQ Form 577 before the export.

Procedures to Certify Plants in Containers from Florida to the European Union

State plant regulatory officials (SPROs) in Florida use a specific tagging procedure to certify containerized plants as containing approved growing media and as free of *Radopholus similis* (burrowing nematode). The tagging is done annually at the time of burrowing nematode certification. See also [Approved Growing Media](#) on page 4-4-4.

All plants potted in containers 21 inches or larger intended for export to European Union **must** be tagged by the Division of Plant Industry (DPI), Florida Department of Agriculture and Consumer Services. Untagged plants in containers 21 inches or larger **will not** be certified to the European Union.

Tags read “Eligible for EU Certification.” SPROs write on each tag the date the plant was certified free of *Radopholus similis* (burrowing nematode), which is valid for 1 year. The tags **only** indicate that the plants are eligible for certification; that is, the plants were potted in approved growing media and were free of burrowing nematode. The plants will still need to meet the phytosanitary import requirements of the European Union at the time of export certification.

Tags are made of durable yellow plastic (5 x 2-11/16 inches) and are attached to the plant with a DPI plastic-numbered seal. There is a fee for each tag with seal; therefore, when an additional seal is needed for a large diameter trunk, there will be an additional fee.

Acceptable Sterile Media

For the purpose of supporting the nursery production and sanitation practices and containerized plant procedures described above, acceptable sterile media **must** be one of the following.

1. Growing medium that has been uniformly pasteurized by using aerated steam at 140 degrees Fahrenheit for 30 minutes or by using live steam at 180 degrees Fahrenheit for 30 minutes. Pasteurization should be conducted using pre moistened media and should ensure the densest portion receives the minimum temperature for the full 30 minutes.
2. Growing medium having component parts of unused peat (peat commercially harvested from a bog **not** previously used as farmland or any other agricultural purpose), clean sand, non coniferous sawdust, or wood shavings (free of bark), and biologically inert fillers such as perlite or vermiculite. ACOs will determine if the growing media is acceptable for this category. Determination will be based on the ACO's observation and judgment of the sanitary practices used to store, handle, and use the growing media components by the formulator or the nursery.



Growing media that falls outside the two categories listed above will **not** be eligible for certification. However, if the growing media appears to satisfy the general sterility requirement, the sterilizing process should be referred to PPQ Export Services (ES) for approval.

Approved Growing Media

Approved growing media for plants destined to the European Union are as follows:

- ◆ Biologically inert fillers (perlite, vermiculite, etc.)
- ◆ Clean sand
- ◆ Melaleuca
- ◆ Peat, unused that has been commercially harvested from a bog **not** previously used for farmland or for any other agricultural purpose
- ◆ Sawdust, non coniferous
- ◆ Wood shavings or wood chips, bark free

Prohibited Growing Media

Prohibited growing media for plants destined to the European Union include isolated bark components and sawdust of the following genera:

- ◆ *Acer saccharum* (sugar maple)
- ◆ *Castanea* (chestnut)
- ◆ Coniferae (conifers including the more common genera of *Abies* (fir), *Larix* (larch), *Picea* (spruce), *Pinus* (pine), *Pseudotsuga* (Douglas-fir), and *Tsuga* (hemlock))
- ◆ *Populus* (poplar)
- ◆ *Quercus* (oak)
- ◆ *Ulmus* (elm)

4

Export Program
Manual

Special Procedures

Commodity • Seed

Contents

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Sampling Seed

Equipment Needed to Sample Seed

To collect the seed samples, make sure you have the equipment listed in [Figure 4-5-1](#) below.

- ◆ Cartridge type **dust mask** (to avoid breathing pesticide if the seed is treated)
- ◆ **Cloth** (something the length of the trier to empty subsamples onto)
- ◆ **Container** (**must** hold at least a quart of seed)
- ◆ **Knife**
- ◆ Marking **pen**
- ◆ Protective **gloves** (to prevent skin exposure when sampling dusted seed)
- ◆ **Tape** (to close opened containers)
- ◆ **Trier**

FIGURE 4-5-1: A List of Equipment Needed to Sample Seed

Collecting the Sample

Follow these steps to sample the seed:

Step 1: Determine how large a sample to collect.

Refer to [Table 4-5-1](#) below as a guide.

TABLE 4-5-1: Amount of Seed to Collect from Each Lot¹

If the seed is in:	And the seed is classified as:	Then:
Bags or bulk	Agricultural (Refer to Table 4-5-2 on page 4-5-3)	1. COLLECT 1 quart of seed 2. CONTINUE to Step 2
	Vegetable (Refer to Table 4-5-3 on page 4-5-9)	1. COLLECT 1 pint of seed ² 2. CONTINUE to Step 2
	Other (Not listed in Table 4-5-2 or Table 4-5-3)	1. COLLECT 1 pint of seed ² 2. CONTINUE to Step 2
Small packets or hermetically sealed containers (5 pounds or less)	—————→	1. COLLECT 1/4 pint of seed ³ 2. CONTINUE to Step 2

- 1 If two or more different agricultural or vegetable seeds are mixed in a bag or in bulk, treat as one lot for sampling purposes.
- 2 If the lot consists of 5 pounds or less, collect 1/4 pint of seed.
- 3 When the lot of seed to be sampled is comprised of seed in small containers or individual packets that cannot practically be sampled, submit enough of the entire unopened containers or packets to supply a sample that meets the minimum size requirements of the classification of that type of seed.

If the lot of seed itself is less than 1/4 pint, randomly inspect a minimum of 2 % of the entire lot.

TABLE 4-5-2: Agricultural Seed

Common Name	Botanical Name
Agrotricum	x <i>Agrotriticum</i> Ciferri and Giacom
Alfalfa	<i>Medicago sativa</i> L.
Alfilaria	<i>Erodium cicutarium</i> (L.) L'Her.
Alyceclover	<i>Alysicarpus vaginalis</i> (L.) DC.
Bahiagrass	<i>Paspalum notatum</i> Fluegge
Barley	<i>Hordeum vulgare</i> L.
Barrelclover	<i>Medicago truncatula</i> Gaertn.
Bean, adzuki	<i>Vigna angularis</i> (Willd.) Ohwi and Ohashi
Bean, field	<i>Phaseolus vulgaris</i> L.
Bean, mung	<i>Vigna radiata</i> (L.) Wilczek
Beet, field	<i>Beta vulgaris</i> L. subsp. <i>vulgaris</i>
Beet, sugar	<i>Beta vulgaris</i> L. subsp. <i>vulgaris</i>
Beggarweed, Florida	<i>Desmodium tortuosum</i> (Sw.) DC.
Bentgrass, colonial	<i>Agrostis capillaris</i> L.
Bentgrass, creeping	<i>Agrostis stolonifera</i> L. var. <i>palustris</i> (Huds.) Farw.
Bentgrass, velvet	<i>Agrostis canina</i> L.
Bermudagrass	<i>Cynodon dactylon</i> (L.) Pers. var. <i>dactylon</i>
Bermudagrass, giant	<i>Cynodon dactylon</i> (L.) Pers. var. <i>aridus</i> Harlan and de Wet
Bluegrass, annual	<i>Poa annua</i> L.
Bluegrass, bulbous	<i>Poa bulbosa</i> L.
Bluegrass, Canada	<i>Poa compressa</i> L.
Bluegrass, glaucantha	<i>Poa glauca</i> Vahl
Bluegrass, Kentucky	<i>Poa pratensis</i> L.
Bluegrass, Nevada	<i>Poa secunda</i> J.S. Presl
Bluegrass, rough	<i>Poa trivialis</i> L.
Bluegrass, Texas	<i>Poa arachnifera</i> Torr.
Bluegrass, wood	<i>Poa nemoralis</i> L.
Bluejoint	<i>Calamagrostis canadensis</i> (Michx.) P. Beauv.
Bluestem, big	<i>Andropogon gerardii</i> Vitm. var. <i>gerardii</i>
Bluestem, little	<i>Schizachyrium scoparium</i> (Michx.) Nash
Bluestem, sand	<i>Andropogon hallii</i> Hack.
Bluestem, yellow	<i>Bothriochloa ischaemum</i> (L.) Keng
Bottlebrush-squirreltail	<i>Elymus elymoides</i> (Raf.) Swezey
Brome, field	<i>Bromus arvensis</i> L.
Brome, meadow	<i>Bromus biebersteinii</i> Roem. and Schult.
Brome, mountain	<i>Bromus marginatus</i> Steud.
Brome, smooth	<i>Bromus inermis</i> Leyss.
Broomcorn	<i>Sorghum bicolor</i> (L.) Moench
Buckwheat	<i>Fagopyrum esculentum</i> Moench

TABLE 4-5-2: Agricultural Seed (continued)

Common Name	Botanical Name
Buffalograss	<i>Buchloe dactyloides</i> (Nutt.) Engelm.
Buffelgrass	<i>Cenchrus ciliaris</i> L.
Burclover, California	<i>Medicago polymorpha</i> L.
Burclover, spotted	<i>Medicago arabica</i> (L.) Huds.
Burnet, little	<i>Sanguisorba minor</i> Scop.
Buttonclover	<i>Medicago orbicularis</i> (L.) Bartal.
Canarygrass	<i>Phalaris canariensis</i> L.
Canarygrass, reed	<i>Phalaris arundinacea</i> L.
Carpetgrass	<i>Axonopus fissifolius</i> (Raddi) Kuhlm.
Castorbean	<i>Ricinus communis</i> L.
Chess, soft	<i>Bromus hordeaceus</i> L.
Chickpea	<i>Cicer arietinum</i> L.
Clover, alsike	<i>Trifolium hybridum</i> L.
Clover, arrowleaf	<i>Trifolium vesiculosum</i> Savi
Clover, berseem	<i>Trifolium alexandrinum</i> L.
Clover, cluster	<i>Trifolium glomeratum</i> L.
Clover, crimson	<i>Trifolium incarnatum</i> L.
Clover, Kenya	<i>Trifolium semipilosum</i> Fresen.
Clover, ladino	<i>Trifolium repens</i> L.
Clover, lappa	<i>Trifolium lappaceum</i> L.
Clover, large hop	<i>Trifolium campestre</i> Schreb.
Clover, Persian	<i>Trifolium resupinatum</i> L.
Clover, red	<i>Trifolium pratense</i> L.
Clover, red, mammoth	<i>Trifolium pratense</i> L.
Clover, red, medium	<i>Trifolium pratense</i> L.
Clover, rose	<i>Trifolium hirtum</i> All.
Clover, small hop or suckling	<i>Trifolium dubium</i> Sibth.
Clover, strawberry	<i>Trifolium fragiferum</i> L.
Clover, sub or subterranean	<i>Trifolium subterraneum</i> L.
Clover, white	<i>Trifolium repens</i> L. (also see Clover, ladino)
Clover (also see Alyceclover, Burclover, Buttonclover, Sourclover, Sweetclover)	
Corn, field	<i>Zea mays</i> L.
Corn, pop	<i>Zea mays</i> L.
Cotton	<i>Gossypium</i> spp.
Cowpea	<i>Vigna unguiculata</i> (L.) Walp. subsp. <i>unguiculata</i>
Crambe	<i>Crambe abyssinica</i> R.E. Fries
Crested dogtail	<i>Cynosurus cristatus</i> L.
Crotalaria, lance	<i>Crotalaria lanceolata</i> E. Mey.

TABLE 4-5-2: Agricultural Seed (continued)

Common Name	Botanical Name
Crotalaria, showy	<i>Crotalaria spectabilis</i> Roth
Crotalaria, slenderleaf	<i>Crotalaria brevidens</i> Benth. var. <i>intermedia</i> (Kotschy) Polh.
Crotalaria, striped or smooth	<i>Crotalaria pallida</i> Ait.
Crotalaria, sunn	<i>Crotalaria juncea</i> L.
Crownvetch	<i>Coronilla varia</i> L.
Dallisgrass	<i>Paspalum dilatatum</i> Poir.
Dichondra	<i>Dichondra repens</i> Forst. and Forst. f.
Dropseed, sand	<i>Sporobolus cryptandrus</i> (Torr.) A. Gray
Emmer	<i>Triticum dicoccon</i> Schrank
Fescue, chewings	<i>Festuca rubra</i> L. subsp. <i>commutata</i> Gaud.
Fescue, hair	<i>Festuca tenuifolia</i> Sibth.
Fescue, hard	<i>Festuca brevipila</i> Tracey
Fescue, meadow	<i>Festuca pratensis</i> Huds.
Fescue, red	<i>Festuca rubra</i> L. subsp. <i>rubra</i>
Fescue, sheep	<i>Festuca ovina</i> L. var. <i>ovina</i>
Fescue, tall	<i>Festuca arundinacea</i> Schreb.
Flax	<i>Linum usitatissimum</i> L.
Galletagrass	<i>Hilaria jamesii</i> (Torr.) Benth.
Grama, blue	<i>Bouteloua gracilis</i> (Kunth) Steud.
Grama, side-oats	<i>Bouteloua curtipendula</i> (Michx.) Torr.
Guar	<i>Cyamopsis tetragonoloba</i> (L.) Taub.
Guineagrass	<i>Panicum maximum</i> Jacq. var. <i>maximum</i>
Hardinggrass	<i>Phalaris stenoptera</i> Hack.
Hemp	<i>Cannabis sativa</i> L.
Indiangrass, yellow	<i>Sorghastrum nutans</i> (L.) Nash
Indigo, hairy	<i>Indigofera hirsuta</i> L.
Japanese lawnglass	<i>Zoysia japonica</i> Steud.
Johnsongrass	<i>Sorghum halepense</i> (L.) Pers.
Kenaf	<i>Hibiscus cannabinus</i> L.
Kochia, forage	<i>Kochia prostrata</i> (L.) Schrad.
Kudzu	<i>Pueraria montana</i> (Lour.) Merr. var. <i>lobata</i> (Willd.) Maesen and S. Almeida
Lentil	<i>Lens culinaris</i> Medik.
Lespedeza, Korean	<i>Kummerowia stipulacea</i> (Maxim.) Makino
Lespedeza, sericea or Chinese	<i>Lespedeza cuneata</i> (Dum.-Cours.) G. Don
Lespedeza, Siberian	<i>Lespedeza juncea</i> (L. f.) Pers.
Lespedeza, striate	<i>Kummerowia striata</i> (Thunb.) Schindler
Lovegrass, sand	<i>Eragrostis trichodes</i> (Nutt.) Wood
Lovegrass, weeping	<i>Eragrostis curvula</i> (Schrad.) Nees

TABLE 4-5-2: Agricultural Seed (continued)

Common Name	Botanical Name
Lupine, blue	<i>Lupinus angustifolius</i> L.
Lupine, white	<i>Lupinus albus</i> L.
Lupine, yellow	<i>Lupinus luteus</i> L.
Manilagrass	<i>Zoysia matrella</i> (L.) Merr.
Meadow foxtail	<i>Alopecurus pratensis</i> L.
Medic, black	<i>Medicago lupulina</i> L.
Milkvetch or cicer milkvetch	<i>Astragalus cicer</i> L.
Millet, browntop	<i>Brachiaria ramosa</i> (L.) Stapf
Millet, foxtail	<i>Setaria italica</i> (L.) Beauv.
Millet, Japanese	<i>Echinochloa frumentacea</i> Link
Millet, pearl	<i>Pennisetum glaucum</i> (L.) R. Br.
Millet, proso	<i>Panicum miliaceum</i> L.
Molassesgrass	<i>Melinis minutiflora</i> Beauv.
Mustard, black	<i>Brassica nigra</i> (L.) Koch
Mustard, India	<i>Brassica juncea</i> (L.) Czernj. and Coss.
Mustard, white	<i>Sinapis alba</i> L.
Napiergrass	<i>Pennisetum purpureum</i> Schumach.
Needlegrass, green	<i>Stipa viridula</i> Trin.
Oat	<i>Avena byzantina</i> C. Koch, <i>A. sativa</i> L., <i>A. nuda</i> L.
Oatgrass, tall	<i>Arrhenatherum elatius</i> (L.) J.S. Presl and K.B. Presl
Orchardgrass	<i>Dactylis glomerata</i> L.
Panicgrass, blue	<i>Panicum antidotale</i> Retz.
Panicgrass, green	<i>Panicum maximum</i> Jacq. var. <i>trichoglume</i> Robyns
Pea, field	<i>Pisum sativum</i> L.
Peanut	<i>Arachis hypogaea</i> L.
Poa trivialis (see Bluegrass, rough)	
Rape, annual	<i>Brassica napus</i> L. var. <i>annua</i> Koch
Rape, bird	<i>Brassica rapa</i> L. subsp. <i>rapa</i>
Rape, turnip	<i>Brassica rapa</i> L. subsp. <i>silvestris</i> (Lam.) Janchen
Rape, winter	<i>Brassica napus</i> L. var. <i>biennis</i> (Schubl. and Mart.) Reichb.
Redtop	<i>Agrostis gigantea</i> Roth
Rescuegrass	<i>Bromus catharticus</i> Vahl
Rhodesgrass	<i>Chloris gayana</i> Kunth
Rice	<i>Oryza sativa</i> L.
Ricegrass, Indian	<i>Oryzopsis hymenoides</i> (Roem. and Schult.) Ricker
Roughpea	<i>Lathyrus hirsutus</i> L.
Rye	<i>Secale cereale</i> L.
Rye, mountain	<i>Secale strictum</i> (K.B. Presl) K.B. Presl subsp. <i>strictum</i>

TABLE 4-5-2: Agricultural Seed (continued)

Common Name	Botanical Name
Ryegrass, annual or Italian	<i>Lolium multiflorum</i> Lam.
Ryegrass, intermediate	<i>Lolium</i> × <i>hybridum</i> Hausskn.
Ryegrass, perennial	<i>Lolium perenne</i> L.
Ryegrass, Wimmera	<i>Lolium rigidum</i> Gaud.
Safflower	<i>Carthamus tinctorius</i> L.
Sagewort, Louisiana	<i>Artemisia ludoviciana</i> Nutt.
Sainfoin	<i>Onobrychis viciifolia</i> Scop.
Saltbush, fourwing	<i>Atriplex canescens</i> (Pursh) Nutt.
Sesame	<i>Sesamum indicum</i> L.
Sesbania	<i>Sesbania exaltata</i> (Raf.) A.W. Hill
Smilo	<i>Piptatherum miliaceum</i> (L.) Coss.
Sorghum	<i>Sorghum bicolor</i> (L.) Moench
Sorghum alnum	<i>Sorghum</i> × <i>alnum</i> L. Parodi
Sorghum-sudangrass	<i>Sorghum</i> × <i>drummondii</i> (Steud.) Millsp. and Chase
Sorghum	Rhizomatous derivatives of a johnsongrass×sorghum cross or a johnsongrass×sudangrass cross
Southernpea (See Cowpea)	
Sourclover	<i>Melilotus indicus</i> (L.) All.
Soybean	<i>Glycine max</i> (L.) Merr.
Spelt	<i>Triticum spelta</i> L.
Sudangrass	<i>Sorghum</i> × <i>drummondii</i> (Steud.) Millsp. and Chase
Sunflower	<i>Helianthus annuus</i> L.
Sweetclover, white	<i>Melilotus albus</i> Medik.
Sweetclover, yellow	<i>Melilotus officinalis</i> Lam.
Sweet vernalgrass	<i>Anthoxanthum odoratum</i> L.
Sweetvetch, northern	<i>Hedysarum boreale</i> Nutt.
Switchgrass	<i>Panicum virgatum</i> L.
Timothy	<i>Phleum pratense</i> L.
Timothy, turf	<i>Phleum bertolonii</i> DC.
Tobacco	<i>Nicotiana tabacum</i> L.
Trefoil, big	<i>Lotus uliginosus</i> Schk.
Trefoil, birdsfoot	<i>Lotus corniculatus</i> L.
Triticale	× <i>Triticosecale</i> Wittm. (<i>Secale</i> × <i>Triticum</i>)
Vaseygrass	<i>Paspalum urvillei</i> Steud.
Veldtgrass	<i>Ehrharta calycina</i> J.E. Smith
Velvetbean	<i>Mucuna pruriens</i> (L.) DC. var. <i>utilis</i> (Wight) Burck
Velvetgrass	<i>Holcus lanatus</i> L.
Vetch, common	<i>Vicia sativa</i> L. subsp. <i>sativa</i>
Vetch, hairy	<i>Vicia villosa</i> Roth subsp. <i>villosa</i>
Vetch, Hungarian	<i>Vicia pannonica</i> Crantz

TABLE 4-5-2: Agricultural Seed (continued)

Common Name	Botanical Name
Vetch, monantha	<i>Vicia articulata</i> Hornem.
Vetch, narrowleaf or blackpod	<i>Vicia sativa</i> L. subsp. <i>nigra</i> (L.) Ehrh.
Vetch, purple	<i>Vicia benghalensis</i> L.
Vetch, woollypod or winter	<i>Vicia villosa</i> Roth subsp. <i>varia</i> (Host) Corb.
Wheat, common	<i>Triticum aestivum</i> L.
Wheat, club	<i>Triticum compactum</i> Host
Wheat, durum	<i>Triticum durum</i> Desf.
Wheat, Polish	<i>Triticum polonicum</i> L.
Wheat, poulard	<i>Triticum turgidum</i> L.
Wheat×Agrotricum	<i>Triticum</i> × <i>Agrotriticum</i>
Wheatgrass, beardless	<i>Pseudoroegneria spicata</i> (Pursh) A. Love
Wheatgrass, crested or fairway crested	<i>Agropyron cristatum</i> (L.) Gaertn.
Wheatgrass, crested or standard crested	<i>Agropyron desertorum</i> (Link) Schult.
Wheatgrass, intermediate	<i>Elytrigia intermedia</i> (Host) Nevski subsp. <i>intermedia</i>
Wheatgrass, pubescent	<i>Elytrigia intermedia</i> (Host) Nevski subsp. <i>intermedia</i>
Wheatgrass, Siberian	<i>Agropyron fragile</i> (Roth) Candargy subsp. <i>sibiricum</i> (Willd.) Meld.
Wheatgrass, slender	<i>Elymus trachycaulus</i> (Link) Shinn.
Wheatgrass, streambank	<i>Elymus lanceolatus</i> (Scribn. and J.G. Smith) Gould subsp. <i>lanceolatus</i>
Wheatgrass, tall	<i>Elytrigia elongata</i> (Host) Nevski
Wheatgrass, western	<i>Pascopyrum smithii</i> (Rydb.) A. Love
Wildrye, basin	<i>Leymus cinereus</i> (Scribn. and Merr.) A. Love
Wildrye, Canada	<i>Elymus canadensis</i> L.
Wildrye, Russian	<i>Psathyrostachys juncea</i> (Fisch.) Nevski
Zoysia japonica (see Japanese lawngrass)	
Zoysia matrella (see Manilagrass)	

TABLE 4-5-3: Vegetable Seed

Common Name	Botanical Name
Artichoke	<i>Cynara cardunculus</i> L. subsp. <i>cardunculus</i>
Asparagus	<i>Asparagus officinalis</i> Baker
Asparagusbean or yard-long bean	<i>Vigna unguiculata</i> (L.) Walp. subsp. <i>sesquipedalis</i> (L.) Verdc.
Bean, garden	<i>Phaseolus vulgaris</i> L.
Bean, lima	<i>Phaseolus lunatus</i> L.
Bean, runner or scarlet runner	<i>Phaseolus coccineus</i> L.
Beet	<i>Beta vulgaris</i> L. subsp. <i>vulgaris</i>
Broadbean	<i>Vicia faba</i> L.
Broccoli	<i>Brassica oleracea</i> L. var. <i>botrytis</i> L.
Brussels sprouts	<i>Brassica oleracea</i> L. var. <i>gemmifera</i> DC.
Burdock, great	<i>Arctium lappa</i> L.
Cabbage	<i>Brassica oleracea</i> L. var. <i>capitata</i> L.
Cabbage, Chinese	<i>Brassica rapa</i> L. subsp. <i>pekinensis</i> (Lour.) Hanelt
Cabbage, tronchuda	<i>Brassica oleracea</i> L. var. <i>costata</i> DC.
Cantaloupe (see Melon)	
Cardoon	<i>Cynara cardunculus</i> L. subsp. <i>cardunculus</i>
Carrot	<i>Daucus carota</i> L. subsp. <i>sativus</i> (Hoffm.) Arcang.
Cauliflower	<i>Brassica oleracea</i> L. var. <i>botrytis</i> L.
Celeriac	<i>Apium graveolens</i> L. var. <i>rapaceum</i> (Mill.) Gaud.
Celery	<i>Apium graveolens</i> L. var. <i>dulce</i> (Mill.) Pers.
Chard, Swiss	<i>Beta vulgaris</i> L. subsp. <i>cicla</i> (L.) Koch
Chicory	<i>Cichorium intybus</i> L.
Chives	<i>Allium schoenoprasum</i> L.
Citron	<i>Citrullus lanatus</i> (Thunb.) Matsum. and Nakai var. <i>citroides</i> (Bailey) Mansf.
Collards	<i>Brassica oleracea</i> L. var. <i>acephala</i> DC.
Corn, sweet	<i>Zea mays</i> L.
Cornsalad	<i>Valerianella locusta</i> (L.) Laterrade
Cowpea	<i>Vigna unguiculata</i> (L.) Walp. subsp. <i>unguiculata</i>
Cress, garden	<i>Lepidium sativum</i> L.
Cress, upland	<i>Barbarea verna</i> (Mill.) Asch.
Cress, water	<i>Rorippa nasturtium-aquaticum</i> (L.) Hayek
Cucumber	<i>Cucumis sativus</i> L.
Dandelion	<i>Taraxacum officinale</i> Wigg.
Dill	<i>Anethum graveolens</i> L.
Eggplant	<i>Solanum melongena</i> L.
Endive	<i>Cichorium endivia</i> L.
Gherkin, West India	<i>Cucumis anguria</i> L.
Kale	<i>Brassica oleracea</i> L. var. <i>acephala</i> DC.

TABLE 4-5-3: Vegetable Seed (continued)

Common Name	Botanical Name
Kale, Chinese	<i>Brassica oleracea</i> L. var. <i>alboglabra</i> (Bailey) Musil
Kale, Siberian	<i>Brassica napus</i> L. var. <i>pabularia</i> (DC.) Reichb.
Kohlrabi	<i>Brassica oleracea</i> L. var. <i>gongylodes</i> L.
Leek	<i>Allium porrum</i> L.
Lettuce	<i>Lactuca sativa</i> L.
Melon	<i>Cucumis melo</i> L.
Muskmelon (see Melon)	
Mustard, India	<i>Brassica juncea</i> (L.) Czernj. and Coss.
Mustard, spinach	<i>Brassica perviridis</i> (Bailey) Bailey
Okra	<i>Abelmoschus esculentus</i> (L.) Moench
Onion	<i>Allium cepa</i> L.
Onion, Welsh	<i>Allium fistulosum</i> L.
Pak-choi	<i>Brassica rapa</i> L. subsp. <i>chinensis</i> (L.) Hanelt
Parsley	<i>Petroselinum crispum</i> (Mill.) A.W. Hill
Parsnip	<i>Pastinaca sativa</i> L.
Pea	<i>Pisum sativum</i> L.
Pepper	<i>Capsicum</i> spp.
Pe-tsai (see Chinese cabbage)	
Pumpkin	<i>Cucurbita pepo</i> L., <i>C. moschata</i> (Duchesne) Poiret, and <i>C. maxima</i> Duchesne
Radish	<i>Raphanus sativus</i> L.
Rhubarb	<i>Rheum rhabarbarum</i> L.
Rutabaga	<i>Brassica napus</i> L. var. <i>napobrassica</i> (L.) Reichb.
Sage	<i>Salvia officinalis</i> L.
Salsify	<i>Tragopogon porrifolius</i> L.
Savory, summer	<i>Satureja hortensis</i> L.
Sorrel	<i>Rumex acetosa</i> L.
Southernpea (see Cowpea)	
Soybean	<i>Glycine max</i> (L.) Merr.
Spinach	<i>Spinacia oleracea</i> L.
Spinach, New Zealand	<i>Tetragonia tetragonioides</i> (Pall.) Ktze.
Squash	<i>Cucurbita pepo</i> L., <i>C. moschata</i> (Duchesne) Poiret, and <i>C. maxima</i> Duchesne
Tomato	<i>Lycopersicon esculentum</i> Mill.
Tomato, husk	<i>Physalis pubescens</i> L.
Turnip	<i>Brassica rapa</i> L. subsp. <i>rapa</i>
Watermelon	<i>Citrullus lanatus</i> (Thunb.) Matsum. and Nakai var. <i>lanatus</i>

Step 2: Compute how many subsamples to draw.

Once you know how much seed to collect for your sample, you **must** then calculate how many subsamples to draw to ensure a representative sample.

Consequences of failure to take a good sample: To ensure that seed is free from pest risk, examine a representative sample of the shipment. The examination results can be **no** more accurate than the sample—therefore, the effort you make in sampling will decide the effectiveness of the examination.



Important

When sampling seed, return the excess seed to its original container after you have completed your sampling. **Never** mix seed from different lots before returning your samples. Be careful **not** to spill seed.

To compute how many subsamples to draw, you need to determine how the seed is packaged:

TABLE 4-5-4: Computing Number of Subsamples Based on Seed Packaging

If the seed is in:	Then use Substep:
Bags or other non hermetically sealed containers	2.A for your computation
Bulk	2.B for your computation

2.A (seed in bags or other non hermetically sealed packages):

If the seed is packaged in bags, use [Table 4-5-5](#) below to compute how many subsamples to draw. If the number of subsamples you draw **does not** provide enough seed for an adequate sample, draw the additional seed you need.

TABLE 4-5-5: Determining How Many Subsamples to Draw from Seed in Bags

If the number of bags or packages in the shipment is:	Then draw this many subsamples to make your sample:	If the number of bags or packages in the shipment is:	Then draw this many subsamples to make your sample:
1 to 6	5	125 to 134	18
7 to 14	6	135 to 144	19
15 to 24	7	145 to 154	20
25 to 34	8	155 to 164	21
35 to 44	9	165 to 174	22
45 to 54	10	175 to 184	23
55 to 64	11	185 to 194	24
65 to 74	12	195 to 204	25
75 to 84	13	205 to 214	26
85 to 94	14	215 to 224	27
95 to 104	15	225 to 234	28
105 to 114	16	235 to 244	29
115 to 124	17	245 or more	30

Do not sample more than 30 bags per lot. If there are fewer than 5 bags in the lot, you **must** still draw 5 subsamples. You **must** also draw enough seed to fill your sample (1/4 pint, 1 pint, or 1 quart).

Go to “**Step 3: Sample with a trier.**” on **page-4-5-12.**

2.B (bulk seed): If the seed is being shipped in bulk (unpackaged or loose), use this calculation and the preceding table to compute how many subsamples to draw.

- i. Determine the weight of the lot.
- ii. Divide the weight of the lot by 100.
- iii. Take the result obtained by your division (consider this figure as the “equivalent number of bags”) and go back to the previous Substep (**2.A**) to determine how many subsamples to draw. Refer to the example below.

EXAMPLE

How many subsamples would you draw from a 2,000 pound bulk shipment of oats?

Treat the shipment as a single lot:

1. The weight of the lot is 2,000 pounds.
2. $2,000 \div 100 = 20$ (the equivalent number of bags).
3. Twenty falls between 15 and 24 on the matrix—which directs you to draw 7 subsamples.

- iv. Go to “**Step 3: Sample with a trier.**” on **page-4-5-12.**

Step 3: Sample with a trier.

Knowing how much seed needs to be collected to make a sufficient sample and how many subsamples to draw—now you’re ready to sample (for seeds in bags or bulk).

3.A: Check the label or invoice to learn if the seed was treated. If the seed is brightly colored (blue, orange, or pink are common), assume it was treated regardless of what the label says.



If you know or believe the seed is treated, take these precautions:

- ◆ Avoid wiping your mouth or nose with your hands
- ◆ Use plastic gloves and a dust mask
- ◆ Wear eye protection
- ◆ Wear protective coveralls

3.B: Determine if the seed is coated, pelleted, or preplanted (anything that would make it impracticable to inspect the seed or tell what it is). **Do not** certify *pelletized* or *embedded* seeds unless you can inspect the seeds before treatment and still meet the required time limits (an option would be to inspect the non-pelleted portion of the same lot of seed and issue an export certificate based on those results). This would **not** include seed that is merely dusted or coated with ingredients such as rhizobia, dyes, or pesticides. *You can inspect treated seeds because the seeds are visible through the chemical substance.*

3.C: Draw your subsamples randomly. If sampling a bulk shipment, draw your subsamples at equal intervals throughout the shipment.

3.D: If you're sampling a single bag, **do not** make more than a single hole with the trier; merely move the trier in different directions to collect the seed.

3.E: Insert the trier (with the holes down and closed) into the seed. It is better to enter the bag near its top to prevent spillage. If the seed is too large, **does not** flow freely, or the trier **cannot** penetrate the container, sample by hand.

3.F: Rotate the inner sleeve of the trier to open the holes.

3.G: Lightly move the trier back and forth to get the seed into the trier.

3.H: Rotate the inner sleeve of the trier to close the holes.

3.I: Remove the trier from the bag or bulk seed.

3.J: Close the holes in the bag made by the trier. If a burlap or cloth bag, close the hole by moving the tip of the trier over the weave. If a paper bag, close the hole with a pressure-sensitive label or masking tape.

3.K: Combine the seed in a plastic bag or other container large enough to hold all the subsamples.

3.L: Mix the seed thoroughly to blend the subsamples. Collect enough seed to have a sufficient amount to analyze (computed in **"Step 1: Determine how large a sample to collect."** on **page-4-5-2**).

3.M: If the seed is treated, wipe off the trier and then wash your hands, face, and arms with soap and water.

After collecting the sample, go to *Inspecting the Sample* below.

Inspecting the Sample

If the foreign country has no specific seed testing requirements, visually inspect the sample you have collected. Look for live pests, pathogens, plant debris, soil, weed seeds, etc.

When inspecting small lots of seed, pour seeds from packets onto white or dark colored paper (contrasting the color/type of seed). This technique is a common way to spot contaminants. Inspect one packet at a time so others aren't contaminated and proper amounts are returned to packets.

Use [Table 4-5-6](#) below to determine the correct action to take. If the foreign country has specific seed testing requirements, go to [Submitting the Sample](#) on [page 4-5-14](#).

TABLE 4-5-6: Inspecting the Sample

If you find:	And:	Then:
No evidence of live pests, pathogens, plant debris, soil, weed seeds, etc.	—————→	ISSUE PPQ Form 577 or 579 ¹
Evidence of live pests, pathogens, plant debris, soil, weed seeds, etc. ²	A method of cleaning or treating the seed is available and acceptable to the exporter and the foreign country	1. OFFER the exporter the option to recondition the seed 2. RE-INSPECT the sample
	No method of cleaning or treating the seed is available or acceptable to the exporter and the foreign country	1. REFUSE to issue PPQ Form 577 or 579 2. EXIT this manual

- 1 Refer to [Completing PPQ Forms 577 and 579](#) on [page 3-8-1](#) for further information.
- 2 You may offer the exporter the option of getting contaminants and pests identified instead of proceeding directly to cleaning or treating the seed. Refer to [Table 3-5-6](#) on [page 3-5-11](#) for further information.



Important

Samples from commercial lots of seed may be extremely valuable. Return all samples to the exporter, being careful to note the lot numbers so that they may be returned to the original seed lot from which they were obtained.

Submitting the Sample

If the foreign country has specific seed testing requirements, submit the seed sample to an accredited facility for testing. Refer to [Testing](#) on [page 3-6-1](#) for further information.

Certifying Canadian Produced Seed

To facilitate the United States' trade of Canadian produced seed, the following options are available for certifying Canadian produced seed being reexported from the United States.



This policy does not apply to seed reexported from Canada; the options below pertain only to seed grown in Canada.

Option 1

Option 1 will provide the greatest assurance that a commodity meets an importing country's requirements. Therefore, exporters **must** provide the required documentation to allow certification under this option. Consignments not certified under Option 1 may be rejected and ES may **not** be able to assist the exporter.

1. Use PPQ Form 577 to certify the seed. List Canada as the country of origin.
2. Issue PPQ Form 577 **only** if the exporter provides you with the importing country's phytosanitary requirements for Canadian produced seed. The requirements **must** be in the form of official communication from either the National Plant Protection Organization (NPPO) of the importing country or Canada.
3. You may use the official communication presented by the exporter for certification purposes for 6 months from the date of the document, unless the document states otherwise. Remind exporters to obtain confirmation of a country's import requirements each time they export because import requirements can change at any time.
4. If the importing country requires one of the following phytosanitary actions, you may certify the seed once the requirement(s) has been met.
 - A. Laboratory analysis or testing: **must** be conducted by a United States authorized laboratory.
 - B. Treatment: **must** meet policy and procedures as stated in this manual.

The phytosanitary action **must** be conducted in the United States. **Do not** list phytosanitary actions taken in Canada on PPQ Form 577. **Do not** use phytosanitary actions taken in Canada as the basis for issuing PPQ Form 577.

5. If the country requires phytosanitary actions/measures, **other than** those listed under point 4, **do not** certify the consignment.

6. You **must** inspect the consignment.
7. If an exporter presents import requirements and you determine that the requirements cannot be met, **do not** certify the consignment under either Option 1 or Option 2.

Option 2

Use Option 2 if the exporter cannot obtain the import requirements of the importing country. Caution the exporter that the consignment may **not** meet the phytosanitary requirements of the importing country, may be rejected, and that ES may **not** be able to assist them if a shipment is held or rejected.

1. Use PPQ Form 579 to certify the seed. List Canada as the country of origin.
2. **Do not** include additional declarations pertaining to phytosanitary actions.
3. Include an additional declaration that, “The shipment met the entry requirements of the United States.”
4. You **must** inspect the consignment.

4

Export Program
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Introduction

The following sections of the XPM deal with seed potatoes. The first section covers the State National Harmonization Program (SNHP) Memorandum of Understanding for seed potatoes. The SNHP was put together in a cooperative effort by APHIS, seed certification agencies, State Plant Regulatory Officials (SPROs), the National Plant Board, and industry groups. It was finalized in November 2006. States have been signing Memorandums of Understanding during 2007.

One of the requirements of the SNHP Memorandums of Understanding is a Quality Manual (QM) from each participating state. The QM has the details about how the state plans to execute the requirements of the Memorandum of Understanding. A QM Review Committee has been formed and is made up of seed potato certification officials, National Plant Board members, and APHIS representatives. The committee works with each state to finalize its QM. A site visit is conducted to audit the state's program prior to final approval. The SNHP QM sets minimum requirements for interstate and export shipments of seed potatoes.

The second section covers Export Standards for Seed Potatoes. This section was developed several years ago and is not used often at this time. It may be that the SNHP Memorandum of Understanding will ultimately replace the Export Standards for Seed Potatoes; however the seed certification officials provided updates for this section in 2005 and the industry would like to retain this section at least until the SNHP is in full use by all states that export seed potatoes.

State National Harmonization Program MOU Template

for
Seed Potatoes
November 30, 2006
Memorandum of Understanding (MOU)
between the
{Insert Name of State or Other Entity} (Cooperator)
and the
United States Department of Agriculture (USDA)
Animal and Plant Health Inspection Service (APHIS)
Plant Protection and Quarantine (PPQ)

Article 1 - Purpose

This MOU provides for the cooperative participation between the parties to hereby establish, as a part of a State National Harmonization Program (SNHP) for seed potatoes, (1) minimum standards set by state authority for certification of seed potatoes in order to facilitate interstate shipment and export and (2) cooperation in pest management.

The purpose of this MOU is to establish, as part of the SNHP for seed potatoes, harmonized standards to control the spread of disease through state certification programs for seed potatoes. This SNHP for seed potatoes allows for uniform minimum phytosanitary standards that may enhance uniformity and quality in seed potatoes shipped between states; may lead to the enhanced marketing of high quality commercial potatoes grown in the United States; and may enhance international marketing of quality seed potatoes exported from the United States.

Article 2 - Authority

APHIS is authorized by the Plant Protection Act, Pub. L. No. 106-224, § 431, 114 Stat. 438, 451, (2002) to cooperate with other Federal agencies, the governments of foreign countries, international organizations or associations, states or their political subdivisions, farmer's associations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests or noxious weeds.

{Insert State Authority, if so desired}

Article 3 - Definitions

- 1. Seed potatoes:** potato plantlets, plants, stem cuttings, microtubers, minitubers, tubercles or tubers intended for planting.
- 2. Line selected hill units:** tubers that have been taken from an identifiable production field and that have been developed through a series of plant selections, grow-outs and reselections based on plant or tuber characteristics.
- 3. Limited generation system:** a scheme wherein eligible planting stock for each seed class is limited by compliance with established pest tolerances and a specified number of increases in the field.

4. **Regulated pest:** any pest that is controlled under the seed certification system of the cooperator.
5. **Free of regulated pests:** regulated pests are **not** present in numbers that can be detected using appropriate sampling, inspection, and testing procedures.
6. **Post harvest test:** winter grow-out or laboratory testing of harvested potatoes to verify that regulated pests meet applicable tolerances.
7. **Certifying Entity:** the seed certification entity in each state. This is the exclusively recognized seed potato certifying entity for each state, as listed below:

{Insert state seed certification entity and define structure and statutory authority}.

Article 4 - Uniform Requirements for Seed Certification

The cooperating parties agree that seed potatoes may be certified by the cooperator or its designee, under the SNHP if:

1. They are produced from:
 - a. tissue culture potatoes that are free of regulated pests or
 - b. other entry level materials such as line selected hill units or parent plants used in stem cuttings that are free of regulated pests;
2. They are produced under a limited generation system;
3. They have undergone at least two field inspections to ensure compliance with tolerances set forth in Annex 2 of this MOU;
4. They are subjected to post-harvest testing for recertification;
5. They are produced and stored in a cooperating state under the SNHP; and
6. Interstate shipments and exports departing from the state are inspected by the Cooperator's designated officials at the shipping point to verify lot identity and ensure compliance with all applicable phytosanitary requirements.

Article 5 - Cooperator Responsibilities

A. The cooperating state with a commercial seed production industry agrees to:

1. Designate *{Mr./Ms./Dr.—Insert full name}* as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU;
2. Recognize seed certification entities for each state participating in the SNHP;
3. Ensure that certification practices in their state conform fully to the requirements listed in Article 4 of this MOU;
4. Require that the designated seed certifying entity maintains adequate records relating to all aspects of the certification regime, including records to enable trace-back of the certified seed to its field generation and parent material and to ensure lot identification;
5. Require that any testing is performed using generally recognized diagnostic methods and protocols;

6. Provide to APHIS a quality manual describing seed certification procedures, pest tolerances, and testing methodologies, together with mechanisms for ensuring compliance. The quality manual shall consist of the most current certified seed potato standards for each certifying entity and a brief handbook outlining the various standards and protocols for disease testing;
7. Implement potato pest management plans and quarantine programs consistent with those listed in Annex 1 of this MOU; and
8. Require that certified seed produced within the state and offered for interstate and export sale meets the requirements of Article 4 of this MOU.

B. The Cooperator agrees to require that in-state growers who purchase seed from outside the state provide or maintain adequate records verifying that such seed meets the requirements of Article 4 of this MOU.

Article 6 - APHIS Responsibilities

APHIS agrees to:

1. Designate *{Mr./Ms./Dr.—Insert full name}* as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU;
2. Recognize the seed certification entity that is recognized by the Cooperator to certify seed potatoes under the SNHP if the state meets the requirements set forth in Articles 4 and 5 of this MOU;
3. Oversee the implementation of the Federal pest management plans listed in Annex 1 of this MOU;
4. Oversee the SNHP by reviewing records and audits performed by the Cooperator of certification facilities, procedures, and personnel to ensure conformance with the terms of this MOU;
5. Provide additional declaration for international export by attaching such additional declaration to the federal phytosanitary certificate for seed potatoes from Cooperator states stating that those seed potatoes meet the minimum standards established through the SNHP.

Article 7 - Statement of No Financial Obligation

Signature on this MOU does not constitute a financial obligation on the part of APHIS or the Cooperator. Each signatory party is to use and manage its own funds in carrying out the purpose of this MOU. Transfer of funds or items of value is not authorized under this MOU.

Article 8 - Security Guidelines

When connected to the USDA, APHIS network, comply with the security guidelines as outlined in the USDA Cyber Security Manual Series 3500; including USDA Departmental Manual (DM) 3515, "Privacy Requirements" and USDA DM 3525, "USDA Internet Use and E-Mail Security." The Cooperator will **not** download any material (i.e., pictures, movies, or music files) bearing a copyright nor access any material defined as inappropriate in these regulations and directives.

Article 9 - Limitation of Commitment

This MOU and any continuation thereof shall be contingent upon the availability of funds appropriated by the Congress of the United States. It is understood and agreed that any monies allocated for purposes covered by this MOU shall be expended in accordance with its terms and the manner prescribed by the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement **must** be developed by the parties.

Article 10 - Congressional Restriction

Under 41 USC 22, **no** member of, or delegate to, Congress shall be admitted to any share or part of this MOU or to any benefit to arise therefrom.

Article 11 - Review and Amendment

The terms of this MOU, in particular the seed certification requirements in Article 4, the pest management plans in Annex 1, and the pest tolerances in Annex 2, shall be subject to periodic review and amendment. This MOU, including annexes, may be amended by mutual agreement of the cooperating parties in writing.

Article 12- Termination

This MOU may be terminated by either party upon 30 days written notice to the other party.

Article 13 - Effective Date And Duration

This MOU will be in effect upon date of final signature and will continue for five years from the date of signature.

If derogation for this cooperator is applicable, insert the following article, or similar language:

Article 14 - Temporary Derogation

Notwithstanding the requirements of Article 4.3 of this MOU, the tolerance for variety mix in *{Insert name of State}* will be *[xxx]*. This derogation will be in effect for a period of *{Insert number of years}* years following the date of signature.

The requirements of Article 4.6 will not apply to *{Insert name of State}* for a period of *{Insert number of years}* years following the date of signature.

{Insert Name of Cooperator}

{Insert name and title of signatory}

Date

UNITED STATES DEPARTMENT of AGRICULTURE
ANIMAL and PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION and QUARANTINE

{Insert name and title of signatory}

Date

Annex 1: Federal Pest Management Plans

1. Golden Nematode Management Plan
2. Potato Necrotic Virus Management Plan

Annex 2: Maximum Tolerances, Final Field Test

Leafroll	Mosaic	Total Virus	BRR	Variety Mix
1%	2%	3%	0	0.5%

Export Standards for Seed Potatoes

The export standards for seed potatoes **do not** take the place of official State standards that apply to domestic seed potatoes.

When a grower requests export certification of seed potatoes, the official State seed potato certification agency should consult PPQ's *Export Program Manual* (XPM).

Certification Basis

Export certification of seed potatoes is based solely on visually inspecting a sample from each lot, which **must** meet the prescribed tolerances in these special procedures unless otherwise provided by a higher authority.

Visually inspect seed potatoes at least twice during each planting to ensure compliance with prescribed tolerances.

Limited Generation System

Export certification of seed potatoes is in conformance with the limited generation system specified by these special procedures.

Planting Maintenance

Plantings **must** be kept in a good growing condition, and general insect and seed pests **must** be kept under effective control.

When cultivating, irrigating, digging, grading, moving, using equipment, and performing other farming practices, suitable precautions **must** be taken to guard against the spread of disease and insect pests into or within plantings.

Storage Facilities

Each lot of U.S. export seed potatoes **must** be stored so as to preclude intermixing with any other class of certified seed potatoes.

U.S. export seed potatoes shall **not** be stored in the same storage facility with potatoes found to be infected with bacterial ring rot, *Clavibacter michiganensis* subsp. *sepedonicus*. Refer to the following website for a list of laboratories approved by USDA to test seed potatoes for the pathogen *Clavibacter michiganense* subsp. *sepedonicus* for export to Canada:

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

Containers

Containers used for harvesting, storing, and handling U.S. export seed potatoes **must** be new or cleaned and disinfected to the satisfaction of the official State seed potato certification agency.

Containers used for packaging and shipping U.S. export seed potatoes **must** be new.

State Authority

State authority for certifying seed potatoes resides with the State agency granted the authority by State law to carry out these regulatory functions.

Contact the Department of Agriculture of the State from which the seed potatoes originate for the name and address of the official State agency that possesses certification authority.

Responsibilities

PPQ and the Seed Certification Technical Committee (SCTC) will periodically review the U.S. export standards to ensure that they keep current with biological information and requirements of international trade. In cooperation with SCTC and industry representatives, PPQ will affect necessary changes in order to maintain viability and integrity of the U.S. export standards.

Official State Seed Potato Certification Agency

The official State seed potato certification agency is responsible for verifying that the requirements of these special procedures have been met within the limitations imposed by accepted State and industry standards.

Participating Growers

A participating grower **must** be a qualified seed potato grower raising certified seed potatoes in accordance with official State certification regulations. Farming, sanitation, and other seed production practices **not** addressed in these special procedures are the responsibility of the participating grower.

The participating grower **must** select the planting site for and properly maintain plantings of seed potatoes being grown subject to the provisions of the U.S. export standards.

Participating growers **must** maintain the identity and grade of each lot of certified seed potatoes in their possession in a manner approved by the official State seed potato certification agency.

Requirements for Classes of Certified Seed Potatoes

When a class of seed potatoes is specified as being eligible for certification, the stock was previously certified as the specified class by an official seed potato certification agency. All seed potatoes certified as such **must** be visually monitored in the field for trueness to plant type, and the tubers **must** be visually inspected after harvesting to verify plant type.

Pre-Nuclear Stock Seed Potatoes

To be eligible for certification as pre-nuclear (in-vitro production) stock seed potatoes, each explant **must** have been pathogen tested. Plantlets and microtubers **must** be produced in aseptic culture. During normal business hours, records **must** be available for inspection by representatives of the official State seed potato certification agency.

Nuclear Stock Seed Potatoes

To be eligible for certification as nuclear (greenhouse or controlled environment production) stock seed potatoes, plant material **must** have met the pre-nuclear requirements. At least 1% of this increase **must** be pathogen tested, **except** when there are fewer than 20 plants or minitubers. When there are fewer than 20 plants or minitubers, at least 5 plants or minitubers **must** be pathogen tested. Plants or minitubers selected for pathogen testing may be bulked following acceptable methods for test purposes. In the event that a test is positive for disease infection, the whole clone, together with any progeny, will be ineligible for certification. Testing and regeneration records **must** be maintained and made available for inspection at all reasonable times.

Generation 1—U.S. Export Seed Potatoes

Generation 1 plant material that has met the requirements for pre-nuclear or nuclear stock or State equivalent will be eligible for certification as Generation 1—U.S. export seed potatoes.

Generation 2—U.S. Export Seed Potatoes

Generation 2 plant material that has met the requirements for Generation 1 or earlier increases or State equivalent will be eligible for certification as Generation 2—U.S. export seed potatoes.

Plants **must** be inspected at least twice while growing and found to be in compliance with the tolerances specified in [Figure 4-6-1](#) below.

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0	0
Blackleg	0.10	0
Wilts	0.10	0
Total, All Viruses	0.25	0.10
Varietal Mixture	0.10	0

FIGURE 4-6-1: Tolerances for Generation 2—U.S. Export Seed Potatoes

Generation 3—U.S. Export Seed Potatoes

Generation 3 plant material that has met the requirements for Generation 2 or earlier generations will be eligible for certification as Generation 3—U.S. export seed potatoes.

Each planting **must** be visually inspected at least twice and found to be in compliance with the tolerances specified in [Figure 4-6-2](#) below.

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0	0
Blackleg	0.25	0.10
Wilts	0.20	0.10
Total, All Viruses	0.25	0.10
Varietal Mixture	0.25	0.10

FIGURE 4-6-2: Tolerances for Generation 3—U.S. Export Seed Potatoes

Generation 4—U.S. Export Seed Potatoes

Generation 4 plant material that has met the requirements for Generation 3 or earlier generations will be eligible for certification as Generation 4—U.S. export seed potatoes.

Each planting **must** be visually inspected at least twice and found to be in compliance with the tolerances specified in [Figure 4-6-3](#) below.

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0	0
Blackleg	0.50	0.25
Wilts	0.50	0.25
Total, All Viruses	0.50	0.25
Varietal Mixture	0.50	0.25

FIGURE 4-6-3: Tolerances for Generation 4—U.S. Export Seed Potatoes

Generation 5—U.S. Export Seed Potatoes

Generation 5 plant material that has met the requirements for Generation 4 or earlier generations will be eligible for certification as Generation 5—U.S. export seed potatoes.

Each planting **must** be visually inspected at least twice and found to be in compliance with the tolerances specified in [Figure 4-6-4](#) below.

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0	0
Blackleg	1.00	0.50
Wilts	1.00	0.50
Total, All Viruses	1.00	0.50
Varietal Mixture	0.75	0.50

FIGURE 4-6-4: Tolerances for Generation 5—U.S. Export Seed Potatoes

Refusal, Cancellation, and Rejection

Failure to comply with any provision of the U.S. export standards will constitute cause for refusal of certification services, cancellation of any approvals already granted, or rejection of seed potatoes entered for certification as a class of U.S. export seed potatoes.

In addition, the following incidents are specific causes for refusal, cancellation, or rejection.

1. Any field, storage, or other condition an official State seed potato certification agency determines may be detrimental to the U.S. potato industry or to the U.S. seed potato export market, or may hinder or prevent accurate determination of whether the disease, varietal purity, grade, or other requirements of the U.S. export standards have been met.

2. Any seed potatoes entered for certification verified to be infested or infected with a serious pest that is exotic or has a limited distribution in the United States, i.e., PSTVd. Note that gangrene, *Phoma exigua* pv. *foveata*, and wart, *Synchytrium endobioticum*, **do not** occur in the U.S.
3. Any seed potatoes determined to be infested with root-knot nematode, *Meloidogyne* spp.; potato rot nematode, *Ditylenchus destructor*; cyst nematode, *Globodera* spp.; or brown rot, *Ralstonia solanacearum*. U.S. quarantine restrictions **do not** permit the growing of seed potatoes in any golden (cyst) nematode-infested area.
4. The basis for and scope of a refusal, cancellation, or rejection and reinstatement following such actions will be determined by the official State potato certification agency in the State where the U.S. export seed potatoes are produced.

Grade and Identification

U.S. export seed potatoes **must** be:

- ◆ Graded to meet U.S. No. 1 Seed Potato Grade¹
- ◆ Identified by a blue-colored tag
- ◆ Identified by official State certification tags or other official indicia affixed to each container that are approved by the SCTC

1 U.S. Standards for Grades of Seed Potatoes, effective March 27, 1991, reprinted January 1997 are located at the following Web site address: <<http://www.ams.usda.gov/standards/potatoes.pdf>>.

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Introduction

The following section of the XPM deals with potatoes for consumption. This section covers the inspection protocol of certified seed potatoes as table stock and individual truckload potatoes that are not certified seed potatoes for Mexico. Specific inspection guidelines for root knot nematodes (*Meloidogyne* spp.) and bacterial ring rot (BRR) (*Clavibacter michiganensis* subsp. *sepedonicus*) are provided to guide the user in the proper certification procedures for potatoes for consumption to Mexico.

Inspection Protocol

Certified Seed Potatoes as Table Stock

Inspect potatoes in one percent of the containers (boxes or bags) in the shipment for external symptoms of the pests of quarantine concern to Mexico. Additionally, cut five potatoes from each sample container and visually examine for pests of quarantine concern to Mexico. During the external inspection, look for lesions, galls, and necrotic rings or spots on the surface of the tubers. During the internal inspection, look for necrotic and brownish tissue (for nematodes), usually below surface galls; and for intensive veinal necrosis (vein-like rot) and rings of discoloration in the flesh of the tubers (for viruses). Suspect infections must be analyzed and identified.

Individual Truckload Potatoes That Are Not Certified Seed Potatoes

The one percent inspection rate specified above will be superseded by the following Ware Potato Inspection Procedure for Mexico:

Sample shipments for export to Mexico at the rate of 400 tubers per shipment. Sample in the same manner as under the current inspection procedure (four bags taken at tailgate inspection, or the equivalent in-line inspection for each truck load, etc.). Inspect samples for root knot nematodes and bacterial ring rot. In addition, during the external inspection, look for lesions, galls, and necrotic rings or spots on the surface of the tubers. During the internal inspection, look for necrotic and brownish tissue (for nematodes), usually below surface galls; and for intensive veinal necrosis (vein-like rot) and rings of discoloration in the flesh of the tubers (for viruses). Suspect infections must be analyzed and identified.

Root Knot Nematodes (*Meloidogyne* spp.)

The 400 tubers will have 75% of their surface peeled and the USDA approved inspector will visually examine the peeled potatoes for symptoms of root knot nematode. The shipper will provide personnel for the peeling and adequate light for the peeling area. Adequate lighting will mean at least two 60 watt bulbs directed at the work surface no more than 36 inches from the surface of the inspection table. The shipper will provide the approved inspector the name of the producer and the lot number at the time of the inspection. The approved inspector must approve the inspection facility for adequate lighting, space and worker safety prior to initiation of inspection. Should the inspector observe indications that the potatoes may be infected with root knot nematodes, the shipment will not be certified for export to Mexico unless tested and found free of Columbia root knot nematode. Subsequent shipments from lots with *Meloidogyne* spp. will not be certified for export to Mexico unless tested and found free of *Meloidogyne chitwoodi*. The laboratory used will be a plant pathology laboratory at the State Department of Agriculture, the State University or other APHIS accredited laboratory.

Bacterial Ring Rot (BRR) (*Clavibacter michiganensis* subsp. *sepedonicus*)

Cut and examine samples taken for nematode inspection for symptoms of bacterial ring rot. Shipments will require BRR testing in the following instances:

1. During inspection symptoms of bacterial ring rot are discovered in a shipment.

Shipments with suspect BRR must be tested with the following procedures prior to certification. The shipper will be responsible for costs of shipment of the sample to the laboratory and the costs of testing. If the exporter elects to not export the shipment, no testing will be performed and this lot will be ineligible for export.

- ❖ An additional 200-tuber sample will be taken and sent to an approved laboratory.
- ❖ The sample will be washed and the stem ends of all tubers sampled and tested for BRR infection.
- ❖ Testing will be done using method(s) adequate to determine whether BRR is present. *Elisa*, PCR, and immunofluorescent antibody tests may be used as appropriate in the judgment of the bacteriologist.

Should BRR be discovered, the infested lot will be rejected and further shipments from that grower must be tested for BRR according to the same test procedure.

2. When APHIS receives official notification from Secretaria de Agricultura, Ganaderia, Desarrollo Rural, Pesca y Alimentacion (SAGARPA) of an interception of BRR.

If APHIS receives official notification from SAGARPA a trace back will be conducted as per the protocol. When the field is identified all lots from that field will require testing for BRR as per the above laboratory protocol, and must be found free of BBR before a Federal Phytosanitary Certificate is issued. The infected field will be suspended from the program until appropriate treatment is conducted to the satisfaction of the USDA. Packing, grading, and transport equipment; and storage bins associated with the lots from the infected fields must be treated/sanitized.

If a second field is implicated from the same farm then an investigation will be conducted and that producer will be suspended from the program until an appropriate treatment of the operation (field tests, equipment and bin sterilization) are conducted to the satisfaction of USDA. and every field lot must be tested by the above protocol before a certificate is issued for the remainder of that crop year.

If the exporter elects not to export to Mexico no testing will be required.



If a shed experiences more than two separate incidents of BRR interceptions (meaning receiving contaminated lots from different producers) an investigation will be conducted to establish the cause and appropriate action will be undertaken.

The potatoes must be washed and appropriately treated with a sprout inhibitor. The potatoes must be free of soil. Also, sampled and inspected potatoes must show no signs of sprouting. The presence of meristematic growth length of greater than 5 millimeters from the base of the growth is considered a “sprout”. The presence of bud swellings measuring no more than 5 millimeters in length from the base of the growth will be considered a “peep” and is acceptable by Mexico. **Do not** refuse to certify if “peeps” are present.

Potatoes Sent Directly for Packing

Potatoes will be treated with sprout inhibitor on the packing line, utilizing label dosage and restrictions. Potatoes that have not been treated with a sprout inhibitor are not eligible for export.

Potatoes Placed in Storage

- ◆ Potatoes stored for less than three months must be treated with sprout inhibitor in storage or on packing line
- ◆ Potatoes stored for three to five months must be treated with sprout inhibitor in storage and once again on the packing line
- ◆ Potatoes stored for more than five months must be treated twice with sprout inhibitor in storage and once again on the packing line



The final application of sprout inhibitor must be done after the potatoes have been washed. Shipper declarations for both certified seed usage and sprout inhibitor treatment(s) may be made on the same document. Do **not** place sprout inhibitor treatment information in the treatment section of the PC.



Mexico allows the importation of commercial potatoes (for consumption) under an Import Permit that lists specific requirements. One of the requirements is that the potatoes be treated with a sprout inhibitor, as they do not want the potatoes to be used for planting. Import Permits examined require that compliance with this requirement must be stated as an additional declaration on the phytosanitary certificate.

Do **not** certify any potatoes unless you have credible documentation that the treatment was performed. Verbal assurances from the exporter are **not** sufficient.

4

Export Program
Manual

Special Procedures

Commodity • Tobacco (Blue Mold)

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Phytosanitary Protocol for Exporting Tobacco Leaves to the People's Republic of China

In order to prevent the introduction of the tobacco blue mold (*Peronospora tabacina* (hyoscyamt)) pathogen and other regulated pests into China and to ensure the safety of China's tobacco production, the State Administration for Entry-Exit Inspection and Quarantine of the People's Republic of China (hereafter referred to as CIQ SA) and the U.S. Department of Agriculture (USDA), represented by the Animal and Plant Health Inspection Service (APHIS) have conducted discussions, considered CIQ SA's pest risk analysis, and agree to the following plant quarantine requirements for exporting tobacco leaves from the U.S. to China:

Article 1

Both sides agree that U.S. tobacco leaves exported to China shall **not** pose any threat to the production of China's tobacco.

Article 2

Tobacco leaves referred to in this protocol are flue-cured and burley tobacco produced, cured, and processed (threshed and redried) in the U.S.

Article 3

Tobacco buying teams from China will include CIQ SA inspectors who will preinspect tobacco leaves being considered for purchase and export to China. Tobacco leaves that have passed preinspection shall be allowed to be exported to China.

Every year, APHIS will provide CIQ SA a report on Tobacco Blue Mold (TBM) investigations in the U.S., including the methodology, oospore survey, and results. Based on this information and TBM occurrence in the U.S., CIQ SA will consult with APHIS, and if agreed, CIQ SA will send two experts for investigation if the weather is particularly suitable for oospore formation. Expenses will be paid by the U.S. industry.

APHIS should cooperate with the Chinese experts conducting preinspection and investigation, and provide them with technical support.

Article 4

APHIS should conduct strict quarantine inspection of tobacco leaves designated for export to China and ensure these tobacco leaves are free from TBM oospores, live sporangiospores, live mycelium of *Peronospora tabacina*, and other regulated pests of concern to China. An official export certificate should be issued by APHIS for the tobacco leaves that meet the quarantine requirements. If APHIS detects an oospore during inspection of a lot being exported to China, APHIS will reject the lot and immediately transmit the interception data to CIQ SA. The export certificate should indicate the lot number (contract number) along with the counties and States where the tobacco was grown.

Article 5

The processing of the tobacco leaves exported to China should be conducted under APHIS' supervision. The tobacco leaves for export to China should be sealed to avoid contamination by *Peronospora tabacina* and other regulated pests. Each carton of tobacco leaves should be labeled to include information such as: type, lot number (contract number), harvest year, grade, and processing plant.

Article 6

When the tobacco leaves arrive at the Chinese port of entry (POE), CIQ SA will examine the relevant certificates and the information on the carton label to check whether the commodity conforms to the certificate and whether the tobacco leaves have been preinspected, as well as conduct a quarantine inspection. If it is found that the tobacco leaves have **not** been preinspected or are **not** accompanied by an export certificate issued by APHIS, the tobacco leaves will be denied entry.

If TBM oospores, live sporangiospores, or live mycelium of *Peronospora tabacina* are found on the lot of tobacco leaves at the POE, the lot of tobacco leaves will be denied entry and the interception data will be immediately transmitted to APHIS. If any other regulated pest of concern to China are found, the shipment will be dealt with according to the "Law of the People's Republic of China on Entry and Exit Animal and Plant Quarantine" and the relevant implementing regulation.

Article 7

- A.** If oospores of *Peronospora tabacina* are found in U.S. tobacco fields, APHIS will immediately invite CIQ SA to participate in the relevant investigation. CIQ SA and APHIS will determine if the situation will allow the resumption of the previously agreed

coexperiments. Based on the results of the research, CIQ SA will alter its regulations accordingly: if it is determined that the TBM oospores in dried tobacco leaves are noninfectious, CIQ SA will eliminate all restrictions on the import of U.S. tobacco leaves related to TBM oospores. If it is determined that the TBM oospores in dried tobacco leaves are infectious, CIQ SA will prohibit the exportation of U.S. tobacco leaves until both sides can find measures to kill the oospores.

Only imports of tobacco leaves from that year and from that county in which oospores of *Peronospora tabacina* were found shall **not** be eligible for export to China. The relevant county will be surveyed the following growing season by CIQ SA and APHIS. If **no** oospores are found, tobacco leaves from that county can once again be exported to China.

Above expenses will be paid by the U.S. industry.

- B.** If a TBM oospore is detected in a lot of dried tobacco leaves being inspected for export to China, that lot will be rejected from entry and all tobacco leaves from that production area from that year will **no** longer be eligible for export to China.

If a TBM oospore is found in a lot, survey will be conducted by APHIS, with CIQ SA participation, the following growing season in the county(s) affected, and if **no** oospores are found, tobacco leaves from that production area will again be eligible for export. CIQ SA participation will be determined by the following criteria. If timing is suitable, CIQ SA officials, with the buying team, will be invited to participate in the APHIS survey. If timing is **not** suitable, scientists from both sides will conduct the survey in the affected production area. Expenses associated with CIQ SA's participation in the survey will be paid by the U.S. industry.

Article 8

The protocol is valid for 1 year. If neither side requests revision or termination of the protocol within 2 months before the expiration date, the period of validity of the protocol will be automatically extended for another year.

The protocol was signed on February 5, 2001 in Beijing with duplicate in Chinese and English languages, both texts being equally authentic.

The Quarantine Inspection Sampling Procedure of Tobacco from Abroad

This procedure is made relative to China and international standards, and is suitable for quarantine inspection sampling of tobacco from abroad. The particular procedure is as follows.

1. A quarantine lot will consist of the same variety, same grade, same production area, same year, and same producer of tobacco.
2. The quantity of the sampling is based on the following:
 - A. If the total amount of every lot is less than 10 pieces, take whole pieces to do the sampling.
 - B. If the total amount of every lot is between 10 and 100 pieces, take a random sample of every 10 pieces.
 - C. If the total amount of every lot is over 100 pieces, use the square root of the number of lots to calculate the number of pieces to randomly sample.
 - D. For single lots of tobacco (carton, box) that are randomly sampled, take the random sample at same amount in different levels, such as top, middle, and down 3 levels. If some suspect leaves are found, the sampling amount will be increased.
 - E. Every lot of quarantine sampling consists of single sample and the sampling amount should **not** be less than 8.5 kg.

Tobacco Blue Mold Field Survey for Oospores Field Sampling Protocol

Objective

A field survey and sampling of blue mold infected flue-cured and burley tobacco is required to determine if oospores of the pathogen have formed in the leaves. The samples **must** be examined by a trained and certified microscopist to determine the presence of oospores.

Survey Personnel

PPQ will cooperate with State plant pest regulatory personnel to provide guidance in conducting the survey. Each State involved will identify a coordinator to conduct and/or oversee the survey/sampling. State coordinators will have samples forwarded to a certified laboratory for evaluation and the laboratory will forward the sampling information to the PPQ coordinator. Draft reports produced by PPQ will be submitted to the appropriate State coordinator for review.

Scope

When the occurrence of blue mold disease has been reported on flue-cured or burley tobacco in a State by an agent or other reliable source, the State regulatory coordinator will make arrangements for sampling one field with blue mold per county.

Representative Areas

When blue mold disease is widespread in a tobacco marketing area in a State, e.g., several adjacent counties have been reported to have blue mold, the State regulatory coordinator may elect to sample in a few of the counties as representative of all the counties in the infected area.

Minimum Field Sample

A minimum sample consists of sampling 5 leaves of 5 different plants in a field identified for sampling. Samples will be taken from leaves with clearly identified tobacco blue mold lesions.

Sample Records

A Field Sample Record form is provided to record the required survey information and to guide the process of field sampling.

Sample Identification

A unique ID number will be assigned by each State to samples collected in that State. The ID number **must** consist of the last 2 digits of the current year and the 2 letters of the State postal abbreviation. You may also include a county code or abbreviation along with a chronological numbering system identifying samples submitted for analysis. (Note: the NAPIS 3-digit county code may be used as part of the sample identification in place of a 2-digit number. It will **not** work if more than 1 sample per county is taken.)

EXAMPLE

The first sample collected in Georgia in 2002 may have the ID number 02GA01.

Field Location

The location where a field sample is collected should be identified by written description and a GPS coordinate description. Names, addresses, and other appropriate information listed on the form should be as complete as possible. In some instances it may be necessary to return to a particular location the following year. This will **not** be possible unless the information on the form is complete and accurate.

Selecting Leaves

Leaves selected for sampling **must** have clearly visible mold lesions. The leaves for samples **must** have been infected for at least 3 weeks prior to sampling. This is because oospores usually form later in the disease development. Light green or yellow blue mold lesions form first and the lesions become brown as necrotic tissue forms. Oospores, when they form, are usually found in the necrotic tissue. This should **not** be a problem because most blue mold is usually reported after the disease has progressed for 2 weeks. Sampling of lower or mid-stalk leaves with older brown lesions is preferred. Avoid leaves that are in a state of severe decay or rot as they may decompose in transit.

Removing Lesions

Cut 2 X 2 inch squares of leaf tissue containing the 3-week-old blue mold lesions from the selected leaves. Avoid the mid-rib. The purpose is to get the lesions with a minimum of leaf tissue that could result in rot during transit. Leaf tissue will rot if it stays moist. Allow the samples to dry during transit.

Preparing Samples

Leaf tissue will rot if it stays moist. Allow the sample to continue to dry before and during transit. Once dried, the squares may be kept indefinitely for laboratory testing. **Do not** dry samples to the point of brittleness prior to mailing, because they can be damaged in transit. Given this, we suggest the following preparation and mailing procedure for all samples:

- ◆ Spread out the 2 X 2 inch squares on a paper towel in a cool dry place (like your office) and air dry for an hour or so to remove surface moisture and field heat.
- ◆ Package samples by assembling a “sandwich” as follows: a layer of stiff cardboard cut to underfit the mailing envelope, several layers of paper towels, the sample squares laid flat and **NOT** overlapping each other, several layers of paper towels, and a layer of stiff cardboard. The edges of the two cardboard pieces can then be taped in a few places to hold it together.
- ◆ Place assembled sample in appropriate envelope for forwarding to the certifying laboratory.

Submitting Samples

Sampling personnel will forward samples as directed by the State coordinator. The State coordinator will ensure the samples are forwarded to the certified laboratory, indicated below, for microscopic evaluation along with the Field Sample Records. Send all samples to the laboratory by September 1st of the present survey year. If oospores are found in any sample, the Field Sample Record, immediately forward to the PPQ coordinator via the certified laboratory. Include an email address, because the Plant Disease and Insect Clinic will report back **only** by email.

ATTN: Tom Creswell, Blue Mold Project Manager
Plant Disease and Insect Clinic
North Carolina State University, 100 Derieux Place
Campus Box 7211, Room 1227 Gardner Hall
Raleigh, NC 27695-7211
Lab: 919-515-3619
Fax: 919-882-1842
<http://www.ces.ncsu.edu/depts/ent/clinic/>

Tobacco Blue Mold Field Survey for Oospores Field Sampling Record 2005

Date Sampled: _____

Sample ID Number Assigned by State Coordinator: _____

Nearest Town: _____ County: _____ State: _____

Field Location (Describe): _____

GPS Location: _____

Grower/Farm Name: _____

Address: _____

Phone: _____ Email: _____

County Agent (optional): _____

Address: _____

Phone: _____ Email: _____

Name of Sampler: _____

Address: _____

Phone: _____ Email: _____

State of Agency: _____

Address: _____

Phone: _____ Email: _____

Tobacco Type: Flue-Cured Burley

Please indicate who should be billed for this sample (give name and contact information)

Send completed form to appropriate state coordinator and laboratory at the address below:

ATTN: Tom Creswell, Blue Mold Project Manager
Plant Disease and Insect Clinic
North Carolina State University, 100 Derieux Place
Campus Box 7211, Room 1227 Gardner Hall
Raleigh, NC 27695-7211
Lab: 919-515-3619; Fax: 919-882-1842
<http://www.ces.ncsu.edu/depts/ent/clinic/>

Tobacco Blue Mold Export Sampling Record

Company Requesting Sampling: _____

Contact Person: _____

Address: _____

Phone: _____ Fax: _____ Email: _____

Date Sampled: _____ Crop Year: _____

Contract of Sale Number: _____

Sample ID Number Assigned by State Coordinator: _____

Sampling/Warehouse Site (Describe): _____

Phytosanitary Certification Issuer: _____

Name: _____

Agency: _____

Address: _____

Phone: _____ Fax: _____ Email: _____

Tobacco Type: Flue-Cured Burley

Please remit \$500.00 for each 50 disc sample. Make check payable to North Carolina State University.

Send completed form with check attached to the address below:

ATTN: Tom Creswell, Blue Mold Project Manager
Plant Disease and Insect Clinic
North Carolina State University, 100 Derieux Place
Campus Box 7211, Room 1227 Gardner Hall
Raleigh, NC 27695-7211
Lab: 919-515-3619
Fax: 919-882-1842
<http://www.ces.ncsu.edu/depts/ent/clinic/>

China: Tobacco Blue Mold Protocol Standard Certification Procedures

1. Sampling of Tobacco Leaves For Export

1.1: APHIS or its agent shall accompany tobacco buying team from China.

1.2: APHIS/Agent will split the tobacco sample selected by the State Administration of China Entry-Exit Inspection and Quarantine of the People's Republic of China (CIQ-SA) inspector for analysis of tobacco blue mold (*Peronospora tabacina*) oospores. These samples will be submitted to an APHIS-certified laboratory for analysis. This will be used for export certification of a given lot.

1.3: If APHIS/Agent is unable to accompany CIQ-SA inspector, samples will be drawn from boxes in storage.

1.3.1: Samples will be drawn at random.

1.3.2: Sample size will be determined by using the hypergeometric table for random sampling.

1.3.3: Samples will consist of aggregate cores of leaves, taken from top, middle, and bottom of box.

1.3.4: A subsample will be taken from an aggregate core sampling of at least 8.5kg.

1.3.5: The subsample will be randomly reduced to a final sample of 50 discs.

1.3.6: APHIS will provide sampling training to certifying officials.

1.4: APHIS/Agent, at requesting industry's expense, will submit tobacco leaf samples to an APHIS-certified laboratory for determination of live tobacco blue mold oospores, sporangiospores, and/or mycelium.

1.4.1: Each sample lot will indicate tobacco type (flue-cured, burley), crop year, location of tobacco sampling site, and applicable identification number (lot number, contract of sale number).

1.4.2: Samples shall be packaged to minimize damage to leaf sample.

1.5: The laboratory will submit analysis results to the U.S. Industry representative and APHIS/Agent certifying officials for issuance of an export certificate.

1.6: APHIS/Agent will issue an export certificate as indicated in EXCERPT.

2. Tobacco Blue Mold Field Survey for Oospores

2.1: Participating States will survey tobacco areas for tobacco blue mold oospores.

2.1.1: Survey will be a representative sampling of fields within a tobacco marketing area for flue-cured and burley tobacco. (Appendix A & B)

2.1.2: Samples will include representative samples from each State reporting tobacco blue mold within that marketing area by county.

2.1.3: APHIS will provide training to participating States relevant to blue mold recognition, sampling procedures, and shipping instruction.

2.1.4: The States will designate what agency within their State will conduct the tobacco blue mold oospore survey and provide APHIS with the designated agency officials.

2.2: Sampling procedure

2.2.1: Samples will be taken from tobacco blue mold infected tobacco leaves.

2.2.2: Samples will be identified by its representative area in State or county.

2.2.3: Dried leaves with tobacco blue mold will be submitted to an APHIS-certified laboratory for oospores presence analysis.

2.2.4: The laboratory will provide analysis results to APHIS and to U.S. Industry representative.

2.2.5: APHIS will compile results of tobacco blue mold oospores survey and submit report to CIQ-SA.

3. Detection of Oospores in Survey

3.1: APHIS will conduct a survey of a suspect positive tobacco blue mold county.

3.1.1: If positive find is close to an adjacent county(s), a representative survey for oospores will be conducted in the adjacent county(s).

3.1.2: Tobacco from the affected county(s) will be ineligible for export to China during the production year discovered.

3.2: The following growing season the affected county(s) will be surveyed.

3.2.1: APHIS, with CIQ-SA participation, will survey the affected county(s).

3.2.2: If **no** oospores are found, tobacco will be allowed for export to China that production year.

4. Tobacco Blue Mold Report

4.1: APHIS will provide CIQ-SA with a report on tobacco blue mold in the U.S.

4.1.1: Report will be based on the information provided by the North American Blue Mold Forecasting Center in Raleigh, NC.

4.1.2: The report will include information on areas affected by tobacco blue mold, methodology for tobacco blue mold oospore survey, and survey results.

4.1.3: CIQ-SA will be notified of discovery of tobacco blue mold oospores.

Field Sampling Blue Mold Lesions Laboratory Analysis

Field Sampling

1. Examine field of tobacco and identify tobacco plants with blue mold disease or examine processed tobacco prepared for sale.
2. Select leaves or pieces of tobacco with blue mold lesions.

3. Visually inspect blue mold lesions with hand lens to find oospores. **Note:** Oospores are observed in lesions as red to black specks or small dots. When present, oospores are concentrated in large numbers in lesions.

Field Sampling for Detailed Microscopic Observation of Pathological Structures

1. Select 5 leaves from 5 plants with blue mold lesions in 1 field.
2. Cut 5 circular pieces of tissue in vial for processing.
3. Place 5 pieces of tissues in vial for processing.
4. Label vial with date, farm, county, State.

Clearing Tissue

1. Add 10cc of 1 M KOH to vial with 5 tissue pieces.
2. Drop vial in boiling water for 10 to 30 minutes to clear tissue.
3. If tissues **do not** clear:
 - A. Drain KOH from vial, rinse tissues with water 3 times.
 - B. Add 5cc GAA ALC (1 part glacial acetic acid to 1 part 100% ethanol).
 - C. Rinse 3 times with water.
 - D. Add 10 cc 1M KOH and drop vial in boiling water for 10 to 30 minutes.

Staining Tissue

1. Drain KOH from vial, rinse 3 times with water.
2. Add 5cc of 0.05% aniline blue stain in 0.067 K₂PHO₄, pH 9.0.
3. Wait 30 minutes before making slides.

Preparing and Viewing Slides

1. Pour stain and tissue onto a watch glass.
2. Lift tissue pieces carefully with a spatula and place 5 tissue specimens on a slide and cover with glass cover slip.
3. Examine tissues with microscope using incandescent light and a mercury vapor light with filters (HBO 100- W/2 mercury burner and G365nm exciter: LP 42nm barrier fluorescence filter). **Note:** blue mold pathogen structures fluoresce.

August 25, 2000
H.W. Spurr, Jr.

Sampling Plan to Estimate Presence/Amount of Viable Blue Mold Spores in Stored Tobacco

(North Carolina State University, November 1995)

The population to be sampled is tobacco of the year 1990, 1991, and 1992 stored in 440 lb. boxes. Each numbered box will be listed by year and by the 4 type-locations. In accordance with the suggested protocol, 5 boxes will be drawn as simple random samples from each of the 12 lists (3 years by 4 types). Each list is a stratum.

Each sampled box will be located and brought to the warehouse floor and subsampled using a probe sampler inserted down into a randomly chosen quadrant to provide about a 2.0 lb. (900 gm) core increment.

Each of the 12 sets of 5 increments will be handled as follows. A random 2 of the 5 increments will be sieved and the pieces retained by 1 inch mesh will be examined by pathology specialists trained in diagnosing blue mold symptoms. The total weight and number of those pieces will be recorded along with the number of pieces that contain “any evidence of blue-mold-like lesions.”

All 5 increments will be ground in a Wiley mill to yield the gross sample. This will be put into a container and blended. Two 100 gm laboratory samples will be drawn from the 4.5 kg gross sample. One will be used in a soil assay and the other in a foliar assay.

For soil assay, the 100 gm of ground tobacco will be mixed with potting soil and put into a tray to grow 200 cells of tobacco seedlings. For foliar assay two trays of seedlings will be grown, then each sprinkled at two times with 25 gm of ground tobacco, each time.

These procedures will be repeated for each of the 12 Year-Type strata.

In the soil assay any number from 0 to 200 cells will be found to have blue mold. The average number of cells with blue mold over the 12 trays will represent the estimated cell root viability found in the survey. An estimate of the variance in this estimate can be obtained from a 2-way (years by types) analysis of variance of the 12 separate proportions cells with blue mold. A similar analysis will be made on the data from the 400 sprinkled plants. The data on pieces-with-lesions will provide 2 observations (proportions of pieces with lesions) in each of the 12 strata and can be analyzed using a 2-way analysis of variance with 2 observations per year-type combination.

Statistical Considerations

(North Carolina State University, November 1995)

The population is a solid bulk in air. That is, the boxes contain about 75% air by volume and the rest is the largely fibrous leaf. Since the grinding operation will reduce particle size to, say, 1 millimeter or less, we will take 1.0 cubic mm (the sphere) as the elementary cluster (EC) size. In fact, this is an “effective” size since by far the greatest number of particles will be smaller. [See Proctor, C. H. (1990), “Statistical considerations in bulk sampling,” Institute of Statistics Mimeograph Series No. 1988, North Carolina State University, Raleigh, NC.]

Blue mold spores are around 30 microns in diameter so there can be from none to as many as 30,000 in an elementary cluster. A tobacco leaf contains about 17cc of fibrous volume, so there are about 17,000 elementary clusters in each leaf. By rough calculations, each 440 lb. box contains the equivalent of around 30,000 leaves. If, for example, a particular stratum were to be composed of 2500 boxes, the population size would be $2500 \times 30,000 \times 17,000 = 1.3 \times 10^2$ elementary clusters. In sampling theory notation $N = 1.3 \times 10^2$. If all the tobacco in the 2500 boxes were ground there would be 1.3×10^2 grains of 1 mm. diameter.

Each of the 200 bioassay cells will receive 1/200th of the 100 gm from the laboratory sample or about 0.5 gm in each cell. Converting the 19 lbs. per cubic foot density of tobacco leaf to 3.3cc/gm allows us to see that each cell contains about 1600 elementary clusters. The total sample size is thus 3.3×10^5 from $N = 1.3 \times 10^2$ ECs in the population.

Suppose there were exactly one EC containing a (laboratory) viable spore on every 10th tobacco leaf in the population. With 17,000 ECs in each leaf, we are supposing that 1 in 170,000 ECs has a viable spore. This level of viability is essentially 6 parts per million (ppm). The chance of missing a viable spore in 1600 trials is roughly what happens when a bioassay cell shows **no** infection and this probability is: $9904 = (1 - 6 \times 10^{-6})^{1600}$. The chance of missing in all 200 cells is: $15 = .9904^{200}$, which is becoming small. The sampling method will pick up the condition of 1 EC having viable spores in every 170,000 with 85% probability.

The above suppositions are unrealistic in oversimplifying a complex of events. Viable spores usually occur in bunches (in clumps), while the sampling is **not** simply random. That is, even if viable spores occurred on less than 1 in 10 leaves, they would occur, multiply, and thus, increase the chances of detection. Even though the bulk is ground to elementary cluster size and well mixed, this occurs **only** at the last stage of subsampling. Any box contains portions of leaves from a wide range of fields, but still the pieces are fairly large clusters of ECs. This clustering reduces the chances of detection. What we have tried to do is describe a simplified setting to illustrate the accuracy of such a sampling survey.

Basically, 2 levels of viability incidence characterize a bulk sampling scheme. We will write them as p_1 and p_2 . (They have been called the producer's quality level and the consumer's quality level in acceptance sampling terminology. See Schilling, E. G. Acceptance Sampling.) The value of p_1 is such that the sampling plan will, 95% of the time, find nothing viable, and p_2 is such that 90% of the time it will be detected as viable.

In the previous calculations we have taken the assay sample size of 320,000 ECs to be 320,000 independent trials with a chance of $(1-p)$ no disease arising at each trial, where p is the underlying rate of viable ECs to all ECs. Under this naive viewpoint, the values for p_1 and p_2 are found as:

$$(1-p_1)^{320000} = .95 \text{ and } (1-p_2)^{320000} = .10, \text{ so that}$$

$$p_1 = 1 - \exp(\ln(.95)/320000) \text{ and } p_2 = 1 - \exp(\ln(.1)/320000)$$

or

$$p_1 = 1 \text{ in } 6.2 \text{ million and } p_2 = 1 \text{ in } 139,000$$

$$(0.2 \text{ ppm})(7 \text{ ppm})$$

Two somewhat questionable assumptions were used previously; they were: (1) the independence of the trials; and (2) the size uniformity of all the ECs. That is, the particle sizes actually vary from 1 particle to the next and the independence assumption will be correct **only** if the entire lot is ground and thoroughly mixed and then sampled.

On balance we can expect, in line with experiences with other natural materials, that the lack of independence caused by viability being clumped in the lot will cause the effective sample size to drop by $\frac{1}{2}$, $\frac{1}{3}$, or $\frac{1}{4}$. Values, such as 2, 3, or 4 are called design effects. Supposing a design effect of 4 would bring effective sample size to around 80,000 ECs, say, and now we find:

$$p_1 = 1 \text{ in } 1.6 \times 10^6 \text{ with } p_2 = 1 \text{ in } 35,000$$

$$(0.6 \text{ ppm}) (29 \text{ ppm})$$

If sample size were increased to 50 boxes from a stratum, $\frac{1}{2}$ would drop to 3 ppm. That is, a 10-fold (1 order of magnitude) increase in sample size would decrease p_1 and p_2 by an order of magnitude. All calculations have thus far considered **only** the soil assay. If the efficacy of the foliar method is found acceptable, sample size will be approximately doubled and the values of p_1 and p_2 can be halved.

Sampling Methods for Boxes, for Scanning, and for Assays

Sample Selection of Boxes

1. Sort the computer listing of boxes by year and type into 12 strata or lots.
2. Number boxes of any 1 lot from 1 to say, N.
3. Use approved random generator to get selection digit in range 1 to N. Repeat 15 times. Remove any duplicate selection digits. Use digits in the order they were produced.
4. Locate in the warehouse the boxes corresponding to the first 5 selection digits. If any have been sold, use the 6th, 7th, etc. selection digits to locate, in all, 5 boxes.
5. Repeat steps 2.to 4. for all 12 lots, and bring the $5 \times 12 = 60$ boxes to the warehouse floor to be sampled.

Box Sampling

1. Open top of box and looking down on top surface of tobacco, label centers of 4 quadrants as: HH, HT, TH, and TT.
2. Flip a coin twice to get: head-head, head-tail, tail-head, or tail-tail, and thereby decide where to insert probe sampler.
3. Insert sampler perpendicular into top surface. Remove when it binds, extract core into plastic bag, and reinsert until reaching 27 in. depth. Seal and label bag.
4. Repeat steps 1. to 3. for all 5 boxes in a lot.
5. Identify 2 bags from first 2 selected boxes with ribbon.
6. Put 5 bags in container.
7. Repeat steps 1. to 6. for all 12 lots.
8. Send 12 gross samples to Oxford lab.

Scanning and Subsampling Gross Sample

1. Put the contents of the first bag with a ribbon into the hopper of the mechanical siever.
2. In the hopper, break up large pads to about $\frac{1}{4}$ " thickness.
3. Run through sieve and return the plus 1-inch portion to hopper.
4. Break up large pads to less than $\frac{1}{4}$ " thickness and run through siever.
5. Remove plus 1-inch to table.
6. Lay pieces out in lattice arrangement. Count them and examine each for evidence of blue mold lesions.

7. Record counts and repeat steps 1. to 6. for second bag.
8. Combine all 5 bags of a lot into 1 container and feed into a Wiley mill.
9. Grind to less than 1 mm grain size.
10. Cone and quarter. Pour (4500 gm) powder onto paper making a cone. Flatten it somewhat and divide into quarters labeled H, T, H, T. Flip a coin and if H appears use the H quarters for soil assay subsample or if T appears use the T quarters for soil assay and use the other quarters for foliar assay.
11. Further cone and quarter each subsample 4 times removing separate halves to separate papers and then flipping a coin to decide which half to save and which half to return.
12. Spread final selected portion on paper and slide off into 100 gm container used as a cutter moving through the falling stream, thus, obtaining 100 gm for soil assay and repeat to get 100 gm for foliar assay.

Field Sampling Blue Mold Lesions

Field Sampling

1. Examine field of tobacco and identify tobacco plants with blue mold disease or examine processed tobacco prepared for sale.
2. Select leaves or pieces of tobacco with blue mold lesions.
3. Visually inspect blue mold lesions with hand lens to find oospores. **Note:** Oospores are observed in lesions as red to black specks or small dots. When present, oospores are concentrated in large numbers in lesions.

Field Sampling for Detailed Microscopic Observation of Pathological Structures

1. Select 5 leaves from 5 plants with blue mold lesions in 1 field.
2. Cut 5 circular pieces of tissue in vial for processing.
3. Place 5 pieces of tissues in vial for processing.
4. Label vial with date, farm, county, State.

Clearing Tissue

1. Add 10cc of 1M KOH to vial with 5 tissue pieces.
2. Drop vial in boiling water for 10 to 30 minutes to clear tissue.
3. If tissues **do not** clear:
 - A. Drain KOH from vial, rinse tissues with water 3 times.
 - B. Add 5cc GAA ALC (1 part glacial acetic acid to 1 part 100% ethanol).
 - C. Rinse 3 times with water.
 - D. Add 10cc 1 M KOH and drop vial in boiling water for 10 to 30 minutes.

Staining Tissue

1. Drain KOH from vial, rinse 3 times with water.
2. Add 5cc of 0.05% aniline blue stain in 0.067 K₂PH₀₄, pH 9.0.
3. Wait 30 minutes before making slides; tightly capped vials can be held in the dark a year or more.

Preparing and Viewing Slides

1. Pour stain and tissue onto a watch glass.
2. Lift tissue pieces carefully with a spatula and place 5 tissues specimens on a slide and cover with glass cover slip.

3. Examine tissues with microscope using incandescent light and a mercury vapor light with filters (HBO 100- W /2 mercury burner and G365nm exciter: LP 42nm barrier fluorescence filter). **Note:** blue mold pathogen structures fluoresce.

August 25, 2000
H.W. Spurr, Jr.

Time/Cost Estimate Blue Mold Oospore Microscopy

1. Start with leaves with blue mold lesions.
2. Bring leaves in order (2 hours)
3. Punch out 5 disks from blue mold lesions (10 minutes)
4. Place disks in 15cc screw cap vial w/Teflon seal caps, add 10 mL KOH and cap (10 minutes)
5. Drop vials in boiling water to clear (10 to 30 minutes)
6. Check for clearing, if **not** clear, change KOH, repeat step 5. (30 minutes)
7. Cool, triple rinse disks with water (10 minutes)
8. Add 5 mL aniline blue stain solution (10 minutes)
9. Incubate (minimum of 12 hours)
10. Pour disks into watch glass and fish out disks with spatula, place disks on slide (10 minutes)
11. Examine disks with microscope, record data (20 minutes for 5 disk samples, up to 3 hours for 50 disk samples)

The total time required for processing a 5 disk sample has been estimated at roughly 4.5 hours. A trained technician can prepare the samples, but a skilled diagnostician is required for examination of the disks. Examination time is markedly higher for the 50-disk samples taken from cured tobacco leaves, due to the fragile nature of the samples.

Blue Mold Microscopy Key

Slide 10 int: Sample Date, 10 Number, Method ID, Slide Prep. Date

T/B:Top/Bottom Leaf Surface based on sporangiophore density

Sp:Sporangiophores

Ss:Sporangiospores

Hy:Hyphae

Os:Oospores

Og:Oogonia

A:Antheridia

R:Reworked samples from GA-EOH Fixative

OF:Other Fungi

BM:Blue Mold

SG:Starch Grains

S:Sand

G:Gritty appearance in tissue, **not** completely cleared

BD:Blue Dots or spheres or vesicles of unknown origin visible in AB stain

RB:Round Bodies, unknown origin, often with *Altemaria*

E:Edge

P:Pollen

HM:Hyphal Mat

Y:Yeast

B:Bacteria

F:Fungi

Aa:*Alternaria altemata*

Asp:*Aspergillus*

Tc:*Thanatephorus cucumeris*

Phy:*Phyllosticta*

Cn:*Cercospora nicotianae*

L:Light

M:Moderate

H:Heavy

-:No Structure Observed

ADDENDUM A

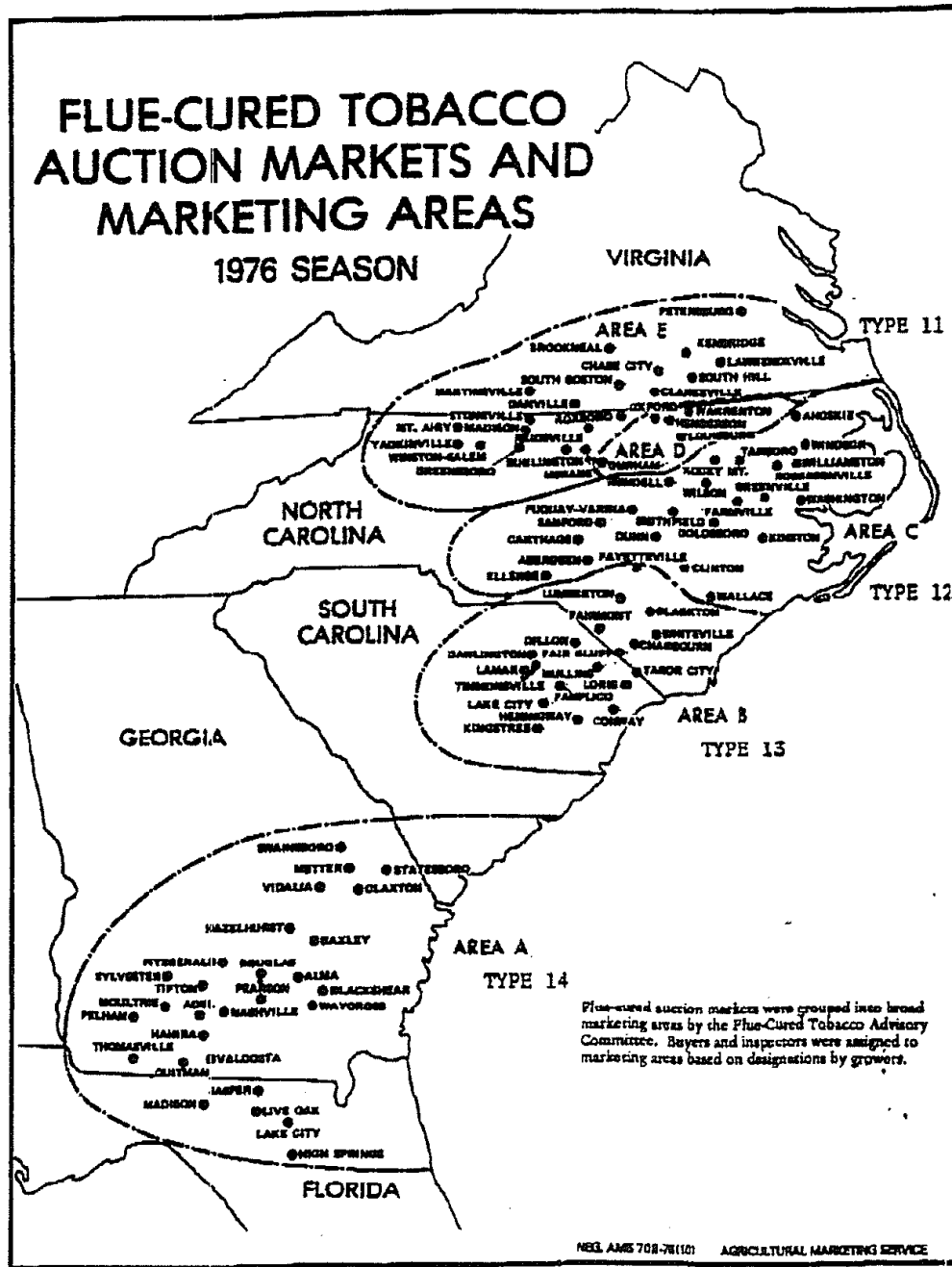


FIGURE 4-8-1: Addendum A — Flue-Cured Tobacco Auction Markets and Marketing Areas

5

Export Program
Manual

Special Procedures

Special Programs • Authorized Certification Official (ACO) Accreditation

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Introduction

These special procedures comprise the *ACO Quality Manual*. The manual was established to facilitate the exportation of commodities to foreign markets. Accreditation recognizes consistent levels of competency and confers specific authority. Accrediting trained personnel, organizations, facilities, and processes associated with phytosanitary functions enhances PPQ's ability to protect plant resources and facilitate safe trade.

The following procedures are in accordance with [7 CFR 353](#) and the North American Plant Protection Organization (NAPPO) RSPM No. 8, The Authorization of Individuals to Issue Phytosanitary Certificates (<http://www.nappo.org/Standards/REVIEW/RSPM8Rev-07-28-08-e.pdf>).

Direct questions about PPQ accreditation programs to Mr. Michael Ward, National Accreditation Program Manager, by phone at 301-734-5227, by FAX at 301-734-7639, or by e-mail at michael.d.ward@aphis.usda.gov.



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

ACO Quality Manual

Section 1: Initial Accreditation of ACOs—PPQ Plant Protection and Quarantine Candidates

1.1 The State Plant Health Director (SPHD) may nominate the Plant Protection and Quarantine (PPQ) employee through the Export Certification Specialist (ECS) in the Phytosanitary Certificate Issuance and Tracking (PCIT) system. The nomination information **must** include the individual's plant health regulatory experience and educational credentials.

1.2 The ECS reviews the information to verify that the nominee has met the experience and educational requirements as stated in section 5-4 of the Export Program Manual (XPM), **Basic Requirements and Procedures for Nominating Federal or State Candidates**, the NAPPO RSPM No. 8, The Authorization of Individuals to Issue Phytosanitary Certificates (<http://www.nappo.org/Standards/REVIEW/RSPM8Rev-07-28-08-e.pdf>), (Appendix 1), Section 2.4.2, and the Federal regulation 7 CFR 353.6.

1.3 Export Services (ES) approves or rejects the nominee to become a candidate in the PCIT system. If approved, training is authorized. Based on time constraints and workload demands, the training may be conducted no earlier than the 9th month of experience. The nominee will **not** be accredited to sign export certificates until 1 year of experience has been completed.

1.4 Candidates **must** meet the following to be accredited as an ACO:

The ECS conducts the Animal and Plant Health Inspection Service (APHIS) training course on Phytosanitary Certification and administers the final initial accreditation examination to the candidate. The dates of training and test results (pass/fail) are entered into the PCIT ACO database. The candidate **must** pass with a score of 80 percent or higher.

The PCIT system will automatically change the role of the candidate to ACO when 1 year of experience is completed.

The ACO is now certified to sign export certificates and may print a copy of the official documentation of accreditation from the PCIT system. This certification is valid for 3 years from date of testing.

Section 2: Initial Accreditation of ACOs—State or County Cooperator Candidates

2.1 The State Plant Regulatory Official (SPRO) may nominate the State or County employee through the ECS in the PCIT system. The nomination information **must** include the individual's plant health regulatory experience and educational credentials. The nominee will not be accredited to sign export certificates until 1 year of experience has been completed.

2.2 The ECS reviews the information to verify that the nominee has met the experience and educational requirements as stated in section 5-4 of the Export Program Manual (XPM), **Basic Requirements and Procedures for Nominating Federal or State Candidates**, the NAPPO RSPM No. 8, The Authorization of Individuals to Issue Phytosanitary Certificates (<http://www.nappo.org/Standards/REVIEW/RSPM8Rev-07-28-08-e.pdf>), (Appendix 1), Section 2.4.2, and the Federal regulation 7 CFR 353.6.

2.3 ES approves or rejects the nominee to become a candidate in the PCIT system. If approved, training is authorized. Based on time constraints and workload demands, the training may be conducted no earlier than the 9th month of experience. The nominee will **not** be accredited to sign export certificates until 1 year of experience has been completed.

2.4 Candidates **must** meet the following to be accredited as an ACO:

The ECS conducts the APHIS training course on Phytosanitary Certification and administers the final initial accreditation examination to the candidate. The dates of training and test results (pass/fail) are entered into the PCIT ACO database. The candidate **must** pass with a score of 80 percent or higher.

The PCIT system will automatically change the role of the candidate to ACO when 1 year of experience is completed.

The ACO is now certified to sign export certificates and may print a copy of the official documentation of accreditation from the PCIT system. This certification is valid for 3 years from date of testing.

Section 3: Reaccreditation of ACOs

3.1 The PCIT system will notify the ECS in advance of the expiration of an ACO's accreditation. The ECS notifies and schedules APHIS reaccreditation training on Phytosanitary Certification with the ACO prior to the date of expiration.

3.2 The ECS conducts the APHIS reaccreditation training course on Phytosanitary Certification and administers the reaccreditation examination to the candidate. The ECS forwards the candidate's reaccreditation examination for scoring. The dates of training and test results (pass/fail) are entered into the PCIT ACO database. The candidate **must** pass with a score of 80 percent or higher.

3.3 The ACO is now reaccredited to sign export certificates and the certification will be valid for 3 years from date of testing.

Section 4: Export Certificate Review Process

4.1 The responsible supervisor of the issuing office **must** ensure that record copies and supporting documentation are sent to the appropriate ECS on a weekly, bi-weekly, or monthly basis unless the ACO or issuing office is using the PCIT system with attachments for supporting documents. Errors and remedial actions should be noted on the Issuing Office copy, mail, or email.

4.2 The ECS **must** review at least 5 percent of all record copies along with supporting documentation in a timely manner. It is important that reviews are completed in a prompt manner so that major errors can be addressed before there is a trade incident. The export certificates reviewed should represent the actual range of export commodities certified by various ACOs. The percentage should be increased if a particular ACO or issuing office has a significant number of errors or where a significant number of notifications of noncompliance are received from the National Plant Protection Organization (NPPO) importing country. ES will work with the PPQ regional office upon receipt of notifications of noncompliance.

4.3 The ECS **must** document major errors made by ACOs. Major errors on export certificates include but are **not** limited to the following:

- ◆ Failure to follow PPQ policy with regard to export certificates (for example, but not limited to):
 - ❖ Certifying disease freedom in grain
 - ❖ Failure to follow inspectional guidelines
 - ❖ Failure to follow known import requirements
- ◆ Certifying prohibited or ineligible commodities
- ◆ Certifying CITES commodities at an ineligible port
- ◆ Certifying commodities from non-accredited or non-compliant sources.
- ◆ Attesting to conditions from non-accredited or non-compliant sources.

Major errors documented by the ECS **must** be submitted to the SPHD who will review and forward the information to the PPQ supervisor or SPRO of the ACO.

4.4 First Major Error

4.4.1 The first major error will be discussed between the ACO and the appropriate supervisor to address any questions about the error and to determine what corrective action should be taken to prevent recurrences of the error.

4.4.2 The appropriate supervisor will document the discussion and any recommendations that were made to the ACO for future reference. A summary copy of the discussion and recommendations will be forwarded to the respective SPHD. The SPHD **must** forward a copy to the appropriate regional office. The region will review the information and forward to ES.

4.5 Second Major Error

4.5.1 The second major error will be discussed between the ACO and the appropriate supervisor to address any questions about the error and to determine what corrective action should be taken to prevent recurrences of the error.

4.5.2 The appropriate supervisor will request refresher training for the ACO.

4.5.3 The supervisor will document the discussion, recommendations, and training requests that were made to the ACO for future reference. A summary copy of the discussion and recommendations will be forwarded to the respective SPHD. The SPHD **must** forward a copy to the appropriate regional office. The region will review the information and forward to ES.

4.6 Third Major Error: See information as specified in [Section 6: Suspension and Reaccreditation of Suspended ACOs](#) on page 5-1-9.

4.7 The ECS will document minor errors that would not warrant formal documentation. Examples of minor errors include but are not limited to the following:

- ◆ Incorrect lining out blocks
- ◆ Failure to complete all blocks
- ◆ Incorrect approved country name
- ◆ Failure to date an export certificate
- ◆ Misspelled words
- ◆ Unclear abbreviations

Minor errors should be handled informally through the appropriate supervisor. This should be documented by the ECS.

4.8 After completing the review process, the ECS should either destroy the copies of the export certificates or retain them for training purposes. Destroy copies by shredding and/or burning (appropriate methods); recycle the copies only if the confidentiality of the information can be maintained. If the copies are retained for training purposes, the ECS is responsible for maintaining and protecting the confidentiality of information on any export documents.

Section 5: Inactivation and Reactivation of ACOs

5.1 An ACO's role will be changed from ACO to ACO Admin in the PCIT System for one of the following reasons:

- ◆ Failure to successfully complete reaccreditation every 3 years following initial accreditation
- ◆ Failure to issue export certificates within 2 years of initial accreditation

5.2 When placed in the ACO Admin role, the ACO will **not** be authorized to sign export certificates.

5.3 When placed in the inactive status, the ACO will **not** be authorized to sign export certificates.

5.4 An ACO Admin may be returned to the ACO role when the following two conditions have been completed:

- ◆ The inactive ACO has completed a 60 day period of refresher experience under the guidance of an active ACO.
- ◆ The inactive ACO has completed the reaccreditation requirements as specified in Section Three, Reaccreditation of Authorized Certification Officials.

Section 6: Suspension and Reaccreditation of Suspended ACOs

6.1 An ACO will be suspended from issuing export certificates for any one of the following reasons:

- ◆ Knowingly or deliberately signing a fraudulent export certificate with any intentional false statements or misrepresentations relative to the export certificate
- ◆ Making three major errors within a 12 month period
- ◆ Repeating the same major error, after counseling, as specified in Section Four, Export Certificates Review Process, within a 12 month period

6.2 ACOs who accumulate three major errors within a 12 month period will have their ACO accreditation suspended for a period of one year. ES is responsible for notifying the PPQ regional office when suspension of an ACO's accreditation is in order. The regional office will review the information and take appropriate action.

6.3 The regional office will provide a written summary of events and description of actions taken to ES.

6.4 ACOs whose accreditation is suspended are **not** authorized to issue any export certificates.

6.5 In order to reinstate the accreditation of a suspended ACO, the ACO **must** complete the APHIS initial training course on Phytosanitary Certification and pass the exam with a score of at least 80 percent. The suspended ACO may initiate and complete the initial export certification training during the 9th month of the suspension period. The nominee will **not** be accredited to sign export certificates until 1 year of suspension has been completed.

Section 7: Retesting After Failure To Achieve 80% on Final or Reccreditation Training Exam

7.1 The examinee is notified of failure to achieve a passing grade of 80 percent or higher.

7.2 The examinee is allowed 2 to 45 days to take a retest.

7.3 If the examinee passes the retest, then the dates of training and test results (pass/fail) are entered into the PCIT ACO database. The candidate **must** pass with a score of 80 percent or higher.

The PCIT system will automatically change the role of the candidate to ACO when 1 year of experience is completed.

The ACO is now certified to sign export certificates and may print a copy of the official documentation of accreditation from the PCIT ACO database. This certification is valid for 3 years from date of testing.

7.4 If the examinee fails the retest, he/she is allowed 2 to 45 days to take a second retest.

7.5 If the examinee passes the second retest, see section 7.3

7.6 If the examinee fails the second retest, he/she **must** complete another year of regulatory experience, retake the appropriate training and examination, and **must** achieve a score of 80 percent or higher.



Special Procedures

Special Programs • Auditing

(Reserved)

5

Export Program
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Special Procedures

Special Programs • Export Certification Violations

Only officials authorized by PPQ can change or correct information on certificates. Unauthorized changes are in violation of 7CFR 353 and may be prosecuted under the Plant Protection Act (7USC 7701) and other applicable laws. When a violation is discovered the State Plant Health Director (SPHD) should consider the circumstances surrounding the violation before proceeding to one of the following actions:

- ◆ Issue an APHIS Form 7060, Official Warning, Violation of Federal Regulations (**only** after consulting with the local or regional Investigative and Enforcement Services (IES) officials)
- ◆ Refer a request for investigation to the local IES investigator for further action¹

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

Repeat violations or those with the appearance of an attempt to deceive or commit fraud should be automatically referred to IES investigators for further action. IES, in turn, will determine if an investigation will be forwarded to the Office of the Inspector General (OIG) for criminal prosecution.

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

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

EXAMPLE

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

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

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

5

Export Program
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Special Procedures

Special Programs • Federal-State Cooperative Program

Contents

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Introduction

The Federal and State Departments of Agriculture participate in cooperative agreements to more effectively perform export certification. The PPQ export program is expanded to enable designated State cooperators to issue export certificates at interior points of origin in the U.S.

To obtain authority to issue export certificates, a State plant regulatory agency **must** agree to sign a Memorandum of Understanding (MOU) with PPQ. The MOU is a formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the Federal and State Departments of Agriculture.

How States Enter the Federal-State Cooperative Program

To ensure a successful cooperative program for phytosanitary export certification, the following steps **must** be followed to officially enter the State into the Federal-State Cooperative Program (the Program).

1. Plant regulatory official of a State Department of Agriculture writes to the Deputy Administrator of PPQ and asks to participate in the Program.
2. Written request is processed through PPQ, Phytosanitary Issues Management, Export Services (ES).
3. ES and USDA-APHIS, Marketing and Regulatory Programs Business Services, Financial Management Division's Agreements Services Center (ASC) develop a standardized MOU. This document is transmitted to PPQ regional directors under a cover memorandum providing relevant guidance. A copy of the letter is provided to ASC.
4. The PPQ regional office initiates an MOU with each State plant regulatory official (SPRO), assigning regional control numbers. The same sequential control number is carried forward for those MOUs that are continuations for an additional 5-year period. The PPQ regional office submits 3 originals of the MOU to the SPRO for signature.
5. The SPRO signs all copies of the MOU and returns them to the PPQ regional office to be signed by the Regional Director. The MOU is effective upon date of final signature by the Regional Director for the period indicated in the MOU, **not** to exceed 5 years.
6. The PPQ regional office retains the original, sends one to the State, and the third to the Export Certification Specialist (ECS) with oversight responsibility for the particular state. The PPQ regional office also provides a copy of the MOU to ES and the ASC. If additional copies are needed, contact the PPQ regional office.

Basic Requirements and Procedures for Nominating Federal or State Candidates

Agents may conduct phytosanitary field inspections of seed crops in cooperation with and on behalf of those State plant regulatory agencies electing to use agents and maintain a MOU with PPQ. The MOU **must** state that agents shall be used in accordance with the regulations in [7CFR 353](#).

The basic requirements and procedures for nominating Federal or State candidates are as follows.¹

1. The State Plant Health Director (SPHD) or the State Plant Regulatory Official (SPRO) may nominate the candidate through the Export Certification Specialist (ECS) in the Phytosanitary Certificate Issuance and Tracking (PCIT) system. Based on time constraints and workload demands, the training may be conducted no earlier than the 9th month of experience. The nomination information **must** include the candidate's plant health regulatory experience and educational credentials to be designated as an agent of the Program. The candidate **must** meet or exceed the following basic requirements for the position of agent as listed in [7CFR 353.6](#), totaling 5 years.
 - A. Ability to recognize plant pests in those crops that are inspected, including symptoms and/or signs of disease-causing organisms of concern to importing countries.
 - B. Bachelor's degree in biological sciences and a minimum of 1 year's experience in identifying plant pests endemic to crops of commercial importance within the cooperating State, or one of the following combinations of higher education in the biological sciences² and experience in identifying such plant pests (years of education and experience **do not** have to be acquired consecutively).

EXAMPLE

Examples of acceptable qualifications are as follows:

- ◆ 0 years education and 5 years experience
- ◆ 1 year education and 4 years experience
- ◆ 2 years education and 3 years experience
- ◆ 3 years education and 2 years experience
- ◆ 4 years education and 1 year experience

1 The basic requirements and procedures for nominating Federal or State officials are in accordance with PPQ *ACO Quality Manual*. See also [Special Programs • Authorized Certification Official \(ACO\) Accreditation](#) on [page 5-1-1](#).

2 One year equals 12 credit units in the biological sciences. Examples of courses to meet educational requirements can be found in NAPPO standard #8, Accreditation of Individuals.

- C. Successfully complete annual training provided by the State plant regulatory agency as described in 7CFR 353.6.
 - D. Have access to Federal or State laboratories for positive identification of plant pests detected.
 - E. **No** agents shall inspect any commodities in which they or a member of their family are directly or indirectly financially interested.
2. The ECS reviews the candidate's qualifications to verify that the Federal or State official has met the experience and educational requirements as stated in the [NAPPO RSPM No. 8](#), The Authorization of Individuals to Issue Phytosanitary Certificates, (Appendix 1), Section 2.4.2, the [Federal regulation 7 CFR 353.6](#), and the *Export Program Manual*.
3. The ECS submits the candidate's name and summary of qualifications to ES for final approval in the PCIT system.
4. ES gives the ECS either approval to proceed with administering the APHIS training course on phytosanitary certification for the candidate's initial accreditation, or rejects training for a candidate who is ineligible for accreditation due to **not** meeting the basic experience and educational requirements of the MOU.



ECSs may administer any APHIS training course on phytosanitary certification to any official, for auditing purposes, for the purpose of providing knowledge of Federal regulations, which may improve the official's performance in the issuance of State export certificates. However, these ineligible officials will not be accredited, nor are they authorized to take the accompanying test.

5. The ECS administers the APHIS training course on phytosanitary certification and test to the candidate. The candidate **must** achieve a score of 80% or better to be accredited to issue export certificates.
6. State officials who successfully complete the APHIS training course on phytosanitary certification are granted accreditation by ES and receive an official certificate of accreditation from the PCIT system. Their names, accreditation numbers, dates of accreditation, and expiration dates are entered into the PCIT Authorized Certification Official (ACO) database.
7. Initial accreditation is valid for 3 years from date of testing.
8. In order to maintain ACO accreditation, the ECS will notify ACOs or their supervisors when reaccreditation training is required before their expiration date.
9. The ECS administers the APHIS reaccreditation training course on phytosanitary certification and test to the ACO. The ACO **must** achieve a score of 80% or better to retain accreditation.
10. Certification is valid for 3 years from date of testing.

Maintenance of the Federal-State Cooperative Program

The Federal-State Cooperative Program is maintained as follows³:

1. ES maintains a current list of designated State cooperators in the PCIT ACO database. If there are questions concerning eligibility, qualifications, or designation of new State officials, direct them to ES using the contact protocol in [Table C-1-1](#) on [page-C-1-2](#).
2. State officials are responsible for notifying the ECS when a designated State cooperator retires or otherwise separates from State employment. The ECS is responsible for updating the PCIT ACO database.
3. Inactive ACOs are designated in the PCIT ACO database as on inactive status (unable to issue or sign export certificates). They can be returned to the active status when the following has been completed:
 - A. Sixty days of experience under an active ACO
 - B. Reaccreditation training and reaccreditation test

Memorandum of Understanding (MOU) for the Program

MOU for the Program is a formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the State and Federal Departments of Agriculture. MOUs are effective when the PPQ official signs the agreement. MOUs are renewed every 5 years. The content of the MOU is subject to change as directed by ES in collaboration with the ASC. Amendments **must** be formally signed by the SPRO and the representative of PPQ. An example of the MOU for the Program follows.

³ See also [Special Programs • Authorized Certification Official \(ACO\) Accreditation](#) on [page 5-1-1](#).

XX-XXXX-XXXX-MU

**Memorandum of Understanding (MOU)
Between the
{Insert Name of State or Other Entity} (Cooperator)
and the
United States Department Of Agriculture (USDA)
Animal and Plant Health Inspection Service (APHIS)
Plant Protection and Quarantine (PPQ)**

Article 1 - Purpose

This MOU provides for cooperative participation between the parties to perform export certification of commodities and to expand the system of issuance of export certificates. For the purpose of this MOU, export certificates are defined as Phytosanitary Certificate (PPQ Form 577), Export Certificate Processed Plant Products (PPQ Form 578), and Phytosanitary Certificate for Re-export (PPQ form 579). Under the expanded system, these listed certificates will be issued at interior United States points of origin, in particular, to cover containerized and door-to-door shipments intended for export. This MOU enhances the ability of USDA-APHIS-PPQ to provide export certification to customers.

Article 2 - Background

Historically, export certification was performed at points of export by Federal inspectors. A need arose for certification of commodities at interior points of commodity origin. Representatives of USDA-APHIS-PPQ and states developed an MOU that provided for export certification at interior points of the United States by inspectors from State Departments of Agriculture.

Article 3 - Authorities

USDA-APHIS-PPQ is authorized by the Plant Protection Act, Sec. 431(a), Public Law 106-224, to cooperate with other Federal agencies, the governments of foreign countries, international organizations or associations, states or their political subdivisions, farmer's associations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests or noxious weeds.

Article 4 - Objectives

This MOU will serve to establish the cooperating parties' responsibilities under this cooperative program and to define in general terms the basis on which the parties concerned will cooperate.

Article 5 - Mutual Responsibilities

The Cooperator and USDA-APHIS-PPQ mutually agree to/understand that:

- a. Overall direction and control of this cooperative program is to be maintained by USDA-APHIS-PPQ. However, personnel of the Cooperator will remain administratively responsible to the Cooperator.
- b. The Cooperator shall be responsible for conducting inspection and certification in accordance with the policies, directives, and regulations of USDA-APHIS-PPQ and within the scope of the law.
- c. The Cooperator will retain administrative responsibilities for its personnel authorized to participate in the program.
- d. The Cooperator will solely issue export certificates listed in Article 1 of this document for international commerce.

Article 6 - Cooperator Responsibilities

The Cooperator agrees:

- a. To designate *Mr./Ms./Dr.—Insert full name* as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU.
- b. In conducting the Basic Phytosanitary Export Certification Program to/that:
 - (1) Cooperate with USDA-APHIS-PPQ in the inspection and certification of commodities for export.
 - (2) Nominate to USDA-APHIS-PPQ qualified state inspectors to perform inspection and certification work.
 - (3) Ensure that nominees for designation as inspectors under this MOU meet or exceed the basic requirements as defined in Export Certification regulations, 7 CFR 353.6(b).
 - (4) Submit to USDA-APHIS-PPQ, for review and concurrence, the names and qualifications covering those personnel nominated for designation as inspectors.
 - (5) Cooperative personnel authorized to issue export certificates under this MOU shall participate, without cost to USDA-APHIS-PPQ, in an orientation and training program conducted by USDA-APHIS-PPQ.
- c. In conducting the Phytosanitary Field Inspection of Seed Crops Program to/that:
 - (1) Use **only** those agents that meet or exceed the basic requirements as defined in Export Certification regulations, 7 CFR 353.6(a).
 - (2) Provide agents with training and resources in accordance with 7 CFR 353.6(a)(2).
 - (3) Terminate, after notification, an agent's participation in the inspection activities when the agent is identified as **not** following established procedures for proper recording or reporting of pest organisms found.
 - (4) Monitor inspection activities of designated agents during each growing season in cooperation with USDA-APHIS-PPQ.

Article 7 - USDA-APHIS-PPQ Responsibilities

USDA-APHIS-PPQ agrees, in conducting the Basic Phytosanitary Export Certification Program, to/that:

- a. Designate *Mr./Ms./Dr.—Insert full name* as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU.
- b. Issue an Authorized Certification Official Certificate to qualified cooperative personnel who have complied with the requirements of Article 6 of this MOU.
- c. Conduct a training program for qualified cooperative employees prior to designation.
- d. Provide refresher training every three years for qualified cooperative employees designated as an inspector under Article 6 of this MOU.
- e. Provide the Export Program Manual, and other pertinent information as is necessary and appropriate for the proper certification of commodities to be exported, on the Internet at web address: http://www.aphis.usda.gov/import_export/plants/manuals/domestic/xpm.shtml.
- f. Provide program oversight by conducting field audits of facilities and personnel to ensure conformance with USDA-APHIS-PPQ regulations, policies, and procedures.

Article 8 - Statement of No Financial Obligation

Signature on this MOU **does not** constitute a financial obligation on the part of USDA-APHIS-PPQ. Each signatory party is to use and manage its own funds in carrying out the purpose of this MOU. Transfer of funds or items of value is **not** authorized under this MOU.

Article 9 - Limitations of Commitment

This MOU and any continuation thereof shall be contingent upon the availability of funds appropriated by the Congress of the United States. It is understood and agreed that any monies allocated for purposes covered by this MOU shall be expended in accordance with its terms and the manner prescribed by the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement **must** be developed by the parties.

Article 10 - Congressional Restriction

Under 41 USC 22, **no** member of, or delegate to, Congress shall be admitted to any share or part of this MOU or to any benefit to arise therefrom.

Article 11 - Amendments

This MOU may be amended at any time by mutual agreement of the cooperating parties in writing.

Article 12 - Termination

This MOU may be terminated by either party upon *(Insert number of calendar days)* days written notice to the other party.

Article 13 - Effective Date and Duration

This MOU will be in effect upon date of final signature and will continue for five years from the date of signature. This MOU shall supersede all previous Memoranda of Understanding for export certification between cooperating parties.

INSERT {NAME OF COOPERATOR}

Insert {Name of Signatory}
Insert {Title of Signatory}

Date

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

Insert {Name of Signatory}
Regional Director

Date

List of Active MOUs for Federal-State Cooperative Programs

All States have entered into a MOU for Federal-State Cooperative Program. MOUs are in effect for five years. See [Figure 5-4-1](#) below for a list of active Federal-State MOUs.

Cooperating State	MOU Number	Date Expires
Alabama Department of Agriculture and Industries	07-8301-0058-MU	02/26/2012
Alaska Department of Natural Resources	06-8560-0401-MU	02/26/2012
Arizona Department of Agriculture	07-8540-0532-MU	11/02/2011
Arkansas State Plant Health Board	07-8440-1035-MU	10/29/2011
California Department of Food and Agriculture	07-8520-1116-MU	08/23/2012
Colorado Department of Agriculture	07-8564-0397-MU	12/07/2011
Commonwealth of the Northern Mariana Islands	06-8510-1028-MU	09/19/2011
Connecticut Agricultural Experiment Station	07-8210-0175-MU	02/14/2012
Delaware Department of Agriculture	07-8210-0179-MU	02/01/2012
Florida Department of Agriculture and Consumer Services	07-8312-0037-MU	02/22/2012
Georgia Department of Agriculture	07-8313-0038-MU	02/26/2012
Hawaii Department of Agriculture	04-8510-0094-MU	04/13/2009
Idaho Department of Agriculture	07-8568-0529-MU	12/19/2011
Illinois Department of Agriculture	07-8217-0197-MU	03/11/2012
Indiana Department of Natural Resources	07-8218-0176-MU	05/16/2012
Iowa Department of Agriculture and Land Stewardship	06-8450-0891-MU	01/18/2010
Kansas Department of Agriculture	05-8453-0032-MU	05/17/2010
Kentucky Department of Agriculture	07-8321-0044-MU	02/12/2012
Louisiana Department of Agriculture	08-8434-0171-MU	05/31/2013
Maine Department of Agriculture	07-8223-0043-MU	05/22/2012
Maryland Department of Agriculture	07-8224-0156-MU	06/01/2012
Massachusetts Department of Food and Agriculture	07-8225-0173-MU	02/22/2012
Michigan Department of Agriculture	07-8231-0172-MU	03/26/2012
Minnesota Department of Agriculture	07-8235-0191-MU	03/11/2012
Mississippi Department of Agriculture and Commerce	07-8328-0039-MU	01/25/2012
Missouri Department of Agriculture	08-8447-0031-MU	07/31/2013
Montana Department of Agriculture	08-8572-0628-MU	02/20/2013
Nebraska Department of Agriculture	07-8456-0027-MU	11/06/2011
Nevada Department of Agriculture	08-8576-0749-MU	07/09/2013
New Hampshire Department of Agriculture	07-8233-0171-MU	03/15/2012
New Jersey Department of Agriculture	07-8234-0177-MU	02/26/2012
New Mexico Department of Agriculture	08-8580-0402-MU	01/24/2013

FIGURE 5-4-1: List of Active Federal-State MOUs

Cooperating State	MOU Number	Date Expires
New York State Department of Agriculture & Markets	07-8236-0180-MU	03/15/2012
North Carolina Department of Agriculture and Consumer Services	07-8337-0125-MU	02/22/2012
North Dakota Department of Agriculture	07-8462-1042-MU	01/25/2012
Ohio Department of Agriculture	07-8230-0170-MU	08/14/2012
Oklahoma Department of Agriculture	07-8444-0536-MU	11/19/2011
Oregon Department of Agriculture	08-8584-0530-MU	09/09/2013
Pennsylvania Department of Agriculture	07-8242-0174-MU	03/07/2012
Rhode Island Department of Environmental Management	07-8244-0181-MU	02/14/2012
South Carolina Department of Plant Industry	07-8345-0041-MU	02/27/2012
South Dakota Department of Agriculture	03-8959-0097-MU	12/14/2008
Tennessee Department of Agriculture	07-8347-0042-MU	02/01/2012
Texas Department of Agriculture	05-8412-0098-MU	04/24/2010
Utah Department of Agriculture	07-8588-0408-MU	10/31/2011
Vermont Department of Agriculture	07-8250-0185-MU	03/15/2012
Virginia Department of Agriculture and Consumer Services	07-8251-0178-MU	02/06/2012
Washington Department of Agriculture	04-8550-0097-MU	11/24/2008
West Virginia Department of Agriculture	07-8254-0055-MU	03/08/2012
Wisconsin Department of Agriculture	06-8234-0187-MU	03/11/2012
Wyoming Department of Agriculture	07-8592-0399-MU	01/18/2012

FIGURE 5-4-1: List of Active Federal-State MOUs

5

Export Program
Manual

Special Procedures

Special Programs • U. S. – Canadian Greenhouse Certification Program

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Introduction

These special procedures provide the requirements of the U.S. and Canadian Greenhouse Certification Program (referred to throughout this appendix as “the Program”).

PPQ and the Canadian Food Inspection Agency (CFIA) entered into a Memorandum of Understanding (MOU). The MOU provides a modified export certification program for the expeditious movement of commercial shipments consisting of eligible low-risk decorative plants between the two countries.

The Program allows for growers to enter into Compliance Agreements (see *Suggested Compliance Agreement Elements* on page 5-5-9) with their respective State plant regulatory agencies. The Compliance Agreements establish a cyclical inspection process for growers to follow, which replaces the need to inspect and certify individual shipments. Growers participating in the Program **must** implement measures to ensure that eligible plants are grown, stored, packed, and shipped free from regulated pests¹ of concern to Canada.

1 Each importing country identifies its own regulated pests and are listed as prohibited pests in the importing country's plant quarantine import requirements. They are pests that are of potential economic importance to the area endangered, and are **not** present, or present but **not** widely distributed and being officially controlled.

PPQ Form 577s are replaced with label certificates bearing a registration number assigned by the State plant regulatory agency. The label certificates are affixed to one of the shipping documents (bill of lading, air waybill, etc.). Label certificates and other aspects of the Program satisfy the phytosanitary import requirements of Canada. (See [Export Certification Label](#) on page 5-5-12.)

Eligible Plants

Eligible plants are those commonly known and recognized as indoor foliage and flowering plants and those categorized as bedding plants intended for either indoor or outdoor planting.

The majority of eligible plants fall into the following categories:

- ◆ Bedding plants
- ◆ Cacti
- ◆ Flowering plants
- ◆ Foliage plants
- ◆ Orchids
- ◆ Potted bulb plants
- ◆ Succulents

Trade in protected plant species is subject to CITES and ESA requirements. See [Special Programs • Protected Commodities](#) on page 5-8-1 for instructions on handling protected plants.

Excluded Plants

The following plants **cannot** be shipped to Canada under the Program:

- ◆ *Abies* spp.
- ◆ *Acer* spp.
- ◆ *Aesculus* spp.
- ◆ *Ajania* spp.
- ◆ *Allium* spp.
- ◆ *Arbutus* spp.
- ◆ *Artctostaphylos* spp.
- ◆ *Berberis* spp.
- ◆ *Capsicum* spp.

- ◆ *Castanea* spp.
- ◆ *Chaenomeles* spp.
- ◆ *Chrysanthemum* spp. (**except** finished pot mums)
- ◆ *Corylus* spp.
- ◆ *Crataegus* spp.
- ◆ *Cydonia* spp.
- ◆ *Dendranthema* spp. (**except** finished pot mums)
- ◆ *Elodea densa*
- ◆ *Gaylussacia* spp.
- ◆ *Heteromeles* spp.
- ◆ *Hydrilla verticillata*
- ◆ *Juniperus* spp.
- ◆ *Larix* spp.
- ◆ *Leucanthemella* spp.
- ◆ *Lithocarpus* spp.
- ◆ *Lonicera* spp.
- ◆ *Lycopersicon* spp.
- ◆ *Mahoberberis* spp.
- ◆ *Mahonia* spp.
- ◆ *Malus* spp.
- ◆ *Myriophyllum* spp.
- ◆ *Nicotiana tabacum*
- ◆ *Nipponanthemum* spp.
- ◆ *Picea* spp.
- ◆ *Pinus* spp.
- ◆ *Pittosporum* spp.
- ◆ *Prunus* spp.
- ◆ *Pseudotsuga* spp.
- ◆ *Pyrus* spp.
- ◆ *Quercus* spp.
- ◆ *Rhamnus* spp.
- ◆ *Rhododendron* spp.
- ◆ *Rhus* spp.

- ◆ *Rubus* spp.
- ◆ *Sequoia* spp.
- ◆ *Solanum* spp.
- ◆ *Trapa* spp.
- ◆ *Ttientalis* spp.
- ◆ *Ulmus* spp.
- ◆ *Vaccinium* spp.
- ◆ *Viburnum* spp.
- ◆ *Vitis* spp.
- ◆ *Zelkova* spp.

Propagative Origin

All plants shipped to Canada under the Program **must** originate in the U.S.

Propagative plant material originating from offshore sources shall remain segregated at the establishment until the plants complete a cycle of vegetative growth.

Export Standards

Nursery establishments **must** meet the following export standards in order to participate in the Program:

1. If the nursery establishment is located in Japanese beetle (*Popillia japonica*)-infested areas, it will be governed by the provisions of the Canada-U.S. Japanese Beetle Harmonization Plan.



The Canada-U.S. Japanese Beetle Harmonization Plan is in Canada's export summary under *General Information*.

2. Cultural and/or pest control practices **must** be adequate to prevent any possible infestation with the following plant pests of quarantine significance to Canada:
 - A. Apple maggot (*Rhagoletis pomonella*)
 - B. Blueberry maggot (*Rhagoletis mendax*)
 - C. Brown garden snail (*Helix aspersa*)

- D. Columbia root-knot nematode (*Meloidogyne chitwoodi*)
- E. Gypsy moth (*Lymantria dispar*)
- F. Japanese beetle (*Popillia japonica*)
- G. Soybean cyst nematode (*Heterodera glycines*)
- H. Other plant pests of quarantine concern to Canada

See also Canada's export summary for pest mitigation measures applicable to the State of origin.

3. **Must** be considered practically free² from other injurious plant pests.
4. Maintain a zero tolerance for regulated pests³ in the greenhouses and/or screenhouses.
5. If a nursery establishment is found in noncompliance with the sanitation criteria, then the nursery establishment will be removed from the Program and its Compliance Agreement will be canceled.
6. Nursery establishments sanctioned for noncompliance will **not** be eligible for reinstatement in the Program until subsequent official inspections indicate the pest problems were eliminated.

Responsibilities

See the following responsibilities of those entities participating in the Program:

- ◆ *Brokers*
- ◆ *Canadian Food Inspection Agency*
- ◆ *Nursery Establishments*
- ◆ *PPQ*
- ◆ *State Plant Regulatory Agency*

Nursery Establishments

Responsibilities of a nursery establishment are as follows:

-
2. Practically free means **not** to exceed a 2% infestation level of non regulated pests unless otherwise stated by Canada. The practically free condition represents a judgment that the pests are **not** in excess of the amount expected to result from, and be consistent with, good culturing and handling practices used in producing and marketing the commodity.
 3. Each importing country identifies its regulated pests listed as prohibited in the importing country's plant quarantine import requirements (export summary). Regulated pests are of potential economic importance to the area endangered, and are **not** present, or present but **not** widely distributed are being officially controlled.

1. To be under a compliance agreement with their applicable State plant regulatory agency and **must** use State-approved practices for nursery sanitation and pest control. Compliant nursery establishments will be denoted as designated facilities.
2. To receive regular export inspections by the State plant regulatory agency. The frequency of inspections will be specified in a Compliance Agreement.
3. To have a competent staff capable of carrying out the requirements of the Program.
 - A. At least one staff member **must** have a thorough understanding of the Program and **must** be able to demonstrate the capability to carry out the requirements of the Program and shall be designated as the Facility Contact Person.
 - B. All other staff members should be aware of the export standards and trained, if deemed necessary, to carry out certain functions of the Program.
4. To have a pest management program in effect that will assure consistent compliance with the export standards of this Program.
 - A. The pest management program may be one that is established and recommended by the State plant regulatory agency or by industry, or may be specifically developed by the nursery establishment.
 - B. Program procedures **must** be documented for review by the State plant regulatory agency.
5. To hold new plant material brought into the greenhouse for inspection before moving the material into the main production area. If pests are found, immediately eradicate.
6. To have qualified personnel inspect the plant material at a frequency specified in the pest management program.
 - A. If pests are detected, control measures **must** be taken to ensure compliance with the export standards.
 - B. When preparing shipments for export, examine the plants and shipping areas to prevent pest contamination and to ensure the export standards are met.
 - C. When requested by the State plant regulatory agency, PPQ, or CFIA, make available inspection reports that include the inspection date, the names of plants inspected, the inspection results, and any corrective actions.
7. To use other pest detection methods to obtain early warnings of pest infestations (e.g., sticky traps, pheromone traps), because eradication may be more easily achieved if infestations are detected when the pest population is small or in juvenile stages.

Immediately notify the State plant regulatory agency of any uncommon pest damage or symptoms or when regulated pests are detected or suspected.

8. To maintain records and include the origin for all nursery-grown plants exported under the Program.
 - A. Records **must** list the names of all exported plants and the serial numbers of export certification labels used.
 - B. Records **must** be maintained for at least 1 year and **must** be made available when requested by the State plant regulatory agency, PPQ, or Canadian Food Inspection Agency (CFIA).
9. To have an approved export certification label bearing the grower's assigned registration number, and be affixed to one of the shipping documents (bill of lading, air waybill, etc.) for shipments of plant material destined to Canada (see [Export Certification Label](#) on page 5-5-12).

Brokers

Responsibilities of brokers and nursery establishments who ship plants produced in other designated facilities as follows:

1. To record the sources of the plants including the source identification number.
2. To submit a trace-back plan to the State plant regulatory agency for approval, prior to exportation.
3. To have designated facilities apply an export certification label to the invoice issued to the broker or nursery establishment shipping the product.
4. When plants sourced from nondesignated facilities are shipped with an export certification label, to prepare an inspection report by the State plant regulatory agency and to maintain it for at least 1 year from the shipping date.

State Plant Regulatory Agency

Responsibilities of the State plant regulatory agency are as follows.

1. To conduct the initial inspection of a nursery establishment that has applied to participate in the Program, to ensure the nursery can meet the Program requirements.
2. To conduct export inspections of participating nursery establishments at the frequency specified in their Compliance Agreement.
 - A. If a regulated pest is found during an inspection, the certification status of the nursery will be immediately revoked.

- B.** The identifying mark affixed to an export certification label is the property of the State plant regulatory agency. Therefore, if a nursery's certification is revoked, the nursery **must** surrender export certification labels to the State plant regulatory agency.
- C.** After pest eradication, the facility operator **must** notify the Agency and arrange for reinspection. This follow-up inspection is required to verify pest eradication from the facility.
- D.** If an inspection reveals a significant population of a nonregulated pest, the certification status of the nursery establishment will be revoked until a follow-up inspection confirms that the pest problem has been controlled. Export certification labels may **not** be used until certification is reinstated. While under suspension, a nursery establishment may obtain PPQ Form 577s if the subject nonregulated pest has been eradicated from the plant material destined for export.
- E.** If an inspection reveals a population of nonregulated pests at a low and commonly accepted level, record the pest findings and advise the nursery establishment operator to take immediate control measures. Export certification labels may be used for plants meeting the export standards at the time of shipment. However, if the nursery establishment **cannot** maintain satisfactory export controls, the nursery establishment will lose its designated status and will become ineligible for the Program.
- 3.** To conduct audit inspections to ensure the nursery establishment is exporting **only** eligible plants and is following approved Program procedures.
- 4.** To provide a list of designated nursery establishments to the responsible PPQ State Plant Health Director (SPHD). The list should include, for each nursery establishment, its name, address, and designated number.
- 5.** To notify the responsible PPQ SPHD of any revocations along with the identification number of the affected nursery establishment.
- 6.** Upon request, to provide PPQ with pertinent information regarding Program operations in its respective State. Pertinent information includes the following and would be provided to CFIA by PPQ as necessary:

 - A.** Export statistics
 - B.** Names of participating nursery establishments and their assigned registration number

- C. Violations of Program conditions and resultant sanctions, if any

PPQ

Responsibilities of PPQ are as follows.

1. To monitor Program operation throughout the U.S.
2. To affect necessary changes to maintain the viability and integrity of the Program.
3. To send via SPHDs the information on participating nursery establishments and revocations to Export Services (ES).
4. To send via ES a list of participating nurseries to Canada and notify the CFIA of revocations.

Canadian Food Inspection Agency

The CFIA has the privilege of conducting an on-site inspection of any participating nursery establishment. Therefore, the CFIA is responsible for providing advance notice to PPQ of its intention to conduct an on-site inspection.

Suggested Compliance Agreement Elements

The suggested elements of compliance agreements established under the Program are as follows (see [Figure 5-5-1 on page-5-5-11](#) for an example of a Compliance Agreement for the export of greenhouse-grown decorative plants to Canada):

1. Attach to the compliance agreement a list of excluded plants so the participating nursery establishment is aware of the plants that are **not** to be exported to Canada under the Program.
2. Plants **must** be grown in a growing area (greenhouse and/or screenhouse) approved by the State plant regulatory agency.
3. The nursery establishment **must** use sanitation measures and cultural and pest control practices approved by the State plant regulatory agency. Such practices **must** be designed to prevent the introduction and establishment of any pest of quarantine concern to Canada.
4. If the nursery establishment is located in a Japanese beetle infested area, the establishment will be governed by the provisions of the Canada-U.S. Japanese Beetle Harmonization Plan.
5. The State plant regulatory agency and/or PPQ will conduct export inspections of participating nursery establishments at least once per month. A reduction in this frequency may be considered when a record of standards compliance is

established. Timing of inspections should be influenced by the type of plant material being grown in greenhouses and/or screenhouses at the nursery establishment and the potential for pest infestations.

- 6.** The State plant regulatory agency and/or PPQ will conduct audit inspections to ensure **only** approved plants are being exported and approved program procedures are being followed.
- 7.** An export certification label bearing the nursery's assigned registration number **must** be affixed to one of the shipping documents (bill of lading, air waybill, etc.) in a manner to be readily visible to an inspector at the Canadian point of entry.
- 8.** Records of plant inventories, including origin of plants and date of receipt of any nursery-grown plant shipped under the Program, are to be maintained at the nursery premises for at least 1 year after shipment. Upon request, these records are to be made available to the State plant regulatory agency and CFIA.
- 9.** The Compliance Agreement should include a notation to the effect that the Plant Protection Division, CFIA has the right, following advance notification, to conduct an on-site inspection of any establishment in the U.S. that is participating in the Program.
- 10.** Violation of any stipulation of the Compliance Agreement will be grounds for Agreement termination. If a violation occurs, the participating nursery establishment will be immediately suspended for a period agreed to by PPQ and CFIA.
- 11.** Each Compliance Agreement is to be countersigned by a PPQ SPHD or authorized representative.

FLORIDA
COMPLIANCE AGREEMENT
EXPORT OF GREENHOUSE-GROWN DECORATIVE PLANTS TO CANADA

I/We agree that **no** liability shall be attached to the Florida Department of Agriculture and Consumer Services (FDACS), Division of Plant Industry (DPI), or any of their employees in the event of injury to property or personnel. I/We further agree to carry out sanitary measures which may be required by the DPI and to carry out and abide by the following stipulations:

1. This agreement will be evaluated on a quarterly basis. If the time expended on an inspection of the nursery is greater than what would be incurred on inspections of individual shipments during that quarter, this agreement will be revoked.
2. This agreement shall pertain **only** to shipments of those plants commonly known and recognized as house plants and are grown solely for indoor decorative purposes. The majority of eligible plant types fall into the following categories:
 - ◆ bedding plants
 - ◆ cacti
 - ◆ flowering plants
 - ◆ foliage plants
 - ◆ orchids
 - ◆ potted bulb plants
 - ◆ succulents
3. No plants on the excluded list (see attached list) are to be shipped to Canada under this program.
4. Eligible decorative plants purchased from other Florida nurseries intended for shipment to Canada under this agreement **must** originate from nurseries under compliance (U.S./Canada Greenhouse Certification Program) or be inspected and certified by an authorized representative of DPI at the time of shipment.
5. Plant material originating from offshore sources shall remain segregated at this establishment until such time as the plants have completed a significant cycle of vegetative growth.
6. Certification of plant material regulated under the Convention on the International Trade of Endangered Species (CITES) **must** be processed through designated USDA-PPQ ports. Authorized Florida CITES ports are:

Miami Inspection Station	Orlando Inspection Station
USDA-APHIS-PPQ	USDA-APHIS-PPQ
P.O. Box 592136	9317 Tradeport Drive
Miami, Florida 33159	Orlando, Florida 32827
Tel: (305) 525-2825	Tel: (407) 648-6856
7. This nursery establishment **must** use approved nursery sanitation and pest control practices, receive quarterly inspections by an authorized representative of DPI and the cost of such inspections may be borne by this establishment.
8. Plants **must** be grown in a DPI approved growing area.
9. Plants **must** be grown in a manner to prevent any possible infestation with soybean cyst nematodes, *Heterodera glycines*.
10. A sticker or label bearing an assigned grower's number and stamp certification (which will serve as the required certificate of inspection) **must** be affixed to the shipping documents (bill of lading, air waybill, etc.) accompanying each shipment so as to be readily visible to an inspector at the Canadian port of entry.

FIGURE 5-5-1: Example of Compliance Agreement for the Export of Greenhouse Grown Decorative Plants to Canada

11. Records of plant inventories, including origin of plants, of any nursery grown plant shipped under this program are to be maintained at the nursery premises for at least 1 year after shipment. These records are to be made available on request to DPI and the Plant Protection Division (PPD), CFIA.
12. Representatives of DPI and/or PPQ will conduct audit inspections to ensure that **only** approved plants are being exported and that approved program procedures are being followed. Audit inspections will be conducted during normal business hours.
13. PPD, CFIA has the right, following advance notification, to conduct an on-site inspection of the establishment covered under this Compliance Agreement.
14. Violation of any stipulation of this agreement is grounds for suspension and may result in prosecution as provided by Sections 581.141 and 581.211 Florida Statutes.

Items **not** eligible for export under this cooperative program **must** be inspected and certified by DPI on a shipment-by-shipment basis using the standard State of Florida phytosanitary certificate.

I, _____, the owner/person in possession, care or control of the above named establishment have read and understand all of the conditions and obligations stated herein by which I may export specific species of foliage plants, in accordance with the Greenhouse Inspection Program which governs the movement of greenhouse plants between the United States and Canada.

SIGNATURE TITLE DATE

INSPECTOR DATE
DIVISION OF PLANT INDUSTRY
FLORIDA DEPARTMENT OF AGRICULTURE & CONSUMER SERVICES

WITNESSED BY:

Inspector
Animal and Plant Health Inspection Service
United States Department of Agriculture

FIGURE 5-5-1: Example of Compliance Agreement for the Export of Greenhouse Grown Decorative Plants to Canada

Export Certification Label

Export certification labels serve as PPQ Form 577s for eligible commodities exported to Canada from nursery establishments participating in the Program (see [Figure 5-5-2 on page-5-5-13](#) for an example of an export certification label). Each nursery establishment is assigned an identification number. The identification number, as well as a label serial number, appears on each export certification label issued to the nursery establishment. These numbers make each export certificate label unique. In addition, export certification labels bear the following statement:

This shipment of greenhouse-grown plants meets the import requirements of Canada and is believed to be free from injurious plant pests.

The participating nursery establishment is responsible for paying all costs associated with obtaining export certification labels, although the labels remain the property of the State plant regulatory agency. The export certification labels **must** meet the specifications as shown in [Figure 5-5-2](#). The State plant regulatory agency authorizes the printing of the export certification labels and provides the identification number and serial number to be used. In this example, the nursery's identification number is prefaced by the two-letter State abbreviation; "FL" standing for Florida. The serial numbers are to be used **only** once.

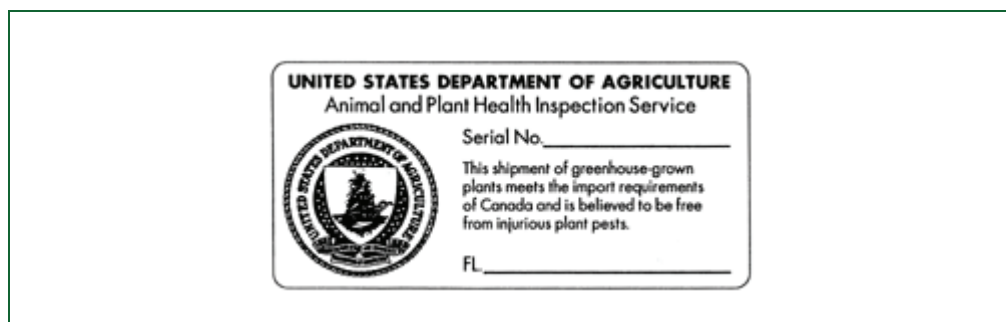


FIGURE 5-5-2: Example of PPQ Export Certification Label

Each export certification label **must** be affixed to an air waybill, bill of lading, or other shipping document that accompanies each shipment.

Participating nursery establishments **must** exercise strict control over export certification label use. Records **must** be kept of label serial numbers that are in stock and that have been used. Under **no** circumstances should export certification labels be given to anyone **other than** a person authorized by and employed by the participating nursery establishment. Failure to do so results in immediate suspension from the Program.

All plants shipped under the Program **must** have been propagated and produced in a participating nursery establishment or inspected by the State plant regulatory agency. If plants sourced from a nondesignated facility are mixed with plants from a designated facility, the plants **must** be inspected by the State plant regulatory agency. The participating nursery establishment **must** keep a copy of the State inspection report with its documentation. If the entire shipment contains plants that were from a nondesignated facility, a normal inspection is required and would be certified with a PPQ Form 577.

5

Export Program
Manual

Special Procedures

Special Programs • Mail Exports

Contents

- Introduction **page 5-6-1**
- Handling Inquiries for Obtaining Certification by Mail **page 5-6-1**
- Inspecting and Certifying Plant Material in the Mail **page 5-6-1**
- Exporter Procedures to Request PPQ Form 577 for Plant Material Exported by Mail **page 5-6-2**

Introduction

These special procedures cover how to process plant material offered for export by mail. Included at the end of these special procedures are suggested procedures for exporters to request an export certificate by mail.

Handling Inquiries for Obtaining Certification by Mail

When an exporter asks how to export plant material by mail, an Authorized Certification Official (ACO) should provide the exporter with the following information:

- ◆ PPQ Form 572 plus completing instructions (see *PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export* on **page K-1-12**)
- ◆ Suggested procedures at the end of this section (see *Exporter Procedures to Request PPQ Form 577 for Plant Material Exported by Mail* on **page 5-6-2**)


Before giving or sending the suggested procedures and form to the exporter, designate a port of exit address. Write or type the address of the designated port of exit in the appropriate step of the suggested procedures.

Inspecting and Certifying Plant Material in the Mail

When plant material arrives at a port of exit for processing, ACOs should perform the following.

- 1.** Inspect the plant material. Use **Table 5-6-1** on **page-5-6-2** to take the appropriate action.

TABLE 5-6-1: Action to Take Based on Inspection Results

If the plant material is found:	And:	Then:
Free from plant pests	Meets other import requirements of the receiving country	1. ISSUE PPQ Form 577 (see <i>Example</i> on page 3-8-3) 2. GO to 2., below
	Does not meet the other import requirements of the receiving country	1. REFUSE to issue PPQ Form 577 2. SAFEGUARD the plant material 3. CONTACT the exporter by phone so that the exporter can request to either ◆ DISPOSE of the plant material, or ◆ RETURN the plant material to the exporter with a brief explanation of why the material cannot be certified (such returns are made at the Government's expense)
Infested or infected with plant pests or diseases		

2. Place the Shipper's Original (Part 1) of PPQ Form 577 inside the package.
3. Rewrap the package using the first wrapper.
4. Return the package to postal authorities for mailing to the foreign address.
5. Mail the Shipper's Copy (Part 2) and a photocopy of PPQ Form 577 to the exporter.
6. Distribute and maintain the remaining copies (Parts 3 and 4) of PPQ Form 577 as directed in [Table 3-14-1](#) on [page-3-14-2](#).

Exporter Procedures to Request PPQ Form 577 for Plant Material Exported by Mail

These are suggested procedures for an exporter who requests a Federal inspection and certification of plant material offered for export by mail.



Important

These suggested procedures are to be used **only** for mail shipments of plant material.

1. Complete PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export. (See the attached blank form and instructions.) Include your phone number on the form in case an ACO needs to contact you.

2. Include with the plant material, the completed PPQ Form 572 and any State export certificate that is required for the plant material.
3. Pack the plant material in the first of two boxes or wrappers. Close up the first box or wrapper so it can be opened without defacing the address or postage. This first box or wrapper should have on the outside the following:
 - A. Foreign address
 - B. Customs Declaration Form 6059B (retrieve from the local Post Office)
 - C. Postage to cover mailing the package from the U.S. to the foreign address



Important

The local Post Office should **not** cancel the postage on the first wrapper.

4. Pack the first box or wrapper containing the plant material into a second box or wrapper. Place enough postage on the second box or wrapper to cover mailing the package to the port of exit listed in #5 below.
5. Mail the package to the designated port of exit.

The designated port of exit for this package is *[designated port of exit name and address]* (address entered by ACO).

For your information, the ACO at the port of exit will inspect the plant material. If the plant material is found free from plant pests and otherwise meets the import requirements of the foreign country, the ACO will issue PPQ Form 577. The original copy of PPQ Form 577 will be placed in the package, and two copies will be mailed to you. Your package will be rewrapped with the first wrapper and returned to the postal authorities for mailing to the foreign address.

If the plant material **cannot** be certified because it was found to be infested or otherwise **does not** meet the import requirements, the ACO will contact you by phone. Your package will be either returned to you or disposed of.

5

Export Program
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Special Procedures

Special Programs • Mill Certification Program

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Biannual Audit Checklist for Certification Programs	page 5-7-30

Introduction

These special procedures provide information about the Memorandums of Understanding (MOUs) PPQ has initiated with numerous lumber grading agencies, who provide the oversight of Mill Certification Programs. The purpose of the MOUs is to facilitate exports of coniferous sawn wood and to address the export concerns of the importing country.

Coniferous sawn wood is an important export from the U.S., which is highly regulated because of various pests, including the pine wood nematode, *Bursaphelenchus xylophilus*. Therefore, the MOUs establish how the wood products will be inspected and treated at the mill and the documentation that the mill will supply to PPQ for export certification of coniferous sawn wood.

Two of the MOUs eliminate the need to issue a PPQ Form 577 for coniferous sawn wood and allow participating lumber mills to issue their own certification for kiln dried coniferous lumber going to Member States of the European Union. The two MOUs are for the following situations:

- ◆ Coniferous sawn wood using heat treatment certification
- ◆ Debarking and grub hole control of coniferous sawn wood

Mill Certification Programs for coniferous sawn wood utilize the MOUs listed below and further detail:

- ◆ *Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union*
- ◆ *Kiln-Dried Coniferous Sawn Wood Going to Non European Union Member States*
- ◆ *Debarking and Grub Hole Control of Coniferous Sawn Wood*
- ◆ *Biannual Audit Checklist for Certification Programs*

Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union

The Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union is the most widespread of the Mill Certification Programs. This program provides an industry certification system that is officially approved to meet the phytosanitary import requirements of the European Union for coniferous wood from the U.S.

See [Figure 5-7-1](#) on [page-5-7-3](#) and [Figure 5-7-2](#) on [page-5-7-4](#) for an example of an MOU for a Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union.

Export shipments of wood from lumber mills that are **not** participating in a Mill Certification Program may be certified to Member States of the European Union with PPQ Form 577, if the mill meets the criteria specified in the export summary for the European Union.



Advise exporters that shipments may be rejected or destroyed at destination if the wood has **not** been sawn or kiln dried and heat treated, and is **not** accompanied by the proper certificate.

**3.2-34-85-0254-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)**

ARTICLE 1

The Memorandum facilitates the implementation of an officially approved industry certification system to satisfy the legislation of the European Community derived from Plant Health Directive 77/93/EEC, as amended, with respect to heat treatment of coniferous sawn wood destined to the European Union.

ARTICLE 2

Authority exists under the Plant Protection Act of Section 431 (a), Public Law 106-224, for the Secretary of Agriculture to cooperate with the States of political subdivisions thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

- a. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspectional personnel shall remain administratively responsible to the Association.
- b. The basic control requirement for coniferous sawn wood under this system is heat treating/kiln drying to the extent that all parts of the wood, including the core, have reached a temperature of at least 133 degrees F (56 degrees C) for 30 minutes.

ARTICLE 4

The Association agrees to/that:

- a. Heat treated/kiln dried coniferous sawn wood shipments shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as conforming to the certification statement imprinted on the Heat Treatment Certification Using a Kiln Facility Certificate. A sample of this certificate is annexed to this Document.
- b. Shipments of coniferous sawn wood moving into export channels that have been heat treated/kiln dried according to the requirements of this system shall have bundles of coniferous wood in the shipment marked "HT" or "KD" at the preparing mill.
- c. Maintain signed agreements with participating mills, a register of participating mills, a registry of employees/agents to issue the Heat Treatment Certification Using a Kiln Facility Certificate, a register of agency employees who are authorized to authenticate such certificates, and copies of all certificates issued.
- d. Provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.
- e. Make files and records available for review by APHIS in carrying out its responsibilities outlined in Article 5. Records will be retained for 3 years after the close of the Federal fiscal year.

ARTICLE 5

APHIS agrees to monitor the certification system for conformance by conducting random biannual inspections (minimally) at participating companies and at points of export and by reviews Lumber Grading Agency files and records.

FIGURE 5-7-1: Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States (front)

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.

ARTICLE 7

Pursuant to Section 22, Title 41, United States Code, no member or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise there from.

ARTICLE 8

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either party upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ Date _____

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

[Signature] _____ Date _____
Regional Director

FIGURE 5-7-2: Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States (back)

Heat Treatment Declaration

These special procedures cover the export certification of wood and wood products requiring a heat treatment declaration.

ACOs may record an unmonitored heat treatment on an export certificate when the following conditions apply:

The material presented can be verified as the material represented on the certificate (lot numbers, board feet, etc.).

AND

The material is from a mill approved by the USDA and meets the facility specifications of the Center for Plant Health Science and Technology (CPHST) as noted in T404-e-2;

OR

The material is from a treatment facility certified under the “Certifying Facilities” guidelines in the *Treatment Manual* http://www.aphis.usda.gov/ppq/manuals/port/Treatment_Chapters.htm (section 6.6) and performed by an APHIS inspector (PPQ, ACO, ALSC).

Lumber Grading Agencies

Official control of Mill Certification Programs is maintained through MOUs established between PPQ and lumber grading agencies. The participating lumber grading agencies formulate, publish, and maintain grading rules, and provide inspection facilities for softwood under the provisions of the American Softwood Lumber Standard.

See **Figure 5-7-3** on **page-5-7-6** for a list of the lumber grading agencies participating in Mill Certification Programs for heat treatment of coniferous sawn wood going to Member States of the European Union.

Special Procedures: Special Programs • Mill Certification Program

Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union

PPQ Region	Participating Lumber Grading Agency	Lumber Grading Agency Contact
Eastern	Northeastern Lumber Manufacturer's Association, Inc. 272 Tuttle Road Cumberland Center, Maine 04021	Jeff Easterling Executive Vice President Phone: 207-829-6901 FAX: 207-829-4293
	Renewable Resource Associates, Inc. 860 Johnson Ferry Road Suite 140 - 194 Atlanta, GA 30342	Lon J. Sibert President Phone: 678-528-3734 Cell: 770-330-9416 EFAX: 678-325-7330
	Southern Pine Inspection Bureau 4709 Scenic Highway Pensacola, Florida 32504	Tom S. Jones President Phone: 850-434-2611 FAX: 850-433-5594
	Timber Products Inspection, Inc. 1641 Sigman Road Conyers, Georgia 30012	David Conner Lumber Division Director Phone: 770-922-8000 FAX: 770-922-1290
Western	California Redwood Association and Redwood Inspection Service 818 Grayson Road, Suite 201 Pleasant Hill, CA 94523	Charles Jourdain President Phone: 925-935-1499 FAX: 925-935-1496
	Pacific Lumber Inspection Bureau, Inc. 1010 S 336th Street Federal Way, WA 98003	Jeff Fantozzi Secretary/General Manager Phone: 253-835-3344 FAX: 253-835-3371
	West Coast Lumber Inspection Bureau Box 23145 Portland, Oregon 97281-3145	Brad Shelley Executive Vice President Phone: 503-639-0651 FAX: 503-684-8928
	Western Wood Products Association 522 SW Fifth Avenue, Suite 500 Portland, Oregon 97204	Jim Matthews Asst. Director of Quality Standards Phone: 503-224-3930 FAX: 503-224-3934
	Timber Products Inspection, Inc. 105 SE 124th Avenue Vancouver, Washington 98684	Casey Dean Director of Western Operations Phone: 360-449-3840 x12 FAX: 360-449-3953

FIGURE 5-7-3: Lumber Grading Agencies Participating in Mill Certification Programs for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States

Heat Treatment Certification Using a Kiln Facility

Lumber exported under a Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union **must** be accompanied by a mill certificate, “Heat Treatment Certification Using a Kiln Facility.” The mill certificate attests that the wood has been properly heat treated.

Only sawn wood that has been kiln dried according to the provisions of the American Softwood Lumber Standard may be exported under this Mill Certification Program.

(See [Figure 5-7-4](#) on [page-5-7-8](#) for an example of Heat Treatment Certification Using a Kiln Facility.)


 <p>TIMBER PRODUCTS INSPECTION</p>	<h2 style="margin: 0;">HEAT TREATMENT CERTIFICATION USING A KILN FACILITY</h2>	<p>CERTIFICATE NUMBER</p>	
<p>NAME AND ADDRESS OF SUPPLYING MILL (or as indicated in DESCRIPTION OF CONSIGNMENT)</p>		<p>NAME AND ADDRESS OF CONSIGNEE</p>	
<p>The lumber described below is certified to have undergone an appropriate heat treatment to achieve a minimum wood core temperature of 56 degrees C for 30 minutes.</p>			
<p>DESCRIPTION OF CONSIGNMENT</p>		<p>VOLUME</p>	
<p>INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT.</p>			
<p>This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No financial liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.</p>			
<p>AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION</p>			
<p>NAME (Print)</p>	<p>SIGNATURE</p>	<p>TITLE</p>	<p>DATE</p>
<p>AGENCY VALIDATION</p>			
<p>SIGNATURE</p>		<p>TITLE</p>	<p>DATE</p>

FIGURE 5-7-4: Example of Heat Treatment Certification Using a Kiln Facility

Mill Certification Program Responsibilities

When an MOU establishes a Mill Certification for heat treatment of coniferous sawn wood going to Member States of the European Union, the lumber grading agencies, the participating lumber mills, and the PPQ regional offices each have stipulated responsibilities. These program responsibilities are listed below for the following:

- ◆ *Lumber Grading Agencies*
- ◆ *Lumber Mills*
- ◆ *PPQ Regional Offices*

Lumber Grading Agencies

The responsibilities of lumber grading agencies, as stipulated in the MOUs, are as follows:

- ◆ Perform a monthly check of Mill Certification Program's quality control
- ◆ Maintain copies of issued certificates
- ◆ Maintain a list of designated personnel at each participating lumber mill who are approved to issue mill certificates
- ◆ Maintain signed agreements with participating lumber mills
- ◆ Provide training to participating lumber mills' inspectors
- ◆ Validate mill certificates issued by

Lumber Mills

The responsibilities of participating lumber mills, as stipulated under the MOUs, are as follows:

- ◆ Designate personnel to issue mill certificates (*Heat Treatment Certification Using a Kiln Facility* on page 5-7-7)
- ◆ Send issued mill certificates to the lumber grading agency for final review and validation
- ◆ Treat all shipments of coniferous sawn wood moving under a Mill Certification Program according to the American Softwood Lumber Standard for heat-treated or kiln-dried wood

PPQ Regional Offices

The responsibilities of the designated PPQ regional offices are as follows:

- ◆ Conduct biannual audits of each lumber grading agency for which an MOU is signed and of its participating lumber mills (see also *Biannual Audit Checklist for Certification Programs* on page 5-7-30)
 - ❖ Meet with each lumber grade agency and participating lumber mills to review documentation
 - ❖ Confirm at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certification Program are meeting its conditions
 - ❖ Collect and submit to Export Services (ES) the results of the biannual audit by October 1 of each year (see *Figure 5-7-19* on page-5-7-30 for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)
- ◆ Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- ◆ Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- ◆ Randomly inspect for conformance to the Mill Certification Program participating lumber mills and shipments of wood at points of export
- ◆ Randomly review the files and records of participating lumber grading agencies

Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Kiln-Dried Coniferous Sawn Wood Going to Non European Union Member States

MOUs and Mill Certification Programs established for kiln-dried coniferous sawn wood going to non European Union Member States are similar to those previously mentioned (for coniferous sawn wood going to Member States of the European Union), yet are different in that they cover **only** kiln-dried coniferous sawn wood.

Wood that has been heat treated or merely debarked is **not** authorized under these MOUs.

See *Figure 5-7-5* on page-5-7-11 for an example of an MOU for kiln-dried coniferous sawn wood.

12-34-8x-xxx-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)

ARTICLE 1

The Memorandum facilitates the implementation of an officially approved industry certification system to provide an alternative basis for the Federal phytosanitary certification of kiln dried coniferous sawn wood. This program does not apply to European Union (EU) member states.

ARTICLE 2

Authority exists under the Plant Protection Act of Section 431 (a), Public Law 106-224, for the Secretary of Agriculture to cooperate with the States of political subdivisions thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

- a. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspectional personnel shall remain administratively responsible to the Association.
- b. The basic control requirement for coniferous sawn wood under this system is kiln drying to the extent that all parts of the wood have reached a temperature of at least 160 degrees F (71 degrees C) and the moisture content of the wood has been reduced to less than 20 percent by weight.

ARTICLE 4

The Association agrees to/that:

- a. Kiln dried coniferous sawn wood shipments shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as confirming to the certification statement imprinted on the **Mill Certificate of Kiln Drying**. A sample of this certificate is annexed to this document.
- b. Shipments of coniferous sawn wood moving into export channels that have been kiln dried according to the requirements of this system shall have bundles of coniferous wood in the shipment marked "KD" or "Kiln Dried" at the preparing mill.
- c. Maintain signed agreements with participating mills, a register of participating mills, including names and representatives approved to issue **Mill Certificates of Kiln Drying**, and copies of all certificates issued.
- d. Provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.
- e. Make files and records available for review by APHIS in carrying out its responsibilities outlined in Article 5. Records will be retained for 3 years after the close of the Federal fiscal year.

ARTICLE 5

APHIS agrees to monitor the certification system for conformance by conducting random biannual inspections (minimally) at participating companies and at points of export and by reviews Lumber Grading Agency files and records.

FIGURE 5-7-5: Example of MOU for Kiln Dried Coniferous Sawn Wood (front)

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.

ARTICLE 7

Pursuant to Section 22, Title 41, United States Code, no member or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise there from.

ARTICLE 8

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either party upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ Date _____

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

[Signature] _____ Date _____
Regional Director

FIGURE 5-7-6: Example of MOU for Kiln Dried Coniferous Sawn Wood (back)

Lumber Grading Agencies

PPQ established MOUs with lumber grading agencies to facilitate the export certification of kiln dried coniferous sawn wood going to **non** European Union Member States. See [Figure 5-7-7](#) on [page-5-7-13](#) for a list of participating lumber grading agencies.

Lumber Grading Agency	Lumber Grading Agency Contact
California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, No. 200 Novato, California 94949	Christopher Grover Executive Vice President Phone: 415-382-0662 FAX: 415-382-8531
Pacific Lumber Inspection Bureau Inc. P.O. Box 7235 Bellevue, Washington 98008	Jeff Fantozzi Secretary/Manager Phone: 253-835-3344 FAX: 253-746-5522
Renewable Resource Associates, Inc. 860 Johnson Ferry Road Suite 140 - 194 Atlanta, GA 30342	Lon J. Sibert President Phone: 678-528-3734 Cell: 770-330-9416 EFAX: 678-325-7330
Timber Products Inspection, Inc. 105 SE 124th Avenue Vancouver, Washington 98684	Casey Dean Chief Lumber Inspector Phone: 360-449-3138 FAX: 360-449-3953
Timber Products Inspection, Inc. 1641 Sigman Road Conyers, GA. 30012	David Conner Lumber Division Phone: 770-922-8000 FAX: 770-922-1290
West Coast Lumber Inspection Bureau Box 23145 Portland, Oregon 97281-3145	Jim Neeber Executive Vice President Phone: 503-639-0651 FAX: 503-684-8928
Western Wood Products Association 522 SW Fifth Avenue Portland, OR 97220	Jim Matthews Assistant Director of Quality Standards Phone: 503-224-3930 FAX: 503-224-3934

FIGURE 5-7-7: Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying of Coniferous Sawn Wood

Mill Certificate of Kiln Drying

All shipments of kiln-dried coniferous sawn wood certified under these MOUs **must** have mill certificates validated by a participating lumber grading agency. The mill certificates **must** be presented to PPQ for conversion to PPQ Form 577 (see [Figure 5-7-8](#) on [page-5-7-14](#) for an example of a Mill Certificate of Kiln Drying).

MILL CERTIFICATE OF KILN DRYING		CERTIFICATE NUMBER	
NAME AND ADDRESS OF SUPPLYING MILL		NAME AND ADDRESS OF CONSIGNEE	
The lumber described below is certified to have been kiln dried to the extent that all parts of the wood have reached a temperature of at least 160 degrees F. (71 degrees C.) and the moisture content is less than 20 percent.			
DESCRIPTION OF CONSIGNMENT		VOLUME	
INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT (<i>Lot number and volume are required</i>).			
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> Mill Order No.: _____ Invoice No.: _____ Customer No.: _____ </div> <div style="width: 45%;"> Number of Bundles.: _____ Marks on Bundles.: _____ Vessel.: _____ </div> </div>			
This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.			
AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION			
NAME(Print)	SIGNATURE	TITLE	DATE
AGENCY VALIDATION			
AUTHORIZED SIGNATURE		TITLE	DATE

FIGURE 5-7-8: Example of Mill Certificate of Kiln Drying

Mill Certification Program Responsibilities

When an MOU is entered into establishing a Mill Certification Program for kiln drying of coniferous sawn wood moving to non-European Member States, the lumber grading agencies, the lumber mills, and PPQ each have stipulated responsibilities. These program responsibilities are listed below for the following:

- ◆ *Lumber Grading Agencies*
- ◆ *Lumber Mills*
- ◆ *PPQ Port Offices*
- ◆ *PPQ Regional Offices*

Lumber Grading Agencies

The responsibilities of lumber grading agencies are essentially the same as those listed for coniferous sawn wood going to Member States of the European Union, **except** that lumber grading agencies return mill certificates to the lumber mill for conversion to PPQ Form 577s. The lumber grading agencies' responsibilities are as follows:

- ◆ Perform a monthly check of the Mill Certification Program's quality control
- ◆ Maintain copies of issued certificates
- ◆ Maintain a list of designated personnel at each lumber mill who are approved to issue mill certificates
- ◆ Maintain signed agreements with participating lumber mills
- ◆ Provide training to participating lumber mills' inspectors
- ◆ Return to lumber mills the validated mill certificates for conversion to PPQ Form 577s by PPQ
- ◆ Validate mill certificates issued by participating lumber mills

Lumber Mills

The responsibilities of participating lumber mills are as follows:

- ◆ Certify shipments are using a Mill Certificate of Kiln Drying for kiln-dried coniferous wood being exported to non European Union Member States
- ◆ Designate personnel to issue mill certificates
- ◆ Present validated mill certificates to PPQ for conversion to PPQ Form 577s
- ◆ Send issued mill certificates to the lumber grading agency for final review and validation

PPQ Port Offices The responsibilities of PPQ Port Offices are as follows:

- ◆ Issue PPQ Form 577s for those shipments of kiln-dried coniferous sawn wood covered by properly validated mill certificates
- ◆ Retain copies of validated mill certificates as supporting documentation for issued PPQ Form 577s
- ◆ Review validated mill certificates
- ◆ Verify that lumber grading agencies are participating in Mill Certification Programs

PPQ Regional Offices The responsibilities of the designated PPQ regional offices are as follows:

- ◆ Conduct biannual audits of each lumber grading agency for which an MOU is signed and its participating lumber mills (see also [Biannual Audit Checklist for Certification Programs](#) on page 5-7-30)
 - ❖ Meet with each lumber grading agency and participating lumber mills to review documentation
 - ❖ Confirm at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certificate Program are meeting its conditions
 - ❖ Collect and submit to ES the results of the biannual audit by October 1 of each year (see [Figure 5-7-19](#) on page-5-7-30 for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)
- ◆ Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- ◆ Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- ◆ Randomly inspect for conformance to the Mill Certification Program participating lumber mills and shipments of wood at points of export
- ◆ Randomly review the files and records of participating lumber grading agencies

Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Debarking and Grub Hole Control of Coniferous Sawn Wood

The Mill Certification Program for debarking and grub control of coniferous sawn wood allows for certifying air-dried coniferous sawn wood or kiln-dried sawn wood of *Thuja* spp. going to Member States of the European Union. (See [Figure 5-7-9](#) on [page-5-7-18](#) and [Figure 5-7-10](#) on [page-5-7-19](#) for an example of an MOU for debarking and grub control of coniferous sawn wood.)

**XX-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)**

Relative to

**Preparation and Certification of Coniferous Sawm Wood of Thuja spp. Intended for Export
to the European Member States**

ARTICLE 1

The object of this Memorandum is to facilitate the implementation of an officially approved industry certification system to satisfy provisions of the national legislation of Member States of the European Union (EU) derived from Plant Health Directive 77/93/EEC, as amended, with respect to freedom from bark and grub holes on coniferous sawm wood originating in the United States. This program is applicable to Member States of the EU and to coniferous lumber pertaining to Thuja spp. only.

ARTICLE 2

This Memorandum is entered into by the Service by virtue of authority included in the Plant Protection Act of, Section 431 (a), Public Law 106-224, to cooperate with the States of political subdivision thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

- a. The overall direction and control of this cooperative program is to be maintained by the Service. Inspectional personnel shall remain administratively responsible to the Association.
- b. The basic control requirement for coniferous sawm wood (Thuja spp. only), including spacers or other attached dunnage, is freedom from bark and grub holes larger than 3mm across associated with shipments, but the following conditions, if existing, shall not disqualify a shipment from certification:
 1. Waney edges from which external bark has otherwise been totally removed
 2. Ingrown bark, in particular, around knots
 3. Bark/pitch pockets, as described in the National Grading Rules
 4. Holes caused by Teredo worms (marine mollusks)
 - 5.

ARTICLE 4

The Association agrees:

- a. That unseasoned or air-dried coniferous sawm wood shipments, if not otherwise covered by a phytosanitary certificate, shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as meeting the wood control requirements of the importing country. A sample of a **Mill Certificate of Debarking and Grub Hole Control** is annexed into this document.
- b. To maintain signed agreements with participating mills, and a registry of participating mills including names of representatives approved to issue certificates of debarking and grub hole control and copies of all certificates issued.

FIGURE 5-7-9: Example of MOU for Debarking and Grub Control of Coniferous Sawm Wood (front)

c. To provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.

ARTICLE 5

The Service agrees:

a. To conduct an orientation program for designated mill inspectors on the plant health requirements of receiving countries pertaining to coniferous wood.

b. To monitor the certification system for conformance via random biannual inspection at participating mills, points of export, and reviews of Association files and records.

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation to serve as a basis for expenditures. No transfer of Federal funds shall be involved under this Memorandum.

ARTICLE 7

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either party upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ Date _____

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

[Signature] _____ Date _____
Regional Director

FIGURE 5-7-10: Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (back)

Lumber Grading Agencies

See [Figure 5-7-11](#) for a list of lumber grading agencies participating in the Mill Certification Program for debarking and grub control of coniferous sawn wood. These lumber grading agencies may certify air-dried coniferous sawn wood or kiln-dried sawn wood of *Thuja* spp.

Lumber Grading Agency	Lumber Grading Agency Contact
California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, #200 Novato, California 94949	Christopher Grover Executive Vice President Phone: 415-382-0662 FAX: 415-382-8531
Pacific Lumber Inspection Bureau Inc. P.O. Box 7235 Bellevue, Washington 98008	Jeff Fantozii Secretary/Manager Phone: 206-747-6542 FAX: 206-746-5522
West Coast Lumber Inspection Bureau Box 23145 Portland, Oregon 97281-3145	Jim Neeber Executive Vice President Phone: 503-639-0651 FAX: 503-684-8928
Western Wood Products Association 522 SW Fifth Avenue Portland, Oregon 97220	Jim Matthews Assistant Director of Quality Standards Phone: 503-224-3930 FAX: 503-224-3934
Timber Products Inspection, Inc. P.O. Box 20455 Portland, Oregon 97220	Casey Dean Chief Lumber Inspector Phone: 503-254-0204 FAX: 503-252-9267

FIGURE 5-7-11: List of Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying, Debarking, and Grub Hole Control

Certificate of Debarking and Grub Hole Control

This Mill Certification Program allows for the certification of debarking and grub hole control for coniferous sawn wood of **only** *Thuja* spp. going to Member States of the European Union. Air-dried coniferous sawn wood **must** have mill certification that the wood is free from bark and grub holes larger than 3 millimeters in diameter. The mill certificates **must** be presented to PPQ for conversion to PPQ Form 577 (see [Figure 5-7-12](#) on [page-5-7-21](#) for an example of the Certificate for Debarking and Grub Hole Control).

CERTIFICATE OF DEBARKING AND GRUB HOLE CONTROL Issued in the U.S.A.		CERTIFICATE NUMBER <hr/> BILL OF LADING NUMBER
NAME AND ADDRESS OF SUPPLYING MILL	NAME AND ADDRESS OF CONSIGNEE <i>(Optional)</i>	
DESCRIPTION OF CONSIGNMENT <small>INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT <i>(Lot number and volume are required)</i>.</small>		VOLUME
Description of Consignment content		Volume content
<p><i>The lumber in this shipment has been examined by a mill inspector or other authorized person and found to have been stripped of its bark and to be free of grub holes; and, to the best of his/her knowledge and belief, to be in conformance with the import requirements of the receiving country.</i></p> <p>-----</p> <p><i>This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.</i></p>		
AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION		
NAME <i>(Print)</i>	SIGNATURE	TITLE
AGENCY VALIDATION		
AUTHORIZED SIGNATURE	TITLE	DATE

FIGURE 5-7-12: Example of Certificate of Debarking and Grub Hole Control

Mill Certification Program Responsibilities

When an MOU is entered into to establish a Mill Certification Program for debarking and grub hole control of *Thuja* spp. going to Member States of the European Union, the lumber grading agency, the participating lumber mills, and the PPQ offices each have stipulated responsibilities. These program responsibilities are listed below for the following:

- ◆ *Lumber Grading Agencies*
- ◆ *Lumber Mills*
- ◆ *PPQ Port Offices*
- ◆ *PPQ Regional Offices*

Lumber Grading Agencies

The responsibilities of lumber grading agencies are as follows:

- ◆ Perform a monthly check of the Mill Certification Program' quality control
- ◆ Maintain copies of issued certificates
- ◆ Maintain a list of designated personnel at each participating lumber mill who are approved to issue mill certificates
- ◆ Maintain signed agreements with participating lumber mills
- ◆ Provide training to participating lumber mills' inspectors
- ◆ Validate mill certificates issued by participating lumber mills

Lumber Mills

The responsibilities of participating lumber mills are as follows:

- ◆ Certify unseasoned or air-dried coniferous sawn wood as meeting the requirements of the foreign country using a Certificate of Debarking and Grub Hole Control
- ◆ Designate personnel to issue mill certificates
- ◆ Inspect unseasoned or air-dried coniferous sawn wood
- ◆ Send issued mill certificates to the lumber grading agency for final review and validation

PPQ Port Offices

The responsibilities of PPQ Offices are as follows:

- ◆ Issue PPQ Form 577s for those shipments of kiln-dried coniferous sawn wood covered by properly validated mill certificates
- ◆ Retain copies of validated mill certificates as supporting documentation for issued PPQ Form 577s
- ◆ Review validated mill certificates

PPQ Regional Offices

- ◆ Verify that lumber grading agencies are participating in Mill Certification Programs

The responsibilities of the designated PPQ regional offices are as follows:

- ◆ Conduct biannual audits of each lumber grading agency for which an MOU is signed and of its participating lumber mills (see also *Biannual Audit Checklist for Certification Programs* on page 5-7-30) as follows:
 - ❖ Meet with each lumber grade agency and participating lumber mills to review documentation
 - ❖ Confirm at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certificate Program are meeting its conditions
 - ❖ Collect and submit to ES the results of the biannual audit by October 1 of each year (see *Figure 5-7-19* on page-5-7-30 for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)
- ◆ Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- ◆ Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- ◆ Randomly inspect conformance to the Mill Certification Program participating lumber mills and shipments of wood at points of export for
- ◆ Randomly review the files and records of participating lumber grading agencies

Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Kiln-Dried Sawn Hardwood Lumber

The Mill Certification Program allows for certifying kiln-dried sawn hardwood lumber. See *Figure 5-7-13* on page-5-7-24 through *Figure 5-7-18* on page-5-7-29 for details.

Agreement No. 07-8100-1173-MU

MEMORANDUM OF UNDERSTANDING
BETWEEN
NATIONAL HARDWOOD LUMBER ASSOCIATION (COOPERATOR)
AND
UNITED STATES DEPARTMENT OF AGRICULTURE (USDA)
ANIMAL AND PLANT HEALTH INSPECTION SERVICE (APHIS)
PLANT PROTECTION AND QUARANTINE (PPQ)

ARTICLE 1 - PURPOSE

The purpose of this Memorandum of Understanding (MOU) is to facilitate the implementation of an APHIS-approved and industry-issued certification system with respect to the Certification of Kiln Drying Sawn Hardwood Lumber.

ARTICLE 2 – BACKGROUND

Many foreign countries have adopted measures requiring the kiln drying and certification of all sawn hardwood lumber originating in the United States to prevent the introduction and establishment of pests. To facilitate exports of bark-free sawn hardwood lumber shipments, APHIS initiated this MOU with the National Hardwood Lumber Association (NHLA) to develop and oversee the United States Kiln Drying Sawn Hardwood Lumber Certification Program.

ARTICLE 3 - AUTHORITIES

APHIS is authorized by the Plant Protection Act, Sec. 431 (a), Public Law 106-224, to cooperate with other Federal agencies, the governments of foreign countries, international organizations or associations, states and their political subdivisions, farmers' associations and similar organizations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests and diseases.

ARTICLE 4 – MUTUAL RESPONSIBILITIES

The Cooperator and APHIS mutually agree/understand to/that:

1. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspection of the sawn hardwood lumber shall be performed by industry-certified personnel and shall remain administratively responsible to the NHLA.
2. The basic control requirement for sawn hardwood lumber under this system is kiln drying to the extent that all parts of the lumber have been reduced to less than 20 percent moisture by weight.

FIGURE 5-7-13: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 1)

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3. Employee(s) responsible for this work will be under the general program direction of APHIS and NHLA. Supervision of personnel will be provided by their employing organization and they will be subject to their employing organization's rules and regulations, except to the extent that NHLA personnel will conduct inspections following USDA regulations and standards.

ARTICLE 5 – COOPERATOR RESPONSIBILITIES

The Cooperator agrees to/that:

1. Designate Mark Barford, Executive Manager, Memphis, Tennessee, as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU. Mr. Barford can be contacted by telephone at 901.377.1818 Ext. 101.

2. Kiln dried sawn hardwood lumber shipments shall be inspected by an industry-certified inspector of the NHLA and subject to the terms of Item 4 below. Kiln dried sawn hardwood lumber requirements are regulated by the NHLA Board of Managers. NHLA inspectors shall ensure that kiln dried sawn hardwood lumber bundles are properly numbered and conform to the certification statement that the inspected lumber has been kiln dried resulting in all parts of the lumber having a moisture content of less than 20% at the conclusion of the kiln drying process. This certification statement appears in the body of the Kiln Drying Sawn Hardwood Lumber Certificate. Each shipment of kiln dried sawn hardwood lumber shall include a corresponding Kiln Drying Sawn Hardwood Lumber Certificate with the manifest. Refer to Attachment 1 for a sample Certificate of Kiln Drying, Sawn Hardwood Lumber.

3. Maintain signed agreements with participating facilities; a register of participating facilities, including names of representatives approved to issue Certificates of Kiln Drying; a register of employees who are authorized to authenticate the certificates; copies of all certificates issued; and a web accessible register of participating facilities and corresponding approved representatives for issuing and approving certificates.

4. Provide on-site inspections to check the capabilities of all participating facilities. The inspectors shall inspect each participating facility's equipment and the skills of the kiln operators. The inspectors shall be skilled with all four kiln types: direct heat, indirect heat, direct steam, and indirect steam. Monthly reviews of the individual Kiln Drying Certification Program shall be made through regular quality control checks by the Cooperator. Additionally:

4.1. Inspections shall be performed by industry-certified inspectors that are independent of the treatment facilities and thoroughly competent in the inspection of kilns and the species of wood being inspected.

4.2. Inspections of participating facilities and treated inventory shall be performed in each month that a shipment is scheduled. The Cooperator ensures that facilities will

FIGURE 5-7-14: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 2)

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request inspections as necessary. The inspections shall consist of document verification, including the board feet amount of kiln dried (KD) lumber produced each month; kiln treatment records review; moisture testing and lot number verification on the bundle bands of a representative sample of the facility's production inventory at the time of inspection; review of inspection and segregation practices of treated wood; and provide written reports to the inspected facility.

4.2.1. When the first audit results in failure/reported non-compliance of a certified facility:

4.2.1.1 The inspector shall notify the non-compliant facility with a letter of non-compliance within three (3) business days of inspection.

4.2.1.2 Within 15 days of the written non-compliant notification to the inspected facility, the inspector shall submit a written analysis of the problem and proposed solutions to the non-compliant facility.

4.2.1.3 The non-compliant facility will be re-inspected 45 calendar days after the written non-compliant notification to determine if the proposed solutions have been implemented by the inspected facility and are sufficient to resolve the non-compliance issues.

4.2.2. If during the 45-day re-inspection period, a second audit results in failure/reported non-compliance, the facility shall be removed from the certification program. One year after removal from the certification program, a facility may re-apply for certification.

5. Ensure that inspected facilities make files and records, including inspection reports, relating to APHIS certification responsibilities as outlined in Article 6 available for review by APHIS.

6. Retain inspection records for three years after the close of the Federal fiscal year in which the inspection occurred.

ARTICLE 6 – APHIS RESPONSIBILITIES

APHIS agrees to/that:

1. Designate John Tyrone Jones, II, Export Specialist, as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU. Mr. Jones can be reached at 301.734.8860.

2. Complete an audit of the NHLA Program annually. A written report of audit findings will be submitted to the NHLA within 21 business days after completion of the audit.

FIGURE 5-7-15: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 3)

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3. As part of the bi-annual inspections, APHIS will ensure that agencies independent of the mills (product) have been approved by the NHLA Board of Managers as lumber grading agencies and that their inspectors are industry-certified. Each lumber grading agency must have met the resource and checks and balance requirements of the NHLA Board of Managers in order to qualify as a lumber grading agency. Additionally, the APHIS inspector will review the files and records of the industry-certified inspectors and that the industry-certified inspectors have been fully trained and certified by the NHLA. Training for industry-certified inspectors includes the proper calibration of the kiln; placement and number of probes; use of moisture meters; proper recording and filing of product and inspection information; positioning of product within the kiln; storage of the product; review of shipment documentation; verification of training documentation and competence; and identifying suspect (fraudulent) shipment documentation.

4. Monitor the certification system for conformance by conducting bi-annual inspections (minimum) at participating facilities as well as corresponding points of export. Local PPQ officers will be responsible for scheduling the bi-annual inspections. Regional and headquarters staff will verify completion of the bi-annual inspections and maintain the inspection schedule records.

5. Generate and distribute inspection reports to the inspected facility; the respective PPQ regional office; and to the Phytosanitary Issues Management Office at headquarters in Riverdale, MD. Facilities failing inspection shall receive a written preliminary inspection report within seven (7) days of the inspection. The inspection report shall include recommendations to achieve compliant status. Final and complete reports shall be distributed to the aforementioned parties within 21 business days after completion of the audit.

ARTICLE 7 – STATEMENT OF NO FINANCIAL OBLIGATION

Signature of this MOU does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this MOU. Transfers of funds or items of value are not authorized under this MOU.

ARTICLE 8 – LIMITATIONS OF COMMITMENT

This MOU and any continuation thereof shall be contingent upon the availability of funds appropriated by the Congress of the United States. It is understood and agreed that any monies allocated for purposes covered by this MOU shall be expended in accordance with its terms and the manner prescribed by the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement must be developed by the cooperating parties.

FIGURE 5-7-16: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 4)

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ARTICLE 9 – CONGRESSIONAL RESTRICTION

Under 41 USC 22, no member of, or delegate to, Congress shall be admitted to any share or part of the MOU or to any benefit to arise there from.

ARTICLE 10 – AMENDMENTS

This MOU may be amended at any time by mutual agreement of the parties in writing.

ARTICLE 11 – TERMINATION

This MOU may be terminated by either party upon thirty (30) days written notice to the other party.

ARTICLE 12 - EFFECTIVE DATE AND DURATION

This MOU will become effective upon date of final signature and will continue for a period of five years.

NATIONAL HARDWOOD LUMBER ASSOCIATION

Mark Barford
Executive Manager

Date

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

Paul R. Eggert
Associate Deputy Administrator

Date

FIGURE 5-7-17: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 5)

Biannual Audit Checklist for Certification Programs

See [Figure 5-7-19](#) below for an example of a Biannual Audit Checklist for Mill Certification Programs.

BIANNUAL AUDIT CHECKLIST FOR THE WOOD MILL CERTIFICATION PROGRAMS

DATE OF AUDIT: _____

AGENCY or MILL AUDITED/address: _____

CONTACT PERSON/ phone number: _____

MOU(s) Audited	(check)
Coniferous Sawn Wood for Heat Treatment Moving to European Union (EU)	<input type="checkbox"/>
Kiln Drying MOU	<input type="checkbox"/>
Debarking, and Grub Hole Control of Thuja sp to European Union (EU)	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>

AUDIT RESULTS:	Yes	No	N/A
Agency maintains the signed agreements (MOU's) with the participating mills:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency maintains a list of participating mills and their representatives that are approved to issue mill certificates:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintains copies of all certificates issued:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training provided to mill inspectors:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency maintains a list of Lumber Grading Agency employees eligible to validate mill certificates:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency completes monthly review of the Certification Programs:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Milled products shipped meet conditions of the programs:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

COMMENTS: _____

AUDITOR'S SIGNATURE: _____ DATE: _____

PRINT NAME: _____ OFFICE: _____

FIGURE 5-7-19: Example of Biannual Audit Checklist for Mill Certification Programs

5

Export Program
Manual

Special Procedures

Special Programs • Protected Commodities

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Introduction

These special procedures provide Authorized Certification Officials¹ (ACOs) additional direction and guidance for the following tasks:

- ◆ Processing violations of The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) or The Endangered Species Act (ESA).
- ◆ Validating and endorsing documents for protected commodities

These special procedures supplement the general procedures for certifying commodities for export presented in the *Procedures* chapter of this manual.



Continue with these procedures **only** after conducting a preliminary assessment through [Table 5-8-1](#) on [page 5-8-3](#).

These special procedures for processing protected plants offered for export or reexport are divided into the following categories:

- ◆ *American Ginseng (*Panax quinquefolius*)* on [page 5-8-20](#)
- ◆ *Protected Plants Other Than American Ginseng* on [page 5-8-6](#)
- ◆ *Violations of ESA or CITES* on [page 5-8-35](#)

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

Procedures have been established to allow PPQ PHSSs at nondesignated ports to confirm that the exporter has a PPQ Form 622, *General Permit* or *Protected Plant Permit*, and the proper CITES or ESA documents. On October 5, 2005 PPQ renamed the *General Permit* as the *Protected Plant Permit* PPQ in 7 CFR Part 355, in order to have a more descriptive title for this permit dealing with endangered species of flora. The Plant Health Safeguarding Specialist (PHSS) confirms all the paperwork agrees with the shipment and has the exporter complete PPQ Form 572 and send along with specified copies of the invoice and CITES or ESA documents to the designated CITES port for validation and endorsement. If there's a concern about the shipments validity, the shipment may be required to go through the designated CITES port.

These special procedures **do not** cover timber species regulated by CITES. For the procedures covering the export and reexport of timber species, EXIT this manual and GO to the [CITES I-II-III Timber Species Manual](#).

Determine Your Authority to Certify Protected Commodities for Export

If the commodities are protected by CITES or ESA, refer to [Table 5-8-1](#) on [page 5-8-3](#).

TABLE 5-8-1: Determine Authority to Certify Protected Commodities

If you are:	Then:
Located at a designated CITES port	REFER to Determining the Country's Import Requirements on page 3-4-1 AND GO to Overview of Processing Protected Commodities on page 5-8-3
Not at a designated CITES port	1. CONTACT the nearest designated CITES port or a PPQ regional botanist (through proper channels) or Export Certification Specialist for guidance to arrange to move the shipment to a designated port (at the owner's expense). Some designated CITES ports have established procedures for ACOs at interstate locations and non-designated CITES ports to assist in inspecting and processing shipments of protected plants ¹ 2. EXIT this manual. You are not authorized to complete a certificate for a commodity regulated by CITES or ESA

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

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

Overview of Processing Protected Commodities

The task of enforcing the legislation that protects plants from extinction requires that ACOs determine if the protected articles are moving in accordance with CITES or ESA.

TABLE 5-8-2: Determine if Protected Commodities Are Moving in Accordance with CITES or ESA

If the protected articles are moving:	Then the ACO may:
In accordance with CITES or ESA	<ul style="list-style-type: none"> ◆ VALIDATE and ENDORSE documents issued by the Division of Management Authority (DMA) ◆ ISSUE an export certificate based on the import requirements of the foreign country and the inspection results
In violation of CITES or ESA	<ul style="list-style-type: none"> ◆ MODIFY inventory sheets or State-issued export certificates if allowed and appropriate; otherwise ◆ REFUSE to validate and endorse DMA-issued documents ◆ REFUSE to issue an export certificate ◆ DETERMINE whether to initiate violation procedures

Overview of Validating and Endorsing DMA-Issued Documents

The DMA-issued documents are **not** valid for the export or reexport of protected plants until the documents are endorsed by an ACO. DMA-issued documents include export certificates, permits, and reports accompanied by continuation sheets, inventory sheets, or State-issued export certificates, if appropriate.



DMA-issued documents **must** be validated and endorsed **only** at designated CITES ports; export certificates for CITES or ESA protected plants **must** be issued **only** at designated CITES ports ([Table 3-3-6](#) on [page 3-3-7](#)).

Identifying Protected Plants

PPQ is responsible for enforcing CITES and ESA for exporting and reexporting listed plants. Therefore, ACOs **must** determine whether the commodity is protected by CITES or ESA before confirming they can meet the import requirements of the foreign country. For procedure on deciding if you can certify the commodities based on their CITES or ESA status, refer to [Eligibility Based on Protected Status](#) on [page 3-3-5](#).

ACOs can use EXCERPT to determine if the plant name is a protected plant or plant part. The same listings can also be found at:

- ◆ CITES Web site address: <<http://www.CITES.org/>>
- ◆ ESA Web site address: <<http://www.fws.gov/endangered/wildlife.html>> (then click on the link for “Federal list of endangered and threatened wildlife and plants”)

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

Characteristics of Cactaceae

Characteristics of Cactaceae are as follows:

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

Characteristics of Orchidaceae

Characteristics of Orchidaceae are as follows:

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

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

Authority to Certify Protected Commodities for Export

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

Use [Table 3-3-6](#) on [page 3-3-7](#) to look up the designated CITES ports for plants (by State).

For procedure on determining your authority to certify protected commodities for export, refer to [Overview of Processing Protected Commodities](#) on [page 5-8-3](#).

Protected Plants Other Than American Ginseng

Figure 5-8-1 illustrates the steps to follow when determining if protected plants (**other than** American ginseng, *Panax quinquefolius*) are moving in accordance with CITES or ESA and when validating and endorsing DMA-issued documents.

When validating and endorsing DMA-issued documents for American ginseng, GO to *American Ginseng (Panax quinquefolius)* on **page 5-8-20**.

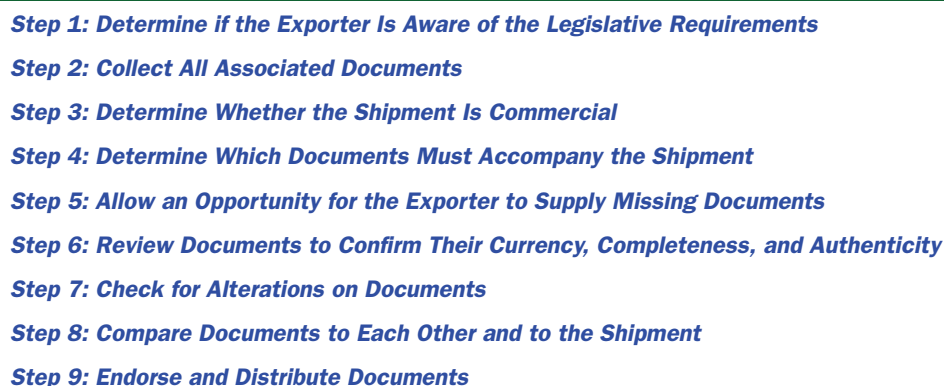
- 
- Step 1: Determine if the Exporter Is Aware of the Legislative Requirements*
 - Step 2: Collect All Associated Documents*
 - Step 3: Determine Whether the Shipment Is Commercial*
 - Step 4: Determine Which Documents Must Accompany the Shipment*
 - Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents*
 - Step 6: Review Documents to Confirm Their Currency, Completeness, and Authenticity*
 - Step 7: Check for Alterations on Documents*
 - Step 8: Compare Documents to Each Other and to the Shipment*
 - Step 9: Endorse and Distribute Documents*

FIGURE 5-8-1: Overview of Steps to Validate and Endorse DMA-Issued Documents for Protected Plants Other Than American Ginseng

Step 1: Determine if the Exporter Is Aware of the Legislative Requirements

Determine if the exporter is aware of the legislation and the requirements of the legislation to substantiate if there was an obvious attempt to defraud the government or to violate the regulations.

If there is **no** obvious attempt to defraud the government or to violate the regulations, GO to *Step 2: Collect All Associated Documents* on **page 5-8-6**.

Step 2: Collect All Associated Documents

If **not** already done as part of a preliminary assessment, collect invoices, bills of lading, or air waybills, and other shipping documents as well as the documents issued by DMA and PPQ.

Use these documents to verify weights, numbers, and kinds of protected plants being offered for export. All protected plants **must** be invoiced, marked, or identified with the following marking requirements in accordance with 7CFR 355.21:

- ◆ Country or location where the plants were collected or grown

- ◆ Identity of the plants to the appropriate taxon (genus and species required, together, with the word “hybrid”) and the number being exported
- ◆ Name and address of the consignee
- ◆ Name and address of the exporter, shipper, or broker
- ◆ Shipper’s mark and number
- ◆ Serial number of the DMA-issued permit or certificate issued for the export or reexport of commodities

For mail shipments, the following additional requirements **must** be met to be in accordance with 7CFR 355.21:

- ◆ Material **must** be double wrapped with an unsealed inner wrapping addressed to the consignee
- ◆ Name, address, and phone number of the intended recipient in the foreign country **must** be included on a separate sheet of paper placed inside the package, i.e., PPQ Form 572, *Application for Inspection and Certification of Domestic Plants and Plant Products for Export*
- ◆ Package marking and identification **must** be shown on the outside of the package
- ◆ Package **must** have sufficient postage to reach the foreign destination

Step 3: Determine Whether the Shipment Is Commercial

Determine whether the shipment is commercial or noncommercial. This determination influences certifying the protected commodities and effects which DMA-issued document is issued, i.e., for CITES Appendix I material an export permit is issued while for CITES Appendix II material a certificate of artificial propagation is issued. In addition to reviewing shipping documents and interviewing the exporter, see [Table 5-8-3](#) on [page 5-8-8](#) for the criteria to apply when determining whether a shipment is commercial.

TABLE 5-8-3: Determine Whether the Shipment Is Commercial

If the commodities offered for export:	Then consider the shipment a:
Are known to be for sale or resale	Commercial ¹ shipment
Are consigned to a nursery or a plant dealer	
Are of a volume and variety that exceed what can be reasonably considered for personal use	
Are from parties involved in commercial activities as evidenced by State registration, i.e., nursery, advertisements in trade journals and catalogs	
Do not apply to the above criteria	Noncommercial shipment

- 1 The definition of a commercial shipment according to 7CFR 355.2 is as follows: “Engaged in business as an importer, exporter, or reexporter of terrestrial plants. To import, export, or reexport terrestrial plants for the purpose of selling, bartering, collecting, or otherwise exchanging or acquiring the plants as a livelihood or enterprise engaged in for gain or profit. This term shall **not** include persons engaged in business merely as carriers or customhouse brokers.” The above definition is one of the criterion for determining whether a shipment is commercial.

Step 4: Determine Which Documents Must Accompany the Shipment

Determine which documents **must** accompany a shipment of protected commodities based on the governing legislation and the shipment. For the documents that are required, ACOs **must** ensure that they are present and valid. Begin at [Table 5-8-4](#) on [page 5-8-8](#).

TABLE 5-8-4: Determine Which DMA-Issued Documents Must Accompany the Shipment

If the commodities:	And the shipment is:	Then:
Are protected solely by CITES	Commercial	GO to Table 5-8-5 on page 5-8-9
	Noncommercial	GO to Table 5-8-6 on page 5-8-10
Are protected solely by ESA	→	GO to Table 5-8-7 on page 5-8-11
Are protected by both CITES and ESA	Commercial	GO to Table 5-8-8 on page 5-8-12
	Noncommercial	GO to Table 5-8-9 on page 5-8-13

TABLE 5-8-5: Determine Which Documents Must Accompany Commercial Shipments of CITES Protected Commodities

If the commodities are:	And are:	Then:
Exempt ¹ from CITES permit requirements because of artificial propagation, but not exempt from the requirements for a certificate	CITES Appendix II	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued CITES Appendix II <i>Certificate of Artificial Propagation</i> 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix III	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued <i>Certificate of Origin</i> 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
Not exempt ¹ from CITES permit requirements	CITES Appendix I	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued CITES Appendix I <i>Export Permit</i> (or <i>Re-export Certificate</i>) with attached permit from the country of destination 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix II	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued CITES Appendix II <i>Export Permit</i> (or <i>Reexport Certificate</i>) 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix III	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued <i>Certificate of Origin</i> 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14

1 Commercial shipments are **not** allowed movement under certificates of exemption when the protected commodities were acquired prior to the date that CITES applied to them, or the protected commodities are being exchanged between registered scientists or scientific institutions.

TABLE 5-8-6: Determine Which Documents Must Accompany Noncommercial Shipments of CITES Protected Commodities

If the commodities are:	And are:	Then:
Exempt ¹ from CITES permit requirements	CITES Appendix I	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued CITES Appendix I certificate, which must be specific for the category exemption (artificial propagation, pre-CITES, or exchange between registered scientific institutions) 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix II	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued CITES Appendix II certificate, which must be specific for the category exemption (artificial propagation, pre-CITES, or exchange between registered scientific institutions) 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix III	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued <i>Certificate of Origin</i> 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
Not exempt ¹ from CITES permit requirements	CITES Appendix I	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued CITES Appendix I <i>Export Permit</i> (or <i>Re-export Certificate</i>) with attached permit from the country of destination 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix II	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued CITES Appendix II <i>Export Permit</i> (or <i>Reexport Certificate</i>) 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix III	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued <i>Certificate of Origin</i> 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14

- 1 The Division of Management Authority (DMA) grants exemptions for the following:
- ◆ Plants artificially propagated that are **not** a commercial shipment of protected plants or their derivatives listed under CITES Appendix I
 - ◆ Plants that were acquired prior to the date CITES applied to them
 - ◆ Plants that are being exchanged between registered scientists or scientific institutions

TABLE 5-8-7: Determine Which Documents Must Accompany ESA Protected Commodities

If the shipment is:	And the commodities are:	And are:	Then:
Commercial	Endangered	—————▶	1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i> , and 4 copies of DMA-issued <i>Permit for the Export of Endangered or Threatened Species</i> 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	Threatened	Not exempt ¹ from ESA permit requirements	
		Exempt ¹ from ESA permit requirements	
Noncommercial	Endangered	—————▶	1. REQUIRE 4 copies of DMA-issued <i>Permit for the Export of Endangered or Threatened Species</i> 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	Threatened	Not exempt ¹ from ESA permit requirements	
		Exempt ¹ from ESA permit requirements	

- 1 Artificially propagated seeds of a species listed as “Threatened” under the ESA **do not** require a DMA-issued permit, unless the specific species has special rules to apply. EXCERPT indicates which species have special rules.
- 2 For cultivated seeds, REQUIRE that the seeds are labeled with the name of the species and a statement that the seeds are of cultivated origin.

TABLE 5-8-8: Determine Which Documents Must Accompany Commercial Shipments of Commodities Protected by Both CITES and ESA

If the commodities are:	And are:	Then:
Exempt ¹ from CITES permit requirements because of artificial propagation	CITES Appendix II	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued CITES Appendix I <i>Certificate of Artificial Propagation</i> amended in <i>Block 5</i> to authorize Endangered or Threatened species 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix III	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued <i>Certificate of Origin</i> amended in <i>Block 5</i> to authorize Endangered or Threatened species 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
Not exempt ¹ from CITES permit requirements	CITES Appendix I	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued CITES Appendix I <i>Export Permit</i> (or <i>Re-export Certificate</i>) amended in <i>Block 5</i> to include Endangered or Threatened species, with an attached permit from the country of destination 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix II	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued CITES Appendix II <i>Export Permit</i> (or <i>Re-export Certificate</i>) amended in <i>Block 5</i> to include Endangered or Threatened species 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix III	<ol style="list-style-type: none"> 1. REQUIRE PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, and 4 copies of DMA-issued <i>Certificate of Origin</i> amended in <i>Block 5</i> to authorize Endangered or Threatened species 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14

1 Commercial shipments are **not** allowed under certificates of exemption when the commodities were acquired prior to the date that CITES applied to the commodities, or the commodities are being exchanged between registered scientists or scientific institutions.

TABLE 5-8-9: Determine Which Documents Must Accompany Noncommercial Shipment of Commodities Protected by Both CITES and ESA

If the commodities are:	And are:	Then:
Exempt ¹ from CITES permit requirements	CITES Appendix I or Appendix II	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued CITES certificate amended in <i>Block 5</i> to authorize Endangered or Threatened species, which must be specific for the category of exemption (artificial propagation, pre-CITES, or exchange between registered institutions) 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix III	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of the DMA-issued <i>Certificate of Origin</i> amended in <i>Block 5</i> to authorize Endangered or Threatened species 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
Not exempt ¹ from CITES permit requirements	CITES Appendix I	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued CITES Appendix I <i>Export Permit</i> (or <i>Reexport Certificate</i>) amended in <i>Block 5</i> to authorize Endangered or Threatened species, with attached export permit or reexport certificate from the country of destination 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix II	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued CITES Appendix II <i>Export Permit</i> (or <i>Reexport Certificate</i>) amended in <i>Block 5</i> to include Endangered or Threatened species 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14
	CITES Appendix III	<ol style="list-style-type: none"> 1. REQUIRE 4 copies of DMA-issued <i>Certificate of Origin</i> amended in <i>Block 5</i> to authorize Endangered or Threatened species 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-14

1 A commodity may be exempt from the permit requirements when any of the following applies:

- ◆ Plant was artificially propagated
- ◆ Plant was acquired prior to the date CITES applied to the plant
- ◆ Plant is being exchanged between registered scientists or scientific institutions

Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents

If the exporter is missing a required permit or certificate, use [Table 5-8-10](#) on [page 5-8-14](#) to determine the appropriate action to take.

If the exporter has all the necessary documents, GO to [Step 6: Review Documents to Confirm Their Currency, Completeness, and Authenticity](#) on [page 5-8-14](#).

TABLE 5-8-10: Determine the Appropriate Action to Take When the Exporter is Missing Documents

If the exporter:	Then:
Lacks DMA-issued permit or certificate	<ol style="list-style-type: none"> 1. REFER the exporter to DMA¹ 2. REFUSE to endorse DMA-issued documents until the exporter supplies the missing permit or certificate 3. REFUSE to issue an export certificate
Lacks PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>	<ol style="list-style-type: none"> 1. CONFIRM the shipment is commercial 2. GIVE the exporter PPQ Form 621, <i>Application for General Permit to Engage in the Business of Importing, Exporting, or Reexporting Terrestrial Plants</i>² 3. REFUSE to endorse DMA-issued documents until the exporter provides evidence that the exporter holds a current <i>General Permit</i> or <i>Protected Plant Permit</i> 4. REFUSE to issue an export certificate
Has all necessary documents	GO to Step 6: Review Documents to Confirm Their Currency, Completeness, and Authenticity on page 5-8-14

- 1 For questions about CITES and/or ESA export documents, exporters can contact DMA at toll-free phone 800-358-2104 or write U.S. Fish and Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, Virginia 22203.
- 2 For questions about *General Permits* or *Protected Plant Permits*, exporters can contact PPQ Permit Services at toll-free phone 877-770-5990, or FAX at 301-734-8700, or go to the following Web site address: <<http://www.aphis.usda.gov/ppq/permits>>.

Step 6: Review Documents to Confirm Their Currency, Completeness, and Authenticity

ACOs should review all relevant documents to confirm they are current, complete, and authentic as follows:

1. Verify that documents are current. Use **Table 5-8-11** on **page 5-8-15** to locate the expiration date on documents. If a DMA-issued permit or certificate has expired, then the exporter **must** replace the expired document with a current one.²

TABLE 5-8-11: Locate the Expiration Date on Relevant Documents

If the document is:	Then locate the expiration date:
CITES permit or certificate	In <i>Block 2. Valid until</i>
ESA permit	In <i>Block 7. EXPIRES</i>
PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>	On a line at the bottom left side

2. Confirm documents have been completed. For CITES permits or certificates, the exporter **must** have filled in *Blocks 4, 11, 13, and 14*. For ESA permits, *General Permits*, or *Protected Plant Permits*, the exporter should **not** have filled in any information.
3. Verify documents are authentic. Use **Table 5-8-12** on **page 5-8-15** to identify individuals authorized to sign such documents.

TABLE 5-8-12: Identify Individuals Authorized to Sign Documents Issued by DMA and PPQ for Protected Plants

If the document is issued by:	Then the document must be signed by one of the following individuals:																
DMA (CITES and/or ESA permits or certificates)	<table border="0"> <tr> <td>Mary Ellen Amtower</td> <td>Marshall Jones</td> </tr> <tr> <td>Caroline Anderson</td> <td>Lisa J. Lierheimer</td> </tr> <tr> <td>Karen Anderson</td> <td>Michael Moore</td> </tr> <tr> <td>Bruce Babbitt</td> <td>Kristen Nelson</td> </tr> <tr> <td>Michael Carpenter</td> <td>Teiko Saito</td> </tr> <tr> <td>Charlie R. Chandler</td> <td>Kenneth Stansell</td> </tr> <tr> <td>Monica Farris</td> <td>Margaret Tieger</td> </tr> <tr> <td>Pamela Hall</td> <td>Bruce Weissgold</td> </tr> </table>	Mary Ellen Amtower	Marshall Jones	Caroline Anderson	Lisa J. Lierheimer	Karen Anderson	Michael Moore	Bruce Babbitt	Kristen Nelson	Michael Carpenter	Teiko Saito	Charlie R. Chandler	Kenneth Stansell	Monica Farris	Margaret Tieger	Pamela Hall	Bruce Weissgold
Mary Ellen Amtower	Marshall Jones																
Caroline Anderson	Lisa J. Lierheimer																
Karen Anderson	Michael Moore																
Bruce Babbitt	Kristen Nelson																
Michael Carpenter	Teiko Saito																
Charlie R. Chandler	Kenneth Stansell																
Monica Farris	Margaret Tieger																
Pamela Hall	Bruce Weissgold																
PPQ (PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>)	Authorized employee of PPQ Permit Services. For questions about <i>General Permits</i> or <i>Protected Plant Permits</i> , exporters can contact PPQ Permit Services at toll-free phone 877-770-5990, or FAX at 301-734-8700, or go to the following Web site address: < http://www.aphis.usda.gov/ppq/permits >																

² For questions about CITES and/or ESA export documents, exporters can contact DMA at toll-free phone 800-358-2104 or write U.S. Fish and Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, Virginia 22203.

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

Step 7: Check for Alterations on Documents

Check permits and/or certificates for alterations, such as unauthorized additions, erasures, and forgeries. Look for the following:

- ◆ Added species to permits, certificates, continuation sheets, or inventory sheets
- ◆ Changed date of issuance or date of expiration
- ◆ Changed species names
- ◆ Changed quantities

Use [Table 5-8-13](#) on [page 5-8-16](#) to take the appropriate action.

TABLE 5-8-13: Determine the Appropriate Action to Take Regarding Document Alterations

If documents:	Then:
Show evidence of alterations	1. GO to Violations of ESA or CITES on page 5-8-35 2. REFUSE to endorse DMA-issued documents 3. REFUSE to issue an export certificate
Have not been altered	Go to Step 8: Compare Documents to Each Other and to the Shipment on page 5-8-16

Step 8: Compare Documents to Each Other and to the Shipment

Compare documents to each other and to the shipment ensuring there are **no** discrepancies, omissions, inconsistencies, or inaccuracies as follows:

1. Compare the quantity of commodities against that which is listed on a bill of lading, air waybill, invoice; and against that which is listed in *Block 11* of CITES permits or certificates or in *Block 11* of ESA permits (if limitations are prescribed). See [Table 5-8-14](#) on [page 5-8-16](#) to verify the quantity of commodities.

TABLE 5-8-14: Verify the Quantity of Commodities is As Listed on Accompanying Documents

If the quantity listed on accompanying documents:	Then:
Agrees with the quantity listed on DMA-issued permit or certificate	GO to 2., below
Is fewer than the quantity listed on DMA-issued permit or certificate	1. ALLOW the exporter to change the quantity on the original copy of DMA-issued permit or certificate 2. GO to 2., below
Is more than the quantity listed on DMA-issued permit or certificate	1. REFUSE to endorse DMA-issued documents 2. REFUSE to issue an export certificate

2. Confirm that all conditions listed on DMA-issued permit and/or certificate have been met as follows:
 - A. Verify that conditions are met, which are listed in *Block 5* of CITES permits and certificates or listed in *Block 11* of ESA permits. *Blocks 5* and *11* will also indicate whether a permit or certificate can be copied for repeated use (see example below).

EXAMPLE

Block 5 on a multiple-use permit may inform the permittee that the permit may **not** be used for exports to countries in the European Union.

- B. If any of the listed conditions is **not** met, REFUSE to endorse DMA-issued documents and REFUSE to issue an export certificate until the noncompliance is resolved (see examples below). If all conditions are met, then GO to 3., below.


EXAMPLE

Special conditions that may restrict an exportation are as follows:

- ◆ Fixed times or exact dates
- ◆ Particular sources
- ◆ Specific quantity or number of commodities

3. Confirm the commodities being exported are authorized by DMA-issued permit and/or certificate as follows:
 - A. Compare what is listed on accompanying documents against what is listed on DMA-issued permits and/or certificates (including inventory sheets that may accompany CITES documents).
 - B. After confirming that DMA-issued documents agree with accompanying documents, look at the shipment to confirm that **only** authorized commodities are present. If you are unable to identify the commodities, consult with the nearest PPQ botanist. REFUSE to issue an export certificate until the commodities are correctly identified. Use [Table 5-8-15](#) on [page 5-8-18](#) to verify the authorization of shipments.

TABLE 5-8-15: Verify the Authorization of Shipments

If:	And the exporter:	Then:
All commodities in the shipment are authorized		GO to Step 9: Endorse and Distribute Documents on page 5-8-18
Some or all of the commodities in the shipment are not authorized	Is a repeat violator or you determine that there was an obvious attempt to mislead or to conceal unauthorized material	<ol style="list-style-type: none"> 1. REFUSE to endorse DMA-issued documents 2. REFUSE to issue an export certificate 3. ENSURE that all unauthorized commodities are removed from the shipment 4. GO to Violations of ESA or CITES on page 5-8-35 to begin processing a violation
	Agrees to remove the unauthorized commodities and you determine that initiating a violation is inappropriate	<ol style="list-style-type: none"> 1. LINE through the unauthorized entry on the attached inventory sheet 2. WRITE “NOT AUTHORIZED” across the entry 3. ENSURE that all unauthorized commodities are removed from the shipment 4. GO to Step 9: Endorse and Distribute Documents on page 5-8-18

Step 9: Endorse and Distribute Documents

Once the protected commodities meet the requirements of ESA and/or CITES, endorse and distribute DMA-issued documents. Consider the shipment certifiable and eligible for an export certificate. Before issuing an export certificate, identify import requirements of the foreign country and follow general inspection guidelines (see *Determining the Country’s Import Requirements* on page 3-4-1 and *Inspecting Commodities* on page 3-5-1, respectively).

Endorse DMA-Issued Documents

Follow the directions in **Table 5-8-16** on **page 5-8-19** to endorse DMA-issued documents.

TABLE 5-8-16: Endorse DMA-Issued Documents to Export Protected Commodities

If the DMA-issued document is:	Then follow these instructions to endorse the document:
CITES permit or certificate	<ul style="list-style-type: none"> ◆ <i>Block 13</i>—ENTER the actual quantity of commodities moving as specified for each entry in <i>Block 7/8. Common Name and Scientific name</i> (may be less, but never more than was authorized in <i>Block 11. Quantity</i>) ◆ <i>Block 14</i>—ENTER the bill of lading or air waybill number, the port of export (designated CITES port), and the total number of shipping containers (VERIFY the entry if the block is already filled in) ◆ <i>Block 15</i>—ENTER the date (spell out month), your signature, and STAMP “released”
Continuation sheet	<ul style="list-style-type: none"> ◆ <i>Block 13</i>—ENTER the actual quantities of commodities moving as specified for each entry in <i>Block 7/8. Common Name and Scientific name</i> of the CITES permit ◆ <i>Block 14</i>—ENTER the bill of lading or air waybill number, port of export, and the total number of shipping containers ◆ <i>Block 15</i>—STAMP “released” and ENTER your signature and the date signed (spell out month)
Inventory sheet ¹	<i>Block 15</i> —STAMP “released” and ENTER your signature and the date signed (spell out month)
ESA permit	<i>In the bottom right corner of the permit</i> —STAMP “released” and ENTER your signature and the date signed (spell out month)

1 If an invoice is used as an inventory sheet, STAMP, DATE, and SIGN the invoice.

Distribute DMA-Issued Documents

Distribute DMA-issued documents as follows:

1. SEND the original, endorsed documents with the shipment, including inventory and continuation sheets if appropriate.
2. RETURN to the exporter, one set of the endorsed documents marked “COPY.”
3. SEND to the following DMA address, one set of the endorsed documents, securely stapled together:

U.S. Fish and Wildlife Service
Division of Management Authority
4401 North Fairfax Drive, Room 700
Arlington, Virginia 22203

4. KEEP one set of the endorsed documents for the issuing office files.
5. DISCARD any remaining copies.

American Ginseng (*Panax quinquefolius*)

Figure 5-8-2 on **page-5-8-20** illustrates the steps to follow when determining if American Ginseng (*Panax quinquefolius*) is moving in accordance with or in violation of CITES and when validating and endorsing documents. Before going to Step 1, first see **Table 5-8-17** on **page 5-8-21** to confirm that the ginseng is regulated by CITES.

When validating and endorsing DMA-issued documents for the export or reexport of protected plants **other than** American ginseng, then GO to *Protected Plants Other Than American Ginseng* on **page 5-8-6**.

- Step 1: Determine if the Exporter Is Aware of the Legislative Requirements*
- Step 2: Collect All Associated Documents*
- Step 3: Determine Whether the Shipment Is Commercial*
- Step 4: Determine Which Documents Must Accompany the Shipment*
- Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents*
- Step 6: Confirm That American Ginseng Roots Were Legally Collected in a State Approved for That Harvest Season*
- Step 7: Review Documents to Confirm Their Currency, Completeness, and Authenticity*
- Step 8: Check for Alterations on Documents*
- Step 9: Compare the Documents to Each Other and to the Shipment*
- Step 10: Endorse and Distribute Documents*

FIGURE 5-8-2: Overview of Steps to Validate and Endorse DMA-Issued Documents for American Ginseng (*Panax quinquefolius*)

TABLE 5-8-17: Confirm That The Ginseng Is Regulated by CITES

If the commodities were collected or harvested from:	And are:	And are:	Then:
American ginseng (<i>Panax quinquefolius</i>)	Whole plants	→	GO to Step 1: Determine if the Exporter Is Aware of the Legislative Requirements on page 5-8-21 because the articles are regulated by CITES
	Roots (or from the roots)	Whole or broken	
		Root hairs	EXIT these special procedures because the articles are not regulated by CITES
		Extract or derivative	◆ For domestic-origin ginseng, GO to Determining the Country's Import Requirements on page 3-4-1 to identify import requirements and then to determine if a PPQ Form 577 can be issued
Leaves, stems, flowers, or seeds (or from these structures)		→	◆ For foreign-origin ginseng, GO to PPQ Form 579, Phytosanitary Certificate for Reexport on page 3-8-14 to identify import requirements and then to determine if a PPQ Form 579 can be issued
◆ Chinese ginseng (<i>Panax ginseng</i>) ◆ Ginseng (<i>Panax pseudo ginseng</i>), ◆ Siberian ginseng (<i>Eleutherococcus senticosus</i>) (Excluding <i>Panax ginseng</i> from Russia)		→	

Step 1: Determine if the Exporter Is Aware of the Legislative Requirements

Determine if the exporter is aware of the legislation and the requirements of the legislation to substantiate if there was an obvious attempt to defraud the government or to violate the regulations.

If there is **no** obvious attempt to defraud the government or to violate the regulations, GO to **Step 2: Collect All Associated Documents** on page 5-8-21.

Step 2: Collect All Associated Documents

If **not** already done as part of a preliminary assessment, collect invoices, bills of lading or air waybills, State certificates, and other shipping documents issued by DMA and PPQ.

Use these documents to verify weights, numbers, and kinds of protected plants being offered for export. All American ginseng **must** be invoiced, marked, or identified with the following marking requirements:

- ◆ Identity of the plants or plant parts—American ginseng (*Panax quinquefolius*)
- ◆ Name and address of the consignee
- ◆ Name and address of the exporter, shipper, or broker
- ◆ Serial number of the DMA-issued permit or certificate issued for the export or reexport of plants or plant parts
- ◆ Shipper's mark and number
- ◆ State where the American ginseng was collected or harvested from cultivated plants

For mail shipments, the following additional requirements **must** be met to be in accordance with 7CFR 355.21:

- ◆ Material **must** be double wrapped with an unsealed inner wrapping addressed to the consignee
- ◆ Name, address, and phone number of the intended recipient in the foreign country **must** also be included on a separate sheet of paper placed inside the package, i.e., PPQ Form 572, *Application for Inspection and Certification of Domestic Plants and Plant Products for Export*
- ◆ Package marking and identification **must** be shown on the outside of the package
- ◆ Package **must** have sufficient postage to reach the foreign destination

Step 3: Determine Whether the Shipment Is Commercial

Determine whether the shipment is commercial or noncommercial. This determination will influence certifying the protected commodities and effects which DMA-issued document is issued. In addition to reviewing shipping documents and interviewing the exporter, see [Table 5-8-18](#) on [page 5-8-23](#) for the criteria to apply when determining whether a shipment is commercial.

TABLE 5-8-18: Determine Whether the Shipment Is Commercial

If the American ginseng plants or plant parts offered for export:	Then consider the shipment a:
Are known to be for sale or resale	Commercial ¹ shipment
Are consigned to a trading company, wholesaler, or dealer	
Are of a volume and variety that exceed what can be reasonably considered for personal use	
Are from parties involved in commercial activities as evidenced by State registration, a business, or advertisements in periodicals and catalogs	
Do not apply to the above criteria	Noncommercial shipment

- 1 The definition of a commercial shipment according to 7CFR 355.2 is as follows: “Engaged in business as an importer, exporter, or reexporter of terrestrial plants. To import, export, or reexport terrestrial plants for the purpose of selling, bartering, collecting, or otherwise exchanging or acquiring the plants as a livelihood or enterprise engaged in for gain or profit. This term shall **not** include persons engaged in business merely as carriers or customhouse brokers.” The above definition is one of the criterion for determining whether a shipment is commercial.

Step 4: Determine Which Documents Must Accompany the Shipment

Determine which documents **must** accompany a shipment of American ginseng plants or roots based on the governing legislation and the shipment. For the required documents, ACOs **must** ensure they are present and valid. Begin at [Table 5-8-19](#) on [page 5-8-23](#).

TABLE 5-8-19: Determine Which DMA-Issued Documents Must Accompany the Shipment

If the American ginseng is being offered for:	And was:	Then:
Export	Collected from the wild ¹	GO to Table 5-8-20 on page 5-8-24
	Harvested from cultivated plants ¹	GO to Table 5-8-21 on page 5-8-25
Reexport	—————▶	GO to Table 5-8-22 on page 5-8-26

- 1 Wild and cultivated roots may **not** be exported under the same Federal and State documents, as each type of root has different export criteria.

TABLE 5-8-20: Determine Which Documents Must Accompany American Ginseng Collected from the Wild

If the shipment is:	Then:
Commercial	1. REQUIRE all of the following documents: <ul style="list-style-type: none"> ◆ PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i> ◆ Copy of the invoice ◆ Original plus 3 copies of the DMA-issued export permit for each harvest season¹ ◆ Original and a copy of the <i>Wild Ginseng Export Report</i> (attached to the DMA-issued export permit) ◆ Original² and a copy of the State-issued <i>American Ginseng Export Certificate</i> 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-26
Noncommercial	1. REQUIRE all of the following documents: <ul style="list-style-type: none"> ◆ Original plus 3 copies of the DMA-issued export permit for each harvest season¹ ◆ Original and a copy of the <i>Wild Ginseng Export Report</i> (attached to the DMA-issued export permit) ◆ Original² and a copy of the State-issued <i>American Ginseng Export Certificate</i> 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-26

- 1 Exporters need separate CITES export permits for American ginseng collected from different harvest seasons.
 For example, if a person or company is exporting roots collected between June 2003 and June 2004, two export permits specific for each harvest season **must** be presented. The *Wild Ginseng Export Report* lists the States authorized for export for a particular harvest season.
- 2 In general, accept **only** the original State certificate. However, if the exporter or dealer modified the State certificate by writing the lower weight of ginseng being exported, and certified this change with the written words, "I made these changes on [date]" followed by the full legal signature of the exporter or dealer, a photocopy of the original State certificate may be used. This certificate **must** be modeled in accordance with Federal regulations.

TABLE 5-8-21: Determine Which Documents Must Accompany American Ginseng Harvested from Cultivated Plants

If the shipment is:	Then:
Commercial	<p>1. REQUIRE all of the following documents:</p> <ul style="list-style-type: none"> ◆ PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i> ◆ Copy of the invoice ◆ Original and 3 copies of the DMA-issued other certificate to authorize movement of artificially propagated plants ◆ Original and a copy of the <i>Cultivated Ginseng Export Report</i>¹ (attached to the DMA-issued other certificate) ◆ Original and a copy of the State-issued <i>American Ginseng Export Certificate</i> certifying that the American ginseng was cultivated (artificially propagated) <p>2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-26</p>
Noncommercial	<p>1. REQUIRE all of the following documents:</p> <ul style="list-style-type: none"> ◆ Original and 3 copies of the DMA-issued other certificate to authorized movement of artificially propagated plants ◆ Original and a copy of the <i>Cultivated Ginseng Export Report</i>¹ (attached to the DMA-issued other certificate) ◆ Original and a copy of the State-issued <i>American Ginseng Export Certificate</i> certifying that the American ginseng was cultivated (artificially propagated) <p>2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-26</p>

1 The *Cultivated Ginseng Export Report* lists the approved State(s) of origin.

TABLE 5-8-22: Determine Which Documents Must Accompany Reexport Shipments of American Ginseng

If the shipment is:	Then:
Commercial	1. REQUIRE all of the following documents: <ul style="list-style-type: none"> ◆ PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i> ◆ Copy of the invoice ◆ Original and a copy of the DMA-issued <i>Reexport Certificate</i> ◆ Copy of a foreign document (import permit or phytosanitary certificate) or other supporting document that validates official entry into U.S. commerce 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-26
Noncommercial	1. REQUIRE all of the following documents: <ul style="list-style-type: none"> ◆ Original and a copy of the DMA-issued <i>Reexport Certificate</i> ◆ Copy of a foreign document (import permit or phytosanitary certificate) or other supporting document that validates official entry into U.S. commerce 2. GO to Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents on page 5-8-26

Step 5: Allow an Opportunity for the Exporter to Supply Missing Documents

If the exporter is missing a required permit or certificate, use **Table 5-8-23** on **page 5-8-27** to determine the appropriate action to take.

If the exporter has all the necessary documents and the shipment offered for export is American ginseng collected from the wild, GO to **Step 6: Confirm That American Ginseng Roots Were Legally Collected in a State Approved for That Harvest Season** on **page 5-8-28**. Otherwise, SKIP to **Step 7: Review Documents to Confirm Their Currency, Completeness, and Authenticity** on **page 5-8-29**.

TABLE 5-8-23: Determine the Appropriate Action to Take When the Exporter is Missing Documents

If the exporter:	And the American ginseng is:	Then:
Lacks DMA-issued permit, certificate, or export report	→	<ol style="list-style-type: none"> 1. REFER the exporter to DMA¹ 2. REFUSE to endorse DMA-issued documents until the exporter supplies the missing permit, certificate, or export report 3. REFUSE to issue an export certificate
Lacks PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>	→	<ol style="list-style-type: none"> 1. CONFIRM that the shipment is commercial 2. GIVE the exporter PPQ Form 621, <i>Application for General Permit to Engage in the Business of Importing, Exporting, or Reexporting Terrestrial Plants</i>² 3. REFUSE to endorse DMA-issued documents until the exporter provides evidence that he or she holds a current <i>General Permit</i> or <i>Protected Plant Permit</i> 4. REFUSE to issue an export certificate
Lacks a State-issued <i>American Ginseng Export Certificate</i> ³	→	<ol style="list-style-type: none"> 1. REFUSE to endorse DMA-issued documents until the appropriate State-issued certificate is presented 2. REFUSE to issue an export certificate
Has all the necessary documents	Collected from the wild	GO to Step 6: Confirm That American Ginseng Roots Were Legally Collected in a State Approved for That Harvest Season on page 5-8-28
	Harvested from domestic-origin cultivated plants	GO to Step 7: Review Documents to Confirm Their Currency, Completeness, and Authenticity on page 5-8-29
	Of foreign origin	

- 1 For questions about CITES and/or ESA export documents, exporters can contact DMA at toll-free phone 800-358-2104 or write U.S. Fish and Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, Virginia 22203.
- 2 For questions about *General Permits* or *Protected Plant Permits*, exporters can contact PPQ Permit Services at toll-free phone 877-770-5990, or FAX at 301-734-8700, or go to <http://www.aphis.usda.gov/ppq/permits/>.
- 3 Generally, accept **only** the original State-issued *American Ginseng Export Certificate*. However, if the exporter or dealer had to modify the export certificate (wrote the lesser weight of ginseng roots being exported and certified the change with the statement, "I made these changes on [date]" followed by his or her full legal signature); you may accept a photocopy of the State-issued export certificate.

Step 6: Confirm That American Ginseng Roots Were Legally Collected in a State Approved for That Harvest Season

When an exporter requests certification of a shipment containing American ginseng roots collected from the wild, ACOs **must** confirm the roots were legally collected from a State approved for that harvest season.

Compare the *Wild Ginseng Export Report* with the accompanying State-issued *American Ginseng Export Certificate*.

When comparing the DMA-issued *Wild Ginseng Export Report* with the State-issued *American Ginseng Export Certificate*, confirm the following:

- 1.** The roots were legally collected from a State approved for that harvest season.³ The export report lists the States authorized for export for that particular season. (Wild roots collected from different harvest seasons need separate permits and reports.)
- 2.** The weight of the roots and the harvest season authorized is the same on the export report as is on the State-issued export certificate.
- 3.** Use [Table 5-8-24](#) on [page 5-8-29](#) to determine the appropriate action to take when confirming that American ginseng roots were legally collected in a State approved for that harvest season.

³ If an exporter needs to know the State populations for which the export may be permitted, REFER the exporter to 50CFR 23.51 (Subpart F—Export of American Ginseng).

TABLE 5-8-24: Determine the Appropriate Action to Take When Confirming That American Ginseng Roots Were Legally Collected From the Wild

If:	And the exporter:	Then:
All the roots were legally collected from the wild	→	GO to Step 7: Review Documents to Confirm Their Currency, Completeness, and Authenticity on page 5-8-29
All or a portion of the roots were illegally collected	Is a repeat violator or you determine that there was an obvious attempt to mislead or to conceal the fact that the roots were illegally collected	<ol style="list-style-type: none"> 1. REFUSE to endorse DMA-issued documents 2. REFUSE to issue an export certificate 3. ENSURE that the illegally collected roots are removed from the shipment¹ 4. GO to Violations of ESA or CITES on page 5-8-35 to begin processing a violation
	Agrees to remove the illegally collected roots and you determine that initiating a violation is inappropriate	<ol style="list-style-type: none"> 1. LINE through the unauthorized entry on the export report and State-issued export certificate 2. WRITE “NOT AUTHORIZED” across the entry 3. ENSURE that illegally collected roots are removed from the shipment¹ 4. GO to Step 7: Review Documents to Confirm Their Currency, Completeness, and Authenticity on page 5-8-29

1 If it is impracticable for the exporter to separate the illegal roots from the legal roots because they were commingled from more than one source, REMOVE just the weight of the roots equivalent to the weight moving in violation of CITES.

Step 7: Review Documents to Confirm Their Currency, Completeness, and Authenticity

ACOs should review all relevant documents to confirm they are current, complete, authentic as follows:

1. Verify documents are current. Use **Table 5-8-25** on **page 5-8-30** to locate the expiration date on documents. If the DMA-issued permit or certificate has expired, the exporter **must** replace the expired document with a current one.⁴

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

For questions about *General Permits* or *Protected Plant Permits*, exporter can contact PPQ Permit Services at toll-free phone 877-770-5990, or FAX at 301-734-8700, or go to the following Web site address: <<http://www.aphis.usda.gov/ppq/permits/>>.

TABLE 5-8-25: Locate the Expiration Date on Relevant Documents

If the document is:	Then locate the expiration date:
CITES permit or certificate	In <i>Block 2. Valid until</i>
PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>	On a line at the bottom left side

2. Confirm documents have been completed. For CITES permits or certificates, the exporter **must** have filled in *Block 4* and *Block 11*. For *General Permits* or *Protected Plant Permits*, the exporter should **not** have filled in any information.
3. For shipments of American ginseng collected from the wild or harvested from cultivated plants, confirm a DMA-issued *Wild Ginseng Export Report* has been completed. The exporter fills in all the information on the export report and signs his or her name (**not** the company name). In the endorsement block, the exporter should **not** have filled in any information.
4. Verify documents are authentic. Use [Table 5-8-26](#) on page 5-8-30 to identify those individuals authorized to sign such documents.

TABLE 5-8-26: Identify Individuals Authorized to Sign Documents Issued by DMA and PPQ for Protected Plants

If the document is issued by:	Then the document must be signed by one of the following individuals:																
DMA (CITES and/or ESA permits or certificates)	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">Mary Ellen Amtower</td> <td style="width: 50%;">Marshall Jones</td> </tr> <tr> <td>Caroline Anderson</td> <td>Lisa J. Lierheimer</td> </tr> <tr> <td>Karen Anderson</td> <td>Michael Moore</td> </tr> <tr> <td>Bruce Babbitt</td> <td>Kristen Nelson</td> </tr> <tr> <td>Michael Carpenter</td> <td>Teiko Saito</td> </tr> <tr> <td>Charlie R. Chandler</td> <td>Kenneth Stansell</td> </tr> <tr> <td>Monica Farris</td> <td>Margaret Tieger</td> </tr> <tr> <td>Pamela Hall</td> <td>Bruce Weissgold</td> </tr> </table>	Mary Ellen Amtower	Marshall Jones	Caroline Anderson	Lisa J. Lierheimer	Karen Anderson	Michael Moore	Bruce Babbitt	Kristen Nelson	Michael Carpenter	Teiko Saito	Charlie R. Chandler	Kenneth Stansell	Monica Farris	Margaret Tieger	Pamela Hall	Bruce Weissgold
Mary Ellen Amtower	Marshall Jones																
Caroline Anderson	Lisa J. Lierheimer																
Karen Anderson	Michael Moore																
Bruce Babbitt	Kristen Nelson																
Michael Carpenter	Teiko Saito																
Charlie R. Chandler	Kenneth Stansell																
Monica Farris	Margaret Tieger																
Pamela Hall	Bruce Weissgold																
PPQ (PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>)	Authorized employee of PPQ Permit Services. For questions about <i>General Permits</i> or <i>Protected Plant Permits</i> , exporters can contact PPQ Permit Services at toll-free phone 877-770-5990, or FAX at 301-734-8700, or go to the following Web site address: < http://www.aphis.usda.gov/ppq/permits >																

Step 8: Check for Alterations on Documents

Check permits, certificates, and export reports for alterations, such as unauthorized additions, erasures, and forgeries. Look for the following:

- ◆ Changed date of issuance or date of expiration
- ◆ Changed authorized weights on the State-issued *American Ginseng Report Certificate* or CITES permit or certificate

- ◆ Listed both wild and cultivated roots on the same State-issued *American Ginseng Export Certificate*



Both wild and cultivated roots **cannot** be listed on the same State-issued *American Ginseng Export Certificate*.

Use [Table 5-8-27](#) on [page 5-8-31](#) to take the appropriate action.

TABLE 5-8-27: Determine the Appropriate Action to Take Regarding Document Alterations

If documents:	Then:
Shows evidence of alterations	<ol style="list-style-type: none"> 1. GO to Violations of ESA or CITES on page 5-8-35 to begin processing a violation 2. REFUSE to endorse any DMA-issued documents 3. REFUSE to issue an export certificate
Have not been altered	GO to Step 9: Compare the Documents to Each Other and to the Shipment on page 5-8-31

Step 9: Compare the Documents to Each Other and to the Shipment

Compare documents to each other and to the shipment ensuring there are **no** discrepancies, omissions, inconsistencies, or inaccuracies, as follows:

1. Compare the quantity of roots against that which is listed on a bill of lading, air waybill, invoice; and against that which is listed in *Block 11* of CITES permits or certificates.
2. Compare the authorized weights on DMA-issued documents against weights on the State-issued export certificate and against what is actually being shipped. Use [Table 5-8-28](#) on [page 5-8-32](#) to verify the weight of the roots.

TABLE 5-8-28: Verify That the Weight of Roots Is As Listed on Accompanying Documents

If the weight of the roots being exported:	Then:
Agrees with the weight authorized on State-issued and DMA-issued permits and/or certificates	GO to 3., below
Is less than the weight authorized on State-issued and DMA-issued permits and/or certificate	1. ALLOW the exporter to draw a line through the weight on the State-issued export certificate and to enter the lower weight 2. HAVE the exporter certify the change by writing in ink the statement that, "I made these changes on [date]" followed by the full legal signature of the exporter or dealer 3. GO to 3., below
Is more than the weight authorized on State-issued and DMA-issued permits and/or certificates	1. REFUSE to endorse the DMA-issued documents 2. REFUSE to issue an export certificate

3. Confirm all conditions listed on DMA-issued permits and/or certificates have been met as follows:

- A.** Verify that conditions are met, which are listed in *Block 5* of CITES permits and certificates. *Blocks 5* and *11* will also indicate whether a permit or certificate can be copied for repeated use.
- B.** If any of the listed conditions is **not** met, REFUSE to endorse DMA-issued documents and REFUSE to issue an export certificate until the noncompliance is resolved (see examples below). If all conditions are met, then GO to #4 below.

EXAMPLE

Special conditions that may restrict an exportation are as follows:

- ◆ Fixed times or exact dates
- ◆ Particular sources
- ◆ Specific quantity or number of roots

4. Confirm the roots being exported are those are authorized by DMA-issued permit and/or certificate as follows:

- A.** Compare what is listed on accompanying documents against what listed is on DMA-issued permits and/or certificates.
- B.** If the roots being exported are cultivated American ginseng, confirm that the roots were **not** collected in the wild. See [Figure 5-8-3](#) on [page 5-8-33](#) for the characteristics of wild and cultivated American ginseng. Use [Table 5-8-29](#) on [page 5-8-33](#) to verify the authorization of American ginseng roots.

Wild American Ginseng	Cultivated American Ginseng
<ul style="list-style-type: none"> ◆ Dense when squeezed ◆ Gnarled ◆ Darker, earthier color ◆ If broken, the interior is a darker color with few air spaces ◆ Growth rings are close together and continuous ◆ More than 4 to 6 bud scars on the neck of the roots (see special conditions in <i>Block 5</i> of permit) 	<ul style="list-style-type: none"> ◆ Less dense when squeezed ◆ Less gnarled ◆ Lighter color ◆ If broken, the interior is a lighter color with numerous air spaces ◆ Growth rings are farther apart and not continuous ◆ Rarely more than 4 to 6 bud scars on the neck of the roots

FIGURE 5-8-3: Characteristics of Wild American Ginseng and Cultivated American Ginseng

TABLE 5-8-29: Verify the Authorization of American Ginseng Roots

If:	And the exporter:	Then:
All American ginseng roots (or parts) in the shipment are authorized	→	GO to <i>Step 10: Endorse and Distribute Documents</i> on page 5-8-33
Some or all of the roots in the shipment are not authorized (wild ginseng was substituted for cultivated ginseng or quantities were exceeded)	Is a repeat violator or you determine that there was an obvious attempt to mislead or to conceal unauthorized material	<ol style="list-style-type: none"> 1. REFUSE to endorse the DMA-issued documents 2. REFUSE to issue an export certificate 3. ENSURE that all unauthorized material is removed from the shipment 4. GO to <i>Violations of ESA or CITES</i> on page 5-8-35 to begin processing a violation
	Agrees to remove the unauthorized roots and you determine that initiating a violation is inappropriate	<ol style="list-style-type: none"> 1. WRITE in the final, legal weight on the appropriate line in Block 13 of DMA-issued export permit or certificate 2. ENSURE that all unauthorized material is removed from the shipment 3. GO to <i>Step 10: Endorse and Distribute Documents</i> on page 5-8-33

Step 10: Endorse and Distribute Documents

Once the American ginseng roots meet the requirements of CITES, endorse and distribute DMA-issued documents. Consider the shipment certifiable and eligible for an export certificate. However, identify import requirements of the foreign country and follow general

inspection guidelines before issuing an export certificate (see *Determining the Country's Import Requirements* on page 3-4-1 and *Inspecting Commodities* on page 3-5-1 respectively).

**Endorse
DMA-Issued
Documents**

Follow the directions in **Table 5-8-30** on page 5-8-34 to endorse DMA-issued documents.

TABLE 5-8-30: Endorse DMA-Issued Documents to Export American Ginseng Roots

If the DMA-issued document is:	The follow these instructions to endorse the document:
Export permit	◆ <i>Block 13</i> —ENTER the actual quantity of ginseng roots moving as specified for each entry in <i>Block 7/8. Common Name and Scientific name</i> (may be less, but never more than was authorized in <i>Block 11. Quantity</i>)
Other certificate to authorize movement of artificially propagated plants	◆ <i>Block 14</i> —ENTER the bill of lading or air waybill number, the port of export (designated CITES port), and the total number of shipping containers (VERIFY the entry if the block is already filled in) ◆ <i>Block 15</i> —ENTER the date (spell out month), your signature, and STAMP “released”
<i>Wild Ginseng Export Report</i>	STAMP “released” and ENTER your signature and date signed (spell out month)
<i>Cultivated Ginseng Export Report</i>	

**Distribute
DMA-Issued
Documents**

Distribute the DMA-issued documents as follows:

1. SEND the original, endorsed documents with the shipment, including the accompanying export report.



Never allow the State-issued *American Ginseng Export Certificate* to go forward with the shipment.

2. RETURN to the exporter, one set of the endorsed documents marked “COPY.”
3. SEND to the following DMA address, one set of the endorsed documents to include the DMA-issued export permit or certificate with the accompanying export report, the original State-issued *American Ginseng Export Certificate*⁵, the bill of lading or air waybill signed by the carrier, and the invoice:

⁵ Generally, accept **only** the original State-issued *American Ginseng Export Certificate*. However, if the exporter or dealer had to modify the export certificate (wrote the lesser weight of ginseng roots being exported and certified the change with the statement, “I made these changes on [date]” followed by his or her full legal signature); you may accept a photocopy of the State-issued export certificate.

U.S. Fish and Wildlife Service
Division of Management Authority
4401 North Fairfax Drive, Room 700
Arlington, Virginia 22203-3507

4. KEEP one set of the endorsed documents for the issuing office files.
5. DISCARD any remaining copies.

Violations of ESA or CITES

The following procedures for processing violations of ESA or CITES are for plant material. (Additional procedures have been established for the forfeiture of nonplant material (such as equipment shipped with the plant material or the means of conveyance) when the exporter is found violating ESA or CITES.)

The following are violations of ESA and CITES:

- ◆ Commercially exporting protected plants **without** a PPQ Form 622, *General Permit* or *Protected Plant Permit* issued by PPQ Permit Services
- ◆ Exporting protected plants out of a port that has **not** been designated for the movement of protected plants
- ◆ Exporting protected plants without the documents required by ESA or CITES and issued by DMA
- ◆ Failing to keep records required by 7CFR 355.23 or refusing to make reports from these records when requested by PPQ
- ◆ Falsifying export documents to hide the actual identification of the plant, the number or weight of the shipment, the location where the plant was grown, etc.

The steps to take to process violations of ESA and CITES are referenced in [Figure 5-8-4](#) on [page 5-8-36](#).

- Step 1: Set Up a System for Filing the Violations**
- Step 2: Confirm That the Violation Warrants Prosecution**
- Step 3: Seize the Commodity**
- Step 4: Estimate the Retail Value of the Commodity Moving in Violation of the Legislation**
- Step 5: Start Forfeiture Procedures**
- Step 6: Safeguard the Seized Material**
- Step 7: Take Custody of Forfeited or Abandoned Material That Was Seized**
- Step 8: Start the Process for Getting Forfeited or Abandoned Live Plants to a Rescue Center**

FIGURE 5-8-4: Overview of Steps for Processing Violations of ESA and CITES

Step 1: Set Up a System for Filing the Violations

The principle document you will be filing is PPQ Form 624, Notice of Seizure and Proposed Forfeiture. The purpose of the filing system is to:

- ◆ Allow you to have immediate access to what actions were taken on seized property (in case you are asked questions about a particular action)
- ◆ Facilitate a civil or criminal proceeding
- ◆ Identify repeat offenders

To set up your filing system, do the following:

1. Make a separate file folder for each shipment found in violation of the legislation.
2. Number each file consecutively from the first seizure for the fiscal year. In your numbering, first list your port and the year (see [Figure 5-8-5](#) on [page-5-8-36](#)), add a hyphen, and then list the seizure number.

Miami 03-01

FIGURE 5-8-5: Example of Filing System Numbering Configuration for Violations

3. Place Part 4 of PPQ Form 624 at the front of each file and update as necessary.
4. Retain each file for 5 years after the last documented action is taken.

Step 2: Confirm That the Violation Warrants Prosecution

See [Table 5-8-31](#) on [page 5-8-37](#) to confirm that the violation warrants prosecution.

TABLE 5-8-31: Confirm that the Violation Warrants Prosecution

If you have:	Then:
Repeat violation	1. CONTINUE processing the violation since it warrants prosecution 2. GO to Step 3: Seize the Commodity
Evidence that a permit, certificate, or other official document was altered or forged to gain advantage	
Obvious attempt to mislead you or to conceal unauthorized material	
Violation that meets none of the criteria described in the 3 cells above ¹	1. DISCONTINUE processing the violation 2. MAKE CERTAIN the unauthorized material is removed from the shipment

1 The lack of ESA/CITES documents, the lack of a PPQ Form 622, *General Permit* or *Protected Plant Permit*, or the attempt to export out of a nondesignated port may, in part, be due to the exporter's lack of knowledge of the regulations. If there is **no** obvious attempt to defraud or violate the regulations, provide the exporter with the required information and/or refer the exporter to a designated port for clarification.

Step 3: Seize the Commodity

If you have **not** already done so, seize the commodity moving in violation of the legislation.

Step 4: Estimate the Retail Value of the Commodity Moving in Violation of the Legislation

Estimate the retail value of the commodities moving in violation of the legislation as follows:

- ◆ If the commodities are sold in the U.S., use the price asked or given for the items from the nearest retailer to estimate the value
- ◆ If there is **no** market for the commodity in the U.S., use the invoiced value or any other reasonable means to estimate the retail value

TABLE 5-8-32: Regulate Seized Material Based on Estimated Value

If you estimate the value of the seized material to be:	Then:
More than \$10,000	GO Step 5: Start Forfeiture Procedures, Forfeiture Procedures When the Value of Seized Material Exceeds \$10,000 for procedures to be used when the value of the material exceeds \$10,000
\$10,000 or less	GO to Step 5: Start Forfeiture Procedures, Forfeiture Procedures When the Value of the Material Seized is \$10,000 or Less on page 5-8-39

Step 5: Start Forfeiture Procedures

The following forfeiture procedures will allow you to gain legal custody of the material seized and to facilitate prosecution by DMA.

Forfeiture Procedures When the Value of Seized Material Exceeds \$10,000

When the value of the material seized exceeds \$10,000, follow the steps listed below and continue processing the violation:

1. Complete PPQ Form 624, Notice of Seizure and Proposed Forfeiture; edit the completed form so there are **no** inaccuracies in *Blocks 3* and *4* (these blocks are used to describe the property, why the property was seized, and your authority for the seizure).
2. Ensure all relevant documents have been collected and filed. Update the file as necessary.
3. Post *Part 2* of PPQ Form 624 **immediately** as follows:
 - A. Post in a conspicuous place accessible to the public at the PPQ office where the plants were seized.
 - B. Keep the form posted for 21 days.
 - C. Record the date and time of the posting on *Parts 3* and *4* of the worksheet to PPQ Form 624.
4. Ensure you have recorded the file number of the violation on PPQ Form 624, Notice of Seizure and Proposed Forfeiture.
5. Send using Certified Mail with a return receipt requested, the following forms to the last known addresses of all people believed to be owners or agents of the seized materials.
 - A. PPQ Form 624, Notice of Seizure and Proposed Forfeiture, *Part 3* (and copies of *Part 3*)
 - B. PPQ Form 625, Claim and Bond
 - C. PPQ Form 626, Petition for Remission or Mitigation of Forfeiture
6. Record the names of the people to whom you mailed PPQ Form 624, *Part 3*, and the accompanying documents listed on PPQ Form 624, *Part 3*.
7. Write a narrative report of all relevant facts and circumstances of the violation. Include the names of any witnesses. Cite the laws believed to have been violated. If you need additional guidance, contact the Export Services (ES) staff in Riverdale, MD; Phone 301-734-8537; FAX 301-734-3249.
8. Within 5 working days, send the following documents to the Assistant District Attorney in the district where the commodities were seized.
 - A. Documents that accompanied the shipment

- B. PPQ Form 624, Notice of Seizure and Proposed Forfeiture, original and *Part 4*
- C. Your report

Send copies of all documents (sent to the Assistant District Attorney above), to ES at PPQ, Export Services, 4700 River Road, Unit 140, Riverdale, MD 20737⁶, and to the regional director where the violation occurred.

- 9. Go to *Step 6: Safeguard the Seized Material* on page 5-8-40.

When the value of the seized material is \$10,000 or less, follow the steps listed below and continue processing the violation:

**Forfeiture
Procedures
When the Value
of the Material
Seized is
\$10,000 or Less**

- 1. Reconfirm the violation warrants prosecution.
 - A. In order to continue processing the violation you **must** have encountered an obvious attempt to defraud or violate the regulations. If such was the case, continue to the next step.
 - B. If there was **no** obvious attempt to defraud or violate the regulations, give the exporter the required information and/or refer the exporter to a designated port for clarification. **Do not** continue processing the violation. The lack of ESA/CITES documents, the lack of a *General Permit* or *Protected Plant Permit* (PPQ Form 622), or the attempt to export out of a nondesignated port may, in part, have been due to the exporter's lack of knowledge of the regulations.
- 2. Allow the owner the opportunity to **either** waive title to the material moving in violation of the legislation or challenge the forfeiture of that material.

⁶ Phone 301-734-8537; FAX 301-734-3249.

3. Advise the owner that the material becomes forfeited after 21 days. If, after 21 days, a PPQ Form 625, Claim and Bond, or a PPQ Form 626, Petition for Remission, is **not** received by the Deputy Administrator, the U.S. Government takes title to the material moving in violation of the legislation.

TABLE 5-8-33: Regulate Seized Material Valued at \$10,000 or Less

If the owner:	Then:
Agrees to waive title to the material	<ol style="list-style-type: none"> 1. HAVE the owner COMPLETE and SIGN PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property 2. MAKE sure the owner reads both sides of the form 3. CONTINUE processing the violation
Returns to challenge the forfeiture of the material	<ol style="list-style-type: none"> 1. GIVE PPQ Form 625 and PPQ Form 626 to the owner 2. CONTINUE processing the violation
Is absent	<ol style="list-style-type: none"> 1. MAIL PPQ Form 625 and PPQ Form 626 to the owner 2. CONTINUE processing the violation

4. Complete PPQ Form 624, Notice of Seizure and Proposed Forfeiture, for material seized under CITES and ESA legislation.
5. File the original at the PPQ office where the material was seized.
6. Post PPQ Form 624, *Part 2* **only** as follows:
 - A. Place *Part 2* in a conspicuous place accessible to the public at the PPQ office where the plants were seized.
 - B. Keep the form posted for 21 days.
 - C. Record the date and time of the posting on *Parts 3* and *4* of the worksheet to PPQ Form 624.
7. After you have filled in the file number, give *Part 3* of PPQ Form 624 to the owner. If you are unable to hand the form to the owner of the seized material, mail *Part 3* to the owner at the last known address. Use certified or registered mail with a return receipt requested.
8. Keep PPQ Form 624 *Part 4* as a worksheet to know what has happened, who was notified, and when the next step is to be taken.
9. Go to [Step 6: Safeguard the Seized Material](#) on page 5-8-40.

Step 6: Safeguard the Seized Material

Safeguard the seized material and keep the plants alive until they leave your care. Ensure nothing is lost and live plants are kept alive and healthy. Do whatever you can to enhance the plants' survival.

Step 7: Take Custody of Forfeited or Abandoned Material That Was Seized

You may take custody of the seized material if, after 21 days, both of the following occur:

- ◆ Claim and Bond was **not** received by the Deputy Administrator
- ◆ Exporter did **not** provide the required CITES or ESA documents or a USDA *General Permit* or *Protected Plant Permit* (PPQ Form 622)

Follow these steps to take custody of the seized plants:

1. Complete PPQ Form 627, Declaration of Forfeiture (see PPQ Form 624 (worksheet) Parts 1 and 4), to complete PPQ Form 627).
2. Send a copy of PPQ Form 627, using registered or certified mail with a return receipt requested, to the owner of the forfeited material.



Important

The plants are now the property of the U.S. Government.

3. Record on PPQ Form 624, *Part 4, Block 7(d)* (worksheet) the date and time you mailed PPQ Form 627, Declaration of Forfeiture.

Step 8: Start the Process for Getting Forfeited or Abandoned Live Plants to a Rescue Center

To start the process for moving the forfeited or abandoned live plants to a rescue center,⁷ do as follows:

1. Phone Plant Safeguarding and Pest Identification (PSPI), in Riverdale, MD and provide the following information:
 - A. Location where the plants were grown
 - B. Name of the port and the file number
 - C. Number and kind of plants
 - D. Whether the material is mailable

PSPI will relay the information to DMA, who will then select the rescue center. PSPI will give you the name of the rescue center.

2. Send the plants to the rescue center.

⁷ A rescue center is a place (generally a public institution), that will grow the forfeited or abandoned plants to ensure the plants' survival.

- A.** If the shipment is too large to be mailed, PSPI will arrange for the rescue center to pay for shipping.
 - B.** Once arrangements are made to pay for the shipping, you will be advised.
- 3.** Record PPQ Form 624 in PPQ Form 624, *Part 4, Block 7(d)* (worksheet), the date and time you sent the plants to the rescue center.

5

Export Program
Manual

Special Procedures

Special Programs • Seed Health Accreditation

PPQ in cooperation with the National Seed Health System initiated a process by which non government entities can become accredited to perform the following testing and inspections for commodities required for PPQ Form 577 or 579 issuance:

- ◆ Laboratory seed health testing (laboratory-based program to test seeds for plant pathogens using the standardized methods approved by the National Seed Health System)
- ◆ Phytosanitary field inspection (field-based inspections of seed-producing fields, nurseries, or greenhouses for disease freedom using standardized methods approved by the National Seed Health System)
- ◆ Seed sampling for seed health laboratory testing (sampling of seeds using standardized methods approved by the National Seed Health System and forwarded by a traceable method to a government or accredited laboratory to conduct seed health laboratory tests)
- ◆ Visual inspections of seeds for phytosanitary certification (visual inspection of seed shipments using PPQ-approved methods at the exporter's facility for insects, weed seeds, soil, and other contaminants before issuing a PPQ Form 577 or 579)

The most current information about the accredited entities and the functions they are allowed to perform can be found on the PPQ Web page under Phytosanitary Issues Management – Accreditation.

http://www.aphis.usda.gov/import_export/plants/plant_exports/accreditation.shtml

Each non government entity is audited and evaluated by the National Seed Health System under the direct supervision of the National Accreditation Program Manager for PPQ. Upon successful completion of the initial audit and with the approval of PPQ, the entity becomes accredited. Each entity is accredited to perform certain functions listed on a letter of accreditation issued by PPQ.

Accredited entities provide a written report of their findings to the Authorized Certification Official (ACO). The report should include dates for each function the entity did. The written findings become part of the supporting documentation attached to the Issuing Office Copy of the certificate.

ACOs **cannot** issue certificates for commodities that:

- ◆ Underwent testing or inspection performed by an accredited entity for which that entity was **not** accredited to perform
- ◆ Were the subject of an activity performed by an entity **not** during the period for which the entity was accredited

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

ACOs may accept documented results from accredited entities for accredited phytosanitary function(s). These documented results serve to determine eligibility to issue PPQ Forms 577 or 579 for seeds intended for propagation.

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

<http://www.aphis.usda.gov/ppq/pim/accreditation/Ref-Man-B.pdf>.

A

Export Program
Manual

Appendix A

Acceptable and Unacceptable Certificates and Documents

Contents

Acceptable Certificates and Documents	page A-1-1
Unacceptable Certificates	page A-1-3
Examples of Acceptable Forms	page A-1-4
AMS Form FV 146, Certificate of Quality and Condition (Processed Foods)	page A-1-4
AMS Form FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance	page A-1-5
AMS Form FV 149, Certificate of Quality and Condition (Processed Foods) Continuous Inspection	page A-1-6
AMS Form FV 294, Report on Sanitary Inspection	page A-1-7
FGIS Form 905-L, Official Grain Inspection Certificate, Official Sample-Lot Inspection	page A-1-8
FGIS Form 909-L, Official Export Grain Inspection Certificate	page A-1-9
FGIS Form 909-1L, Official Export Grain Inspection Certificate-Divided Lot	page A-1-10
FGIS Form 909-2, Official Export Grain Inspection Certificate	page A-1-11
FGIS Form 921-2, Inspection Report–Insects in Grain	page A-1-18
FGIS Form 956, Rice Inspection Services Certificate	page A-1-21
FGIS Form 993, Commodity Inspection Certificate	page A-1-22
State Certificates and Reports	page A-1-23
Unacceptable Inspection Certificates	page A-1-23
AMS Form FV 184, Federal-State Inspection Certificate	page A-1-24
Form FGIS-913-L, Warehouseman’s Sample - Lot Inspection	page A-1-25
Form FGIS-914-L, Official Certificate, Submitted Sample Inspection	page A-1-26
FGIS Form 915-L, Official Stowage Examination Certificate	page A-1-27
FGIS Form 994, Commodity Submitted Sample Inspection	page A-1-28

Acceptable Certificates and Documents

Table A-1-1 on **page A-1-2** includes acceptable inspection certificates and documents issued by other agencies. Additional inspection would be unnecessary if the exporter presents one of the certificates or documents listed below.



All FGIS documentation listed in **Table A-1-1** on **page A-1-2** must be presented with FGIS Form 921-2 (01-07).

TABLE A-1-1: Acceptable Inspection Certificates and Documents

Issuing Agency/ Organization	Form Number	Form Title and Notes
Agricultural Marketing Service (AMS) ¹	FV 146	Certificate of Quality and Condition (Processed Foods)
	FV 147	Certificate of Quality and Condition (Processed Foods) Quality Assurance
	FV 149	Certificate of Quality and Condition (Processed Foods) Continuous Inspection
	FV 294	Report on Sanitary Inspection (issued for apples, pears, emperor grapes, and some vegetables)
Federal Grain Inspection Service (FGIS) ²	FGIS 905-1 ³	Official Grain Inspection, Official Sample-Lot Inspection
	FGIS 905-L ³	Laser printed FGIS 905
	FGIS 909 ³	Official Export Grain Inspection Certificate
	FGIS 909-1 ³	Official Export Grain Inspection Certificate-Divided Lot
	FGIS 909-1L ³	Laser printed FGIS 909-1
	FGIS 909-2 ³	Official Export Grain Inspection Certificate
	FGIS 921-2 (01-07)	Inspection Report—Insects in Grain
	FGIS 956 ³	Rice Inspection Services Certificate
	FGIS 956-1 ³	Rice Inspection Services Certificate
	FGIS 956-L ³	Laser printed FGIS 956
	FGIS 993 ³	Commodity Inspection Certificate
FGIS 993-L ³	Laser printed FGIS 993	
Florida	FV 185-C	Florida Export Citrus Fruit Inspection Report
Oregon	Inspection Report	Oregon State Seed Laboratory Inspection Report
Various States	State phytosanitary certificate	Use only to attest to the import requirements of a foreign country that cannot be ascertained at the time of export (e.g., growing season inspection, freedom from certain pests at the place of growing or production, specific origin)

- 1 In cases where the AMS form **does not** meet a foreign country's import requirements, then it will be necessary to either obtain a State phytosanitary certificate attesting to the requirements or conduct an additional inspection or treatment. For example, if freedom from specific quarantine pests is required by a particular country and the pests are **not** listed on FV Form 294 issued by AMS, then an additional phytosanitary inspection **must** be conducted before the fruits can be certified. Also, specific statements may be required on the form relating to sampling guidelines and freedom from pests. For example, when fruits are being inspected from Colombia, Brazil, or Venezuela, the following statement is required on the form, "This fruit was inspected for exports to [enter destination country] and was found free of codling moth, San Jose scale, and apple maggot. The rate of inspection was 2 percent with 1 percent of that being cut."
- 2 In cases where an acceptable FGIS inspection certificate is used as the basis for issuing an export certificate, the exporter or GIPSA inspector **must** contact a local ACO to identify the phytosanitary import requirements in preparation for the GIPSA inspection.
- 3 This document must be accompanied by FGIS Form 921-2 (01-07).

Unacceptable Certificates

Table A-1-2 on page A-1-3 includes unacceptable inspection certificates. Additional inspection would still be required if the exporter presents one of the certificates listed below.

TABLE A-1-2: Unacceptable Inspection Certificates

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

Examples of Acceptable Forms

AMS Form FV 146, Certificate of Quality and Condition (Processed Foods)

AMS Form FV 146, Certificate of Quality and Condition (Processed Foods) may be used in place of inspection. See [Figure A-1-1](#) for an example of AMS Form FV 146CS (9-92).

UNITED STATES DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS)		Please refer to this certificate by number and inspection office.
This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one year, or both (7 U.S.C. 1622 (h)). The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.		A- DATE
APPLICANT	ADDRESS	
RECEIVER OR BUYER	ADDRESS	
SOURCE OF SAMPLES	PRODUCT INSPECTED	
CODE MARKS ON CONTAINERS		
PRINCIPAL LABEL MARKS		
GRADE:		
REMARKS:		
<i>Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.</i>		
ADDRESS OF INSPECTION OFFICE		SIGNATURE OF INSPECTOR

FIGURE A-1-1: Example of AMS Form FV 146CS (9-92), Certificate of Quality and Condition (Processed Foods) (blank)

AMS Form FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance

AMS Form FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance may be used in place of inspection. See [Figure A-1-2](#) for an example of AMS Form FV 147CS (9-92).


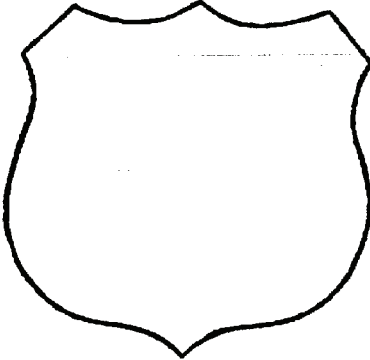

UNITED STATES DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE		Please refer to this certificate by number and inspection office. <div style="font-size: 24pt; font-weight: bold; text-align: center;">D- 000000</div>
CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS)		
 <div style="font-size: 24pt; font-weight: bold; text-align: center;">QUALITY ASSURANCE</div>		
This certificate is receivable in all courts of the United States as prime facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: Any person who knowingly falsely makes, issues, alters, forges, or counterfeits this certificate, or participates in any such action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one year, or both (7U.S.C. 1622 (h)). The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.		
APPLICANT	ADDRESS	
RECEIVER OR BUYER	ADDRESS	
CODE MARKS ON CONTAINERS	PRODUCT INSPECTED	
PRINCIPAL LABEL MARKS		
GRADE:		
REMARKS:		
Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.		
ADDRESS OF INSPECTION OFFICE		SIGNATURE OF INSPECTOR
		
FORM FV 147CS (9-92) U.S. GPO: 1982-335-648		

FIGURE A-1-2: Example of AMS Form FV 147CS (9-92), Certificate of Quality and Condition (Processed Foods) Quality Assurance (blank)

AMS Form FV 149, Certificate of Quality and Condition (Processed Foods) Continuous Inspection

AMS Form FV 149, Certificate of Quality and Condition (Processed Foods) Continuous Inspection may be used in place of inspection. See [Figure A-1-3](#) for an example of AMS Form FV 149CS (9-92).

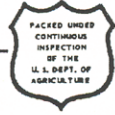
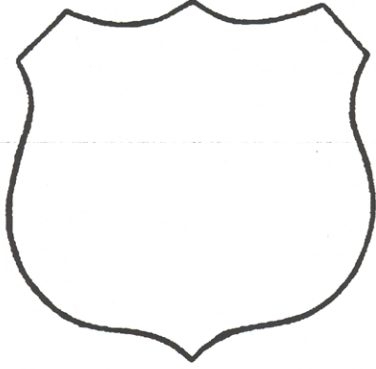
UNITED STATES DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE		Please refer to this certificate by number and inspection office. <div style="font-size: 24pt; font-weight: bold; text-align: center;">K- 00000</div>
 <div style="text-align: center;"> CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS) </div> <hr/> <div style="text-align: center;"> <h1 style="margin: 0;">CONTINUOUS INSPECTION</h1> </div>		
This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one year, or both (7 U.S.C. 1622 (h)). The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.		
APPLICANT	ADDRESS	
RECEIVER OR BUYER	ADDRESS	
CODE MARKS ON CONTAINERS	PRODUCT INSPECTED	
PRINCIPAL LABEL MARKS		
		
GRADE:		
REMARKS:		
<i>Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.</i>		
ADDRESS OF INSPECTION OFFICE		SIGNATURE OF INSPECTOR
FORM FV-149CS (9-92) U.S. GPO: 1994-523-112		

FIGURE A-1-3: Example of AMS Form FV 149CS (9-92), Certificate of Quality and Condition (Processed Foods) Continuous Inspection (blank)

FGIS Form 905-L, Official Grain Inspection Certificate, Official Sample-Lot Inspection
 FGIS Form 905-L, Official Grain Inspection Certificate, Official Sample-Lot Inspection **must** be used in conjunction with FGIS Form 921-2 (01-07). See [Figure A-1-5](#) for an example of FGIS Form 905-L (10-06).

FIGURE A-1-5: Example of FGIS Form 905-L (10-06), Official Grain Inspection Certificate, Official Sample-Lot Inspection (blank)

FGIS Form 909-L, Official Export Grain Inspection Certificate

FGIS Form 909-L, Official Export Grain Inspection Certificate, **must** be used in conjunction with FGIS Form 921-2 (01-07). The shield printed on this form is gradually being phased out. Currently both forms of this certificate are acceptable, with or without the shield. See [Figure A-1-6](#) for an example of FGIS Form 909-L (May 04).



FORM FGIS-909-L MAY 04 (Edition FEB 99 may be used)	UNITED STATES DEPARTMENT OF AGRICULTURE FEDERAL GRAIN INSPECTION SERVICE U.S. GRAIN STANDARDS ACT OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE	APPROVED OMB NO. 0580-0013 (See reverse for statement) ORIGINAL NOT NEGOTIABLE US-
	ISSUED AT _____	DATE OF SERVICE _____
I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act, with the following results:		
<input type="checkbox"/> Original Inspection <input type="checkbox"/> Reinspection <input type="checkbox"/> Appeal Inspection <input type="checkbox"/> Board Appeal Inspection		
QUANTITY (This is NOT a weight certificate) _____		
LOCATION _____	IDENTIFICATION OF CARRIER _____	
GRADE AND KIND (in accordance with the Official Grain Standards of the United States) _____		
		
STOWAGE _____		
REMARKS _____		
APPEAL NO (if applicable) _____	APPLICANT _____	NAME AND SIGNATURE _____
<small>This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 900.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain, or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate is not considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law. WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws is subject to criminal, civil, and administrative penalties. <small>The conduct of all services and the licensing of personnel under the regulations governing such services shall be accomplished without discrimination on the basis of race, color, religion, sex, national origin, age, or handicap.</small> </small>		
EXPORT		

FIGURE A-1-6: Example of FGIS Form 909-L (May 04), Official Export Grain Inspection Certificate (blank)

FGIS Form 909-1L, Official Export Grain Inspection Certificate-Divided Lot

FGIS Form 909-1L, Official Export Grain Inspection Certificate-Divided Lot, **must** be used in conjunction with FGIS Form 921-2 (01-07). This form looks almost exactly like FGIS Form 909, **except** FGIS Form 909-1L contains the words “Divided Lot” in the upper right corner to be used for a split shipment. See [Figure A-1-7](#) for an example of FGIS Form 909-1L.

FGIS FORM 909-1L

APPROVED OMB NO. 0580-0013
(See reverse for statement)

1 UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

2 DIVIDED LOT - ORIGINAL
NOT NEGOTIABLE

3

4 U.S. GRAIN STANDARDS ACT
OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE

5 _____

6 US- _____

7 ISSUED AT _____

8 DATE OF SERVICE _____

9 I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act, with the following results:

10 Original Inspection Reinspection Appeal Inspection Board Appeal Inspection

11 QUANTITY (This is NOT a weight certificate)

12 LOCATION

13 IDENTIFICATION OF CARRIER

14 GRADE AND KIND (In accordance with the Official Grain Standards of the United States)

15 _____

16 _____

17 STOWAGE

18 REMARKS

19 _____

20 APPEAL NO (if applicable)

21 APPLICANT

22 NAME AND SIGNATURE

23 This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain, or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate is not considered representative of the lot if the grain is transshipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law.

24 WARNING: Any person who shall knowingly falsify, make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws is subject to criminal, civil, and administrative penalties.
The conduct of all services and the licensing of personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.

25 EXPORT

FIGURE A-1-7: Example of FGIS Form 909-1L, Official Export Grain Inspection Certificate-Divided Lot (blank)

FGIS Form 909-2, Official Export Grain Inspection Certificate

FGIS Form 909-2, Official Export Grain Inspection Certificate, **must** be used in conjunction with FGIS Form 921-2 (01-07). However, this form is **only** used at interior locations that are loading export shipments and is **never** used at export elevators. This form has blanks for rating quality factors. (Compare with FGIS Form 909.) See the following figures for examples of various FGIS Form 909-2 as follows:


- ◆ **Figure A-1-8** on **page A-1-12** for an example of FGIS Form 909-2 (3-92 outdated); current form is dated 11-96
- ◆ **Figure A-1-9** on **page A-1-13** for an example of FGIS Form 909-2L AGT (March 04) (blank)
- ◆ **Figure A-1-10** on **page A-1-14** for an example of FGIS Form 909-2L IBS (Dec 04) (blank)
- ◆ **Figure A-1-11** on **page A-1-15** for an example of FGIS Form 909-L2 GIP (June 03) (blank)
- ◆ **Figure A-1-12** on **page A-1-16** for an example of FGIS Form 909-L2 MN (April 04) (blank)
- ◆ **Figure A-1-13** on **page A-1-17** for an example of FGIS Form 909-2L SH (May 03) (blank)

Appendix A: Acceptable and Unacceptable Certificates and Documents
 Examples of Acceptable Forms

FORM FGIS 909-2L

1 UNITED STATES DEPARTMENT OF AGRICULTURE
 FEDERAL GRAIN INSPECTION SERVICE

2 APPROVED OMB NO. 0580-0013
 ORIGINAL NOT NEGOTIABLE

3  4 U.S. GRAIN STANDARDS ACT

5 OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE 6 US-


7 ISSUED AT 8 DATE OF SERVICE

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act, with the following results: 9

Level of Inspection 10	DATE Sampled 11	Method of Sampling 12
Location 13	Identification of Carrier 14	QUANTITY (This is not a weight certificate) 15
GRADE AND KIND 16		

TEST WEIGHT per bushel 17	MOISTURE	Damaged Kernels (TOTAL)	Foreign material	Broken corn and foreign material					

REMARKS 18

19 

20 APPEAL NO. (if applicable) 21 APPLICANT 22 NAME AND SIGNATURE

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain, or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate is not considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is revocable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, of other Federal law. The conduct of all services and the licensing of the (inspecting/grading/hauling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.
WARNING: Any person who shall knowingly falsify, make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws is subject to criminal, civil, and administrative penalties.
 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 0580-0013. The time required to disclose this recordkeeping requirement is to average 57 hours per recordkeeper annually, including the time to retain such records, and to notify, disclose, and report to third parties such recordkeeping requirements.

23 24

FIGURE A-1-8: Example of Form FGIS 909-2L (10-06), Official Export Grain Inspection Certificate (blank)


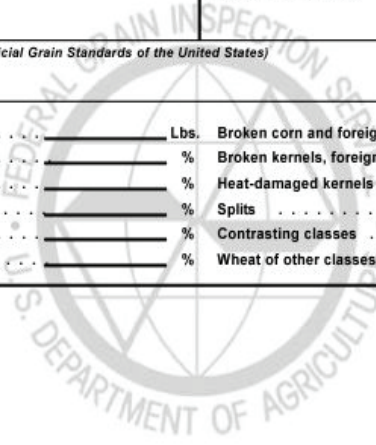
FORM FGIS-909-2L AGT MARCH 04	UNITED STATES DEPARTMENT OF AGRICULTURE FEDERAL GRAIN INSPECTION SERVICE U.S. GRAIN STANDARDS ACT OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE	ORIGINAL NOT NEGOTIABLE US-KS
		
_____ (ISSUED AT)		_____ (DATE OF SERVICE)
I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act, with the following results:		
<input type="checkbox"/> ORIGINAL INSPECTION <input type="checkbox"/> REINSPECTION <input type="checkbox"/> APPEAL INSPECTION <input type="checkbox"/> BOARD APPEAL INSPECTION		
QUANTITY (This is NOT a Weight Certificate)	IDENTIFICATION OF CARRIER	
LOCATION	METHOD OF SAMPLING	DATE SAMPLED
GRADE AND KIND (In accordance with the Official Grain Standards of the United States)		
Test weight per bushel _____ Lbs.	Broken corn and foreign material _____ %	
Moisture _____ %	Broken kernels, foreign material, and other grains _____ %	
Damaged kernels (total) _____ %	Heat-damaged kernels _____ %	
Foreign material _____ %	Splits _____ %	
Shrunken and broken kernels _____ %	Contrasting classes _____ %	
Defects (total) _____ %	Wheat of other classes (total) _____ %	
REMARKS		
		
APPEAL NO. (if applicable)	APPLICANT	NAME AND SIGNATURE
<small> This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not cancelled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated herein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetics Act, or other Federal law. WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal law, is subject to criminal, civil, and administrative penalties. The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, sex, national origin, age, or handicap. </small>		

FIGURE A-1-9: Example of FGIS Form 909-2L AGT (March 04), Official Export Grain Inspection Certificate (blank)

Appendix A: Acceptable and Unacceptable Certificates and Documents
 Examples of Acceptable Forms

FORM FGIS-909-2L IBS
DEC 04

UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

**U.S. GRAIN STANDARDS ACT
OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE**

ORIGINAL
NOT NEGOTIABLE

US-MM100001

(ISSUED AT) _____
(DATE OF SERVICE) _____

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 *et seq.*) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act with the following results:

<input type="checkbox"/> ORIGINAL INSPECTION	<input type="checkbox"/> REINSPECTION	<input type="checkbox"/> APPEAL INSPECTION	<input type="checkbox"/> BOARD APPEAL INSPECTION
--	---------------------------------------	--	--

QUANTITY (This is NOT a Weight Certificate)	IDENTIFICATION OF CARRIER
LOCATION	METHOD OF SAMPLING
	DATE SAMPLED

GRADE AND KIND (in accordance with the Official Grain Standards of the United States)

Test weight per bushel	Lbs.	Broken corn and foreign material	%
Moisture	%	Broken kernels, foreign material, and other grains	%
Damaged kernels (total)	%	Heat-damaged kernels	%
Foreign material	%	Splits	%
Shrunken and broken kernels	%	Contrasting classes	%
Defects (total)	%	Wheat of other classes (total)	%

REMARKS

APPEAL NO. (if applicable)	APPLICANT	NAME AND SIGNATURE
----------------------------	-----------	--------------------

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 *et seq.*), and the regulations thereunder (7 CFR 800.0 *et seq.*). It is issued to show the kind, class, grade, quality, condition, or quantity of grain or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not cancelled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated herein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetics Act, or other Federal law.

WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal law, is subject to criminal, civil, and administrative penalties. The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, sex, national origin, age, or handicap.

FIGURE A-1-10: Example of FGIS Form 909-2L IBS (Dec 04), Official Export Grain Inspection Certificate (blank)

FORM FGIS-909-L2 GIP JUN 03

UNITED STATES DEPARTMENT OF AGRICULTURE
 FEDERAL GRAIN INSPECTION SERVICE

**U.S. GRAIN STANDARDS ACT
 OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE**

ORIGINAL
 NOT NEGOTIABLE
US-

(ISSUED AT) _____ (DATE OF SERVICE) _____

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act with the following results.

Level of inspection	DATE SAMPLED	METHOD OF SAMPLING
LOCATION	IDENTIFICATION OF CARRIER	QUANTITY (This is not a weight certificate)
GRADE AND KIND		

Test Weight (per bushel)	Moisture								

REMARKS:


APPEAL NO. (if applicable)	APPLICANT	NAME OR SIGNATURE
----------------------------	-----------	-------------------

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.) and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain; or the condition of a carrier or container for the storage or transportation of grain; or other facts relating to grain as determined by official personnel. The statements on this certificate are considered true at the time and place the inspection or the weighing service was performed. This certificate is not considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the lot. If this certificate is not considered by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal Law. The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap. **WARNING: Any person who shall knowingly falsify, make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws is subject to criminal, civil, and administrative penalties.**

FIGURE A-1-11: Example of FGIS Form 909-L2 GIP (Jun 03), Official Export Grain Inspection Certificate (blank)

Appendix A: Acceptable and Unacceptable Certificates and Documents
 Examples of Acceptable Forms

FORM FGIS-909-L2-MN-APRIL 04



UNITED STATES DEPARTMENT OF AGRICULTURE
 FEDERAL GRAIN INSPECTION SERVICE
U.S. GRAIN STANDARDS ACT
OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE


COPY
NOT NEGOTIABLE
 US-MN

Issued at _____ DATE OF SERVICE _____

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 *et seq.*) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act with the following results:

Level of Inspection	Date Sampled	Method of Sampling:
LOCATION	IDENTIFICATION OF CARRIER	QUANTITY (THIS IS NOT A WEIGHT CERTIFICATE)
GRADE & KIND		
TEST WEIGHT (per bushel)	MOISTURE	

REMARKS:




APPEAL NO (if applicable)	APPLICANT	NAME AND SIGNATURE
---------------------------	-----------	--------------------

This certificate is issued under authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 *et seq.*), and the regulations thereunder (7 CFR 900.0 *et seq.*). It is issued to show the kind, class, grade, quality, condition or quantity of grain or the condition of a carrier or container for storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate is not considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or the container or if grain or other material is added to or not considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or the container or if grain or other material is added to or removed from the total lot. If this certificate is not cancelled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law. The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.
WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions of the U.S. Grain Standards Act the U.S. Warehouse Act, or related Federal laws is subject to criminal, civil, and administrative penalties.

FIGURE A-1-12: Example of FGIS Form 909-L2 MN (April 04), Official Export Grain Inspection Certificate (blank)

FORM FGIS-909-2L SH
MAY 03



UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

U.S. GRAIN STANDARDS ACT
OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE

COPY
NOT NEGOTIABLE

US-

_____ (ISSUED AT)

_____ (DATE OF SERVICE)

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act with the following results:

ORIGINAL INSPECTION
 REINSPECTION
 APPEAL INSPECTION
 BOARD APPEAL INSPECTION

QUANTITY (This is NOT a Weight Certificate)	IDENTIFICATION OF CARRIER	
LOCATION	METHOD OF SAMPLING	DATE SAMPLED
GRADE AND KIND (In accordance with the Official Grain Standards of the United States)		
Test weight per bushel _____ Lbs.	Broken corn and foreign material _____ %	
Moisture _____ %	Broken kernels, foreign material, and other grains _____ %	
Damaged kernels (total) _____ %	Heat-damaged kernels _____ %	
Foreign material _____ %	Splits _____ %	
Shrunken and broken kernels _____ %	Contrasting classes _____ %	
Defects (total) _____ %	Wheat of other classes (total) _____ %	

REMARKS

APPEAL NO. (if applicable)

APPLICANT

NAME AND SIGNATURE

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not cancelled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated herein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetics Act, or other Federal law.

WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal law, is subject to criminal, civil, and administrative penalties. The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, sex, national origin, age, or handicap.

FIGURE A-1-13: Example of FGIS Form 909-2L SH (May 03), Official Export Grain Inspection Certificate (blank)

Instructions for Completing Form FGIS-921-2 “Inspection Report – Insects In Grain”

1. Name and address of the shipper.
2. Location of elevator where the barge, vessel or carriers (railcars, containers) were loaded.
3. Type of grain/commodity examined for insects.
4. Total quantity (pounds or metric tons) of the grain/commodity that was loaded on the barge or vessel, or the number of containers and/or hopper cars.
5. Destination country for the grain/commodity.
6. Name of the vessel or barge identification number/name.
7. Dates the loading of the barge/vessel, unit train, container booking started and completed.
8. Sublot Number or Carrier Identification (e.g., container, railcar, or truck). For unit trains, where individual carrier IDs are required, list separately or note, “see reverse or attached for listing of car numbers.”
9. Applicable for containers only. Date the grain/commodity was loaded and examined for insects.
10. Stowage (Hold Nos.), location where the grain/commodity for that particular subplot is stowed.
11. Enter the approximate quantity (pounds) of the grain/commodity in the bargelot or subplot. For railcars and containers, use the actual weight of the lot or use the appropriate carrier terms (e.g., hopper, carlot, unit train, and container).
12. Number of live insects found in the corresponding subplot or carrier (if any).
13. Check the box if the grain/commodity examined meets the FGIS criteria for “Infested” or “Sample Grade” (SG) because of live insect infestation. Mark this column only as it applies to insects, not any other SG condition.



The FGIS designation “Sample Grade” is applicable to beans, lentils, peas, and rice when infested with live weevils or other live insects injurious to stored grain. Sample Grade is also applicable to lots of milled rice that contain dead insects. Do not report milled rice lots that are “Sample Grade” due to dead insects. The FGIS designation of “Infested” is applied to the grains, barley, canola, corn, flaxseed, mixed grain, oats, rye sorghum, soybeans, sunflower seed, triticale, and wheat when they are infested with live weevils or other live insects injurious to stored grain.

14. Name of any insect found in the corresponding subplot or carrier. Identify by using the insect’s common name (e.g., Rice Weevil, Red Flour Beetle). **Do not** use the terms “BRAN BUG” OR “OLI.”
15. Place any remarks, if needed, in this section. The reverse of the form may be used if additional space is needed.
16. Name of inspector completing this form.



Complete blocks 17 through 25 for fumigation of vessels where official personnel are present to witness the application of the fumigant. For containers or railcars that are fumigated when official personnel are not physically present to witness the fumigation, the required fumigation documentation may be attached to the form.

- 17.** Date that the grain/commodity in the noted subplot/barge/railcar/container was fumigated.
- 18.** Fumigation method used to treat the grain/commodity. (Leave this space blank)
- 19.** The stowage space (e.g., hold numbers, container number, rail car number) that was fumigated.
- 20.** Type of chemical used to fumigate the grain/commodity.
- 21.** The concentration level of the fumigant used.
- 22.** Length of time the stowage area (e.g., vessel holds, railcar, container, and barge) needs to be secured for a proper treatment of the grain/commodity.
- 23.** The air temperature at the time of fumigation.
- 24.** Total quantity of grain/commodity fumigated expressed in metric tons, if known. For railcars and containers, use the actual weight or use the appropriate carrier terms (e.g., hopper, carlot, unit train, and container).
- 25.** Name of the inspector who verified the fumigation process. Complete this block only if official personnel were present to observe the fumigation.

Contact Information

Contact the field office responsible for the geographic area in which the service will be provided.

Details for these locations can be found at the following web site:

<http://www.gipsa.usda.gov/GIPSA/webapp?area=home&subject=fc&topic=fsp>

For further information on the Inspection Report - Insects in Grain:

Robert S. Lijewski
Policies and Procedures Branch
Field Management Division
1400 Independence Avenue, SW, Room 2409 N
Washington, DC 20250-3630
Telephone: (202) 720-0224
Fax: (202) 720-1015
Email: robert.s.lijewski@usda.gov

FGIS Form 956, Rice Inspection Services Certificate

FGIS Form 956, Rice Inspection Services Certificate, **must** be used in conjunction with FGIS Form 921-2 (01-07). FGIS Form 956-1 is used for a split shipment, while FGIS Form 956 L is a similar inspection certificate generated from the computer to a laser printer. See [Figure A-1-15](#) for an example of FGIS Form 956 (5-96).


OMB NO. 0580-0013							
(1) _____ (ISSUED AT)				U.S. DEPARTMENT OF AGRICULTURE FEDERAL GRAIN INSPECTION SERVICE RICE INSPECTION SERVICES CERTIFICATE		ORIGINAL F (2) _____ (DATE OF ISSUANCE)	
TYPE OF INSPECTION (3) a. <input type="checkbox"/> ORIGINAL BOARD APPEAL <input type="checkbox"/> APPEAL				b. <input type="checkbox"/> LOT SPECIAL <input type="checkbox"/> MULTIPLE LOT OTHER (Specify) _____		METHOD OF SAMPLING (4)	
SERVICE PERFORMED (See Parts II, III, or IV for Results) (5) <input type="checkbox"/> QUALITY INSPECTION <input type="checkbox"/> CONDITION INSPECTION <input type="checkbox"/> OTHER (Specify) _____ (See Part IV for Results)							
PART I - IDENTIFICATION (Use reverse if necessary; indicate PART I)							
QUANTITY (6)				LOCATION (7)			
MARKINGS (8)							
IDENTIFICATION	SEAL NUMBER	DATE SAMPLED	QUANTITY	IDENTIFICATION	SEAL NUMBERS	DATE SAMPLED	QUANTITY
(9)							
PART II - RESULTS OF INSPECTION FOR QUALITY (Use reverse if necessary; indicate PART II)							
GRADE DESIGNATION, CLASS, OR KIND (10)							
PART III - CONDITION INSPECTION (Use reverse if necessary; indicate PART III) (11)							
CONDITION OF CONTAINERS <input type="checkbox"/> GOOD <input type="checkbox"/> OTHER (See below)		CONDITION OF COMMODITY <input type="checkbox"/> GOOD <input type="checkbox"/> OTHER (See below)		CONDITION OF CARRIER <input type="checkbox"/> GOOD <input type="checkbox"/> OTHER (See below)			
PART IV - SPECIAL INSPECTION SERVICES, SPECIAL STATEMENTS, FACTOR INFO., OR REMARKS (Use reverse if necessary; indicate PART IV)							
(12)							
I CERTIFY THAT THE SERVICES SPECIFIED ABOVE WERE PERFORMED WITH THE RESULTS STATED.				NAME AND SIGNATURE OF INSPECTOR (13)			
<p>This certificate is issued under the authority of the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621 <u>et seq.</u>) and the regulations thereunder (7 CFR 868.1 <u>et seq.</u>) and is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal laws.</p> <p>WARNING Sec. 203(h) of the Agricultural Marketing Act of 1946 provides that anyone who shall knowingly falsely make, issue, alter, forge, or counterfeit any official certificate, or aid, assist, or be a party to such actions, is subject to a fine of not more than \$1,000 or imprisonment for not more than 1 year, or both.</p> <p>The conduct of all services and the licensing of inspection/grading/sampling personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.</p>							
FORM FGIS-956 (MAY 96)							

FIGURE A-1-15: Example of Form FGIS-956 (5-96), Rice Inspection Services Certificate (blank)

FGIS Form 993, Commodity Inspection Certificate

FGIS Form 993, Commodity Inspection Certificate (Lot Inspection Certification), **must** be used in conjunction with FGIS Form 921-2 (01-07) and replaces FGIS Form 912 and FGIS Form 953; however, FGIS Form 912 and FGIS Form 953 can be used until the supply is exhausted. FGIS Form 993 L is a similar inspection certificate generated from the computer to a laser printer. See **Figure A-1-16** for an example of FGIS Form 993 (Jan 07).


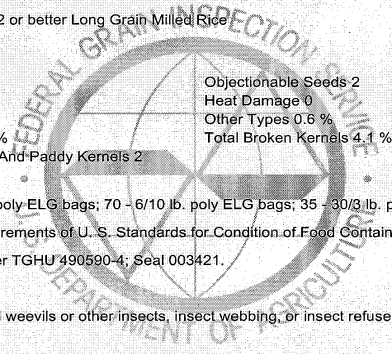
 <p>FORM FGIS-993 JAN 07</p>	<p>UNITED STATES DEPARTMENT OF AGRICULTURE FEDERAL GRAIN INSPECTION SERVICE AGRICULTURAL MARKETING ACT OF 1946</p> <p>COMMODITY INSPECTION CERTIFICATE OFFICIAL WHITE CERTIFICATE</p>	<p>Approved OMB No. 0580-0013</p> <p>ORIGINAL US-STFO-1-00105 NOT NEGOTIABLE</p>
<p>LEVEL OF INSPECTION: Original</p> <p>IDENTIFICATION: TGHU 490590-4</p> <p>TYPE OF MOVEMENT: Out</p>	<p>ISSUED AT: STUTTGART, AR</p> <p>LOCATION: Rice Mill A Stuttgart, AR</p> <p>DATE SAMPLED: February 01, 2007</p>	<p>DATE OF SERVICE: February 01, 2007</p> <p>QUANTITY: (this is NOT a weight certificate) 1 Containerlot</p> <p>METHOD OF SAMPLING: Bag Trier</p>
<p>GRADE AND COMMODITY: U. S. No. 2 or better Long Grain Milled Rice</p> <p>RESULTS: Moisture 13.5 % Milling Degree Well Milled Non-Objectionable Seeds 0 Red Rice And Damaged Kernels 0.6 % Total Seeds, Heat-Damaged Kernels And-Paddy Kernels 2</p>		<p>Objectionable Seeds 2 Heat Damage 0 Other Types 0.6 % Total Broken Kernels 4.1 %</p>
<p>REMARKS: Quantity and Container: 70 - 12/5 lb. poly ELG bags; 70 - 6/10 lb. poly ELG bags; 35 - 30/3 lb. poly ELG bags. Container examination meets all requirements of U. S. Standards for Condition of Food Containers. 175 balers checkloaded 2/1/07; Carrier TGHU 490590-4; Seal 003421. Applicant states Crop Year 2005-06. This rice does not contain live or dead weevils or other insects, insect webbing, or insect refuse. Applicant states S/O No. 111111 END OF REMARKS</p>		
<p>I CERTIFY THAT THE SERVICES SPECIFIED ABOVE WERE PERFORMED WITH THE RESULTS STATED.</p>		
<p>APPLICANT NAME: A & B Rice Milling Company</p> <p>ISSUING OFFICE: FGIS - Stuttgart Field Office</p>	<p>NAME OR SIGNATURE: Diane K Palecek</p>	
<p><small>This certificate is issued under the authority of the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621 et seq.), and the regulations thereunder (7 CFR 658.1 et seq.), and is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal Laws. WARNING: Sec. 202(f) of the Agricultural Marketing Act of 1946 provides that anyone who shall knowingly falsify, make, issue, alter, forge, or counterfeit any official certificate, or aid, assist, or be party to such actions, is subject to a fine of not more than \$1000 or imprisonment for not more than 1 year, or both. The conduct of all services and the licensing of personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap. 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 0580-0013. The time required to disclose this recordkeeping requirement is to average 17 hours per recordkeeper annually, including the time to retain such records, and to notify, disclose, and report to third parties such recordkeeping requirements.</small></p>		

FIGURE A-1-16: Example of FGIS Form 993 (Jan 07), Commodity Inspection Certificate

State Certificates and Reports

The following inspection certificates and reports issued by the individually named states are acceptable in place of inspection:

- ◆ Florida Export Citrus Fruit Inspection Certificate (FV 185-C)
- ◆ Oregon State Seed Laboratory Inspection Report

Unacceptable Inspection Certificates

This part of *Appendix A* provides ACOs with examples of **unacceptable** inspection certificates as follows:

- ◆ *AMS Form FV 184, Federal-State Inspection Certificate*
- ◆ *Form FGIS-913-L, Warehouseman's Sample - Lot Inspection*
- ◆ *Form FGIS-914-L, Official Certificate, Submitted Sample Inspection*
- ◆ *FGIS Form 915-L, Official Stowage Examination Certificate*
- ◆ *FGIS Form 994, Commodity Submitted Sample Inspection*



The inspection certificates listed in this part of *Appendix A* are unacceptable (**not** acceptable) in place of inspection.

Form FGIS-913-L, Warehouseman's Sample - Lot Inspection

Form FGIS-913-L, Warehouseman's Sample - Lot Inspection, is unacceptable (**not** accepted) in place of inspection. See [Figure A-1-18](#) for an example of Form FGIS-913-L.

FORM FGIS-913-L

1 UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

APPROVED OMB NO. 0580-0013

3 4 U.S. GRAIN STANDARDS ACT 5
OFFICIAL CERTIFICATE

6 WAREHOUSEMAN'S SAMPLE - LOT INSPECTION 7 US- 2
NOT NEGOTIABLE ORIGINAL

8 ISSUED AT 9 DATE OF SERVICE

10 I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under Act, with the following results:

Level of Inspection	Type of Movement	DATE Sampled	Method of Sampling
11	12	13	14
15	16	17	18

19

20

21 REMARKS
The results of this inspection were based on the sample obtained and submitted by an elevator employee licensed under a contract with the Service. The certificate does not meet the requirements of section 5 of the U.S. Grain Standards Act.

22

23 APPLICANT 24 NAME OR SIGNATURE

25
26

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain, or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate is not considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, of other Federal law, the conduct of all services and the licensing of the (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.
WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws is subject to criminal, civil, and administrative penalties.

FIGURE A-1-18: Example of Form FGIS-913-L, Warehouseman's Sample - Lot Inspection

Form FGIS-914-L, Official Certificate, Submitted Sample Inspection

Form FGIS-914-L, Official Certificate, Submitted Sample Inspection, is unacceptable (not accepted) in place of inspection. See Figure A-1-19 for an example of Form FGIS-914-L.

FORM FGIS-914-L (3)

UNITED STATES DEPARTMENT OF AGRICULTURE (1)
 FEDERAL GRAIN INSPECTION SERVICE (4)
U.S. GRAIN STANDARDS ACT (5)
OFFICIAL CERTIFICATE
SUBMITTED SAMPLE INSPECTION (6)

APPROVED OMB NO. 0580-0013 (see reverse for statement)
 (2) **ORIGINAL**
 NOT NEGOTIABLE
US- (7) (9)

ISSUED AT (8) DATE OF SERVICE (9)

(10) I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act, with the following results:

Level of Inspection (11)	Quantity of Grain in Sample (12)
Identification of Sample (13)	Sample Submitted by (14)

(15) The sample identification and inspection results shown on this certificate are assigned only to the quantity of grain in the sample indicated and not to any identified carrier, container, or lot from which the sample of grain may have been taken. This certificate does not meet the inspection requirements of Section 5 of the Act.
 GRADE AND KIND (16)

(17) REMARKS (18)

APPLICANT NO. (If applicable) (20) APPLICANT (21) NAME OR SIGNATURE (22)

(23) This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain, or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate is not considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, of other Federal law. The conduct of all services and the licensing of the (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.
 (24) **WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws is subject to criminal, civil, and administrative penalties.**

FIGURE A-1-19: Example of Form FGIS-914-L, Official Certificate, Submitted Sample Inspection (Unacceptable)

FGIS Form 915-L, Official Stowage Examination Certificate

FGIS Form 915, Official Stowage Examination Certificate, is unacceptable (**not** accepted) in place of inspection. See [Figure A-1-20](#) for an example of FGIS Form 915-L.

FGIS FORM 915-L

1 UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

4 APPROVED OMB NO. 0580-0013
(see reverse for statement)

2 ORIGINAL
NOT NEGOTIABLE

3

6 OFFICIAL STOWAGE EXAMINATION CERTIFICATE

5 US- 7

ISSUED AT _____ DATE OF SERVICE _____

I certify that on the above date the following identified service was performed with the following results: 8

9 Original Inspection Reinspection Appeal Inspection USGSA AMA: 10 TIME COMPLETED 11

IDENTIFICATION OF CARRIER 12 14

STOWAGE AREA EXAMINED 13

RESULTS Stowage area examined on the above date and found to be substantially clean, dry, free of insect infestation, and suitable to store grain or commodity. 15
 Stowage area examined on the above date and found not suitable to store or carry grain or commodity (see remarks for reason).

REMARKS 16 17

APPLICANT (If applicable) 18 NAME or Signature 19

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C 71 *et seq.*), and the regulations thereunder (7 CFR 800.0 *et seq.*) or the Agriculture Marketing Act of 1946, as amended (7 U.S.C. 1621 *et seq.*), and regulations thereunder (7 CFR 868.1 *et seq.*), as appropriate. It is issued to show the condition of a carrier or container for the storage or transportation of grain or commodity. The statements on the certificate are considered true at the time and place the inspection service was performed. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal Law. **WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the Agricultural Marketing Act of 1946, or related Federal laws is subject to criminal, civil, and administrative penalties. The conduct of all services and the licensing of (inspection/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.** 20 21 22

FIGURE A-1-20: Example of FGIS Form 915-L, Official Stowage Examination Certificate (Unacceptable)

FGIS Form 994, Commodity Submitted Sample Inspection

FGIS Form 994, Commodity Submitted Sample Inspection, is unacceptable (**not** accepted) in place of inspection. This form is used for sampling commodities such as beans, hops, lentils, and peas. See [Figure A-1-21](#) for an example of FGIS Form 994.

FORM FGIS-994
JAN 07

UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE
AGRICULTURAL MARKETING ACT OF 1946

Approved OMB No. 0580-0013

ORIGINAL
US-STFO-1-00098
NOT NEGOTIABLE

LEVEL OF INSPECTION: ISSUED AT: DATE OF SERVICE:

IDENTIFICATION:

NOT OFFICIALLY SAMPLED

GRADE AND COMMODITY:
RESULTS:

REMARKS:

The sample identification and inspection results shown on this certificate are assigned only to the quantity in the sample and not to any identified carrier, container, or lot from which the sample may have been taken.

I CERTIFY THAT THE SERVICES SPECIFIED ABOVE WERE PERFORMED WITH THE RESULTS STATED.

APPLICANT NAME: NAME OR SIGNATURE:

ISSUING OFFICE:

This certificate is issued under the authority of the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621 et seq.), and the regulations thereunder (7 CFR 868.1 et seq.), and is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal Laws.
WARNING: Sec. 203(h) of the Agricultural Marketing Act of 1946 provides that anyone who shall knowingly falsify, make, issue, alter, forge, or counterfeit any official certificate, or aid, assist, or be party to such actions, is subject to a fine of not more than \$1000 or imprisonment for not more than 1 year, or both. The conduct of all services and the licensing of personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.
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 0580-0013. The time required to disclose this recordkeeping requirement is to average 83,208 hours per recordkeeper annually, including the time to retain such records, and to notify, disclose, and report to third parties such recordkeeping requirements.

FIGURE A-1-21: Example of FGIS Form 994 (Jan 07), Commodity Submitted Sample Inspection (Unacceptable)

B

Export Program
Manual

Appendix B

Additional Declaration (AD) Pullout Sheet

Contents

Acceptable Additional Declarations [page B-1-1](#)

Prohibited Additional Declarations [page B-1-2](#)

Acceptable Additional Declarations

Enter ADs in the AD block of PPQ Form 577 or 579 in the following instances:

- ◆ Absence of an import permit (IP) when one is required by the country's EXCERPT summary
AD that: Import permit was **not** presented.
- ◆ Presence of an IP when one is required by the country's EXCERPT summary or if one is presented
AD that: Import permit number *[number]* was presented.
- ◆ Country's EXCERPT summary requires an AD to be placed on the PPQ Form 577 or 579
Enter AD as stated in EXCERPT.
- ◆ Exporter's original PPQ Form 577 or 579 was lost and requires replacement
AD that: This certificate replaces the exporter's lost original of Phytosanitary Certificate *[number]*, issued on *[date]*, at *[issuing office]*.
- ◆ Import permit requires an AD to be placed on PPQ Form 577 or 579
Enter AD as stated on import permit.
- ◆ Insufficient space in blocks of PPQ Form 577 or 579, (**does not** apply to PCIT generated certificates) so an attachment **must** be used
AD that: See attached PPQ Form 576 numbered FPC 1234567 for a list of produce names and quantity declared.

- ◆ PPQ Form 577 or 579 **must** be superseded because the original **cannot** be recovered

AD that: This certificate supersedes Phytosanitary Certificate [number], issued on [date], at [issuing office], because [reason for issuing a new certificate].

Enter ADs in the AD block of the PPQ 579 in the following instances (see [Table 3-8-4](#) on [page-3-8-20](#)):

- ◆ Entry requirements of the importing country are unknown
AD that: The commodity met the entry requirements of the United States. **and/or**
AD that: The United States **does not** require export certification as a condition of entry for this commodity. (if correct)

Prohibited Additional Declarations

ACOs **must never** enter or authenticate an AD on an export certificate that refers to the following:

- ◆ Advice number
- ◆ Aflatoxins or other mycotoxins
- ◆ Authorization number (not same as letter of authorization for European Union (EU))
- ◆ Bulk shipments of grain, freedom from plant disease-causing organisms when the disease occurs in the U.S.
- ◆ Fitness for human consumption
- ◆ Freedom from animal diseases and statements about animal health concerns
- ◆ Grade and/or quality
- ◆ Genetic composition and/or disease resistance
- ◆ Intended use (such as for scientific purposes)
- ◆ Import reference number
- ◆ Import tariff item number
- ◆ Letter of commitment number
- ◆ Letter of credit number
- ◆ Letter of credit requirements or other unofficial requests from exporters and consignees
- ◆ Levels of radioactivity, nuclear radiation, or radionuclides associated with a commodity

- ◆ Official verification listed in an export summary or an import permit
- ◆ Pesticides or other chemical residues
- ◆ Purchase contract number
- ◆ References pertaining to a permit or a permit number issued by the Division of Management Authority (DMA) for protected plant species
- ◆ References to artificially propagated or wild collected plants
- ◆ Any other requested statement that is **not** of a phytosanitary nature, such as economic permits, quantity or quality restrictions, or methods of packaging



Appendix C

Communication

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Introduction

Communication may be either internal or external. The various types of communication are described below.

Internal Communication

When personnel involved in the export program require assistance it is important they receive a prompt response from the appropriate person. To ensure issues are resolved in a timely fashion, it is important the person requesting assistance:

- ◆ Gather all the pertinent information, **and**
- ◆ Refer it to the proper person for assistance

For questions, concerns, and suggestions relating to the export program, follow the contact protocol in [Table C-1-1](#) on [page C-1-2](#).

TABLE C-1-1: Contact Protocol for Assistance With Export Certification

If you are a:	Then your first contact is:	Then your second contact is:	Then your third ¹ contact is:	Then your fourth contact is:	Then your last contact is:
PPQ Authorized Certification Official (ACO)	Supervisor	ECS	SPHD	RPM	ES
State or county ACO	Supervisor or SPRO	ECS	SPHD	RPM	ES
Exporter	State, county, or PPQ ACO	ECS	SPHD	RPM	ES

1 Each SPHD's office may have specific instructions on who the contact person is in that office. Follow the contact information provided by your SPHD's office.

Additional guidance for obtaining assistance is provided below. To contact:

State and County

- ◆ Look up local listings for State agriculture officials
- ◆ In California, contact your county agricultural office
- ◆ SPRO: <http://nationalplantboard.org/member/index.html>

Export Certification Specialist (ECS) or State Plant Health Director (SPHD)

- ◆ EXCERPT: under *Export Certification Specialists*
- ◆ PPQ Web page under ES

http://www.aphis.usda.gov/import_export/plants/plant_exports/ecs/index.shtml



Each SPHD's office may have specific instructions on who the contact person is in that office. Follow the contact information provided by your SPHD's office.

Regional Program Managers (RPM)

- ◆ Eastern Region RPM: 919-855-7314 or 919-855-7300
- ◆ Western Region RPM: 970-494-7500

Export Services (ES)

- ◆ General number: 301-734-8537
- ◆ EXCERPT: In the Messages and Alerts section there is a listing of ES staff, their areas of responsibility, and their contact information

External Communication

Foreign official communication, which **must** originate from a country's National Plant Protection Organization (NPPO), provides a country's phytosanitary import requirements. It will supersede or supplement information found in EXCERPT.

Foreign official communication may be one of the following:

- ◆ Import permits
- ◆ Special authorizations
- ◆ Various types of correspondence

This section will provide guidance on using official communication. The official communication **must** originate from the NPPO of the importing country. The name and contact information for a NPPO may be found in the *Subsidiary Information* section of an export summary in EXCERPT.

Types of Official Communication

In addition to the EXCERPT database, official communication from a country's NPPO is a primary source that may provide the phytosanitary import requirements for a country.

Official communication may be any of the following:

- ◆ Bilateral agreements
- ◆ Import permits
- ◆ Letters of authorization
- ◆ Letters of correspondence
- ◆ Specific country's regulations

When an exporter presents import requirements that differ from those in an export summary, the information **must** be in the form of official communication from the NPPO of the importing country. Generally, official communication **must** be a document; emails are **not** acceptable unless cleared by Export Services (ES). These official documents may be import permits, special authorizations, or recent correspondence issued by an NPPO. Official communication from the NPPO takes precedence over the information contained in an export summary. Import requirements provided in official documents that differ from an export summary should be brought to the attention of ES through proper channels.

Keep in mind that exporters frequently present contract stipulations (from their contacts in the foreign country) to indicate that plant quarantine regulations have been changed. Information from exporters' contracts **cannot** be considered official because changes or exceptions to plant quarantine regulations **must** come from the NPPO of the foreign country.

However, a few countries use commercial contracts to outline the import requirements for a particular shipment. Exceptions such as the acceptable use of commercial contracts are listed in the respective export summary.



A letter of credit is a financial document. It is **not** official communication from an NPPO.

EXCERPT

The information in EXCERPT is based on official communication ES has received.

In most cases, Authorized Certification Officials (ACOs) will be dealing with import permits presented by an exporter. Since there are **no** international standards for official communication, including import permits (IPs), ACOs need to carefully review any document presented as official communication to ensure the document is from the NPPO of the importing country.

The following information pertains specifically to IPs, but can be applied to any type of official communication presented by an exporter.

While there are some exceptions, IPs are issued by the NPPO of the importing country to the importer. The name and contact information for an NPPO can be found in the *Subsidiary Section* of each *Export Summary* in EXCERPT. It is the importer's responsibility to provide a legible copy of any IP to the U.S. exporter.

EXCERPT will differentiate between required and mandatory IPs:

- ◆ **IP is required, but not mandatory:** If an IP is required as a condition of entry EXCERPT will state:

“Import permit is required.”

While the IP is required, in this instance, the IP is **not** a prerequisite to issuing an export certificate. If the exporter **does not** present an IP under these circumstances, **do not** refuse to issue an export certificate but caution the exporter that all phytosanitary requirements may **not** be met and the shipment may be rejected.

- ◆ **IP is mandatory:** If the IP is mandatory, EXCERPT will state the following, or a similar statement:

“**Do not** issue an export certificate unless an IP is presented.”

In this instance, ACOs **cannot** issue an export certificate unless an IP is presented and all conditions are met.



Once an exporter has presented an IP, the shipment **must** meet the conditions stipulated on the IP and you **cannot** use an additional declaration (AD) stating, “Import Permit **not** presented.”

Exporter Responsibility

Exporters are responsible for providing a legible copy of an IP. ACOs should **not** try to decipher information on an IP that is **not** completely legible, as important information may be missed.

IPs may **not** be in English and can be bilingual. Bilingual information is acceptable as long as one of the languages is English. **If the IP is not in English it is the exporter's responsibility to provide a translation of the entire IP.** ACOs and ES are **not** responsible for translating foreign language documents. In order to ensure that all requirements are met and that the validity of the document can be ascertained, the entire document **must** be translated. If the exporter **does not** provide a complete translation of the IP **do not** proceed until a translation is provided. A copy of the IP with its translation (if appropriate) **must** be kept as supporting documentation with any issued certificate.

Verifying Documentation Validity

When verifying whether a document is an IP, or other type of official communication, look for the following:

- ◆ NPPO name should be on the document—this may be included in an official seal
- ◆ If the document specifies requirements **other than** phytosanitary requirements, such as quality, human health, or animal health requirements, the document may **not** be from the NPPO—if the document **does not** address phytosanitary issues it is probably **not** from the NPPO, e.g., if one of the requirements is that specific radiation levels **cannot** be exceeded, the document is **not** an IP
- ◆ Not all countries issue IPs in English, e.g., if an IP is presented as having been issued by the Mexican NPPO and it is in English, the document is **not** an IP; Mexico issues its IPs in Spanish
- ◆ IP serial number—other types of official communication may be numbered
- ◆ Issuance date
- ◆ Date through which IP is valid—not all IPs will have a date of expiration
- ◆ Importer name
- ◆ Commodity name and, possibly, intended use, e.g., seeds for propagation

- ◆ Unless, the commodity is a reexport, the IP should reference the origin of the commodity as the U.S., if a foreign-origin commodity was **not** safeguarded while in the U.S. the IP may have to reference the origin as the U.S. and the foreign country from which the commodity originated
- ◆ Phytosanitary requirements

If there are any questions concerning the validity of a document ask ES to verify the document. ACOs **must** follow the approved contact protocol. Refer to [Table C-1-1](#) on [page C-1-2](#).

Official Communication vs. EXCERPT

Generally, the phytosanitary requirements specified in official communication, will take precedence over any information in EXCERPT. Unfortunately, due to the fact that **no** standard exists for any type of official communication, including IPs, ACOs **must** use their own judgment when deciding if all of the requirements on an IP supersede the information in EXCERPT and if it lists all of the phytosanitary requirements.

Some factors to consider are:

- ◆ If the requirements mirror those listed in the Product Requirements section of EXCERPT, but are **not** exactly the same, follow the instructions in the official communication
- ◆ If the requirements are drastically different than those listed in the *Product Requirements* section of EXCERPT, contact ES through the approved contact protocol—refer to [Table C-1-1](#) on [page C-1-2](#).
- ◆ If the broad, general requirements in the *Restricted Products* section of EXCERPT are **not** addressed in the official communication, such as freedom from soil, the commodity **must** meet the requirements in the *Restricted Products* section
- ◆ If any of the above apply, contact ES through the approved contact protocol—refer to [Table C-1-1](#) on [page C-1-2](#).

D

Export Program
Manual

Appendix D

EXCERPT Database

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Introduction

The principal source of information for a country's import requirements is the EXCERPT database. The EXCERPT database contains the import requirements for over 150 countries. *[Introduction to EXCERPT](#)* on **page D-1-4** discusses the type of information available and how to use the EXCERPT database.

Export Certification Project (EXCERPT)

The Export Certification Project (EXCERPT) is a database containing summaries of the phytosanitary import requirements of foreign countries for commodities. This information can be retrieved by PPQ employees, State and county cooperators, and other authorized users. EXCERPT is maintained through a cooperative agreement between PPQ and Purdue University's Center for Environmental and Regulatory Information Systems (CERIS).

While CERIS provides technical computing support, Export Services (ES), PPQ, is responsible for analyzing foreign countries' import requirements and putting the information into EXCERPT.

Accessing EXCERPT

EXCERPT Accounts

In order to access the EXCERPT database, you **must** have an account. Requests for an EXCERPT account should be referred to your Export Certification Specialist (ECS). ECSs should contact Julie Clapp, Export Specialist in ES, at (301) 734-6345, or email at Julie.L.Clapp@aphis.usda.gov. Provide the following information:

- ◆ Address
- ◆ Authorized Certification Official (ACO) or other type of plant health official
- ◆ E-mail address
- ◆ Name
- ◆ Phone number
- ◆ State or Federal

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

Primary Web Site

Approved users access EXCERPT through an internet web browser at the following web site address: <<http://excerpt.ceris.purdue.edu>>

Backup Web Sites

In the event of an emergency (computer system fails or is shut down and EXCERPT **cannot** be accessed), EXCERPT users are instructed to access EXCERPT using the following backup web sites in the following sequence:

1. Primary backup web site as follows:

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

ES will communicate (in advance) when the primary backup source is activated. This web site **cannot** be used at any other time.

2. Secondary backup web site as follows:

<<http://ceris.nlci.com>>

CERIS will send an e-mail message when the secondary backup source is activated. This web site **cannot** be used at any other time.

3. Tertiary backup web site as follows:

<http://www.aphis.usda.gov/import_export/plants/plant_exports/excerpt/>

This backup will be available at all times, but should **only** be used when the primary and secondary backups are unavailable.

4. *EXCERPT Emergency Response Plan*

ES will send an e-mail message when the last backup source is activated and **must** be used until EXCERPT is returned to online status. The *EXCERPT Emergency Response Plan* outlines specific instructions for using EXCERPT and establishes specific responsibilities for selected emergency response locations (those delegated to provide information from export summaries while the system is shutdown). These response locations receive backup CD-ROMs from CERIS that contain all the export summaries on a regular basis (at least monthly). During the emergency, ACOs should contact the *Emergency Response* locations to obtain EXCERPT information. Inquiries should be limited to those requiring immediate attention. See [EXCERPT Emergency Response Plan](#) on page E-1-1 for a list of the response locations.

Introduction to EXCERPT

On the EXCERPT home page EXCERPT provides the following choices:

- ◆ [Messages and Alerts](#) on page D-1-4
- ◆ [Export Summary Inquiry](#) on page D-1-5
- ◆ [Recent Export Summary Changes](#) on page D-1-10
- ◆ [Processed Products](#) on page D-1-10
- ◆ [Commodities Ineligible for Certification](#) on page D-1-11
- ◆ [Protected Flora](#) on page D-1-11
- ◆ [PPQ Designated CITES Ports for Plants by State](#) on page D-1-12
- ◆ [Phytosanitary Notes \(PNs\)](#) on page D-1-12
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- ◆ [EXCERPT Subscription and User Fees](#) on page D-1-13
- ◆ [EXCERPT's Backup Web Sites](#) on page D-1-14
- ◆ [National Plant Board \(United States\)](#) on page D-1-14
- ◆ [International Plant Protection Convention \(IPPC\)](#) on page D-1-14
- ◆ [North American Plant Protection Organization \(NAPPO\)](#) on page D-1-14

Messages and Alerts

Messages and Alerts can be accessed at the EXCERPT home page. Critical information is provided in **Messages and Alerts** in order to ensure that ACOs become aware of specific issues on a timely basis. The information contained in **Messages and Alerts** may include immediate or impending changes to a country's import requirements, changes or clarification of PPQ policy, or special procedures.

Messages and Alerts contains contact information for the ES staff and a link to a list of roles and responsibilities for each staff member. The countries that each staff member covers are also identified. This information is toward the bottom of the **Messages and Alerts** page.

As a general rule, information will remain in **Messages and Alerts** for **only 30 days**.



Due to the important nature of this information it is crucial that ACOs review Messages and Alerts each time they access EXCERPT.

Export Summary Inquiry

The **Export Summary Inquiry** can be accessed at the EXCERPT home page.

The **Export Summary Inquiry** link takes you to another web page where you can search for a country's import requirements. Each **Export Summary** contains a specific country's or group of country's phytosanitary requirements. **Export Summaries** are prepared from translations of foreign plant quarantine regulations, official communications, and bilateral agreements. The information in EXCERPT reflects the most recent regulations provided to PPQ by a particular country.



Export summaries contain the import requirements for processed and unprocessed commodities.

Occasionally important changes in foreign regulations are **not** brought to the attention of PPQ; therefore, ACOs should advise exporters there may be informational gaps in the **Export Summaries**. In the case of unusual or expensive shipments, exporters or importers may wish to contact the National Plant Protection Organization (NPPO) of the importing country to obtain or confirm the requirements for particular commodities. Additionally, if an ACO receives official communication from a NPPO that differs from EXCERPT, he or she should forward the information to ES.



All import requirements in EXCERPT are for U.S.-origin commodities unless otherwise specified. If the import requirements apply to a commodity that **does not** originate from the U.S., EXCERPT will specify the originating country.

ES, generally, **does not** provide the import requirements for commodities originating from a third country. There are many reasons for this but, generally, information concerning the status of pests of concern in third countries is **not** available nor does ES have the staffing to maintain the import requirements for third countries in EXCERPT.

Export Summaries may be searched using the “Summary Reference.” The Summary Reference is the name of the export summary displayed in EXCERPT or as listed in [Table F-1-2](#) on [page F-1-2](#) and may pertain to a group of countries.

EXAMPLE

The European Union (EU) consists of member countries. Rather than creating a separate **Export Summary** for each country the import requirements can be found in the **Export Summary** with the title “European Union.” In this case, the Summary Reference is “European Union.”

The Summary Reference may or may **not** be the same as the approved name of the country (refer to [Appendix F](#) on [page F-1-1](#)). The approved name of the country is the country name entered on a certificate (see [Table F-1-2](#) on [page F-1-2](#)).

Commodities for each country are classified as:

- ◆ Unrestricted: commodities with **no** phytosanitary requirements, but may still be subject to inspection on arrival
- ◆ Restricted: commodities that **must** meet specific import requirements
- ◆ Prohibited: commodities that present a pest risk that **cannot** be mitigated, thus, the commodities are prohibited from entering a country

Each commodity or broad category is then listed in EXCERPT in one of the following sections within an **Export Summary**:

- ◆ Product Requirements
- ◆ General Information
- ◆ Subsidiary Information

Product Requirements Section

The Product Requirements section includes the phytosanitary requirements for specific commodities based on the botanical name of the plant or plant part. Commodities may be listed by their family, genus or genus and species. In isolated cases, commodities may be listed at a higher taxon, e.g., order, class, etc.

The scientific classification used is determined by the importing country. While most commodities are listed by genus or genus and species some may be listed by family. Some commodities may be listed by both family and genus. ACOs should check for all variations.

EXAMPLE

The requirements for *Pinus* spp. may be found under *Pinus* spp. and Coniferae.

The Product Requirements section may be searched using either the botanical name or the common name of the commodity. Common names, though, are **not** identified for all commodities. ACOs should **always** try to use botanical names in order to avoid confusion because common names can apply to more than one commodity. Exporters are responsible for providing the botanical name of the commodity.

Each Product Requirements file is further broken down into plant parts. The identified plant parts are specified by each country. Each plant part may be defined in the “Definitions Of Terms And Coded Abbreviations” within the General Information section of an export summary. For a discussion on General Information refer to the [General Information Section](#) on [page D-1-7](#). Plant parts which may be included in an **Export Summary** are the following:

- ◆ Cut flowers
- ◆ Fruit
- ◆ Grain
- ◆ Miscellaneous
- ◆ Nursery stock
- ◆ Vegetables
- ◆ Wood

The requirements under a plant part can be further broken down into subparts. There are many possibilities for subparts.

EXAMPLE

Examples of subparts are:

- ◆ Specific species
- ◆ Origin at the county or state level
- ◆ Plant part can be further defined; lumber can be a subpart under wood

**General
Information
Section**

The General Information Section, primarily, contains information that **does not** pertain to specific commodities or information that **cannot** be placed in the Product Requirements section.

General Information may include the following:

- ◆ [Definitions of Terms and Coded Abbreviations](#) on [page D-1-8](#)
- ◆ [Harmful Organisms That Are \(condition\)](#) on [page D-1-8](#)
- ◆ [Prohibited Products](#) on [page D-1-9](#)
- ◆ [Restricted Products](#) on [page D-1-9](#)
- ◆ [Unrestricted Products](#) on [page D-1-9](#)
- ◆ [Wood Packaging Materials](#) on [page D-1-9](#)
- ◆ [Miscellaneous Requirements](#) on [page D-1-9](#)

Unlike the Product Requirements section, which can be searched by the botanical name, the Prohibited Products, Restricted Products, and Unrestricted Products sections are searched by plant part. Under the plant part will be a list of commodities prohibited by a country. Each plant part may be defined in the “Definitions of Terms and Coded Abbreviations” within the General Information section of an **Export Summary**. For a discussion on General Information, refer to [General Information Section](#) on [page D-1-7](#). Plant parts that may be included in the Prohibited Products section are the following:

- ◆ Cut flowers
- ◆ Fruit
- ◆ Grain
- ◆ Miscellaneous
- ◆ Nursery stock
- ◆ Vegetables
- ◆ Wood

The requirements under a plant part can be further broken down into subparts. There are many possibilities for subparts.

EXAMPLE

Examples of subparts are:

- ◆ Specific species
- ◆ Origin at the county or state level
- ◆ Plant part can be further defined; lumber can be a subpart under wood



Because of the broad nature of the requirements in the Restricted Products and Unrestricted Products sections and the fact that the same information may **not** be provided in the Product Requirements section, it is imperative that ACOs review both the Restricted Products and Unrestricted Products sections.

Definitions of Terms and Coded Abbreviations

This section includes definitions as specified by a country. Since each country provides its own definitions for terms, it is important that ACOs review this section.

EXAMPLE

The definition of an export certificate may include specific time limits with respect to the allowable time period between inspection and issuance of an export certificate; different countries can have different time limits.

Harmful Organisms That Are (condition)

These are lists of diseases, pests, and weed seeds that a country may regulate. These lists are unique to each country and can have various conditions under which an organism is prohibited or restricted.

Prohibited Products

The Prohibited Products section identifies commodities that are prohibited from entering a country. Prohibited products **must not** be certified unless an import permit or other form of official communication from the NPPO of the importing country is presented and all conditions can be met.

Restricted Products

The Restricted Products section contains import requirements that are general in nature and pertain to a broad category of commodities.

EXAMPLE

Requirements pertaining to all “Annual and Biennial Plants” would be contained in the Restricted Products section, rather than in the Product Requirements section.

Unrestricted Products

The Unrestricted Products section lists commodities that a country **does not** regulate and, therefore, **do not** require an export certificate. These commodities, however, are still subject to inspection on arrival. The commodities may be listed by botanical name or as a broad category (grain, flour, wood, etc.).

Information contained in the Unrestricted Products section may **not** be in the Product Requirements section, especially, if the information pertains to a broad category of commodities.

EXAMPLE

If a country classifies “all grain and grain products” as unrestricted, the information would be in the Unrestricted Products section and not in the Product Requirements section.

Wood Packaging Materials

The Wood Packaging Materials section contains the import requirements for wood packaging material (WPM). Exporters, whose shipment contains WPM, should be advised about the importing country’s WPM requirements.

Miscellaneous Requirements

Each export summary is unique to a particular country and may require additional categories in the General Information section.

EXAMPLE

Some examples are: areas that are free of specific pests, bilateral agreements, ports of entry, and work plans.



ACOs **must** review all the categories in the General Information section to prevent overlooking critical information.

Subsidiary Information Section

Subsidiary Information, usually, **does not** contain information of a phytosanitary nature, but it may contain information of interest to exporters (such as contacts for import permits, requirements for importing bees, geographical samples, etc.).

Recent Export Summary Changes

The Recent **Export Summary** Changes can be accessed at the EXCERPT home page.

When changes are made to the information in EXCERPT the new or changed information **cannot** be highlighted. **Only** the files within an export summary include a date indicated at the top of the page.

Processed Products

Processed Products can be accessed at the EXCERPT home page.

The Commodities Eligible for a PPQ 578 section of EXCERPT lists the **only** commodities identified by ES as being eligible for a specific type of certificate. The type of certificate a specific commodity is eligible for will be indicated.



ACOs **cannot** issue an export certificate for processed commodities that are **not** listed in the Commodities Eligible for a PPQ 578 section of EXCERPT.

The Commodities Eligible for a PPQ 578 section can be searched two different ways. At the initial page, titled, “Processed Products Inquiry,”

- ◆ If you leave the Product Name block blank, EXCERPT will return a list of commodities eligible for an export certificate. The list can then be searched by scrolling through the web page. Additionally, the letters of the alphabet are at the top of the page. If you click on a letter you will be taken to the list of commodities that begin with that letter. This is the most efficient way to determine if a commodity is listed due to differences in how an exporter describes the commodity versus EXCERPT.
- ◆ The commodity can be specified in the Product Name block. If the commodity is listed in the EXCERPT database you will be directed to the listing for that commodity on the web page.

Each commodity has a hypertext link that directs the user to additional information on the commodity. For each commodity on the Processed Products menu, EXCERPT will indicate which certificate the commodity is eligible for. Additional information that may be provided is: definition of the commodity, intended use of the commodity, etc. It is important that ACOs read this information. Failure to read the additional information may lead to an incorrect certification.

Commodities Ineligible for Certification

Commodities ineligible for certification can be accessed at the EXCERPT home page. The Commodities Ineligible for Certification section is a list of processed plant products ineligible for any type of export certificate. The list is **not** all-inclusive, nor is it intended to perform the exhaustive task of containing all commodities considered ineligible for an export certificate. Rather, this list simply addresses the most common inquiries ES has received over the years when determining a commodity's eligibility.

The Commodities Ineligible for Certification section can be searched in different ways. At the initial page, titled, "Commodities Ineligible for Certification Inquiry,"

- ◆ The commodity can be specified in the Commodity Name block. If the commodity is listed you will be directed to the listing for that commodity on the web page.
- ◆ If you leave the Commodity Name block blank, EXCERPT will return a list of commodities that are ineligible for certification. The list can then be searched by scrolling through the web page. Additionally, the letters of the alphabet are at the top of the page. If you click on a letter you will be taken to the list of commodities that begin with that letter.

Each commodity has a hypertext link that directs the user to additional information on the commodity. Generally, the information will pertain to other Federal or State agencies that may be able to provide some type of certificate for the commodity.

The reference to another agency is **not** an indication that a country will accept the certificate from that agency in lieu of an export certificate. This information is **only** provided as a service to exporters.

Protected Flora

Protected Flora can be accessed at the EXCERPT home page. The Protected Flora section of EXCERPT lists the commodities regulated by the Endangered Species Act (ESA) and Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES).

The Protected Flora section can be searched three different ways. At the initial page, titled, "Protected Flora Inquiry,"

- ◆ The botanical name of the commodity can be specified in the Species Name block. If the commodity is listed you will be directed to the web page with the information for that commodity. If you leave the Species Name block blank EXCERPT will return the entire list of commodities regulated by the ESA and CITES. This is a long list and will take some time to upload.

- ◆ Users can click on the first letter of the botanical name of the commodity. A hypertext link for each letter of the alphabet is listed at the top of the page. EXCERPT will return a list of all commodities, that begin with the chosen, regulated by the ESA and CITES. Users can scroll through the list or use their internet browser to search for a commodity.

PPQ Designated CITES Ports for Plants by State

PPQ Designated CITES Ports for Plants by State can be accessed at the EXCERPT home page. The PPQ Designated CITES Ports for Plants by State section directs the user to a web site maintained by USDA-APHIS-PPQ. Users can use this web site to determine which PPQ ports are allowed to certify commodities regulated by ESA or CITES. A complete list of PPQ designated CITES ports is also available in [Table 3-3-6](#) on [page 3-3-7](#).

Phytosanitary Notes (PNs)

PNs can be accessed at the EXCERPT home page. One important feature of EXCERPT are PNs. Each PN is given a number and a date. If the information in a PN is changed in anyway the PN will be reissued with a new PN number and date. ACOs should review the list of PNs each time they enter EXCERPT due to the important nature of the information provided in PNs. PNs cover such topics as the following:

- ◆ Interpretations of import requirements pertaining to countries that have **no Export Summary**
- ◆ New import requirements pertaining to a specific country while ES prepares an updated **Export Summary**
- ◆ Special notes providing administrative guidance about nationwide export certification issues and about issuing export certificates (these PNs may be specific to a country)
- ◆ Summary of foreign notifications of noncompliance. These notifications are issued by U.S. trading partners when U.S. agricultural exports **do not** meet their phytosanitary requirements.
- ◆ Summary of ES's annual review of selected export certificates

Superseded and outdated PNs are omitted from the list because the information either has expired or has been incorporated into the XPM or the applicable **Export Summary**.

Export Certification Specialists (ECSs)

The ECS section directs the user to a web site maintained by USDA-APHIS-PPQ. Use the following web site to determine who the ECS is for a specific State:

http://www.aphis.usda.gov/import_export/plants/plant_exports/ecs/index.shtml

Keyword Search of Export Summaries

The Keyword Search of Export Summaries can be accessed at the EXCERPT home page. The Keyword Search of Export Summaries section allows users to search the EXCERPT database for information. Instructions for using the search function are included on the web page.

Change Password

Change Password can be accessed at the EXCERPT home page. The Change Password section allows users to change their password, but not their user name. You will be directed to the web page which will allow you to change your password; you **must** enter your current user name and password. Instructions for changing your password are included on the web page.

Caution: if more than one person uses the same password **do not** change the password without notifying all the personnel using that password.

Help Using EXCERPT

Help Using EXCERPT can be accessed at the EXCERPT home page. The Help Using EXCERPT provides guidance on how to navigate EXCERPT.

PPQ Manuals (i.e. Export Program Manual and Treatment Manual)

You can access the XPM at the EXCERPT home page. This link will direct you to the PPQ Manuals Unit web site that maintains the current copy of the XPM.

Scientific and Common Names of Plants

Scientific and Common Names of Plants can be accessed at the EXCERPT home page. The Scientific and Common Names of Plants (Ag. Handbook 505) section provides a link to the Germplasm Resources Information Network (GRIN) database. This database can be used to search for scientific and common names.

EXCERPT Subscription and User Fees

EXCERPT Subscription and User Fees can be accessed at the EXCERPT home page. The EXCERPT subscription and user fees provides information on how the **public and other governmental agencies** can obtain access to EXCERPT.

EXCERPT's Backup Web Sites

EXCERPT has two backup web sites. The first web site is on the Purdue campus computer network. Its address is - <http://minorleague.ceris.purdue.edu>. The second web site is at a commercial internet provider. Its address is - <http://ceris.nlci.com>. These web sites are reconciled with our primary web site at about 5 pm EST weekdays. Each backup web site requires a Username and Password.

National Plant Board (United States)

The National Plant Board is a non-profit organization of the plant pest regulatory agencies of each of the states and Commonwealth of Puerto Rico. Member agencies must be members in good standing of the regional plant board in which their state or commonwealth is located.

International Plant Protection Convention (IPPC)

The IPPC is an international treaty to secure action to prevent the spread and introduction of pests of plants and plant products, and to promote appropriate measures for their control. It is governed by the Commission on Phytosanitary Measures (CPM) which adopts International Standards for Phytosanitary Measures (ISPMs). The CPM has confirmed the IPPC as the preferred forum for national IPPC reporting and the exchange of more general information among the phytosanitary community. The IPPC Secretariat coordinates the activities of the Convention and is hosted by FAO.

North American Plant Protection Organization (NAPPO)

NAPPO, a Regional Plant Protection Organization of the International Plant Protection Convention, coordinates the efforts among Canada, the United States and Mexico to protect their plant resources from the entry, establishment and spread of regulated plant pests, while facilitating intra/ interregional trade.

Other Important Information

Official Communication

The information in EXCERPT is based on official communication ES has received.

In most cases, ACOs will be dealing with import permits (IPs) presented by an exporter. Since there are **no** international standards for official communication, including IPs, ACOs need to carefully review any document presented as official communication to ensure the document is from the NPPO of the importing country.

The following information pertains specifically to IPs but can be applied to any type of official communication presented by an exporter.

While there are some exceptions, IPs are issued by the NPPO of the importing country to the importer. The name and contact information for a NPPO can be found in the *Subsidiary Section* of each *Export Summary* in EXCERPT. It is the importer's responsibility to provide a legible copy of any IP to the U.S. exporter.

EXCERPT will differentiate between required and mandatory IPs:

- ◆ **IP is required, but not mandatory:** If an IP is required as a condition of entry EXCERPT will state:

"Import permit is required."

While the IP is required, in this instance, the IP is **not** a prerequisite to issuing an export certificate. If the exporter **does not** present an IP under these circumstances, **do not** refuse to issue an export certificate but caution the exporter that all phytosanitary requirements may **not** be met and the shipment may be rejected.

- ◆ **IP is mandatory:** If the IP is mandatory, EXCERPT will state the following, or a similar statement:

"**Do not** issue an export certificate unless an IP is presented."

In this instance, ACOs **cannot** issue an export certificate unless an IP is presented and all conditions are met.



Once an exporter has presented an IP, the shipment **must** meet the conditions stipulated on the IP. You **cannot** use an additional declaration (AD) stating, "Import Permit **not** presented."

Official Communication that Conflicts with EXCERPT

When an exporter presents import requirements differing from those in EXCERPT, the information **must** be in the form of official communication from the NPPO of the importing country. These official documents may be IPs, special authorizations, or other forms of correspondence. **An official document from the NPPO may supersede or supplement the information in EXCERPT.**

Refer to [Communication](#) on page C-1-1.



Appendix E

EXCERPT Emergency Response Plan

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Responsibilities of Emergency Response Locations	page E-1-2
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Introduction

This appendix contains guidance for activating EXCERPT's Emergency Response Plan (the Plan), the responsibilities of emergency response locations, and a list of those locations.

The Plan is designed to continue supplying Export Summary information to Authorized Certification Officials (ACOs) while EXCERPT **cannot** be accessed because of a total system shutdown. The Plan is activated by Export Services (ES) using an e-mail notification and is utilized until EXCERPT is returned to online status.

The Plan provides contacts for ACOs, the responsibilities of notification, and emergency response locations (delegated to provide backup export summary information during a total system shutdown).

The Plan allows for the Center for Environmental and Regulatory Information Systems (CERIS) of Purdue University to provide emergency response locations with a backup CD-ROM (CD) containing Export Summaries. Designated contacts at each emergency response location should be prepared to load the backup CD into a local computer.

While the Plan is activated, ACOs need to contact their emergency response location to obtain Export Summary information. ACOs should limit their inquiries to immediately needed information. Requests for routine information should be processed after the Plan is deactivated.

Notification of the Plan

When the Plan is activated, the following notification procedures will be followed:

1. CERIS will notify ES and private industry when EXCERPT totally shuts down.
2. ES will use PPQ's electronic bulletin board to notify ACOs when EXCERPT totally shuts down and the Plan is to be activated.
3. Export Certification Specialists (ECSs) and supervisors will notify those ACOs under their jurisdiction who lack access to PPQ's electronic bulletin board.
4. CERIS will provide backup CDs to emergency response locations on a regular basis, at least monthly.
5. CERIS will notify ES and private industry when EXCERPT is returned to online status.
6. ES will use PPQ's electronic bulletin board to notify ACOs when EXCERPT is returned to online status.

Responsibilities of Emergency Response Locations

Emergency response locations include both Federal and State offices in the field delegated to provide backup Export Summary information during a total system shutdown. PPQ regional directors will designate personnel and locations based on the need to provide adequate emergency service when the Plan is activated.

Emergency response locations are responsible for the following:

1. Having the following resources available when the Plan is activated:
 - A. Computer with word processing software
 - B. Phone
 - C. Knowledgeable EXCERPT user to answer inquiries
 - D. Computer printer (optional)
 - E. FAX machine (optional)
2. Designating response personnel to load each backup CD into the designated computer for access **only** when the Plan is activated.

List of Emergency Response Locations

While the Plan is activated, ACOs need to contact their emergency response location to obtain Export Summary information. ACOs should limit their inquiries to immediately needed information. Requests for routine information should be processed after the Plan is deactivated.

Contact the designated emergency response location that services your work location. If you **do not** get a response, contact any other location listed within the PPQ region.

See [Table E-1-1](#) on [page E-1-3](#) for emergency response locations and contact information.

TABLE E-1-1: Emergency Response Locations and Contact Information

Coverage	Name	Address	Contact
Alabama	McDonald, Michael	USDA, APHIS, PPQ 1506 Klondike Rd. Suite 306 Conyers, GA 30094	Phone: 770-860-4027 FAX: 770-860-4050 e-mail: michael.mcdonald@aphis.usda.gov
Alaska	McCarthy, Paul	USDA, APHIS, PPQ 1710 S 24th Ave. Yakima, WA 98902	Phone: 509-249-5548 FAX: 509-249-5570 e-mail: paul.l.mccarthy@aphis.usda.gov
	Bishop, Robert	USDA, APHIS, PPQ 22000 Marine View Drive S. Suite 201 Des Moines, WA 98198	Phone: 206-592-9057 Fax: 206-592-9043 e-mail: robert.m.bishop@aphis.usda.gov
Arkansas	Hardy, Brannen	USDA, APHIS, PPQ 1200 Cherry Brook Drive, Suite 100 Little Rock, AR 72211	Phone: 501-324-5258 FAX: 501-324-5230 e-mail: brannen.v.hardy@aphis.usda.gov
Arizona	Acosta-Williams, Tess	USDA, APHIS, PPQ 3658 E. Chipman Rd. Phoenix, AZ 85040	Phone: 602-431-8930 x211 FAX: 602-438-0977 e-mail: tessie.acosta.williams@aphis.usda.gov
	Johnson, Loisann	USDA, APHIS, PPQ 3658 E. Chipman Rd. Phoenix, AZ 85040	Phone: 602-431-8930 x216 FAX: 602-438-0877 e-mail: loisann.johnson@aphis.usda.gov
California	Black, David	USDA-APHIS-PPQ 650 Capitol Mall Suite 6-400 Sacramento, CA 95814	Phone: 916-930-5508 FAX: 916-930-5518 e-mail: david.w.black@aphis.usda.gov
	Loyd, John	USDA-APHIS-PPQ 2202 Monterey Street Suite 104-E Fresno, CA 93721	Phone: 559-233-3165 FAX: 559-233-4687 email: john.g.loyd@aphis.usda.gov
California counties: Los Angeles, San Luis Obispo, Santa Barbara	Nishimoto, Aaron	USDA, APHIS, PPQ 11840 S. La Cienega Blvd. Hawthorne, CA 90250	Phone: 310-725-1944 FAX: 310-725-9518 e-mail: aaron.y.nishimoto@aphis.usda.gov

TABLE E-1-1: Emergency Response Locations and Contact Information

Coverage	Name	Address	Contact
California counties: Kings, Tulare	Sood, Ehsan	USDA, APHIS, PPQ 5200 Doolittle Ave. Shafter, CA 93263	Phone: 661-861-4357 FAX: 661-392-0084 e-mail: ehsan.f.sood@aphis.usda.gov
California counties: Orange, Riverside, San Bernardino, and Ventura	Lugo, Eddie	USDA, APHIS, PPQ Port of Long Beach 11 Golden Shore, Suite 210 Long Beach, CA 90802	Phone: 562-628-8950 FAX: 562-499-6008 e-mail: eddie.lugo@aphis.usda.gov
California counties: Alpine, Amador, Calaveras, Contra Costa, El Dorado, Marin, Napa, San Joaquin, Solano, Sonoma, Stanislaus, Tuolumne	Pace, Evan	USDA, APHIS, PPQ 1308 West Robinhood Dr., Suite 20 Stockton, CA 95207	Phone: 209-472-1077 Fax: 209-472-1074 E-mail: evan.w.pace@aphis.usda.gov
California counties: Madera, Mariposa, Merced	Sihota, Paul	USDA, APHIS, PPQ 2202 Monterey St. Suite 104E Fresno, CA 93721	Phone: 559-233-4498 FAX: 559-233-4687 e-mail: paul.sihota@aphis.usda.gov
California counties: Alameda, Monterey, San Benito, San Francisco, San Mateo, Santa Clara, Santa Cruz	Telson, Mike	USDA, APHIS, PPQ Plant Inspection Station 389 Oyster Point Blvd. Suite 2 South San Francisco, CA 94080	Phone: 650-876-9093 FAX: 650-876-9008 e-mail: michael.f.telson@aphis.usda.gov
California counties: Butte, Colusa, Del Norte, Glenn, Humboldt, Lake, Lassen, Mendocino, Modoc, Nevada, Placer, Plumas, Sacramento, Shasta, Sierra, Siskiyou, Sutter, Tehama, Trinity, Yolo, Yuba	Troutwine, John	USDA, APHIS, PPQ 650 Capitol Mall Suite 6-200 Sacramento, CA 95814	Phone: 916-930-5532 FAX: 916-930-5539 e-mail: john.troutwine@aphis.usda.gov
California counties: Kern, Inyo, and Mono	Wild, Alana	USDA, APHIS, PPQ 5200 Doolittle Ave. Shafter, CA 93263	Phone: 661-861-4131 FAX: 661-392-0084 e-mail: alana.l.wild@aphis.usda.gov
California counties: Imperial, San Diego	Yambao, Carlito	USDA, APHIS, PPQ 9495 Customhouse Plaza Room 315 San Diego, CA 92154	Phone: 619-661-3236 FAX: 619-661-3264 e-mail: carlito.s.yambao@aphis.usda.gov
California counties: Fresno	Vanderhorst, Paul	USDA, APHIS, PPQ 2202 Monterey Street Suite 104 E Fresno, CA 93721	Phone: 559-233-4498 FAX: 559-233-4687 e-mail: paul.j.vanderhorst@aphis.usda.gov
Colorado	Liu, Josephine	USDA, APHIS, PPQ 3950 N. Lewiston St. Suite 330 Aurora, CO 80011-1555	Phone: 303-371-3355 FAX: 303-371-4774 e-mail: josephine.s.liu@aphis.usda.gov
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov
Connecticut	Dennis Martin	USDA, APHIS, PPQ 10 Causeway St., Room 516 Wallingford, CT 06492	Phone: 617-565-7030 FAX: 617-565-6933 e-mail: dennis.w.martin@aphis.usda.gov

TABLE E-1-1: Emergency Response Locations and Contact Information

Coverage	Name	Address	Contact
Delaware	Nappi, Alex	USDA, APHIS, PPQ 2500 Brunswick Ave. Bldg. G Linden, NJ 07036	Phone: 908-862-2012 FAX: 908-862-2095 e-mail: alex.nappi@aphis.usda.gov
Eastern Region	Campbell, Laney	USDA, APHIS, PPQ 920 Main Campus Dr. Suite 200 Raleigh, NC 27606	Phone: 919-855-7314 FAX: 919-855-7391 e-mail: laney.e.campbell@aphis.usda.gov
	Merenz, Kimberly	USDA, APHIS, PPQ 500 New Karner Rd. Albany, NY 12205-1193	Phone: 518-218-7514 FAX: 518-218-7518 e-mail: kimberly.d.merenz@aphis.usda.gov
	(vacant)	USDA, APHIS, PPQ 3951 Centerport Drive Orlando, FL 32827	Phone: 407-825-2222 FAX: 407-648-6859 e-mail:
Export Services	Clapp, Julie	USDA, APHIS, PPQ, PIM Export Services 4700 River Rd., Unit 140, Room 4D65 Riverdale, MD 20737	Phone: 301-734-6345 FAX: 301-734-7639 e-mail: julie.l.clapp@aphis.usda.gov
Florida	Castaneda, Rodolfo	USDA, APHIS, PPQ Miami Tradeport Building 5600 NW 36TH Street Room 363 Miami, FL 33166	Phone: 305-526-2792 FAX: 305-526-2818 e-mail: rodolfo.castaneda@aphis.usda.gov
	Ortiz, Zaida	USDA, APHIS, PPQ 3951 Centerport St. Orlando, FL 32827	Phone: 407-825-4234 FAX: 407-825-4235 e-mail: zaida.ortiz@aphis.usda.gov
	(vacant)	USDA, APHIS, PPQ 3951 Centerport Drive Orlando, FL 32827	Phone: 407-825-2222 FAX: 407-648-6859 e-mail:
Georgia	McDonald, Michael	USDA, APHIS, PPQ 1506 Klondike Road Suite 306 Conyers, GA 30094	Phone: 770-860-4027 FAX: 770-860-4050 e-mail: michael.mcdonald@aphis.usda.gov
Hawaii	Muraoka, Michael	USDA, APHIS, PPQ 3375 Koapaka St. Suite G330 Honolulu, HI 96819	Phone: 808-861-8518 FAX: 808-861-8448 e-mail: michael.k.muraoka@aphis.usda.gov
Idaho	(vacant)	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail:
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov
Illinois	(vacant)	USDA, APHIS, PPQ 2300 East Devon, STE 210 Des Plaines, IL 60018	Phone: 847-299-6939 Ext. 239 FAX: 847-299-6046 e-mail:
Indiana	Bennett, Tina	USDA, APHIS, PPQ 1330 Win Hentschel Blvd., Suite 120 West LaFayette, IN 47906	Phone: 765-497-2433 FAX: 765-497-7700 e-mail: tina.bennett@aphis.usda.gov

TABLE E-1-1: Emergency Response Locations and Contact Information

Coverage	Name	Address	Contact
Iowa	Shuman, Michael	USDA, APHIS, PPQ 5940 South 58th St. P. O. Box 81866 Lincoln, NE 68501	Phone: 402-434-2333 FAX: 402-434-2330 e-mail: michael.l.shuman@aphis.usda.gov
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov
Kansas	Shuman, Michael	USDA, APHIS, PPQ 5940 South 58th St. P. O. Box 81866 Lincoln, NE 68501	Phone: 402-434-2333 FAX: 402-434-2330 e-mail: michael.l.shuman@aphis.usda.gov
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov
Kentucky	Henry, Kathleen	USDA, APHIS, PPQ 8001 Centerview Parkway Cordova, TN 38018	Phone: 901-309-6434 FAX: 901-309-8670 e-mail: kathleen.a.henry@aphis.usda.gov
Louisiana	Hardy, Brannen	USDA, APHIS, PPQ 1200 Cherry Brook Drive, Suite 100 Little Rock, AR 72211	Phone: 501-324-5258 FAX: 501-324-5230 e-mail: brannen.v.hardy@aphis.usda.gov
Maine	Dennis Martin	USDA, APHIS, PPQ 10 Causeway St., Room 516 Wallingford, CT 06492	Phone: 617-565-7030 FAX: 617-565-6933 e-mail: dennis.w.martin@aphis.usda.gov
Maryland	Nappi, Alex	USDA, APHIS, PPQ 2500 Brunswick Ave. Bldg. G Linden, NJ 07036	Phone: 908-862-2012 FAX: 908-862-2095 e-mail: alex.nappi@aphis.usda.gov
Massachusetts	Dennis Martin	USDA, APHIS, PPQ 10 Causeway St., Room 516 Wallingford, CT 06492	Phone: 617-565-7030 FAX: 617-565-6933 e-mail: dennis.w.martin@aphis.usda.gov
Michigan	Bennett, Tina	USDA, APHIS, PPQ 1330 Win Hentschel Blvd., Suite 120 West LaFayette, IN 47906	Phone: 765-497-2433 FAX: 765-497-7700 e-mail: tina.bennett@aphis.usda.gov
Minnesota	(vacant)	USDA, APHIS, PPQ 2300 East Devon, STE 210 Des Plaines, IL 60018	Phone: 847-299-6939 Ext. 239 FAX: 847-299-6046 e-mail:
Mississippi	McDonald, Michael	USDA, APHIS, PPQ 1506 Klondike Rd. Suite 306 Conyers, GA 30094	Phone: 770-860-4027 FAX: 770-860-4050 e-mail: michael.mcdonald@aphis.usda.gov
Missouri	Shuman, Michael	USDA, APHIS, PPQ 5940 South 58th St. P. O. Box 81866 Lincoln, NE 68501	Phone: 402-434-2333 FAX: 402-434-2330 e-mail: michael.l.shuman@aphis.usda.gov
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov

TABLE E-1-1: Emergency Response Locations and Contact Information

Coverage	Name	Address	Contact
Montana	(vacant)	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail:
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov
Nebraska	Shuman, Michael	USDA, APHIS, PPQ 5940 South 58th St. P. O. Box 81866 Lincoln, NE 68501	Phone: 402-434-2333 FAX: 402-434-2330 e-mail: michael.l.shuman@aphis.usda.gov
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov
Nevada	Johnson, Loisann	USDA, APHIS, PPQ 3658 E. Chipman Rd. Phoenix, AZ 85040	Phone: 602-431-8930 x216 FAX: 602-438-0877 e-mail: loisann.johnson@aphis.usda.gov
New Hampshire	Dennis Martin	USDA, APHIS, PPQ 10 Causeway St., Room 516 Wallingford, CT 06492	Phone: 617-565-7030 FAX: 617-565-6933 e-mail: dennis.w.martin@aphis.usda.gov
New Jersey	Nappi, Alex	USDA, APHIS, PPQ 2500 Brunswick Ave. Bldg. G Linden, NJ 07036	Phone: 908-862-2012 FAX: 908-862-2095 e-mail: alex.nappi@aphis.usda.gov
New Mexico	Liu, Josephine	USDA, APHIS, PPQ 3950 N. Lewiston St. Suite 330 Aurora, CO 80011-1555	Phone: 303-371-3355 FAX: 303-371-4774 e-mail: josephine.s.liu@aphis.usda.gov
New York	(vacant)	USDA, APHIS, PPQ 500 New Karner Rd. Albany, NY 12205	Phone: 518-218-7515 FAX: 518-218-7518 e-mail:
	Merenz, Kimberly	USDA, APHIS, PPQ 500 New Karner Rd. Albany, NY 12205-1193	Phone: 518-218-7514 FAX: 518-218-7518 e-mail: kimberly.d.merenz@aphis.usda.gov
North Carolina	Kostelecky, Susan	USDA, APHIS, PPQ 508 Highway 581 S. Goldsboro, NC 27530	Phone: 919-583-0033 Ext. 1 FAX: 919-583-0035 e-mail: susan.p.kostelecky@aphis.usda.gov
North Dakota	(vacant)	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail:
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov
Ohio	Hall, Tim	USDA, APHIS, PPQ 1005 Beaver Grade Rd. POB 1156 Coraopolis, PA 15108	Phone: 412-299-0462 FAX: 412-299-9370 e-mail: timothy.a.hall@aphis.usda.gov
Oklahoma	Sterling, Joyce	USDA, APHIS, PPQ Post Office Box 610063 DFW Airport, TX 75261	Phone: 972-574-7330 FAX: 972-574-6881 e-mail: joyce.j.sterling@aphis.usda.gov

TABLE E-1-1: Emergency Response Locations and Contact Information

Coverage	Name	Address	Contact
Oregon	Lovell, Georgia	USDA, APHIS, PPQ 6135 NE 80th Ave. Suite A-5 Portland, OR 97218	Phone: 503-326-2814 Ext. 236 FAX: 503-326-2969 e-mail: georgia.lovell@aphis.usda.gov
	Marszal, Jeff	USDA, APHIS, PPQ 6135 NE 80th Ave. Suite A-5 Portland, OR 97218	Phone: 503-326-2814 Ext. 223 FAX: 503-326-2969 e-mail: jeff.marszal@aphis.usda.gov
	Bishop, Robert	USDA, APHIS, PPQ 22000 Marine View Drive S. Suite 201 Des Moines, WA 98198	Phone: 206-592-9057 Fax: 206-592-9043 e-mail: robert.m.bishop@aphis.usda.gov
Pennsylvania	Hall, Tim	USDA, APHIS, PPQ 1005 Beaver Grade Rd. POB 1156 Coraopolis, PA 15108	Phone: 412-299-0462 FAX: 412-299-9370 e-mail: timothy.a.hall@aphis.usda.gov
	Nappi, Alex	USDA, APHIS, PPQ 2500 Brunswick Ave. Bldg. G Linden, NJ 07036	Phone: 908-862-2012 FAX: 908-862-2095 e-mail: alex.nappi@aphis.usda.gov
Puerto Rico	Castaneda, Rodolfo	USDA, APHIS, PPQ Miami Inspection Station 3500 NW 62nd Ave Miami, FL 33122	Phone: 305-526-2791 FAX: 305-526-2795 e-mail: rodolfo.castaneda@aphis.usda.gov
Rhode Island	Dennis Martin	USDA, APHIS, PPQ 10 Causeway St., Room 516 Wallingford, CT 06492	Phone: 617-565-7030 FAX: 617-565-6933 e-mail: dennis.w.martin@aphis.usda.gov
South Carolina	Kostelecky, Susan	USDA, APHIS, PPQ 508 Highway 581 S. Goldsboro, NC 27530	Phone: 919-583-0033 FAX: 919-583-0035 e-mail: susan.p.kostelecky@aphis.usda.gov
South Dakota	(vacant)	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail:
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov
Tennessee	Henry, Kathleen	USDA, APHIS, PPQ 8001 Centerview Parkway Suite 216 Cordova, TN 38018	Phone: 901-309-6434 FAX: 901-309-8670 e-mail: kathleen.a.henry@aphis.usda.gov

TABLE E-1-1: Emergency Response Locations and Contact Information

Coverage	Name	Address	Contact
<p> Texas counties: Angelina, Aransas, Atascosa, Austin, Bastrop, Bee, Bell, Bexar, Blanco, Brazoria, Brazos, Burleson, Burnet, Caldwell, Calhoun, Chambers, Colorado, Comal, Coryell, Dewitt, Fayette, Fort Bend, Frio, Galveston, Gillespie, Goliad, Gonzales, Grimes, Guadalupe, Hardin, Harris, Hays, Houston, Jackson, Jasper, Jefferson, Jim Wells, Karnes, Kendall, Kleberg, Lampasas, Lavaca, Lee, Leon, Liberty, Live Oak, Llano, Madison, Mason, Matagorda, Medina, Milam, Montgomery, Nacogdoches, Newton, Nueces, Polk, Refugio, Robertson, Sabine, San Jacinto, San Augustine, San Saba, San Patricio, Travis, Trinity, Tyler, Victoria, Walker, Waller, Washington, Wharton, Williamson, Wilson </p>	(vacant)	USDA, APHIS, PPQ 11811 East Freeway Suite 560 Houston, TX 77029	Phone: 713-393-1000 Ext. 106 FAX: 713-393-1024 e-mail:

TABLE E-1-1: Emergency Response Locations and Contact Information

Coverage	Name	Address	Contact
Texas counties: Anderson, Andrews, Archer, Armstrong, Bailey, Baylor, Bell, Borden, Bosque, Bowie, Brewster, Briscoe, Brown, Callahan, Camp, Carson, Cass, Castro, Cherokee, Childress, Clay, Cochran, Coke, Coleman, Collin, Collingsworth, Comanche, Concho, Cooke, Cottle, Crane, Crockett, Crosby, Culberson, Dallam, Dallas, Dawson, Deaf Smith, Delta, Denton, Dickens, Donley, Eastland, Ector, Ellis, El Paso, Erath, Falls, Fannin, Fisher, Floyd, Foard, Franklin, Freestone, Gaines, Garza, Glasscock, Gray, Grayson, Gregg, Hale, Hall, Hamilton, Hansford, Hardeman, Harrison, Hartley, Haskell, Hemphill, Henderson, Hill, Hockley, Hood, Hopkins, Howard, Hudspeth, Hunt, Hutchinson, Irion, Jack, Jeff Davis, Johnson, Jones, Kaufman, Kent, King, Knox, Lamar, Lamb, Limestone, Lipscomb, Loving, Lubbock, Lynn, Marion, Martin, McCulloch, McLennan, Midland, Mills, Mitchell, Montague, Moore, Morris, Motley, Navarro, Nolan, Ochiltree, Oldham, Orange, Palo Pinto, Panola, Parker, Parmer, Pecos, Potter, Presidio, Rains, Randall, Reagan, Red River, Reeves, Roberts, Rockwall, Runnels, Rusk, Scurry, Shackelford, Shelby, Sherman, Smith, Somervell, Stephens, Sterling, Stonewall, Swisher, Tarrant, Taylor, Terrell, Terry, Throckmorton, Titus, Tom Green, Upshur, Upton, Van Zandt, Ward, Wheeler, Wichita, Wilbarger, Winkler, Wise, Wood, Yoakum, Young	Sterling, Joyce	USDA, APHIS, PPQ Post Office Box 610063 DFW Airport, TX 75261	Phone: 972-574-7330 FAX: 972-574-6881 e-mail: joyce.j.sterling@aphis.usda.gov

TABLE E-1-1: Emergency Response Locations and Contact Information

Coverage	Name	Address	Contact
Texas counties: Bandera, Brooks, Cameron, Dimmit, Duval, Edwards, Hidalgo, Jim Hogg, Kenedy, Kerr, Kimble, Kinney, LaSalle, Maverick, McMullen, Menard, Real, Schleicher, Starr, Sutton, Uvalde, Val Verde, Webb, Willacy, Zapata, Zavala	Laurie Martinez	USDA, APHIS, PPQ 320 North Main Street Suite 119 McAllen, TX 78501	Phone: 956-618-2048 FAX: 956-686-3609 e-mail: laurie.m.martinez@aphis.usda.gov
Utah	Johnson, Loisann	USDA, APHIS, PPQ 3658 E. Chipman Rd. Phoenix, AZ 85040	Phone: 602-431-8930 x216 FAX: 602-438-0877 e-mail: loisann.johnson@aphis.usda.gov
Vermont	Dennis Martin	USDA, APHIS, PPQ 10 Causeway St., Room 516 Wallingford, CT 06492	Phone: 617-565-7030 FAX: 617-565-6933 e-mail: dennis.w.martin@aphis.usda.gov
Virginia	Brown, Joy	USDA, APHIS, PPQ 5657 S. Laburnum Ave. Richmond, VA 23231-4536	Phone: 804-771-2479 FAX: 804-771-2477 e-mail: joy.brown@aphis.usda.gov
Washington	McCarthy, Paul	USDA, APHIS, PPQ 1710 S 24th Ave. Yakima, WA 98902	Phone: 509-249-5548 FAX: 509-249-5570 e-mail: paul.l.mccarthy@aphis.usda.gov
	Bishop, Robert	USDA, APHIS, PPQ 22000 Marine View Drive S. Suite 201 Des Moines, WA 98198	Phone: 206-592-9057 Fax: 206-592-9043 e-mail: robert.m.bishop@aphis.usda.gov
Washington, DC	Nappi, Alex	USDA, APHIS, PPQ 2500 Brunswick Ave. Bldg. G Linden, NJ 07036	Phone: 908-862-2012 FAX: 908-862-2095 e-mail: alex.nappi@aphis.usda.gov
Western Region	Southwick, Craig	2150 Centre Ave. Building B Fort Collins, CO 80526	Phone: 970-494-7578 FAX: 970-493-4234 e-mail: craig.southwick@aphis.usda.gov
West Virginia	Brown, Joy	USDA, APHIS, PPQ 5657 S. Laburnum Ave. Richmond, VA 23231-4536	Phone: 804-771-2479 FAX: 804-771-2477 e-mail: joy.brown@aphis.usda.gov
Wisconsin	(vacant)	USDA, APHIS, PPQ 2300 East Devon, STE 210 Des Plaines, IL 60018	Phone: 847-299-6939 Ext. 239 FAX: 847-299-6046 e-mail:
Wyoming	Liu, Josephine	USDA, APHIS, PPQ 3950 N. Lewiston St. Suite 330 Aurora, CO 80011-1555	Phone: 303-371-3355 FAX: 303-371-4774 e-mail: josephine.s.liu@aphis.usda.gov
	Thornburg, Curtis	USDA, APHIS, PPQ 9134 W. Blackeagle Dr. Boise, ID 83709	Phone: 208-378-5797 FAX: 208-378-5794 e-mail: curtis.n.thornburg@aphis.usda.gov



Appendix F

List of Countries

Contents

Introduction [page F-1-1](#)

List of Approved Country Names and EXCERPT Summary References [page F-1-1](#)

Introduction

This appendix contains an alphabetical list of approved country names and EXCERPT summary references. Use this appendix to determine the approved country name, to enter on any export certificate and the EXCERPT summary reference.



Important

The approved name of the country is the country name entered on export certificates based on ISO Standard 3166-2 and is found in the first column of [Table F-1-2](#) on [page F-1-2](#).

To determine the EXCERPT summary reference and approved country name, refer to [TABLE F-1-1](#) below.

TABLE F-1-1: Identify EXCERPT Summary References and Approved Country Names

If:	Then:
You find the approved country name listed in the first column of Table F-1-2 on page F-1-2	GO to the import requirements in EXCERPT
You do not find the approved country name listed in the first column	CONTACT your Export Certification Specialist (ECS) for guidance using the contact protocol in Table C-1-1 on page C-1-2

List of Approved Country Names and EXCERPT Summary References

Use [Table F-1-2](#) on [page F-1-2](#) to identify approved names and EXCERPT summary references. The EXCERPT Summary Reference names in the second column are linked directly to the EXCERPT summary database.

:

TABLE F-1-2: Approved Country Names and EXCERPT Summary References

Approved Country Name	EXCERPT Summary Reference
A	
Afghanistan	Afghanistan
Åland Islands	European Union
Albania	Albania
Algeria	Algeria
Andorra	Andorra
Angola	Inter-African Group
Anguilla	Anguilla
Antarctica	Antarctica
Antigua and Barbuda	Antigua and Barbuda
Argentina	Argentina
Armenia	The Former Soviet Republics
Aruba	Aruba
Australia	Australia/Nauru
Austria	European Union
Azerbaijan	The Former Soviet Republics
B	
Bahamas	Bahamas
Bahrain	Bahrain
Bangladesh	Bangladesh
Barbados	Barbados
Belarus	The Former Soviet Republics
Belgium	European Union
Belize	Belize
Benin	Inter-African Group
Bermuda	Bermuda
Bhutan	Bhutan
Bolivia	Bolivia
Bosnia and Herzegovina	Former Republics of Yugoslavia
Botswana	Inter-African Group
Bouvet Island	Bouvet Island
Brazil	Brazil
British Indian Ocean Territory	British Indian Ocean Territory
Brunei Darussalam	Brunei Darussalam
Bulgaria	European Union
Burkina Faso	Inter-African Group
Burundi	Inter-African Group

TABLE F-1-2: Approved Country Names and EXCERPT Summary References

Approved Country Name	EXCERPT Summary Reference
C	
Cambodia	Cambodia
Cameroon	Inter-African Group
Canada	Canada
Cape Verde	Cape Verde
Cayman Islands	Cayman Islands
Central African Republic	Inter-African Group
Chad	Inter-African Group
Chile	Chile
China	China
Christmas Island	Christmas Island
Cocos (Keeling) Islands	Australia/Nauru
Colombia	Colombia
Comoros	Comoros
Congo	Inter-African Group
Congo, Democratic Republic of the	Inter-African Group
Cook Islands	Cook Islands/Niue
Costa Rica	Costa Rica
Côte D'ivoire	Inter-African Group
Croatia	Croatia
Cuba	Cuba
Cyprus	European Union
Czech Republic	European Union
D	
Denmark	European Union
Djibouti	Djibouti
Dominica	Dominica
Dominican Republic	Dominican Republic
E	
Ecuador	Ecuador
Egypt	Egypt
El Salvador	El Salvador
Equatorial Guinea	Inter-African Group
Eritrea	Eritrea
Estonia	European Union
Ethiopia	Ethiopia
F	
Falkland Islands (Malvinas)	Falkland Islands

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TABLE F-1-2: Approved Country Names and EXCERPT Summary References

Approved Country Name	EXCERPT Summary Reference
Faroe Islands	Faroe Islands
Fiji	Fiji
Finland	European Union
France	European Union
French Guiana	French Guiana
French Polynesia	French Polynesia
French Southern Territories	French Southern Territories
G	
Gabon	Inter-African Group
Gambia	Inter-African Group
Georgia	The Former Soviet Republics
Germany	European Union
Ghana	Inter-African Group
Gibraltar	Gibraltar
Greece	European Union
Greenland	Greenland
Grenada	Grenada
Guadeloupe	Guadeloupe
Guatemala	Guatemala
Guernsey	European Union
Guinea	Inter-African Group
Guinea-Bissau	Inter-African Group
Guyana	Guyana
H	
Haiti	Haiti
Heard Island and McDonald Islands	Heard and McDonald Islands
Holy See (Vatican City State)	European Union
Honduras	Honduras
Hong Kong	Hong Kong
Hungary	Hungary
I	
Iceland	Iceland
India	India
Indonesia	Indonesia
Iran, Islamic Republic of	Iran
Iraq	Iraq
Ireland	European Union
Isle of Man	European Union

TABLE F-1-2: Approved Country Names and EXCERPT Summary References

Approved Country Name	EXCERPT Summary Reference
Israel	Israel
Italy	European Union
J	
Jamaica	Jamaica
Japan	Japan
Jersey	European Union
Jordan	Jordan
K	
Kazakhstan	The Former Soviet Republics
Kenya	Kenya
Kiribati	Kiribati
Korea, Democratic People's Republic of	Democratic Peoples Republic of Korea
Korea, Republic of	Republic of Korea
Kuwait	Kuwait
Kyrgyzstan	Kyrgyzstan
L	
Lao People's Democratic Republic	Lao People's Democratic Republic
Latvia	European Union
Lebanon	Lebanon
Lesotho	Inter-African Group
Liberia	Inter-African Group
Libyan Arab Jamahiriya	Libyan Arab Jamahiriya
Liechtenstein	Switzerland/Liechtenstein
Lithuania	European Union
Luxembourg	European Union
M	
Macao	Macao
Macedonia, The former Yugoslav Republic of	Former Republics of Yugoslavia
Madagascar	Madagascar
Malawi	Malawi
Malaysia	Malaysia
Maldives	Maldives
Mali	Inter-African Group
Malta	European Union
Marshall Islands	Marshall Islands
Martinique	Martinique
Mauritania	Inter-African Group
Mauritius	Mauritius

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TABLE F-1-2: Approved Country Names and EXCERPT Summary References

Approved Country Name	EXCERPT Summary Reference
Mayotte	Mayotte
Mexico	Mexico
Micronesia, Federated States of	Federated States of Micronesia
Moldova	The Former Soviet Republics
Monaco	European Union
Mongolia	Mongolia
Montenegro	Montenegro
Montserrat	Montserrat
Morocco	Morocco
Mozambique	Inter-African Group
Myanmar	Myanmar
N	
Namibia	Namibia
Nauru	Australia/Nuaru
Nepal	Nepal
Netherlands	European Union
Netherlands Antilles	Netherlands Antilles
New Caledonia	New Caledonia
New Zealand	New Zealand
Nicaragua	Nicaragua
Niger	Inter-African Group
Nigeria	Nigeria
Niue	Cook Islands/Niue
Norfolk Island	Australia/Nauru
Norway	European Union
O	
Oman	Oman
P	
Pakistan	Pakistan
Palau	Palau
Panama	Panama
Papua New Guinea	Papua New Guinea
Paraguay	Paraguay
Peru	Peru
Philippines	Philippines
Pitcairn	Pitcairn
Poland	European Union
Portugal	European Union

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TABLE F-1-2: Approved Country Names and EXCERPT Summary References

Approved Country Name	EXCERPT Summary Reference
Q	
Qatar	Qatar
R	
Réunion	Réunion
Romania	European Union
Russian Federation	The Former Soviet Republics
Rwanda	Inter-African Group
S	
Saint Barthélemy	European Union
Saint Helena	European Union
Saint Kitts and Nevis	Saint Kitts and Nevis
Saint Lucia	Saint Lucia
Saint Martin	Netherlands Antilles
Saint Pierre and Miquelon	Saint Pierre and Miquelon
Saint Vincent and the Grenadines	Saint Vincent and the Grenadines
Samoa	Samoa
San Marino	European Union
Sao Tome and Principe	Sao Tome and Principe
Saudi Arabia	Saudi Arabia
Senegal	Inter-African Group
Serbia	Serbia
Seychelles	Seychelles
Sierra Leone	Inter-African Group
Singapore	Singapore
Slovakia	European Union
Slovenia	European Union
Solomon Islands	Solomon Islands
Somalia	Inter-African Group
South Africa	South Africa
South Georgia and the South Sandwich Islands	Falkland Islands
Spain	European Union
Sri Lanka	Sri Lanka
Sudan	Sudan
Suriname	Suriname
Svalbard and Jan Mayen	Norway/Svalbard and Jan Mayen Islands
Swaziland	Inter-African Group
Sweden	European Union
Switzerland	Switzerland/Liechtenstein

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TABLE F-1-2: Approved Country Names and EXCERPT Summary References

Approved Country Name	EXCERPT Summary Reference
Syrian Arab Republic	Syria
T	
Taiwan	Taiwan
Tajikistan	The Former Soviet Republics
Tanzania, United Republic of	Tanzania
Thailand	Thailand
Timor-Leste	Timor-Leste
Togo	Inter-African Group
Tokelau	Tokelau
Tonga	Tonga
Trinidad and Tobago	Trinidad and Tobago
Tunisia	Tunisia
Turkey	Turkey
Turkmenistan	The Former Soviet Republics
Turks and Caicos Islands	Turks and Caicos Islands
Tuvalu	Tuvalu
U	
Uganda	Uganda
Ukraine	The Former Soviet Republics
United Arab Emirates	United Arab Emirates
United Kingdom	European Union
Uruguay	Uruguay
Uzbekistan	The Former Soviet Republics
V	
Vanuatu	Vanuatu
Venezuela	Venezuela
Viet Nam	Viet Nam
Virgin Islands, British	British Virgin Islands
W	
Wallis and Futuna	Wallis and Futuna Islands
Western Sahara	Western Sahara
Y	
Yemen	Yemen
Z	
Zambia	Zambia
Zimbabwe	Inter-African Group

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Appendix G

Organizational Chart

The organizational chart, **Figure G-1-1** on **page G-1-2**, illustrates the Plant Protection and Quarantine (PPQ) infrastructure that supports our export certification program. This chart serves to document the responsibility for the maintenance of a credible program from the position of NPPO through field level ACOs.

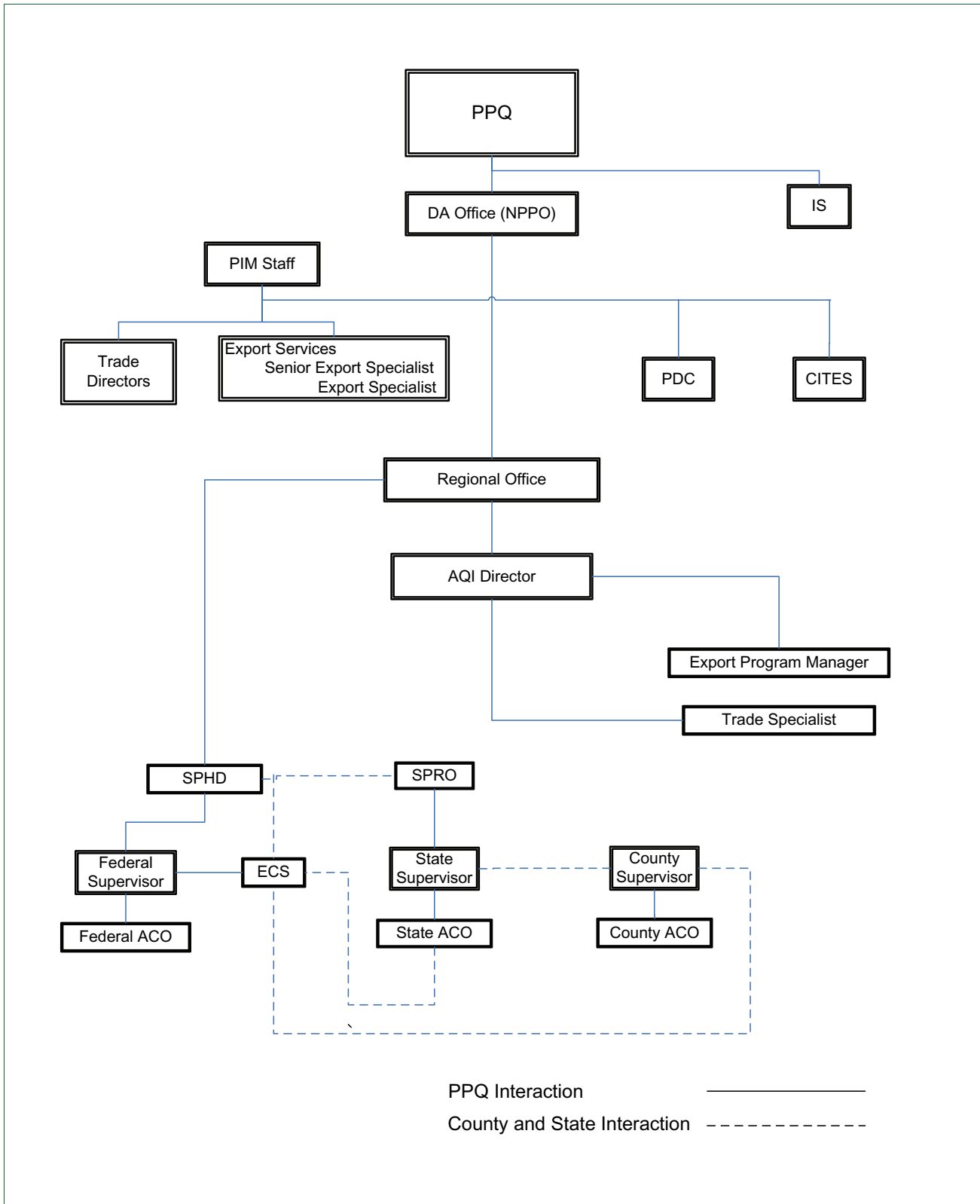


FIGURE G-1-1: Organizational Chart: Interactions Among PPQ, State, and County Personnel



Appendix H

Phytosanitary Certificate Issuance & Tracking System (PCIT)

Contents

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Introduction

The Phytosanitary Certificate Issuance and Tracking (PCIT) system automates the issuance of a Phytosanitary Certificate, including collection and tracking of its related information, for an eligible agricultural commodity being exported to foreign countries.

Use this link to access PCIT:

<https://pcit.aphis.usda.gov/pcit/>

The Web-based PCIT application is available nationwide for use now and is developed to meet the following objectives:

- ◆ Enable the creation of electronic Phytosanitary Certificates
- ◆ Provide data standards to facilitate data integrity for reporting and interfacing with foreign governments
- ◆ Protect the PCIT data by incorporating defined security requirements

To use PCIT please contact your Export Certification Specialist (ECS) to enroll in the system.

Use this link to identify your local ECS:

http://www.aphis.usda.gov/import_export/plants/plant_exports/ecs/index.shtml

Features

- ◆ Faster certificate generation
- ◆ Customizable templates
- ◆ Certificate archiving
- ◆ Will eventually eliminate the need for on-site paper record maintenance
- ◆ An asterisk at the end of a field name mandates required information
- ◆ 56,000+ scientific and common commodity name database
- ◆ Easy to use context help is included in PCIT on key fields to assist in identifying the type of information to be entered in the associated field
- ◆ Within the PCIT application, links to web pages such as EXCERPT, PPQ, and the Export Program Manual (XPM)
- ◆ A Contact Us page with:
 - ❖ Link to PPQ, Export Services website
 - ❖ PCIT technical support for technical information about using the PCIT system
 - ❖ A link to download the USDA PCIT User's Guide
 - ❖ A link to PCIT Release Notes
 - ❖ A link to PCIT Accessibility Guidelines
- ◆ Cost incurred on a per certificate basis, not on a per page basis

EXAMPLE

An export certificate that generates three pages, containing the same serial number, will incur the same cost as a certificate generating one page.

Future Releases

PCIT Version 2.5

- ◆ Allows Federal fees to be collected by credit card or eCheck
- ◆ Incorporation of ACO database
- ◆ E-authentication
- ◆ XML generation for easier downloads into existing systems
- ◆ Reporting features
 - ❖ Additional canned
 - ❖ Ad hoc capability

PCIT Version 3.0

- ◆ Support for PPQ Form 579
- ◆ Support for Master/Child Certificates
- ◆ Support the ability to attach supporting documents for electronic certificates (i.e. Import Permits, field inspection results, etc.)
- ◆ Support interfaces with GIPSA

Training Website

The training site is available for trial at the following website:

<https://pcit-training.aphis.usda.gov/pcit/>

To access the training site, enter the following passwords:



Do not reset or attempt to change passwords!

IDs for Federal ACOs for Training Purposes

- ◆ ID: pcit-student01-03: Certs4u!!
- ◆ ID: pcit-student04: Trning4u!
- ◆ ID: pcit-student05: Certs4u!!
- ◆ ID: pcit-student06: Trning4u!
- ◆ ID: pcit-student07-25: Certs4u!!

IDs for State/County ACOs for Training Purposes

- ◆ ID: pcit-student26-38: Certs4u!!
- ◆ ID: pcit-student39: Trning4u!
- ◆ ID: pcit-student40: Certs4u!!
- ◆ ID: pcit-student41: Trning4u!
- ◆ ID: pcit-student42-44: Certs4u!!
- ◆ ID: pcit-student45: Trning4u!
- ◆ ID: pcit-student46-48: Certs4u!!
- ◆ ID: pcit-student49: Trning4u!
- ◆ ID: pcit-student50: Certs4u!!

EXAMPLE

Federal (PPQ)
pcit-student11
Certs4u!!

State/County
pcit-student41
Trning4u!

Helpful Hints

- ◆ One person should register the organization. That person is the organization administrator.
- ◆ Administrators can add users to the organization and designate others as administrators.
- ◆ Name templates so entire organization understands what they represent.
- ◆ Browser “BACK” button does not work.
- ◆ Copies can be printed at any time.
- ◆ No more four part forms.
- ◆ Continuation pages will be generated by the system.
- ◆ Use singular names for commodities: apple vs. apples.
- ◆ If you find no matches, put asterisks (*) around the commodity to get more results.

EXAMPLE

- ◆ Plum returns 35 entries
- ◆ *Plum* returns 147 entries

User Guide

The user guide is very comprehensive and contains actual screen shots with details about the screens. The link to the user guide is below.

<http://pcit-training.aphis.usda.gov:8087/user-manual.html>

Contact Information

- ◆ PCIT Helpdesk: 1-866-HLP-PCIT (1-866-457-7248)
email: pcithelpdesk@aphis.usda.gov
- ◆ Christian Dellis: 301-734-5233; christian.b.dellis@aphis.usda.gov
- ◆ Michael Perry: 240-529-0264; michael.j.perry@aphis.usda.gov

Available Assistance

- ◆ Webinars for industry and government users are hosted on the APHIS website:

http://www.aphis.usda.gov/import_export/plants/plant_exports/pcit.shtml

Additional webinars for all user groups will be conducted in the future.

- ◆ The helpdesk number for PCIT is 1-866-457-7248. Conference calls to set up new users can be arranged for APHIS offices, cooperators, and industry by contacting the helpdesk.
- ◆ National and Regional Program Managers are prepared to assist upon request.



Appendix I

Related Authorities

Contents

- Introduction **page I-1-1**
International Plant Protection Convention (IPPC) **page I-1-1**
International Standards for Phytosanitary Measures (ISPM) **page I-1-1**
North American Plant Protection Organization (NAPPO) **page I-1-1**

Introduction

Click on the hypertext links below to see the authorities related to export certification.

International Plant Protection Convention (IPPC)

Web site: <https://www.ippc.int/IPP/En/default.jsp>

International Standards for Phytosanitary Measures (ISPM)

Web site: <http://www.spc.int/pps/ispm.htm>

Requirements for the Establishment of Pest Free Areas (ISPM 4)

(https://www.ippc.int/servlet/BinaryDownloaderServlet/13700_ISPM_4_E.pdf?filename=1146657783053_ISPM4.pdf&refID=13700)

Requirements for the Establishment of Pest Free Places of Production and Pest Free Production Sites (ISPM 10)

(https://www.ippc.int/servlet/BinaryDownloaderServlet/13738_ISPM_10_E.pdf?filename=1146658291869_ISPM10.pdf&refID=13738)

Guidelines for Phytosanitary Certificates (ISPM 12)

(https://www.ippc.int/servlet/BinaryDownloaderServlet/16199_ISPM_12_E.pdf?filename=1146658528409_ISPM12.pdf&refID=16199)

North American Plant Protection Organization (NAPPO)

Web site: <http://www.nappo.org/>

J

Export Program
Manual

Appendix J

Responsibilities

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Exporters

The responsibilities of the exporter or shipper¹ include the following:

1. Apply for the inspection, sampling, testing, and certification of commodities offered for export. Certificates can be issued at the point of origin, at a port where the shipment will transit, or at the actual port of export. PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, can be requested from the nearest Authorized Certification Official (ACO) office or downloaded from the following Web site address:

http://www.aphis.usda.gov/import_export/plants/plant_exports/export_certificates_forms.shtml

For directions on completing PPQ Form 572, refer to *Exporter Instructions to Complete PPQ Form 572* on **page K-1-13**.

2. Contact an ACO far enough in advance of the shipping or loading dates to allow the ACO to determine the phytosanitary import requirements and conduct required sampling, inspecting, testing, etc. in advance of the shipping or loading dates and specified time limits.

¹ The exporter responsibilities are also available as a separate document printed at the end of the XPM or online at the following Web site address: http://www.aphis.usda.gov/import_export/plants/manuals/domestic/downloads/exporter_responsibilities.pdf for the purpose of providing exporters with a list of responsibilities for their information and knowledge.

Exporters **must** be aware of and plan for any time limit restrictions a foreign country may specify for the period between date of inspection or date of certificate issuance and shipping date. If a time limit is **not** specified by a country, the policy on time limits for inspections is that inspections may **not** be conducted more than 30 days prior to issuance of the export certificate.

3. Provide all necessary documentation, including, import permits (IP), bills of lading, manifests, shipping invoices, foreign export certificates, and inspection certificates. It is the exporter's responsibility to provide official documents stating import requirements if they differ from those PPQ has. Official documents may be an IP, special authorization, or recent correspondence from the National Plant Protection Organization (NPPO) of the foreign country.



All documentation provided **must** be legible. Requests containing illegible documentation will **not** be considered. If sending copies of foreign-language documents, both the foreign-language document and its English translation **must** be provided. If a document is in a language, **other than** English, the entire document **must** be translated. The name of the person providing the translation and his or her affiliation **must** be included on the translated document. ES **cannot** provide translation services.

Exporters are responsible for ensuring official documents are translated into English; PPQ **does not** provide translation services. Bilingual information is acceptable as long as one of the languages is English.



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

4. Make the commodity available for inspection, sampling, testing, etc. Shipments **cannot** be inspected on board aircraft or ships. Additionally, commodities loaded into maritime containers in bulk form **cannot** be inspected once the container has been loaded. It is the exporter's responsibility to ensure the shipment is sampled and/or inspected prior to loading containers.

Ensure the commodity is accessible to the ACOs to verify, sample, and inspect the shipment. In addition, other shipping documents should be marked or stamped to prevent the shipment from being loaded before the inspection is conducted.

5. Provide labor to open and close packages for inspection and provide adequate facilities to perform the inspection. Such facilities include supplies, equipment, and proper lighting required for an efficient inspection before certification.
6. Provide for any required treatments, reconditioning, or other actions to meet the import requirements of the foreign country.
7. Export **only** those commodities properly inspected and certified under an export certificate.
8. Safeguard the certified shipment from infestation between the date the shipment was sampled and the actual shipping date, and ensure the certified shipment departs within the time limits specified by the importing country.
9. Comply with U.S. export control regulations. The Federal government controls the exportation of U.S. goods to all foreign countries. The Department of Commerce is the authority for licensing most items for export. Other Federal agencies such as the Agricultural Marketing Service (AMS) and the Federal Grain Inspection Service (FGIS) handle the certification for specific commodities.

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

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

Protocol for Requesting Review of Certification Eligibility

If an exporter requests that PPQ review its policy on the eligibility of a non certifiable commodity, follow the protocol in this chapter. This includes commodities **ineligible** for an export certificate but eligible for a PPQ 578 (exporters may want to remove any risk that their shipment will be rejected due to the lack of an export certificate).

The Protocol for Requesting Review of Certification Eligibility describes the procedures that **must** be followed if an exporter requests the eligibility of a commodity for certification be reviewed. Export Services (ES) **cannot** consider any request until all of the necessary information is provided.

Listed below is the information that ES **must** have to assist the exporter. Mandatory information is marked “Required.” Do **not** forward requests for assistance to ES until all information is available. Once all the required information is available, fax or send electronically all supporting documents at one time.

- ◆ Country to which the exporter wishes to export (required)
- ◆ Date the exporter wishes to ship

- ◆ Description of commodity and, if processed, a detailed description of the process. The description **must** include the following information: list of ingredients (as appropriate), origin of each ingredient, process applied to each ingredient (if appropriate) and the scientific name of each ingredient. All information will be held in strict confidence. (required) The process **must** be described in detail.

EXAMPLE

It is **not** sufficient to say that the commodity was “dried.” In this case, the exporter **must** state how the commodity was dried. If the exporter is unable to supply this information, **do not** forward the request to ES.

- ◆ How is commodity packaged (required)
- ◆ If necessary, the exporter may have to supply ES with a sample of his or her commodity.
- ◆ Intended use of commodity (required)
- ◆ Name of exporter with contact information (required)
- ◆ Official communication from the NPPO, if available (required)

Caution the exporter that it may take some time for ES to make a decision. In addition, our ability to make a decision will depend on the quality of the information the exporter provides. If appropriate, have the exporter contact ES directly. ES will make every effort to provide a decision once all necessary information has been provided.

Contact ES at the following:

Phone: 301 734-8537

FAX: 301 734-7639

E-mail (general e-mail box): PPQExportServices@aphis.usda.gov

You may also send information directly to the ES staff officer covering the country in question.

**When the
Importing
Country Does
NOT Require a
Certificate**

If the exporter requests an export certificate for a commodity that is:

- ◆ **Ineligible** for certification, AND,
- ◆ Certification is **not** required by the importing country, AND,
- ◆ Reason for the request is because the exporter “just wants one” (not required by the importing country):

Explain PPQ’s policy regarding the eligibility requirements for providing certificates and that because the foreign country **does not** require a certificate, PPQ **cannot** review his or her request at this time. **Do not** forward the request to ES unless the exporter requires further clarification.

When the Importing Country Requires a Certificate

Follow the guidelines in this section if an exporter requests a certificate because:

- ◆ EXCERPT or official communication from the National Plant Protection Organization (NPPO) states that a certificate is required, AND,
- ◆ Commodity is **ineligible** for certification

Options for Certification of Canadian Produced Seed

To facilitate the United States' trade of Canadian produced seed, the following options are available for certifying Canadian produced seed being reexported from the United States.



Important

This policy does not apply to seed reexported from Canada; the options below pertain only to seed grown in Canada.

Option 1

Option 1 will provide the greatest assurance that a commodity meets an importing country's requirements. Therefore, exporters **must** provide the required documentation to allow certification under this option. Consignments not certified under Option 1 may be rejected and ES may not be able to assist the exporter.

1. The seed will be certified using PPQ Form 577. Canada will be listed as the country of origin.
2. The exporter **must** present the ACO with the importing country's phytosanitary requirements for Canadian produced seed. The requirements **must** be in the form of official communication from either the National Plant Protection Organization (NPPO) of the importing country or Canada.
3. The official communication presented by the exporter may be used for certification purposes for 6 months from the date of the document, unless the document states otherwise. Exporters should obtain confirmation of a country's import requirements each time they export because import requirements can change at any time.
4. If the importing country requires one of the following phytosanitary actions the seed may be certified once the requirement(s) has been met. The phytosanitary action **must** be conducted in the United States. Phytosanitary actions taken in Canada cannot be listed on PPQ Form 577 nor used as the basis for issuing PPQ Form 577.
 - A. Laboratory analysis or testing: **must** be conducted by a United States authorized laboratory.

B. Treatment: **must** meet policy and procedures as stated in this manual.

5. If the country requires phytosanitary actions/measures, other than those listed under point 4, the consignment cannot be certified.
6. Consignment must be inspected.
7. If an exporter presents import requirements and it is determined that the requirements cannot be met, the consignment cannot be certified under either Option 1 or Option 2.

Option 2

Option 2 can be used if the exporter cannot obtain the import requirements of the importing country. The exporter should be cautioned that the consignment may not meet the phytosanitary requirements of the importing country, may be rejected, and that ES may not be able to assist them if a shipment is held or rejected.

1. The seed will be certified using PPQ Form 579. Canada will be listed as the country of origin.
2. Additional declarations pertaining to phytosanitary actions are not permitted.
3. Additional declaration that, "The shipment met the entry requirements of the United States."
4. Consignment must be inspected.

Authorized Certification Officials (ACOs)

ACOs are PPQ Plant Health Safeguarding Specialists (PHSS), State and county officials who have been accredited to perform phytosanitary inspections and sign certificates.

The responsibilities of ACOs include the following:

1. Meet the education, experience, and training requirements to become an ACO (see also *Special Programs • Authorized Certification Official (ACO) Accreditation* on page 5-1-1). For State cooperators, the education and experience requirements are described in *Special Programs • Federal-State Cooperative Program* on page 5-4-1.
2. Identify the import requirements of a foreign country for a commodity and determine whether the commodity meets the requirements. This involves reviewing Export Summaries and may include examining official communication from the NPPO.
3. Use the Phytosanitary Certificate Issuance & Tracking (PCIT) system to promote uniformity of certificate issuance within the export program.
4. Inspect commodities before issuing PPQ Form 577, to determine that the commodity meets the import requirements.
5. Verify a reexport commodity has been safeguarded and/or inspected before issuing PPQ Form 579, to determine that the commodity meets the import requirements.
6. Verify the processing of a commodity and/or inspect the commodity before issuing PPQ Form 578, to determine that the commodity meets the import requirements.
7. Issue export certificates **only** for those commodities currently eligible for certification under PPQ policy (see *Eligibility Based on What the Commodity Is* on page 3-3-2).
8. Refuse to issue export certificates for prohibited commodities or commodities that **do not** meet a country's import requirements.
9. Advise exporters when their commodity is **ineligible** for certification.
10. Advise exporters to export their commodity within a country's specified time limits. Refer to the DEFINITIONS OF TERMS AND CODED ABBREVIATIONS in an Export Summary for a country's time limits.
11. Monitor or verify the application of any treatment to prepare the commodity for export (for details of procedures for monitoring treatments, refer to *Does the Commodity Require Treatment or Was a Treatment Conducted?* on page 3-4-13).

12. Verify the contents of the shipment are what is documented on the PPQ Form 572 Application for Inspection and Certification of Domestic Plants and Plant Products for Export. Compare the application with any supporting documents (such as inspection certificates, State certificates, or other agency reports) that may help to verify the accuracy of the contents of the shipment.
13. Advise exporters, shippers, or brokers as to the status of a shipment. When samples are drawn for laboratory examination or when there will be delays in certifying the shipment, let the exporter or the shipping company know so the shipment is **not** inadvertently loaded before inspecting and certifying. Once the inspection is completed and the certificate is issued, immediately notify the exporter or the shipping company.
14. Prepare certificates in English. They can be handwritten or typed unless specified otherwise in an Export Summary. Handwritten certificates **must** be legible. Some foreign countries will **not** accept certificates with alterations, errors, or erasures. See [Example](#) on page 3-8-3.
15. Forward the record copy of each certificate to your ECS. Attach copies of IPs and other supporting documents (including translated documents with the original foreign-language document) used for certifying each shipment. Who and when to send copies will be established by the ECS and State Plant Health Director (SPHD). A rule of thumb is to gather and send forward copies of issued certificates weekly.
16. For PPQ Plant Health Safeguarding Specialists (PHSS), inspect and certify commodities during normal duty hours and at locations normally traveled to in connection with other work assignments. PPQ managers should use discretion when assigning ACOs to phytosanitary export inspections involving a significant amount of travel time. When requests for services at remote locations occur, all alternative methods of certification should be explored before PPQ work hours are committed.
17. Maintain accreditation by actively issuing² certificates, attending refresher training and successfully passing a renewal test at a minimum of every 3 years. See also [Special Programs • Authorized Certification Official \(ACO\) Accreditation](#) on page 5-1-1.

² ACOs can be placed in inactive status if they fail to issue export certificates within 1 year of initial accreditation or fail to issue export certificates within a 2-year period of time.

Export Certification Specialists (ECSs)

ECSs play a vital role in ensuring the continuity, credibility, and integrity of PPQ's export program by providing training and quality control functions. Their role includes the following responsibilities:

1. Serve as the point of contact and expert on phytosanitary issues for all ACOs under their assigned area.
2. Serve as technical liaison among local, State, regional, and national officials regarding export certification assistance. Be knowledgeable in agricultural production and commodity management practices within assigned areas in order to provide recommendations that enhance export protocols.
3. Show proficiency in the use and training of the Phytosanitary Certificate Issuance & Tracking (PCIT) system to promote uniformity of certificate issuance within the export program.
4. Review (at least monthly) 5% of all certificates issued by ACOs within their assigned area for compliance with established policy and foreign import requirements. See [Section 4: Export Certificate Review Process](#) on [page 5-1-5](#) for documenting major mistakes, providing feedback, and determining when to provide retraining and when to recommend revocation of an ACO's accreditation.
5. Investigate the issuance of certificates for shipments that have been detained or rejected by the importing country. This should include verifying documents, adherence to certification policy and procedures, and conformance with the importing countries' plant import requirements.
6. Inform ES³ of the following situations:
 - A. Import requirements as stated in official communication from the NPPO differ from Export Summary requirements.
 - B. Certificate issuance that may cause embarrassment or financial liability to the USDA or its employees, financial loss to the shipper or industry, or damage the credibility of the export program (as part of the review guidelines).

³ Export Services, USDA-APHIS-PPQ, 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301-734-8537; FAX 301-734-7639.

- 7.** Determine the need for, coordinate, and conduct initial training for State and county personnel within assigned areas. Develop and present refresher training for all ACOs within assigned areas following the *Administrative Guide for Export Certification Training*. This training helps to maintain ACO accreditation, meet the requirements of the International Plant Protection Convention (IPPC) and the North American Plant Protection Organization (NAPPO) standards, maintain credibility of the export program, and avoid recurrent errors in issuing certificates.
- 8.** Ensure an effective accountability system is established and maintained by SPHDs and State Plant Regulatory Officials (SPROs) for the certificates issued under assigned areas.
- 9.** Participate in periodic workshops conducted by ES.
- 10.** Develop and maintain a broad knowledge base of all exported commodities. Participation in developmental assignments with ES and the regional offices is encouraged.
- 11.** Screen and forward a list of State cooperator nominees, along with their qualifications, to ES for granting accreditation to issue certificates in conformance with Federal regulations. (See *Special Programs • Federal-State Cooperative Program* on **page 5-4-1.**)
- 12.** Maintain accreditation records for all ACOs in the nationwide ACO database. Notify ES of cooperators who transfer, retire, or otherwise separate from State or county employment.
- 13.** Be guided by the Memorandum(s) of Understanding (MOU) for the Federal-State Cooperative Program, and review the MOU as circumstances warrant (e.g., change in personnel). Notify ES of needed changes. If a signed copy of a State's MOU is needed, contact the PPQ regional office.
- 14.** Keep a current copy of the *Export Program Manual* and associated materials such as Phytosanitary Notes (PNs). Notify PPQ's Manuals Unit of needed changes and updates (see *How to Report Problems With the Export Program Manual (XPM)* on **page L-1-5**).
- 15.** Be proficient using EXCERPT and other databases, such as the ACO national database and Germplasm Resources Information Network (GRIN) database. Notify ES of needed changes and updates to the information in EXCERPT. Maintain the emergency response plans for EXCERPT.

- 16.** Conduct field audits involving review of facilities, issued certificates, and ACO records to ensure compliance with Federal regulations, policies and procedures, and PPQ's obligations to bilateral agreements and protocols, MOUs, and international standards. Identify and document mistakes. See [Review Guidelines for Certificates](#) on **page J-1-11** for documenting major mistakes, giving feedback, and determining when to recommend suspension.
- 17.** Assist ES in its periodic audit of issued certificates. Assist national and regional export program officials to identify and develop required training guidelines and course work.
- 18.** Assist APHIS headquarters with Freedom of Information Act (FOIA) requests. Assist State and national Investigative and Enforcement Services staff (USDA-APHIS-IES) and PPQ State and headquarters offices to research and obtain information related to cases involving the certificate issuance.
- 19.** Assist regional and national offices to review newly developed export protocols and work plans for establishing export continuity in the export program. Provide input to regional and national export program officials when developing new certification policies and procedures or modifying existing ones.

Review Guidelines for Certificates

ECSs are responsible for reviewing certificates and for conducting field audits to ensure compliance with Federal regulations, policies and procedures, foreign import requirements, and PPQ obligations to bilateral agreements, protocols, MOUs, and international standards.

These review guidelines are as provided in [Section 4: Export Certificate Review Process](#) on **page 5-1-5** of the [ACO Quality Manual](#). and are provided here to help ECSs perform comprehensive reviews (under optimum operational conditions).

See [Figure J-1-1](#) on **page J-1-12** for a model letter you can follow to document major mistakes. For a fillable version, click [here](#). Provide a copy of the certificate in question, backup documents, and a brief explanation.

Appendix J: Responsibilities
Export Certification Specialists (ECSS)

Date: _____

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

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

on Export Certificate # _____ (attached). This export certificate has ____ /has **not** ____ been reported as rejected by the importing country. The error(s) is/are checked below:

- Failure to follow PPQ policy with regard to export certificates.
- Certifying disease freedom in grain.
- Failure to follow inspectional guidelines.
- Failure to follow known import requirements.
- Certifying prohibited or ineligible commodities.
- Certifying CITES commodities at an ineligible port.
- Certifying commodities from non-accredited or non-compliant sources.
- Attesting to conditions from non-accredited or non-compliant sources.

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

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

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

(Printed name of Export Certification Specialist)

Enclosure

FIGURE J-1-1: Model Letter for Documenting Major Errors Found on an Export Certificate

Regional Program Managers (Export Certification and Trade)

Regional Program Managers have the following responsibilities:

- 1.** Support trade facilitation while considering program, stakeholder, economic, and political interests.
- 2.** Provide guidance and direction regarding PPQ policy to State Plant Health Directors (SPHDs) subordinate units. Act as resource and consultant to the field regarding technical and operational program issues.
- 3.** Distribute information on policy, regulations, procedures, etc. to customers and stakeholders.
- 4.** Facilitate trade through export and import guidelines for agricultural commodities.
- 5.** Monitor program activities and the effective utilization of resources.
- 6.** Interact with ECSs through regional workshops, conference calls, and other support as needed.
- 7.** Assist the Export Services (ES) staff with trade issues.
- 8.** Gather information for new and continuing export markets from the field.
- 9.** Assist industry with export issues.
- 10.** Facilitate the development of and aid with the implementation of trade and international work plans for export.
- 11.** Provide advice, information, and support in developing guidelines for program objectives.
- 12.** Identify problem areas and recommend corrective measures.
- 13.** Contribute to effective management and control systems to monitor program activities.
- 14.** Assist Senior Regional Program Manager (RPM) in the development of program work plans.
- 15.** Prepare reports and recommendations for Senior RPM regarding program issues.
- 16.** Remain abreast of program changes and emerging issues.
- 17.** Support, promote, communicate, and carry out PPQ departmental and administrative policy.

Trade Specialists

Trade Specialists have the following responsibilities:

1. Work with visiting foreign officials to address work plan compliance and new market access issues.
2. Serve as a resource for exporters, packers, growers, industry representatives and ACOs to help interpret import regulations and their implementation.
3. Interpret negotiated work plans and implements work plans at both a local and multi-state level.
4. Investigate problems with work plan implementations and other problematic issues in the field related to the work plans.
5. Serve as liaison with the field, Regional Trade Specialists, Phytosanitary Issues Management (PIM), and Export Services (ES).
6. Maintain active relationships with Federal, State, county, industry representatives, and stakeholders in agricultural export certification matters.
7. Inform the Regional Trade Specialist, PIM, ECU and SPHD of potential problem issues.
8. Facilitate exports at exit points within the area of assigned responsibility.
9. Identify foreign import non-compliance and prepare notification of non-compliance for the PIM staff.
10. Demonstrate proficiency in using EXCERPT (Export Certification Project), PCIT (Phytosanitary Certificate Issuance and Tracking, and other internet based tools.
11. Notify Export Services (ES) of conflicts or confusing language in the EXCERPT database. Maintain current emergency backup system as assigned for EXCERPT and PCIT in case of system failure. Inform ES where import permit requirements are different from EXCERPT summary requirements.
12. Serve as a point of contact and expert for phytosanitary programs in an assigned area. Maintain familiarity with agriculture production and commodity management practices in specialized areas to give expertise that could lead to recommendations of modification in practices at the producer/ local/State levels in ways that better support export protocols.
13. Investigate the issuance of export certificates for detained shipments. Verify documents, confirm adherence to certification policy and procedures, and assure conformance with foreign countries' plant import requirements. Aid agricultural exporters and ACOs in negotiating the release of detained shipments.

14. Conduct field audits involving review of facilities, export certificates issued, and required ACO records to ensure conformance with Federal regulations, policies, and procedures. Ensure that PPQ's obligations to bilateral agreements, protocols, MOUs, and International Standards are met.
15. Facilitate meetings between Federal personnel, industry, county officials, and foreign officials, to assure work plan requirements are met and to negotiate and resolve disagreements and procedural problems. Coordinate and arrange site visits to monitor work plan compliance of existing programs.
16. Visit domestic packing sites to review export programs for compliance with established protocol.

Phytosanitary Issues Management

Export Services (ES)

As a participant in the export program, ES (USDA-APHIS-PPQ-ES) is responsible for the following:

1. Establish export certification policy.
2. Maintain current information on the plant quarantine import requirements of foreign countries.
3. Analyze the information, prepare and write up Export Summaries of the foreign import requirements for use by Federal, State, and county ACOs and other interested parties.
4. Monitor the certificate issuance to ensure accuracy and adherence to program policies and procedures.
5. Monitor the export program, **other than** certificate issuance, to ensure credibility of the export program.
6. Assist ACOs in certifying commodities of foreign origin that have been legally imported into the U.S. and are being reexported.
7. When possible, assist U.S. exporters if their certified shipments are held at destination.
8. Provide advice to U.S. exporters with shipments on hold that were exported without meeting the importing country's phytosanitary requirements.
9. Ensure **only** authorized inspectors and ACOs inspect and certify the phytosanitary conditions of commodities offered for export.

Trade Directors

Trade Directors have the following responsibilities:

1. Play a major leadership role with respect to planning, coordinating, and directing PPQ plant health programs involving import and export trade in agricultural commodities.
2. Serve as frontline USDA manager for addressing phytosanitary concerns affecting agricultural trade.
3. Sometimes serve as a U.S. negotiator; leads, participates, or supports intensive premeditation preparation and strategy development.
4. Play a major role in establishing and maintaining the tenor of discussions on phytosanitary matters for which PPQ is responsible.
5. Coordinate trade issue management within PPQ.
6. Plan, coordinate, or conduct studies relevant to the analysis of trade issues involved in the management of PPQ programs.
7. Identify and define phytosanitary trade issues.
8. Participate in recommendations for courses of action to deal with critical issues, ensure that issue teams are formed, and coordinate actions of other units.
9. Serve as a resource to PPQ in identifying emerging scientific issues and modern technical capabilities to be applied to phytosanitary trade management.
10. Keep the Assistant Deputy Administrator/Director informed of trade issues of considerable significance to the operation, planning, development, and administration of PPQ programs.
11. Represent the assistant Deputy Administrator/Director at meetings and conferences with other U.S. agencies, State governments, industry, producer organizations, and individuals in formulating or carrying out policies, programs, and activities related to trade issue management in PPQ.
12. Review and approve controlled correspondence concerning PPQ trade issue management.
13. Correlate national program activities which include evaluating and developing new approaches to plant health trade issues.

Center for Environmental and Regulatory Information Systems (CERIS)

Purdue University's CERIS and PPQ maintain the Export Certification Project (EXCERPT) through a cooperative agreement. EXCERPT is a database that contains summaries of the phytosanitary import requirements of foreign countries for commodities. This information can be retrieved by PPQ employees, State and county cooperators, and other authorized users.

ES, PPQ, is responsible for analyzing foreign countries' import requirements and putting the information into EXCERPT.

ACOs use the EXCERPT database to determine whether a country regulates a specific commodity and what requirements that commodity **must** meet.

Under APHIS' cooperative agreement with CERIS, CERIS supports EXCERPT in the following areas:

1. Computer services (hardware and software)
2. Database management systems administration
3. Development and operations
4. Operation of the EXCERPT hotline to assist with technical issues

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

EXCERPT Program Manager
USDA-APHIS-PPQ-Export Services
4700 River Road, Unit 140
Riverdale, Maryland 20737
FAX: 301-734-7639
Phone: 301-734-8537

Refer to [Appendix D](#) for a detailed discussion on the EXCERPT database and how to use it.



Appendix K

Supplemental Forms

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Introduction

This appendix includes official forms that are used as part of the export certification process that Authorized Certification Officials (ACOs) or exporters may complete (wholly or partially), sign, and distribute. In the interest of legibility, the forms in this appendix have been typed; however, most forms may be completed by legibly hand printing in ink.



Important

These forms are supplemental to the export certificates that ACOs issue for certifiable commodities offered for export.

Directions for completing, issuing, distributing, and maintaining export certificates are located in [Completing PPQ Forms 577 and 579](#) on [page 3-8-1](#) and in [Completing PPQ Form 578](#) on [page 3-9-1](#).

APHIS Form 47, Transmittal and Receipt for Accountable Items

TRANSMITTAL AND RECEIPT FOR ACCOUNTABLE ITEMS				USDA-APHIS	1. DATE PREPARED
<p>ISSUING OFFICE: Complete applicable items 1 through 9. Original and one copy to accompany the items to the receiving office. Retain one copy. RECEIVING OFFICE: Complete items 11 through 15 and return original to issuing office in item 3.</p>					
2. TO:			3. FROM:		
4. ACCOUNTABLE FORMS ENCLOSED					
A. FORM NO.	B. TITLE	C. QUANTITY	D. UNIT OF ISSUE	E. SERIAL NOS. (Inclusive)	
				FROM	THROUGH
SF-1103	U.S. Government Bill of Lading				
AD-107	Report of Transfer or Other Disposition of Construction of Property - For Sales				
APHIS-89	Report of Reimbursable Inspection and Quarantine Service				
	Identification Card				
5. CREDIT CARDS - LICENSE PLATES ENCLOSED					
A. TYPE	B. NAME OF ISSUING COMPANY	C. NO. ENCLOSED	D. CREDIT CARD OR LICENSE PLATE NOS.		
			FROM	THROUGH	
Telephone Toll Credit Card					
Auto Rental Credit Card					
GSA National Credit Card (Service station use) (Return expired credit cards being replaced)					
License Plates					
APHIS Decals					
6. ACCOUNTABLE ITEMS					
A. DESCRIPTION	B. QUANTITY	C. SERIAL NOS. (Inclusive)			
		FROM	THROUGH		
7. REMARKS					
8. SIGNATURE OF ISSUING OFFICIAL			9. TITLE		10. DATE
ACKNOWLEDGMENT OF RECEIPT <i>I acknowledge receipt of the above items except as noted in item 11 below.</i>					
11. EXCEPTIONS					
<input type="checkbox"/> 12. "X" IF EXPIRED CREDIT CARDS ARE ATTACHED	13. SIGNATURE OF ACCOUNTABLE OFFICER		14. TITLE		15. DATE RECEIVED
APHIS FORM 47 (APR 2001)			<i>Previous editions may be used.</i>		

FIGURE K-1-1: Example of APHIS Form 47, Transmittal and Receipt for Accountable Items (blank)

APHIS Form 7060, Official Warning, Violation of Federal Regulations


UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE		CASE NO.
 OFFICIAL WARNING VIOLATION OF FEDERAL REGULATIONS		VIOLATOR
		ADDRESS (Street, City, State, Zip Code)
<p>The Department of Agriculture has evidence that on or about _____, 19_ you or your organization committed the following violation of Federal Regulations:</p>		
<p>Titles 7 & 9 Code of Federal Regulations were promulgated to help prevent the spread of animal and plant pests and diseases and assure the humane treatment of animals. Since the violations of the regulations can have serious and costly impact detrimental to the public interest, you are warned of this violation. Any further violation of these regulations may result in the assessment of a civil penalty or criminal prosecution. If you have any questions concerning this warning or violation, please contact the listed APHIS official.</p>		
APHIS OFFICIAL (Name, Title)		OFFICE ADDRESS:
SIGNATURE	DATE ISSUED	TELEPHONE NO. AC ()
FOR PERSONAL SERVICE - RECEIVED BY: (Name and signature)		DATE RECEIVED:
FOR CERTIFIED MAIL - RECEIPT NO:		
APHIS FORM 7060	Previous editions may be used	3222 Greenberg Rev. 07/06/1999

FIGURE K-1-4: Example of APHIS Form 7060, Official Warning, Violation of Federal Regulations (blank)

Purpose of APHIS Form 7060

APHIS Form 7060, Official Warning, Violation of Federal Regulations is issued by PPQ Officers-in-Charge when the violation **does not** warrant further action and **only** after consulting with local or regional Investigative and Enforcement Services (IES) officials. PPQ Officers-in-Charge use APHIS Form 7060 to do the following:

- ◆ Advise the exporter or agent of the correct procedure to follow for making changes to an export certificate
- ◆ Inform the exporter or agent of the consequences for failing to follow procedures
- ◆ Inform the exporter or agent of the violation

APHIS Form 7060 may be used instead of pursuing an investigation for the following prohibited practices that could result in a foreign government rejecting an export certificate and, therefore, rejecting the shipment. These prohibited practices should **not** warrant a criminal investigation, and unless an attempt to defraud is apparent, these first-time violations would warrant APHIS Form 7060 issuance.

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

If the exporter is apparently seeking certification of a shipment that has **not** been inspected, APHIS Form 7060 **cannot** be used.

Instructions to Complete APHIS Form 7060

See [Table K-1-1](#) on [page K-1-7](#) for instructions on how to complete APHIS Form 7060.



If APHIS Form 7060 is issued, **no** further action may be taken by IES on the incident.

TABLE K-1-1: Instructions to Complete APHIS Form 7060, Official Warning, Violation of Federal Regulations

If the block is:	Then follow these instructions to complete APHIS Form 7060:
Case No.	LEAVE BLANK; for IES use
Violator	LIST the name of the violator and/or company
Address	LIST the violator's street address, city, state, and zip code
Description of Violation	<ul style="list-style-type: none"> ◆ In the pre-printed statement, FILL in the date of the violation ◆ Briefly describe the certification violation <p>EXAMPLE Unauthorized change made to an export certificate that is in violation of 7CFR Part 353 and may be prosecuted under Plant Protection Act (7USC 7701) and other applicable laws.</p>
APHIS Official	ENTER the name and title of the USDA-APHIS-PPQ official that will sign the APHIS Form 7060
Office Address	ENTER the USDA-APHIS-PPQ official's office address and phone number
Signature	USDA-APHIS-PPQ official SIGNS
Date Issued	LIST the date the APHIS Form 7060 was signed
For Personal Service - Received By	LIST the name and signature of the violator's receiving official (violator entry)
Date Received	LIST the date APHIS Form 7060 is received by the violator (violator entry)
For Certified Mail - Receipt No.	LIST the certified mail receipt number for APHIS Form 7060

Distribution of APHIS Form 7060

Before issuing the completed APHIS Form 7060 to the violator, make two copies of the form. Send via FAX or mail, one copy to the local or regional IES official¹ and one copy to IES headquarters at the following address:

USDA-APHIS-IES
ATTENTION: Alan Christian, Director
4700 River Road, Unit 85
Riverdale, Maryland 20737
FAX: 301-734-4328
Phone: 301-734-8684

¹ For local and regional IES contacts, go to the following Web site address: <<http://www.aphis.usda.gov/ies/contacts.shtml>>.

PPQ Form 519, Compliance Agreement

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)		

FIGURE K-1-5: Example of PPQ Form 519, Compliance Agreement

Purpose of PPQ Form 519

PPQ Form 519, Compliance Agreement is used to formalize agreements and to provide signed, written agreement of methods, conditions, and procedures necessary for compliance with regulations. PPQ Form 519 has a variety of uses in both domestic and foreign quarantine programs. PPQ Form 519 is also used to submit as evidence for violation cases.


Instructions to Complete PPQ Form 519

Review compliance agreements at least annually, but preferably twice a year. Amend compliance agreements as appropriate.

Any oral cancellation of a compliance agreement **must** be confirmed in writing as soon as possible. The establishment has 10 days to appeal the cancellation. Appeals **must** be made to PPQ Deputy Administrator.

Complete PPQ Form 519 as instructed in [Table K-1-2](#) on [page K-1-10](#). See also [Commodity • Cotton](#) on [page 4-2-1](#).

TABLE K-1-2: Instructions to Complete PPQ Form 519, Compliance Agreement

If the block is:	Then follow these instructions to complete PPQ Form 519:
1. NAME AND MAILING ADDRESS OF PERSON OR FIRM	LIST the name and mailing address of the person or establishment with whom the agreement is being made
2. LOCATION	LIST the location of the specific property(ies) for which the agreement is signed
3. REGULATED ARTICLE(S)	LIST the specific regulated articles to which the agreement applies, such as "Cotton Bales"
4. APPLICABLE FEDERAL QUARANTINE(S) OR REGULATIONS	LIST the legislative titles, parts, and subparts for the regulated articles, such as "7CFR353"
5. I/WE AGREE TO THE FOLLOWING	<ol style="list-style-type: none"> 1. Outline the stipulations which apply to the establishment for each quarantine or regulation affecting the establishment 2. Make clear to the establishment that stipulations in the compliance agreement do not preclude compliance with other sections of a quarantine or regulation 3. If there is not enough space to list the stipulations, write "See attached sheets" (attach the sheets to the original PPQ Form 519 and all its copies)
6. SIGNATURE	HAVE the responsible official of the establishment sign
7. TITLE	LIST the responsible official's title
8. DATE SIGNED	LIST the date the establishment official signed the agreement
9. AGREEMENT NO.	ASSIGN a compliance agreement number
10. DATE OF AGREEMENT	LIST the date of the agreement
11. PPQ/CBP OFFICIAL (Name and Title)	LIST the name and title of the PPQ/CBP official executing this agreement
12. ADDRESS	LIST the PPQ/CBP address
13. SIGNATURE	PPQ/CBP official SIGNS
14-16	<div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p>Important</p> <p>Complete Blocks 14-16 only when the State is involved in cooperating with enforcing Federal quarantines.</p> </div> </div>
14. U.S. GOVERNMENT/ STATE AGENCY OFFICIAL	LIST the name and title of the State official
15. ADDRESS	LIST the State agency's address
16. SIGNATURE	HAVE the State official sign

Distribution of PPQ Form 519

Distribute PPQ Form 519 as follows in [Table K-1-3](#):

TABLE K-1-3: Distribution of PPQ Form 519, Compliance Agreement

If the compliance agreement:	Then:
Affects one work unit	1. GIVE the original to the establishment 2. KEEP a copy for PPQ files in the area where the establishment is located
Affects more than one work unit	1. GIVE the original to the establishment 2. GIVE copies to all work units affected by the agreement ¹ 3. KEEP a copy for PPQ files in the area where the establishment is located

- 1 For universal density compressed baled cotton compliant warehouses, forward the information from Blocks 1, 2 and 7 to your Export Certification Specialist (ECS); they in turn will forward this information to their Regional Program Manager (RPM) for inclusion on the national list. The ECS will then forward the updated national list to the field.

PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export

<p>No Phytosanitary Export Certificate can be issued until an application is completed (7 CFR 353). FORM APPROVED OMB NO. 0579-0052</p>		<p>According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0052. The time required to complete this information collection is estimated to average .25 minutes/hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.</p>	
<p>U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE</p>		<p>INSTRUCTIONS: APPLICANT - Forward original to the Officer in Charge where inspections, treatment, and certification will be given (Item 4). Complete items 1 thru 11. OFFICER - Complete items 12 thru 17.</p>	
<p>APPLICATION FOR INSPECTION AND CERTIFICATION OF DOMESTIC PLANTS AND PLANT PRODUCTS FOR EXPORT</p>			
1. NAME AND ADDRESS OF EXPORTER		3. NAME AND ADDRESS OF APPLICANT (or exporters agent)	
		AREA CODE AND PHONE NO.	
2. NAME AND ADDRESS OF FOREIGN CONSIGNEE		4. PLACE WHERE ARTICLES WILL BE MADE AVAILABLE FOR INSPECTION AND/OR TREATMENT AND CERTIFICATION (Port and location)	
		5. APPROX. DATE OF DEPARTURE	6. PORT OF EXPORT
7. DESCRIPTION OF ARTICLES TO BE CERTIFIED			
a. QUANTITY AND NAME OF PRODUCE AND BOTANICAL NAME			
b. NUMBER AND DESCRIPTION OF PACKAGES			
c. DISTINGUISHING MARKS			
d. CERTIFIED ORIGIN			
8. DECLARED MEANS OF CONVEYANCE		I certify that the origin (place where grown) of the articles listed is as represented.	
9. DECLARED POINT OF ENTRY		10. SIGNATURE (applicant or exporters agents)	11. DATE
EXPORT INSPECTION DATA - (To be filled in by Plant Protection and Quarantine Officer)			
12. LOCATION OF ARTICLES	13. % OF MATERIALS EXAMINED	14. % OF MATERIALS INFESTED	
15. FINDINGS AND/OR TREATMENT GIVEN (Use reverse if necessary)			
16. SIGNATURE		17. DATE AND TIME INSPECTED	

PPQ FORM 572 (APR 2005)

FIGURE K-1-6: Example of PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export

Purpose of PPQ Form 572

PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export is an exporter's application for services, and is utilized by ACOs as a worksheet to prepare export certificates and to record inspection results. Although this form is required by regulation and is the preferred method to request phytosanitary export certification, in practice alternative methods are used to obtain the necessary information for inspection and certification.

Exporter Instructions to Complete PPQ Form 572

PPQ Form 572² is available for public use from the following Web site address:

<http://www.aphis.usda.gov/library/forms/>

PPQ Form 572 is recommended for those exporters who infrequently export commodities, or who **must** send commodities to PPQ offices for inspection. Exporters who partially complete PPQ Forms 577 and PPQ Forms 579 to apply for inspection may **not** be required to submit an application using PPQ Form 572.

ACO Instructions to Complete PPQ Form 572

ACOs record the results of inspection in the section titled Export Inspection Data. Inspection results may include discrepancies found in the description of articles to be certified (i.e., quantity, name, number, description of packages, distinguishing marks, or certified origin). See [Table K-1-4](#) on [page K-1-14](#) for instructions to complete the Export Inspection Data of PPQ Form 572.



ACOs are responsible for holding in strict confidence the information on PPQ Form 572.

² This application may be available online at locations piloting the Phytosanitary Certificate Issuance Tracking System (PCIT); contact the PCIT Coordinator of PPQ Export Services (ES) for further information.

TABLE K-1-4: Instructions to Complete PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export

If the block is:	Then follow these instructions to complete PPQ Form 572:
1-11	<ol style="list-style-type: none"> 1. Exporter, shipper, or broker completes Blocks 1-11 2. ACOs check these blocks for legibility, accuracy, and completeness in order to complete an export certificate
Export Inspection Data (to be completed by ACOs)	
12. LOCATION OF ARTICLES	LIST the place where you inspected the commodities
13. % OF MATERIALS EXAMINED	LIST the percentage (how much) of commodities that were inspected
14. % OF MATERIALS INFESTED	LIST the percentage of commodities that were infested or infected
15. FINDINGS AND/OR TREATMENT GIVEN (use reverse if necessary)	<p>LIST all findings and/or treatments given as a result of your inspection, which may include the following:</p> <ol style="list-style-type: none"> 1. Pest or disease if infested or infected 2. Details of the treatment if treated 3. Exporter actions to meet the phytosanitary import requirements (e.g., repackaging, reconditioning, or debarking) 4. Unique or unusual situation about the shipment such as additional declarations to be entered on the export certificate 5. Supporting documents provided by the exporter such as import permit copy, acceptable inspection certificate, State phytosanitary certificate, treatment information 6. Intended use of commodity if needed to determine the phytosanitary requirements of the importing country (e.g., wheat grain or wheat seeds)
16. SIGNATURE	SIGN your name (ACO)
17. DATE AND TIME INSPECTED	ENTER the date and time the commodities were inspected

Distribution of PPQ Form 572

Once the export certificate is issued, attach PPQ Form 572, with inspection results, to the Issuing Office Copy.

There is **no** other distribution of PPQ Form 572 as this form **only** serves as the application for certification and a worksheet for ACOs.

PPQ Form 575, Monthly Summary of Export Certificates Issued

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE			
MONTHLY SUMMARY OF EXPORT CERTIFICATES ISSUED			
1. WORK UNIT NAME AND STATION NAME		2. REGION	
		3. MONTH AND YEAR	
4. TYPE OF CERTIFICATE	NUMBER		DOLLAR AMOUNT COLLECTED AND FORWARDED TO ASD
	PURCHASED	ISSUED	
A. Commercial Phytosanitary Certificates invoiced valued at or greater than \$1,250 (PPQ Form 577)			\$
B. All Non-commercial & Commercial Phytosanitary Certificates invoiced valued less than \$1,250 (PPQ Form 577)			\$
C. Export Certificate, Processed Plant Products (PPQ Form 578)			\$
D. Commercial Phytosanitary Certificates for Re-export (PPQ Form 579)			\$
E. Commercial Phytosanitary Certificates for Re-export invoiced valued at less than \$1,250 (PPQ Form 579)			\$
F. Re-issued Certificates (Non-prepaid)			\$
G. Re-issued Certificates (Prepaid)			
H. Number of Voided or Unused Certificates			
I. Number of Certificates Issued under Non Contiguous Reimbursable Overtime			
J. Number of State and County Issued Certificates			
PPQ Form 577 _____			
PPQ Form 578 _____			
PPQ Form 579 _____			
CERTIFICATION			
I certify that the foregoing Export Certificates were purchased or issued during the month of _____ and all monies collected were forwarded to MRP Business Services, ASD, Minneapolis.			
5. SIGNATURE		6. PRINT NAME AND TITLE (PD or Designee)	7. DATE
8. REMARKS			
NEGATIVE REPORT			
I certify that the foregoing Export Certificates were purchased or issued during the month of _____ and all monies collected from previous certificates have been forwarded to MRP Business Services, ASD, Minneapolis.			
9. SIGNATURE		10. PRINT NAME AND TITLE (PD or Designee)	11. DATE
PPQ FORM 575 JAN 2002			
<input type="checkbox"/> PART 1-APHIS USER FEES BRANCH		<input type="checkbox"/> PART 2-WORK UNIT	<input type="checkbox"/> PART 3-REGIONAL OFFICE

FIGURE K-1-7: Example of PPQ Form 575, Monthly Summary of Export Certificates Issued (blank)

INSTRUCTIONS FOR COMPLETING PPQ FORM 575

1. Enter the work unit and work station name, for example, San Francisco, CA/Oakland, CA.
- 4A. Enter the number of certificates (PPQ 577) purchased at the commercial rate and the dollar amount collected and forwarded. This includes certificates individually purchased, blocks of certificates and those issued on contiguous reimbursable overtime.
- 4B. Enter the number of certificates (PPQ 577) purchased at the low value or non commercial rate and the dollar amount collected and forwarded. This includes certificates purchased individually and those issued on contiguous reimbursable overtime.
NOTE: No blocks of certificates may be pre-purchased at this rate.
- 4C. Enter the number of certificates (PPQ 578) purchased (always commercial rate) and the dollar amount collected and forwarded. This includes certificates individually purchased, blocks of certificates and those issued on contiguous reimbursable overtime.
- 4D. Enter the number of certificates (PPQ 579) purchased at the commercial rate and the dollar amount collected and forwarded. This includes certificates individually purchased, blocks of certificates and those issued on contiguous reimbursable overtime.
- 4E. Enter the number of certificates (PPQ 579) purchased at the commercial low value rate and the dollar amount collected and forwarded. This includes certificates purchased individually and those issued on contiguous reimbursable overtime.
NOTE: No blocks of certificates may be pre-purchased at this rate.
- 4F. Enter the number of certificates (PPQ 577, 578, 579) re-issued (federal supersedures) and the dollar amount collected and forwarded.
- 4G. Enter the number only of certificates (PPQ 577, 578, 579) re-issued (federal supersedures) receiving credit.
- 4H. Enter the number only of voided or unused certificates (PPQ 577, 578, 579) returned.
- 4I. Enter the number only of certificates (PPQ 577, 578, 579) issued on non contiguous reimbursable overtime.
- 4J. Enter the number of certificates (PPQ 577, 578, 579) issued (signed) by cooperators.
8. Use the remarks section when certificates are purchased at the \$50.00 rate but upon signature qualify for the \$23.00 rate. State the number of certificates originally sold at the \$50.00 rate and the number that qualified at the \$23.00 rate. Do not enter these figures in any other area.

NOTE: The shaded areas on PPQ Form 575 are not to be completed.

FIGURE K-1-8: Instructions for Completing PPQ Form 575, Monthly Summary of Export Certificates Issued

Purpose of PPQ Form 576

PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport is used when the required information for phytosanitary certification **does not** fit on the original PPQ Form 577 or 579. PPQ Form 576 can **only** include information that would normally be included on a PPQ Form 577 or 579. Reference to the attachment **must** be included in the appropriate block of the original PPQ Form 577 or PPQ Form 579. Multiple blocks on the PPQ Form 577 or PPQ Form 579 may reference this attachment sheet (PPQ Form 576).



The PPQ 576 attachment sheet **cannot** be used for PPQ Form 578.

Instructions to Complete PPQ Form 576

Refer to [Table K-1-5](#) on [page K-1-19](#).

TABLE K-1-5: Instructions to Complete PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport

If the block is:	Then follow these instructions:
1. ADDENDUM TO NO.	Enter the serial number of the PPQ 577 or PPQ 579 that the attachment references.
2. DATE	Enter the date the attachment was issued by the certifying officer (must be the same date as the issuance date of the PPQ 577 or PPQ 579).
3. PAGE NO.	Enter the page number of the attachment (if one attachment page, 2/2; if two attachment pages, 2/3 and 3/3).
4. ADDITIONAL INFORMATION	<p>Enter the additional information. Be sure to first reference the corresponding section of the PPQ 577 or PPQ 579. If more than one section is included on the attachment sheet, a single horizontal line will indicate the start of another section. Once all the data is included, line out any unused portions of the line and the rest of the form (see example below).</p> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p>4. Additional Information</p> <p>Block 10. Botanical Names of Plants <i>Acer Saccharum</i> <i>Zea Mays</i></p> <hr style="border-top: 1px dashed black;"/> <p>Additional Declaration The plants are free from <i>Mycosphaerella schoenoprasii</i> and <i>Ditylenchus dipsaci</i>.....</p> </div> <div style="display: flex; justify-content: space-between; border-top: 1px solid black; margin-top: 10px;"> 5. Name of Authorized Officer 6. Signature of Authorized Officer </div>
5. NAME OF AUTHORIZED OFFICER	Enter the name of the Authorized Officer: TYPE or PRINT the name of the Authorized Certifying Official who will sign the certificate. NOTE: The signature on the PPQ 576 must be the same as the name on the original PPQ 577 or PPQ 579.
6. SIGNATURE OF AUTHORIZED OFFICER	Signature of Authorized Officer: Must be the signature of the Authorized Certifying Official that signed the original PPQ 577 or PPQ 579. NOTE: Stamped signatures are not permitted.



Appendix L

Manual Maintenance and Supplemental Information

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Introduction

This appendix contains information about revisions to manuals and the procedures and responsibilities for users to maintain the *Export Program Manual (XPM)*. The *XPM* is issued and maintained in paper copy and is manually kept current by the users. The *XPM* is also electronically available on PPQ's Manuals Unit Web site (see the Web site address below) and from the EXCERPT home page.

http://www.aphis.usda.gov/import_export/plants/manuals/domestic/xpm.shtml

Revisions to Manuals

Changes in policy and regulations and errors in manuals that would lead to incorrect actions are immediately corrected and updated. Revisions are **not** issued solely to correct a minor typographical error.

The PPQ Manuals Unit issues transmittals (e-mails or memorandums) for advance notices, immediate updates, and new editions of manuals.

Advance Notices

Advance notices are issued when the revisions are **not** urgent or are extensive (more than 6 pages). Transmittals (e-mails or memorandums) for advance notices usually contain the following information:

- ◆ Alert to users that the manual has been updated
- ◆ Instructions to add new pages and to remove old pages and replace with new ones
- ◆ List of updated pages
- ◆ Purpose of the revision
- ◆ Supersede statement
- ◆ Transmittal number (used to track revisions)

Immediate Updates

Immediate updates are issued when the revisions are urgently needed and cover 6 pages or less.

Transmittals (e-mails or memorandums) for immediate updates usually contain the following information:

- ◆ Attached pages
- ◆ Instructions to add new pages and to remove old pages and replace with new ones
- ◆ List of the updated pages
- ◆ Purpose of the immediate update
- ◆ Supersede statement
- ◆ Transmittal number (used to track revisions)

New Editions

In general, new editions are issued when the percentage of revised pages exceeds 30% of an entire manual. For new editions to online manuals, transmittal e-mails are issued. For new editions to paper manuals, transmittal memorandums are issued.

Supersede Statements

Supersede statements identify existing official documents that are **no** longer valid or accurate because they have been incorporated into the manual. Supersede statements are included in transmittals (e-mails or memorandums).

PPQ's Manuals Unit is obligated to identify all existing official documents that are superseded. If manual users accessed outdated information that was **not** formally superseded, the agency may be liable. Therefore, supersede statements are critical from a legal standpoint.

Keeping the *Export Program Manual* Current

Manual users can keep track of manual revisions from transmittals, control data, and update records.

Transmittals

Transmittals are the correspondence accompanying advance notices, immediate updates, and new editions. Transmittals are either e-mails or memorandums explaining the manual revision. Each transmittal has a unique number usually identified in the subject line, which can be used to track revisions. New editions **always** start with the transmittal number of -01 and the number increases by one for each revision made during the life of the edition.

Control Data

Control data are the numbers located at the bottom of most pages opposite the page number, which can be used to track revisions. Control data contain the month, year, and transmittal number for that page (see [Figure L-1-1](#)).

09/2004-01	◆ 09/2004 is the month and year when the manual page was issued
	◆ -01 is the transmittal number

FIGURE L-1-1: Example of Control Data

Responsibilities of Manual Users

Those who receive a paper copy of the manual should continue below to understand their responsibilities to keep their manual up to date. Otherwise, online manuals are maintained by PPQ's Manuals Unit and reside on PPQ's Manuals Unit Web site.

You **must** keep the *XPM* up-to-date in order to effectively maintain a paper copy and to enhance professionalism. When you use an outdated manual, you risk making decisions that could jeopardize the export program. Your diligence is a crucial part of maintaining the *XPM*.

When you receive each revision, do the following:

1. Read the transmittal to understand the purpose of the revision. **Except** for changes to the index, all changes are marked with a change bar as located to the left of this sentence.
2. Add new pages or remove old pages and replace them with the revised ones on the same day you receive the revision.
3. If required locally, numerically file the transmittal (e-mail or memorandum).
4. If you receive a paper copy of the manual, communicate through proper channels, changes to addresses and copy counts on the mailing label (see *Adding and Changing Addresses and Copy Counts* on page L-1-4).

Adding and Changing Addresses and Copy Counts

Paper copies of some manuals are mailed from the APHIS Printing, Distribution, and Mail Branch located in Riverdale, Maryland. If you receive a paper copy, communicate through proper channels, changes to addresses and copy counts for the mailing list.

When updating mailing lists, **always** provide the following information:

- ◆ Access code from a label used to mail the manual (line of letters and numbers directly above the address on the label), for changes and deletions
- ◆ Contact person with phone and FAX numbers
- ◆ Distribution code: 34041
- ◆ New address, if applicable
- ◆ Old address, if applicable

Mail, FAX, or e-mail the request to the following address:

USDA, APHIS, PDMB
Printing, Distribution, and Mail Branch
7400 River Road, Unit 1
Riverdale, Maryland 20737-1229
Attn: Ed Lawson
FAX: 301-734-8455
E-mail: <edward.s.lawson@aphis.usda.gov>

Ordering Additional Manuals and Revisions

When ordering additional manuals or revisions, **always** provide the following information:

- ◆ City, State, and 9-digit ZIP code
- ◆ Contact person with phone and FAX numbers
- ◆ Manual title: *Export Program Manual (XPM)*
- ◆ Number of copies needed
- ◆ Organization
- ◆ P. O. Box or street address (include room or suite number)
- ◆ Transmittal number, if known

Mail, FAX, or e-mail the request to the following address:

USDA, APHIS, PDMB
Printing, Distribution, and Mail Branch
4700 River Road, Unit 1
Riverdale, Maryland 20737-1229
Attn: Mary L. Kellington
FAX: 301-734-8455
E-mail: <mary.l.kellington@aphis.usda.gov>

How to Report Problems With the *Export Program Manual (XPM)*

Use [Table L-1-1](#) to report export certification problems, situations, and disagreements or to offer suggestions that directly affect the contents of the *XPM*.

TABLE L-1-1: How to Report Problems With the XPM

If you:	Then:
Are unable to access the online manual	CONTACT Export Services' Manuals Unit Liaison. If the situation warrants immediate action, call 240-529-0264 or e-mail < michael.j.perry@aphis.usda.gov >. Otherwise, print, complete, and mail a <i>Comment Sheet</i> (located at the end of the manual) to Export Services' Manuals Unit Liaison.
Have a suggestion for improving the formatting (design, layout, composition), grammar, or spelling	
Need help with an export issue, policy, or procedure	If the situation warrants an immediate response, CONTACT someone for assistance (see Table C-1-1 on page C-1-2 for the established contact protocol)
Disagree with policy or procedures	If the situation warrants an immediate response, CONTACT someone for assistance (see Table C-1-1 on page C-1-2 for the established protocol); provide the reason for the disagreement and a recommendation.

Glossary

Introduction

Use this *Glossary* to find the meaning of specialized words, abbreviations, acronyms, and terms used in export certification. To locate where in the manual a given definition, term, or abbreviation is mentioned, use the *Index*.

Some definitions have references such as CEPM, FAO, ICPM, IPPC, and ISPM. These definitions are taken directly from the Glossary of Phytosanitary Terms, which was developed to provide a harmonized internationally agreed vocabulary associated with the implementation of the International Plant Protection Convention and International Standards for Phytosanitary Measures (ISPM). These definitions are published in ISPM Pub. N° 5 dated April, 2002 (website below).

https://www.ippc.int/servlet/BinaryDownloaderServlet/133607_ISPM05_2006_E.pdf?filename=1151504714760_ISPM05_2006_E.pdf&refID=133607

Refer also to the complete glossary of the North American Plant Protection Organization (NAPPO): <http://www.napppo.org/Standards/REVIEW/RSPM5-e.pdf>

Definitions, Terms, and Abbreviations

absorbed dose. Quantity of radiating energy (in gray) absorbed per unit of mass of a specified target [ISPM N° 18, 2003].

accreditation. Official recognition of proficiency resulting in the approval and authority to perform specific tasks or provide specific services in full or partial support of fulfilling official obligations (RSPM No. 8, Accreditation and RSPM No. 9, Lab Accreditation). [NAPPO, 2004]. See also *Special Programs • Authorized Certification Official (ACO) Accreditation* on page 5-1-1.

accountability system. System established to maintain the credibility of PPQ's entire export program, to deter forgeries and control public misuse of the export certificates.

ACO. See *Authorized Certification Official*.

AD. See *Additional Declaration*.

Additional Declaration. A statement that is required by an importing country to be entered on an export certificate and which provides specific additional information on a consignment in relation to regulated pests [FAO, 1990; revised ICPM, 2005].

advisory. Of or pertaining to giving information and especially a warning.

Affiliated Island. Island associated with the United States but **not** fully integrated as a State (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands). Affiliated islands are insular areas monitored by the U.S. Department of the Interior.

agent. Individual who meets the eligibility requirements set forth in 7CFR 353.6, and who is designated by USDA-APHIS-PPQ to conduct phytosanitary field inspections of seed crops to serve as a basis for the issuance of export certificates [7CFR 353.1]. Agents may conduct phytosanitary field inspections of seed crops in cooperation with and on behalf of those State plant regulatory agencies electing to use agents and maintaining a Memorandum of Understanding (MOU) with USDA-APHIS-PPQ in accordance with the regulations. The MOU **must** state that agents shall be used in accordance with the regulations in 7CFR 353. Agents are **not** authorized to issue export certificates, but are **only** authorized to conduct the field inspections of seed crops required as a basis for determining phytosanitary condition prior to the issuance of an export certificate for the crops.

Agricultural Marketing Service. Federal agency that is responsible for inspecting, grading, classing, standardizing, regulating, sampling, testing, and reporting market news for specific agricultural and food commodities. USDA-APHIS-PPQ approves Agricultural Marketing Service inspection certificates as a basis for issuing PPQ Form 577 for certain commodities. See [Table A-1-1](#) on [page A-1-2](#), for a list of acceptable inspection certificates.

agricultural seed. Specific varieties of grass, forage, and field crop seed that are used for seeding purposes in the United States. See [Table 4-5-2](#) on [page 4-5-3](#) for a list of agricultural seed.

AMS. See *Agricultural Marketing Service*.

antagonist. An organism (usually pathogen) which does **no** significant damage to the host but its colonization of the host protects the host from significant subsequent damage by a pest [ISPM N° 3, 1996].

Application for Inspection and Certification of Domestic Plants and Plant Products for Export. Official form, PPQ Form 572, that provides the information needed to complete an export certificate and serves as a worksheet for the Authorized Certification Official conducting the inspection. See *PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export* on page K-1-12 for directions on how exporters are to complete the application.

approved name. Approved names of countries are referenced in EXCERPT and **must** be used when completing export certificates. See *Appendix F, List of Countries* on page F-1-1 for a cross-referenced list. Approved names are also published in the International Standard, ISO 3166.

approved testing methods. As relates to potatoes, bioassay, serodiagnostic, or other testing methods including but **not** limited to, gel electrophoresis and molecular hybridization, using methods which have been approved by the Certification Section of the Potato Association of America.

area. An officially defined country, part of a country or all or parts of several countries [FAO, 1990; revised FAO, 1995; CEPM, 1999; based on the World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures].

area endangered. See *endangered area*.

area freedom. See *Pest Free Area*.

area of low pest prevalence. An area, whether all of a country, part of a country, or all or parts of several countries, as identified by the competent authorities, in which a specific pest occurs at low levels and which is subject to effective surveillance, control or eradication measures [IPPC, 1997].

artificially propagated. Parties of CITES recommend that artificially propagated **only** applies to plants grown by man from seeds, cuttings, callus tissue, spores, or other propagules under controlled conditions. The artificially propagated stock **must** be established and maintained in a manner **not** detrimental to the survival of the species in the wild, and managed in a manner designed to maintain the artificially propagated stock indefinitely.

audit inspection. An examination to determine the reliability of prescribed quarantine procedures (RSPM No. 2, Preclearance). [NAPPO, 2004].

authority. The National Plant Protection Organization, or other entity or person officially designated by the government to deal with matters arising from the responsibilities set forth in the Code [ISPM N° 3, 1996].

Authorized Certification Official. A public officer who is authorized by the National Plant Protection organization (NPPO) and accredited for the signing of phytosanitary certificates, who 1) possesses the required education, experience, and training; and 2) has written confirmation of having successfully passed an approved examination. (RSPM No. 8, Accreditation) [NAPPO, 2004]. See also [accreditation](#).

authorized port. Specific port identified by the importing country as to where to direct the entry of commodities. Also called approved port and point of entry.

bark-free wood. Wood from which all bark excluding the vascular cambium, ingrown bark around knots, and bark pockets between rings of annual growth has been removed [ISPM N° 15, 2002].

bedding plants. As relates to the U.S./Canada Greenhouse Certification Program, bedding plants are outdoor garden plants that are grown under protection and later sold for planting in outdoor gardens. Bedding plants include marigolds, petunias, and geraniums.

beneficial organism. Any organism directly or indirectly advantageous to commodities, including biological control agents [ISPM No. 3, 2005].

biological control agent. A natural enemy, antagonist or competitor, or other organism, used for pest control [ISPM N° 3, 1996; revised ISPM No. 3, 2005].

biological pesticide (biopesticide). A generic term, **not** specifically definable, but generally applied to a biological control agent, usually a pathogen, formulated and applied in a manner similar to a chemical pesticide, and normally used for the rapid reduction of a pest population for short-term pest control [ISPM N° 3, 1996].

bran. Pericarp of grain.

brewers dried grains. The dried extracted residue of barley malt alone or in a mixture with other cereal grain or grain products resulting from the manufacture of wort or beer and may contain pulverized spent hops.

broker. As relates to the U.S./Canada Greenhouse Certification Program, a broker is an exporter who **does not** own or operate a facility for producing plants, but ships plants produced by other designated facilities.

buffer zone. An area surrounding or adjacent to an area officially delimited for phytosanitary purposes in order to minimize the probability of spread of the target pest into or out of the delimited area, and subject to phytosanitary or other control measures, if appropriate. [ISPM No. 10, 1999; revised ISPM No. 22, 2005; CPM, 2007].

bulbs and tubers. A commodity class for dormant underground parts of plants intended for planting (includes corms and rhizomes) [FAO, 1990; revised ICPM, 2001].

cacti. As relates to the U.S./Canada Greenhouse Certification Program, cacti are plants that are adapted for storing water for extended periods of drought. They generally **do not** have leaves, and almost all species are spiny, with spines growing from small cushion-like structures called areolas. Cacti include barrel cactus, prickly pear, Christmas cactus, and Easter cactus.

cake. The mass resulting from the pressing of seeds in order to remove oils, fats, or other liquids.

CCB. Consejo Consultivo de Bioseguridad (RSPM No. 14, Transgenic Materials) [NAPPO, 2004].

certificate. An official document which attests to the phytosanitary status of any consignment affected by phytosanitary regulations [FAO 1990].

certification. As relates to potatoes, a process where employees of an official certification agency visually inspect growing grounds or facilities and crops thereon or therein, and have determined that the standards applicable have been met. Certification **does not** warrant that the seed potatoes to which official indicia or certification are attached or which are otherwise represented as certified, are merchantable or fit for particular purpose.

Certified True Copy. The endorsement of an official document (e.g., Phytosanitary Certificate) by an Authorized Certification Official (ACO) that accurately describes a commodity which entered U.S. commerce from a foreign country.

CFIA. Canadian Food Inspection Agency. [NAPPO, 2004].

chemical pressure impregnation. Treatment of wood with a chemical preservative through a process of pressure in accordance with an official technical specification [ISPM N° 15, 2002; revised ICPM, 2005].

CITES. See *Convention on International Trade in Endangered Species of Wild Fauna and Flora*.

CITES Appendix I. See *Convention on International Trade in Endangered Species of Wild Fauna and Flora*.

CITES Appendix II. See *Convention on International Trade in Endangered Species of Wild Fauna and Flora*.

CITES Appendix III. See *Convention on International Trade in Endangered Species of Wild Fauna and Flora*.

citrus certification/registration program. An officially approved program for the production of citrus propagative material according to the applicable NPPO standards (RSPM No. 16, Citrus). [NAPPO, 2004].

citrus propagative material. Plant parts (budwood, seeds or cuttings) for sexual or asexual reproduction (RSPM No. 16, Citrus). [NAPPO, 2004].

class. As relates to potatoes, class is a seed-quality level as relates to compliance with the specified tolerances for diseases and varietal purity.

classical biological control. The intentional introduction and permanent establishment of an exotic biological agent for long-term pest control [ISPM N° 3, 1996].

clearance (of a consignment). Verification of compliance with phytosanitary regulations [FAO, 1995].

clone. As relates to potatoes, clone is all of the progeny of a single explant and/or plantlets.

coding region. A DNA sequence which when transcribed contributes to the production of the mature RNA, which may or may not be translated to produce a protein. Coding regions can include complete or truncated open reading frames (excluding introns) which may be translated to produce a protein or peptide or which may be intentionally engineered to be untranslatable, for example as with antisense constructs or ribozymes (RSPM No. 14, Transgenic Materials). [NAPPO, 2004].

Commission. The Commission on phytosanitary measures established under Article XI [IPPC, 1997].

commodity. A type of plant, plant product, or other article being moved for trade or other purpose [FAO, 1990; revised ICPM, 2001].

commodity class. A category of similar commodities that can be considered together in phytosanitary regulations [FAO, 1990].

commodity pest list. A list of pests occurring in an area which may be associated with a specific commodity [CEPM, 1996].

competitor. An organism which competes with pests for essential elements (e.g. food, shelter) in the environment [ISPM N° 3, 1996].

compliance procedure (for a consignment). Official procedure used to verify that a consignment complies with stated phytosanitary requirements [CEPM, 1999].

confidentiality. Holding information in strict confidence. Authorized Certification Officials are to hold in strict confidence the information in export certificates to protect buyers and exporters. See also [Confidentiality](#) on page 2-1-10.

confined release. Release of plants into the environment under specific terms and conditions intended to minimize establishment and spread into, and interaction with the environment of the plants and any progeny derived from them. (RSPM No. 14, Transgenic Materials). [NAPPO, 2004].

consignment. A quantity of plants, plant products and/or other articles being moved from one country to another and covered, when required, by a single phytosanitary certificate (a consignment may be composed of one or more commodities or lots) [FAO, 1990; revised ICPM, 2001].

consignment in transit. A consignment which passes through a country without being imported, and that may be subject to phytosanitary measures [FAO, 1990; revised CEPM, 1996; CEPM 1999; ICPM, 2002; ISPM No. 25, 2006; formerly country of transit].

contact protocol. The plan for personnel to follow regarding communicating questions, concerns, and unresolved issues about export certification.

containment. Application of phytosanitary measures in and around an infested area to prevent spread of a pest [FAO, 1995].

containment facility. Laboratory, greenhouse or other type of facility designed to effectively prevent the dissemination of viable transgenic plant material into the environment. Regardless of final destination, imported material may be required to initially enter a contained facility (RSPM No. 14, Transgenic Materials). [NAPPO, 2004].

contaminating pest. A pest that is carried by a commodity and, in the case of plants and plant products, **does not** infest those commodities [CEPM, 1996; revised CEPM, 1999].

contamination. Presence in a commodity, storage place, conveyance or container, of pests or other regulated articles, **not** constituting an infestation (see infestation) [CEPM, 1997; revised CEPM, 1999].

contingency plan. Program for control methods and strategies applied in the event that a target pest is detected (RSPM No. 13 Karnal Bunt PFA). [NAPPO, 2004].

control (of a pest). Suppression, containment or eradication of a pest population [FAO, 1995].

control point. A step in a system where specific procedures can be applied to achieve a defined effect and can be measured, monitored, controlled and corrected [ISPM N° 14, 2002].

controlled area. A regulated area which an NPPO has determined to be the minimum area necessary to prevent spread of a pest from a quarantine area [CEPM, 1996]

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

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

cooperator. Plant regulatory officials designated under the Federal-State Cooperative Program that their State has entered into with USDA-APHIS-PPQ. Specific plant regulatory officials are authorized by the Secretary of Agriculture to inspect and certify the phytosanitary conditions of commodities offered for export and to issue export certificates. Officials designated as cooperators **must** meet or exceed the basic requirements as detailed in *Special Programs* • *Federal-State Cooperative Program* on page 5-4-1.

counterpart. A plant variety (or varieties) that represents the closest appropriate genotype to the transgenic plant in question and is a suitable control taking into account the breeding history of the transgenic plant. In some instances, it may be appropriate to use a transgenic progenitor plant as a counterpart in addition to, or as a substitute for, a non-transgenic counterpart (RSPM No. 14, Transgenic Materials). [NAPPO, 2004].

country of origin (of a consignment of plant products). Country where the plants from which the plant products are derived were grown [FAO, 1990; revised CEPM, 1996; CEPM, 1999].

country of origin (of a consignment of plants). Country where the plants were grown [FAO, 1990; revised CEPM, 1996; CEPM, 1999].

country of origin (of regulated articles other than plants and plant products). Country where the regulated articles were first exposed to contamination by pests [FAO, 1990; revised CEPM, 1996; CEPM, 1999].

cube. See *pellets*.

cut flowers and branches. A commodity class for fresh parts of plants intended for decorative use and **not** for planting [FAO, 1990; revised ICPM, 2001].

database citations. Publicly accessible sources of nucleotide or protein sequence information (RSPM No. 14, Transgenic Materials). [NAPPO, 2004].

debarking. Removal of bark from round wood (debarking **does not** necessarily make the wood bark-free) [FAO, 1990].

de-hulled. Having removed the outer covering from seeds.

delimiting survey. Survey conducted to establish the boundaries of an area considered to be infested by or free from a pest [FAO, 1990].

designated facility. As relates to the U.S./Canada Greenhouse Certification Program (the Program), a designated facility is a nursery establishment that has signed a compliance agreement and is in compliance with the terms and conditions of the Program. Plants shipped by a designated facility may be produced at their own facility or may be produced at another facility approved in the Program.

detection. The discovery of a specimen of the target pest (RSPM No. 17, Fruit Fly Free Areas). [NAPPO, 2004].

detection survey. Survey conducted in an area to determine if pests are present [FAO, 1990, revised FAO, 1995].

detention. Keeping a consignment in official custody or confinement, as a phytosanitary measure (see quarantine) [FAO, 1990; revised FAO, 1995; CEPM, 1999; ICPM, 2005].

devitalization. A procedure rendering commodities incapable of germination, growth or further reproduction [ICPM, 2001].

disease tested. As relates to potatoes, a process using approved methods where each explant has been tested for and found free from potato spindle tuber viroid (PSTV), potato virus A (PVA), potato virus M (PVM), potato virus S (PVS), potato virus X (PVX), potato virus Y (PVY), leafroll (PLRV), bacterial ring rot (BRR), and bacterial soft rot/blackleg (*Erwinia* spp.).

distillers' dried grain. Commodity obtained after the removal of ethyl alcohol by distillation from the yeast fermentation of a grain or grain mixture by separating the resultant coarse grain fraction of the whole stillage and drying it by methods employed in the grain distilling industry. The predominating grain shall be declared as the first word in the name.

domestic products. Those plants and unprocessed or unmanufactured commodities grown or produced in the United States, its possessions, and the Commonwealth of Puerto Rico.

dose mapping. Measurement of the absorbed dose distribution within a process load through the use of dosimeters placed at specific locations within the process load [ISPM N° 18, 2003].

dosimeter. A device that, when irradiated, exhibits a quantifiable change in some property of the device which can be related to absorbed dose in a given material using appropriate analytical instrumentation and techniques [ISPM N° 18, 2003].

dosimetry. A system used for determining absorbed dose, consisting of dosimeters, measurement instruments and their associated reference standards, and procedures for the system's use [ISPM N° 18, 2003].

dried. Materials from which water or other liquid has been removed.

dunnage. Wood packaging material used to secure or support a commodity but which **does not** remain associated with the commodity [FAO, 1990; revised ISPM N° 15, 2002].

ecosystem. A dynamic complex of plant, animal and micro-organism communities and their abiotic environment interacting as a functional unit [ISPM N° 3, 1996; revised ICPM, 2005].

ECR. See *Export Certification Record*.

ECS. See *Export Certification Specialist*.

efficacy (treatment). A defined, measurable, and reproducible effect by a prescribed treatment [ISPM N° 18, 2003].

ELISA. Enzyme Linked Immuno-Sorbent Assay (RSPM No. 3, Potatoes). [NAPPO, 2004].

emergency action. A prompt phytosanitary action undertaken in a new or unexpected phytosanitary situation [ICPM, 2001].

emergency measure. A phytosanitary measure established as a matter of urgency in a new or unexpected phytosanitary situation. An emergency measure may or may **not** be a provisional measure [ICPM, 2001; revised ICPM, 2005].

endangered. See *Endangered Species Act*.

endangered area. an area where ecological factors favor the establishment of a pest whose presence in the area will result in economically important loss [FAO, 1995].

Endangered Species Act. enabling legislation that provides for the protection of listed species in two categories. These categories, listed in order of their restrictiveness, are as follows:

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

entomophagous. Organisms that eat insects (RSPM No. 12, Biological Control of Pests). [NAPPO, 2004].

entry (of a consignment). Movement through a point of entry into an area [FAO, 1995].

entry (of a pest). Movement of a pest into an area where it is **not** yet present, or present but **not** widely distributed and being officially controlled [FAO, 1995].

equivalence (of phytosanitary measures). The situation where, for a specified pest risk, different phytosanitary measures achieve a contracting party's appropriate level of protection [FAO, 1995; revised CEPM, 1999; based on the World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures; revised ISPM No. 24, 2005].

eradication. Application of phytosanitary measures to eliminate a pest from an area [FAO, 1990; revised FAO, 1995; formerly eradicate].

ESA. see *Endangered Species Act*.

establishment. Perpetuation, for the foreseeable future, of a pest within an area after entry [FAO, 1990; revised FAO, 1995; IPPC, 1997; formerly established].

establishment (of a biological control agent). The perpetuation, for the foreseeable future, of a biological control agent within an area after entry [ISPM N° 3, 1996].

EU. Initials representing the European Union. See *European Union*.

European Union. Mutually beneficial association of the following member States (countries): Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Monaco, Netherlands, Poland, Portugal, San Marino, Slovakia, Slovenia, Spain, Sweden, United Kingdom, and Vatican City State. For the most current list of member States, see EXCERPT.

EXCERPT. See [Export Certification Project](#).

exotic. Not native to a particular country, ecosystem or ecoarea (applied to organisms intentionally or accidentally introduced as a result of human activities). As the Code is directed at the introduction of biological control agents from one country to another, the term “exotic” is used for organisms **not** native to a country [ISPM N° 3, 1996].

explant. As relates to potatoes, an in-vitro potato plant or plantlet produced by rooting an excised tip of a tuber sprout or an auxiliary bud from a growing plant, which shall serve as a parent for a whole clone or accession of micro-propagated plants or plantlets.

export certificate. Any one of three accountable certificates, including PPQ Form 577, 578, or 579 used for exporting commodities.

Export Certificate, Processed Plant Products. An accountable certificate, PPQ Form 578, used to certify eligible processed products for which PPQ Form 577 or PPQ Form 579 **cannot** be issued. The intended purpose of the Export Certificate, Processed Plant Products is to assist U.S. exporters whose shipments may be placed in jeopardy if such a document is **not** issued. See also [Completing PPQ Form 578](#) on page 3-9-1.

Export Certification Project. An electronic database known as EXCERPT, which provides current information on the plant import requirements of foreign countries. Also includes other related reference lists such as processed products, ineligible products, endangered species, Export Certification Specialists, designated CITES ports, recent summary changes, phytosanitary notes, messages and alerts.

Export Certification Record. An official form, APHIS Form 80-R, used by ACOs to track and monitor accountable export certificates (prepaid and those issued upon request). See also [Collecting User Fees](#) on page 3-11-1.

Export Certification Specialist. PPQ employee who is responsible for maintaining the quality and credibility of the export program. See EXCERPT for a list of the Export Certification Specialists along with a description of their jurisdiction. See also [Responsibilities](#) on page J-1-1.

Export Services (ES). Headquarters unit within USDA-APHIS-PPQ that maintains a phytosanitary certification system for exported U.S. agricultural commodities. USDA-APHIS-PPQ, Export Services, 4700 River Road, Unit 140, Riverdale, Maryland 20737; phone 301-734-8537; FAX 301-734-7639.

export summary. Interpretation of the plant quarantine import requirements of a foreign country. Export summaries provide guidance to Authorized Certification Officials, Export Certification Specialists, other officials, and interested parties concerned with the export of agricultural commodities. Export summaries are **not** to be considered legally authoritative; they are written from translated plant quarantine regulations, official instructions, and other information provided by officials in foreign countries. Export summaries are housed in EXCERPT.

extruded. A process by which feed has been pressed, pushed, or protruded through orifices under pressure.

FAO. See [Food and Agriculture Organization of the United Nations](#).

Federal Grain Inspection Service. A service program within the Grain Inspection, Packers and Stockyards Administration Agency that provides inspection of grain exports that are certified by PPQ Form 577 or 579. Also, the Federal Grain Inspection Service is responsible for inspecting, grading, classing, standardizing, sampling, witnessing treatments, and testing specific agricultural and food commodities.

feed. Edible materials which are consumed by animals.

FGIS. See [Federal Grain Inspection Service](#).

field. A plot of land with defined boundaries within a place of production on which a commodity is grown [FAO, 1990].

find free. To inspect a consignment, field or place of production and consider it to be free from a specific pest [FAO, 1990].

flakes. An ingredient rolled or cut into flat pieces with or without prior steam conditioning.

flowering greenhouse plants. As relates to the U.S./Canada Greenhouse Certification Program, are those plants grown for their attractive flowers. They are grown indoors and are often incapable of surviving outdoor growing conditions in colder climates. Flowering greenhouse plants include poinsettias, Easter lilies, hydrangeas, cyclamens, gloxinias, and hibiscus.

foliage plants. As relates to the U.S./Canada Greenhouse Certification Program, foliage plants are distinguished by the beautiful foliage they produce rather than by the flowers. Foliage plants includes all tropical plants such as dieffenbachias, ferns, scheffleras, and philodendrons as well as coleus, crontons, fittonias, pileas, and peperomia.

Food and Agriculture Organization of the United Nations. An organization that leads international efforts to defeat hunger. Serving both developed and developing countries, the Food and Agriculture Organization of the United Nations acts as a neutral forum where all nations meet as equals to negotiate agreements and debate policy, and is also a source of knowledge and information.

foreign products. Those plants and unprocessed or unmanufactured plant products that have officially entered U.S. commerce but were grown or produced in countries **other than** the U.S., its possessions, and the Commonwealth of Puerto Rico.

free from (of a consignment, field or place of production). Without pests (or a specific pest) in numbers or quantities that can be detected by the application of phytosanitary procedures [FAO, 1990; revised FAO, 1995; CEPMP, 1999].

fresh. Living; **not** dried, deep-frozen or otherwise conserved [FAO, 1990].

fruits and vegetables. A commodity class for fresh parts of plants intended for consumption or processing and **not** for planting [FAO, 1990; revised ICPM, 2001].

fumigation. Treatment with a chemical agent that reaches the commodity wholly or primarily in a gaseous state [FAO, 1990; revised FAO, 1995].

germplasm. Plants intended for use in breeding or conservation programs (RSPM No. 3, Potatoes). [NAPPO, 2004].

GIPSA. See *Grain Inspection, Packers and Stockyards Administration*.

grade. As relates to potatoes, the tuber quality as relates to compliance with specific tolerances for tuber sizes, defects, diseases and other factors outlined in the U.S. No. 1 Seed Potato Grade.

grain. A commodity class for seeds intended for processing or consumption and **not** for planting (see seeds) [FAO, 1990; revised ICPM, 2001].

Grain Inspection, Packers and Stockyards Administration. A Federal agency that facilitates the marketing of livestock, poultry, meat, cereals, oilseeds, and related agricultural commodities, and promotes fair and competitive trading practices for the overall benefit of consumers and American agriculture.

grapevine(s). Vines, cuttings, grafts, scions, buds, rootstock and other plants and plant products of grapevine for vegetative propagation (RSPM No. 15 Guidelines for importation of grapevines). [NAPPO, 2004].

gray (Gy). Unit of absorbed dose where 1 Gy is equivalent to the absorption of 1 joule per kilogram (1 Gy = 1 J.kg⁻¹) [ISPM N° 18, 2003].

grits. Coarsely ground grain, from which the bran and germ have been removed, usually screened to uniform particle size.

groats. Grain from which the hulls have been removed.

growing medium. Any material in which plant roots are growing or intended for that purpose [FAO, 1990].

growing period (of a plant species). Time period of active growth during a growing season [ICPM, 2003].

growing season. Period or periods of the year when plants actively grow in an area, place of production or production site [FAO, 1990; revised ICPM, 2003].

growing season inspection. An examination of plants during active growth to verify freedom from specific pests or pathogens. Also may include the growing media or soil.

habitat. Part of an ecosystem with conditions in which an organism naturally occurs or can establish [ICPM, 2005].

harmonization. The establishment, recognition and application by different countries of phytosanitary measures based on common standards [FAO, 1995; revised CEPM, 1999; based on the World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures].

harmonized phytosanitary measures. Phytosanitary measures established by contracting parties to the IPPC, based on international standards [IPPC, 1997].

heat treatment. The process in which a commodity is heated until it reaches a minimum temperature for a minimum period of time according to an official technical specification [ISPM N° 15, 2002; revised ICPM, 2005].

hitchhiker pest. See *contaminating pest*.

host pest list. A list of pests that infest a plant species, globally or in an area [CEPM, 1996; revised CEPM, 1999].

host range. Species capable, under natural conditions, of sustaining a specific pest or other organism [FAO, 1990; revised ISPM No. 3, 2005].

host-specificity testing. Process by which the range of plants at risk from attack by a biological control agent in the field is determined (RSPM No. 7, Biological Control of Weeds). [NAPPO, 2004].

hybrid. For CITES purposes, hybrid is the offspring of two genetically dissimilar taxa where at least one parent is listed in a CITES Appendix. This would include the offspring of parents belonging to different species, different genera, and crosses made between a species and a hybrid. Offspring from parents of the same species (i.e., intra-specific crosses) are regulated as species and are **not** considered hybrids.

IAG. NAPPO Industry Advisory Group (RSPM No. 6, Development of NAPPO Standards). [NAPPO, 2004].

ICPM. Initials representing the Interim Commission on Phytosanitary Measures.

Import Permit. Official document authorizing importation of a commodity in accordance with specified phytosanitary import requirements [FAO, 1990; revised FAO, 1995; ICPM, 2005].

Import Permit (of a biological control agent). An official document authorizing importation (of a biological control agent) in accordance with specified requirements [ISPM N° 3, 1996].

inactivation. Rendering micro-organisms incapable of development [ISPM N° 18, 2003].

incursion. An isolated population of a pest recently detected in an area, **not** known to be established, but expected to survive for the immediate future [ICPM, 2003].

infestation (of a commodity). Presence in a commodity of a living pest of the plant or plant product concerned. Infestation includes infection [CEPM, 1997; revised CEPM, 1999].

infested area. An area which has been determined to have an established pest population (RSPM No. 10, Surveillance for Fruit Flies). [NAPPO, 2004].

inspection. Official visual examination of plants, plant products or other regulated articles to determine if pests are present and/or to determine compliance with phytosanitary regulations [FAO, 1990; revised FAO, 1995; formerly inspect].

inspection certificates. Cooperating agencies such as Federal Grain Inspection Service (FGIS) perform export inspections for specified commodities and issue certificates that may be accepted by USDA-APHIS-PPQ in place of inspection. These certificates are based on officially drawn samples and export inspections conducted by designed FGIS personnel. While **not** all certificates are accepted by PPQ in place of inspection, a list of acceptable inspection certificates issued by FGIS and other agencies is in [Table A-1-1](#) on [page A-1-2](#).

inspector. Person authorized by a National Plant Protection Organization to discharge its functions [FAO, 1990].

integrity (of a consignment). Composition of a consignment as described by its Phytosanitary Certificate or other officially acceptable document, maintained without loss, addition or substitution. [CPM, 2007].

intended use. Declared purpose for which plants, plant products, or other regulated articles are imported, produced, or used [ISPM N° 16, 2002].

interception (of a consignment). The refusal or controlled entry of an imported consignment due to failure to comply with phytosanitary regulations [FAO, 1990; revised FAO, 1995].

interception (of a pest). The detection of a pest during inspection or testing of an imported consignment [FAO, 1990; revised CEPM, 1996].

intermediate quarantine. Quarantine in a country **other than** the country of origin or destination [CEPM, 1996].

International Plant Protection Convention. International Plant Protection Convention, as deposited with FAO in Rome in 1951 and as subsequently amended [FAO, 1990]. (See also Web site address: <<https://www.ippc.int/IPP/En/default.jsp>>.)

International Standard for Phytosanitary Measures. An international standard adopted by the Conference of FAO, the Interim Commission on phytosanitary measures or the Commission on phytosanitary measures, established under the IPPC [CEPM, 1996; revised CEPM, 1999]. (ISPMs are available at the following Web site: <https://www.ippc.int/IPP/En/default.jsp>)

international standards. International standards established in accordance with Article X paragraph 1 and 2 of the IPPC [IPPC, 1997].

introduction. The entry of a pest resulting in its establishment [FAO, 1990; revised FAO, 1995; IPPC, 1997].

introduction (of a biological control agent). The release of a biological control agent into an ecosystem where it did **not** exist previously (see establishment) [ISPM N° 3, 1996].

inundative release. The release of large numbers of mass-produced biological control agents or beneficial organisms with the expectation of achieving a rapid effect [ISPM N° 3, 1996; revised ISPM No. 3, 2005].

ionizing radiation. Charged particles and electromagnetic waves that as a result of physical interaction create ions by either primary or secondary processes [ISPM N° 18, 2003].

IP. See *Import Permit*.

IPPC. See *International Plant Protection Convention*.

irradiation. Treatment with any type of ionizing radiation [ISPM N° 18, 2003].

ISO. Acronym for the International Organization for Standardization (RSPM No. 9, Lab accreditation). [NAPPO, 2004].

ISPM. See *International Standard for Phytosanitary Measures*.

KD. Initials representing kiln drying. KD is marked on lumber to indicate the treatment has been conducted.

kiln-drying. A process in which wood is dried in a closed chamber using heat and/or humidity control to achieve a required moisture content [ISPM Pub. N° 15, 2002].

laboratory. A public or private facility that calibrates, tests, identifies or conducts diagnoses (RSPM No. 9, Lab accreditation). [NAPPO, 2004].

lead time. Amount of time needed to inspect or examine a shipment before its shipping date. (Some countries interpret shipping date as the date a commodity physically leaves the exporting country.)

legislation. Any act, law, regulation, guideline or other administrative order promulgated by a government [ISPM N° 3, 1996].

Letter of Credit. A document issued by a bank authorizing an exporter to draw a stated amount of money from the issuing bank. Letters of credit are strictly fiduciary document. For the purposes of phytosanitary certification, letters of credit **cannot** be considered official notifications of changes or exceptions to plant quarantine regulations, which **must** come from the plant protection services of the foreign countries. Therefore, letters of credit are **not** phytosanitary documents and **cannot** be referenced on an export certificate.

limited generation system. A certification scheme wherein the planting stock for each seed class is limited as to eligibility by compliance with established disease tolerances and the number of increases made in the field. The classes or generations of the limited generation system included are: Prenuclear, Nuclear, Generation 1, Generation 2, Generation 3, Generation 4 and Generation 5; where Prenuclear is laboratory production, Nuclear is greenhouse production and Generations 1-5 are the first and subsequent field increases.

living modified organism. Any living organism that possesses a novel combination of genetic material obtained through the use of modern biotechnology [Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000].

LMO. See *living modified organism* [ISPM No. 11, 2004].



lot. A number of units of a single commodity, identifiable by its homogeneity of composition, origin etc., forming part of a consignment [FAO, 1990].

malt. Sprouted and steamed whole grain from which the radicle has been removed. Though malted grains may look like the unprocessed grain from which they are derived, their processing can be determined through handling: the grains will be sticky and lighter or have a strong, distinctive odor that grain that has not been malted will not have.

mark. An official stamp or brand, internationally recognized, applied to a regulated article to attest its phytosanitary status [ISPM N° 15, 2002].

meal. Grain which has been ground or otherwise reduced in particle size.

Memorandum of Understanding. A formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the parties involved. For an example of an MOU, see [Special Programs • Federal-State Cooperative Program](#) on page 5-4-1.

micro-organism. A protozoan, fungus, bacterium, virus or other microscopic self-replicating biotic entity [ISPM N° 3, 1996].

microplantlet. Plantlet produced *in vitro* on a defined medium (RSPM No. 3, Potatoes). [NAPPO, 2004].

microtuber. A tuber produced *in vitro* (RSPM No. 3, Potatoes). [NAPPO, 2004].

middlings. A by-product of flour milling comprising several grades of granular particles containing different proportions of endosperm, bran, and germ.

minimum absorbed dose (D_{min}). The localized minimum absorbed dose within the process load [ISPM N° 18, 2003].

minituber. A tuber produced in a protected environment from pathogen-free parent material (RSPM No. 3, Potatoes). [NAPPO, 2004].

modern biotechnology. The application of: a. in vitro nucleic acid techniques, including recombinant deoxyribonucleic acid (DNA) and direct injection of nucleic acid into cells or organelles; or b. fusion of cells beyond the taxonomic family, that overcome natural physiological reproductive or recombination barriers and that are **not** techniques used in traditional breeding and selection. [Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000].

monitoring. An official process to verify phytosanitary situations. [CEPM, 1996]. See also *treatment*.

monitoring survey. Ongoing survey to verify the characteristics of a pest population [FAO, 1995].

MOU. See *Memorandum of Understanding*.

NAPPO. See *North American Plant Protection Organization*.

NAPPO Executive Committee. The principle persons or designated alternate, representing the plant protection organization within each of the NAPPO countries (RSPM No. 6, Development of NAPPO Standards). [NAPPO, 2004].

NAPPO Executive Director. The person appointed by the Executive Committee who is responsible for the financial and administrative operations of NAPPO and direction of the secretariat, panels and the working group (new) (RSPM No. 6, Development of NAPPO Standards). [NAPPO, 2004].

NAPPO Panel. A designated group charged with developing information and recommendations in its specific area of expertise (RSPM No. 6, Development of NAPPO Standards). [NAPPO, 2004].

NAPPO Secretariat. The office consisting of the NAPPO Executive Director, the Executive Assistant, the Translator/Interpreter and such other staff required to achieve the NAPPO objectives as described in the NAPPO Constitution and By-Laws and the annual work plan (new) (RSPM No. 6, Development of NAPPO Standards). [NAPPO, 2004].

NAPPO Standards Panel. The panel responsible for oversight of standard setting activities within NAPPO (RSPM No. 6, Development of NAPPO Standards). [NAPPO, 2004].



NAPPO Working Group. The group consisting of a person designated by each of the executive committee members from the three NAPPO countries, chaired by the executive director, and responsible to ensure the continuity of NAPPO between annual meetings (RSPM No. 6, Development of NAPPO Standards). [NAPPO, 2004].

National Plant Protection Organization. Official service established by a government to discharge the functions specified by the IPPC [FAO, 1990; formerly Plant Protection Organization (National)]. PPQ serves as NPPO for the U.S.

natural enemy. An organism which lives at the expense of another organism in its area of origin and which may help to limit the population of that organism. This includes parasitoids, parasites, predators, phytophagous organisms and pathogens [ISPM N° 3, 1996; revised ISPM No. 3, 2005].

naturally occurring. A component of an ecosystem or a selection from a wild population, **not** altered by artificial means [ISPM N° 3, 1996].

noncoding region. DNA sequences which lie outside of an open reading frame and which are **not** translated to become part of a protein. These might include DNA sequences that function either in the plant or other hosts to regulate or influence the expression or processing of gene products (e.g., introns or control regions such as promoters, operators, and terminators) or to facilitate replication, transposition, recombination, or cleavage of DNA (e.g., origins of replication or T-DNA borders). Others may be sequences of **no** known function e.g., plasmid backbone sequences. (RSPM No. 14, Transgenic Materials). [NAPPO, 2004].

nonquarantine pest. Pest that is **not** a quarantine pest for an area [FAO, 1995].

North American Plant Protection Organization. A Regional Plant Protection Organization of the International Plant Protection Convention that coordinates the efforts among Canada, the United States and Mexico to protect their plant resources from the entry, establishment and spread of regulated plant pests, while facilitating intr/interregional trade. (See also Web site address: <www.napponet.org>)

NPPO. see *National Plant Protection Organization*.

nursery establishment. As relates to the U.S./Canada Greenhouse Certification Program, a nursery establishment is a company that owns or operates a facility for producing plants.

occurrence. The presence in an area of a pest officially recognized to be indigenous or introduced and/or **not** officially reported to have been eradicated [FAO, 1990; revised FAO, 1995; ISPM No. 17; formerly occur].

OECD. Organization for Economic Cooperation and Development (RSPM No. 14, Transgenic Materials). [NAPPO, 2004].

off-type. Different from the cultivar, variety, strain, or selection on the application for certification.

official. Established, authorized or performed by a National Plant Protection Organization [FAO, 1990].

official control. The active enforcement of mandatory phytosanitary regulations and the application of mandatory phytosanitary procedures with the objective of eradication or containment of quarantine pests or for the management of regulated non-quarantine pests (see Glossary Supplement N° 1) [ICPM, 2001].

Official State Seed Potato Certification Agency. A State agency duly authorized by State law to provide seed potato certification services. See also *Commodity • Seed Potatoes* on page 4-6-1.

orchids. As relates to the U.S./Canada Greenhouse Certification Program, orchids are a special group of flowering plants comprising approximately 25,000 species. Orchids are best recognized by their bilaterally symmetrical flowers. Some of the most popular greenhouse genera include *Cattleya*, *Cymbidium*, *Paphiopedilum*, *Phalaenopsis*, *Dendrobium*, *Odontoglossum*, and *Oncidium*.

organism. Any biotic entity capable of reproduction or replication in its naturally occurring state [ISPM No. 3, 1996; revised ISPM No. 3, 2005].

outbreak. A recently detected pest population, including an incursion, or a sudden significant increase of an established pest population in an area [FAO, 1995; revised ICPM, 2003].

packaging. Material used in supporting, protecting or carrying a commodity [ISPM No. 20, 2004].

parasite. An organism which lives on or in a larger organism, feeding upon it [ISPM N° 3, 1996].

parasitoid. An insect parasitic **only** in its immature stages, killing its host in the process of its development, and free living as an adult [ISPM N° 3, 1996].

parent material. *In vitro*, pathogen-free propagules used to increase a clone of potatoes for production of commercial quantities of microplantlets, microtubers, or minitubers (RSPM No. 3, Potatoes). [NAPPO, 2004].

party country. A country, including its territories, that is a party to the Convention on International Trade in Endangered Species of Wild Fauna and Flora, by virtue of ratification or accession.

pathogen. Micro-organism causing disease [ISPM N° 3, 1996].

pathway. Any means that allows the entry or spread of a pest [FAO, 1990; revised FAO, 1995].

PCIT. Initials representing Phytosanitary Certificate Issuance and Tracking system. This is a computer system currently being piloted to generate electronic export certificates. For further information, contact the PCIT Coordinator of PPQ Export Services.

PCR. Polymerase Chain Reaction (RSPM No. 3, Potatoes). [NAPPO, 2004].

pellets. Agglomerated feed formed by compacting and forcing through die openings by a mechanical process. Similar terms: pelleted feed, hard pellet.

pest. Any species, strain or biotype of plant, animal or pathogenic agent injurious to commodities [FAO, 1990; revised FAO, 1995; IPPC, 1997]. See also *quarantine pest* and *nonquarantine pest*.

pest categorization. The process for determining whether a pest has or has **not** the characteristics of a quarantine pest or those of a regulated non-quarantine pest [ISPM N° 11, 2001].

Pest Free Area. An area in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being **officially** maintained [FAO, 1995].

pest free place of production. Place of production in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period [ISPM Pub. N° 10, 1999].

pest free production site. A defined portion of a place of production in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period and that is managed as a separate unit in the same way as a pest free place of production [ISPM Pub. N° 10, 1999].

pest record. A document providing information concerning the presence or absence of a specific pest at a particular location at a certain time, within an area (usually a country) under described circumstances [CEPM, 1997].

pest risk. That level and probability of harm a plant pest could cause in an endangered area, which a national plant protection organization identifies by the performance of a pest risk analysis or other internationally acceptable plant risk assessment process (RSPM No. 3, Potatoes). [NAPPO, 2004].

Pest Risk Analysis. The process of evaluating biological or other scientific and economic evidence to determine whether a pest should be regulated and the strength of any phytosanitary measures to be taken against it [FAO, 1995; revised IPPC, 1997].

pest risk assessment (for quarantine pests). Evaluation of the probability of the introduction and spread of a pest and of the associated potential economic consequences [FAO, 1995; revised ISPM N° 11, 2001].

pest risk assessment (for regulated nonquarantine pests). Evaluation of the probability that a pest in plants for planting affects the intended use of those plants with an economically unacceptable impact [ICPM, 2005].

pest risk management (for quarantine pests). Evaluation and selection of options to reduce the risk of introduction and spread of a pest [FAO, 1995; revised ISPM N° 11, 2001].

pest risk management (for regulated nonquarantine pests). Evaluation and selection of options to reduce the risk that a pest in plants for planting causes an economically unacceptable impact on the intended use of those plants [ICPM, 2005].

pest status (in an area). Presence or absence, at the present time, of a pest in an area, including where appropriate its distribution, as officially determined using expert judgement on the basis of current and historical pest records and other information [CEPM, 1997; revised ICPM, 1998].

petition. A formal, written application to a regulatory agency seeking approval to release a non-native biological control agent (RSPM No. 7, Biological Control of Weeds and RSPM No. 12, Biological Control of Pests). [NAPPO, 2004].

PFA. See *Pest Free Area*.

PFPP. Pest free place of production (RSPM No. 18 PPV). [NAPPO, 2004].

PFPS. Pest free production site (RSPM No. 18 PPV). [NAPPO, 2004].

phytosanitary action. An official operation, such as inspection, testing, surveillance or treatment, undertaken to implement phytosanitary measures [ICPM, 2001; revised ICPM, 2005].

Phytosanitary Certificate. Certificate patterned after the model certificates of the IPPC [FAO, 1990]. In the U.S., this is an official document (PPQ Form 577 or 579) that attests to the phytosanitary condition of commodities and is issued by an Authorized Certification Official. See also *Example* on page 3-8-3.

Phytosanitary Certificate for Reexport. An accountable form, PPQ Form 579, used to certify that, based on an original foreign phytosanitary certificate and/or an additional inspection, the commodities officially entered the U.S., are considered to conform to the current phytosanitary regulations of the importing country, and have **not** been subjected to the risk of infestation or infection during storage in the United States. PPQ Form 579 may also be used to certify commodities of foreign origin that are intended for re-export to a U.S. Affiliated Island.

phytosanitary certification. Use of phytosanitary procedures leading to the issue of a Phytosanitary Certificate [FAO, 1990].

phytosanitary import requirements. Specific phytosanitary measures established by an importing country concerning consignments moving into that country [ICPM, 2005].

phytosanitary legislation. Basic laws granting legal authority to a National Plant Protection Organization from which phytosanitary regulations may be drafted [FAO, 1990; revised FAO, 1995].

phytosanitary measure (agreed interpretation). Any legislation, regulation or official procedure having the purpose to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests [FAO, 1995; revised IPPC, 1997; ISPM, 2002].

Phytosanitary Note. Current, accurate, and timely information provided by Export Services to field personnel concerned with the export of agricultural commodities. Phytosanitary notes cover such topics as interpretations of import requirements of foreign countries, import requirements of foreign countries for which there is **no** export summary, and administrative guidance about nationwide export certification issues and about issuing export certificates.

phytosanitary procedure. Any official method for implementing phytosanitary measures including the performance of inspections, tests, surveillance or treatments in connection with regulated pests [FAO, 1990; revised FAO, 1995; CEPM, 1999; ICPM, 2001; ICPM, 2005].

phytosanitary regulation. Official rule to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests, including establishment of procedures for phytosanitary certification [FAO, 1990; revised FAO, 1995; CEPM, 1999; ICPM, 2001].

place of production. Any premises or collection of fields operated as a single production or farming unit. This may include production sites which are separately managed for phytosanitary purposes [FAO, 1990; revised CEPM, 1999].

plant pest. See *pest*.

plant products. Unmanufactured material of plant origin (including grain) and those manufactured products that, by their nature or that of their processing, may create a risk for the introduction and spread of pests [FAO, 1990; revised IPPC, 1997; formerly plant product].

Plant Protection Act. Legislation that provides the authority to prohibit or restrict imports, exports, interstate and intrastate movement of plant pests, plants, plant products, noxious weeds, biological control agents, and means of conveyance.

Plant Protection and Quarantine. Organizational unit within USDA-APHIS that is accountable for assisting exporters in meeting the plant quarantine import requirements of foreign countries.

plant protection organization (national). See *National Plant Protection Organization*.

plant quarantine. All activities designed to prevent the introduction and/or spread of quarantine pests or to ensure their official control [FAO, 1990; revised FAO, 1995].

planting (including replanting). Any operation for the placing of plants in a growing medium, or by grafting or similar operations, to ensure their subsequent growth, reproduction or propagation [FAO, 1990; revised CEPM, 1999].

plantlets. As relates to seed potatoes, plantlets are small plants produced under aseptic culture conditions in a laboratory.

plants. Living plants and parts thereof, including seeds and germplasm [FAO, 1990; revised IPPC, 1997]. Any plant (including any plant part) for or capable of propagation, including a tree, a tissue culture, a plantlet culture, pollen, a shrub, a vine, a cutting, a graft, a scion, a bud, a bulb, a root, and a seed. [Plant Protection Act]. As relates to seed potatoes, plants are rooted plants produced under a screenshow, greenhouse, or field environment.

plants for planting. Plants intended to remain planted, to be planted or replanted [FAO, 1990].

plants *in vitro*. A commodity class for plants in an aseptic medium in a closed container [FAO, 1990; revised CEPM, 1999; ICPM, 2002; formerly plants in tissue culture].

PN. See *Phytosanitary Note*.

point of entry. Airport, seaport or land border point officially designated for the importation of consignments, and/or entrance of passengers [FAO, 1995].

polished. Having a smooth surface produced by mechanical process, usually by friction.

postentry quarantine. Quarantine applied to a consignment after entry [FAO, 1995].

potatoes. Any wild or commercially produced plant, tuber, or other part of *Solanum tuberosum*, including all closely related species and cultivars (RSPM No. 3, Potatoes). [NAPPO, 2004].

Potted bulb plants. as relates to the U.S./Canada Greenhouse Certification Program, potted bulb plants are those produced by forcing bulbs to flower, usually for the Christmas and Easter markets. Potted bulb plants include tulips, narcissus, crocus, hyacinths, iris, and amaryllis.

PPQ. See *Plant Protection and Quarantine*.

PPQ Form 572. Application of Inspection and Certification of Domestic Plants and Plant Products for Export (see also *Application for Inspection and Certification of Domestic Plants and Plant Products for Export*).

PPQ Form 577. An accountable inspection certificate used to certify domestic plants and unprocessed or unmanufactured agricultural commodities for export that have been inspected and/or tested according to appropriate official procedures, that are considered to be free from quarantine pests specified by the importing country party, conform with the current phytosanitary requirements of the importing country party, including those for regulated non-quarantine pests.

PPQ Form 578. Export Certificate, Processed Plant Products (see also *Export Certificate, Processed Plant Products*).

PPQ Form 579. Phytosanitary Certificate for Reexport (see also *Phytosanitary Certificate for Reexport*).

PRA. Pest Risk Analysis [FAO, 1995; revised ICPM, 2001].

PRA area. Area in relation to which a Pest Risk Analysis is conducted [FAO, 1995].

practically free. Of a consignment, field, or place of production, without pests (or a specific pests) in numbers or quantities in excess of those that can be expected to result from, and be consistent with good cultural and handling practices employed in the production and marketing of the commodity [FAO, 1990; revised FAO, 1995]. As a working definition for export certification purposes, practically free means **not** to exceed a 2 percent infestation level unless otherwise stated by the importing country. Also, practically free refers to a judgement that the pests are **not** in excess of the amount expected to result from, and be consistent with, good culturing and handling practices employed in the production and marketing of the commodity. When FGIS inspection certificates are used as supporting documentation for certifying grain, practically free refers to FGIS' acceptance standards for insects found in grain.

practically free from other injurious pests (practically free). As relates to the U.S./Canada Greenhouse Certification Program, practically free from other injurious pests means **not** carrying pests or a specific pest in numbers or quantities in excess of those that can be expected to result from and be consistent with good culturing and handling practices employed in the production and marketing of the commodity.

pre-clearance. Phytosanitary certification and/or clearance in the country of origin, performed by or under the regular supervision of the National Plant Protection Organization of the country of destination [FAO, 1990; revised FAO, 1995].

predator. A natural enemy that preys and feeds on other animal organisms, more than one of which are killed during its lifetime [ISPM N° 3, 1996].

process load. A volume of material with a specified loading configuration and treated as a single entity [ISPM N° 18, 2003].

processed plant product. A commodity derived from a plant that has been subjected to a procedure believed to have rendered the commodity free from plant pests. See EXCERPT for a list of processed products that are eligible for certification. EXCERPT will indicate which certificate the commodity is eligible for.

processed wood material. Products that are a composite of wood constructed using glue, heat and pressure, or any combination thereof [ISPM N° 15, 2002].

prohibition. A phytosanitary regulation forbidding the importation or movement of specified pests or commodities [FAO, 1990; revised FAO, 1995].

propagative plant material. Plants or plant parts for planting or multiplication (RSPM No. 3, Potatoes). [NAPPO, 2004].

propagules. Any plant part used for asexual propagation (RSPM No. 3, Potatoes). [NAPPO, 2004].

protected area. A regulated area that an NPPO has determined to be the minimum area necessary for the effective protection of an endangered area [FAO, 1990; omitted from FAO, 1995; new concept from CEPM, 1996].

protocol. The plan for communicating questions, concerns, and unresolved issues about export certification. See [Table C-1-1](#) on [page C-1-2](#).

provisional measure. A phytosanitary regulation or procedure established without full technical justification owing to current lack of adequate information. A provisional measure is subjected to periodic review and full technical justification as soon as possible [ICPM, 2001].

PVX. Potato virus X (PVX) is the most widespread of all the potato viruses. It is also referred to as latent mosaic, potato latent virus and potato mottle virus.

quality assurance system. A planned and regularly monitored framework of controls, based on documented procedures, which is applied to critical operational activities in the production of potatoes or the performance of a service (e.g., diagnostics) or activity (e.g., the conduct of a test) to ensure operational efficiency and reliable compliance with specified quality standards (RSPM No. 3, Potatoes). [NAPPO, 2004].

quality management. All activities of the overall management function that determine the quality policy, objectives, and responsibilities and implement them by means such as quality planning, quality control, quality assurance and quality improvement within the quality system (RSPM No. 9, Lab Accreditation, ISO). [NAPPO, 2004].

quality system. Organizational structure, procedures, processes and resources needed to implement quality management (RSPM No. 9, Lab Accreditation, ISO). [NAPPO, 2004].

quarantine. Official confinement of regulated articles for observation and research or for further inspection, testing and/or treatment [FAO, 1990; revised FAO, 1995; CEPM, 1999].

quarantine area. An area within which a quarantine pest is present and is being officially controlled [FAO, 1990; revised FAO, 1995].

quarantine pest. A pest of potential economic importance to the area endangered thereby and **not** yet present there, or present but **not** widely distributed and being officially controlled [FAO, 1990; revised FAO, 1995; IPPC, 1997]. As relates to the U.S./Canada Greenhouse Certification Program, quarantine pests are identified by each importing country and are listed as prohibited pests in the importing country's plant quarantine import requirements (export summary). Quarantine pests are those that are of potential economic importance to the area endangered, and are **not** present, or present but **not** widely distributed and being officially controlled.

quarantine station. Official station for holding commodities in quarantine [FAO, 1990; revised FAO, 1995; formerly quarantine station or facility].

raw wood. Wood which has **not** undergone processing or treatment [ISPM N° 15, 2002].

reexported consignment. Consignment that has been imported into a country from which it is then exported. The consignment may be stored, split up, combined with other consignments or have its packaging changed (formerly country of reexport) [FAO, 1990; revised CEPM, 1996; CEPM, 1999; ICPM, 2001; ICPM, 2002].

reference specimen(s). Individual specimen(s) from a specific population conserved in a reference culture collection and, where possible, in publicly available collection(s) [ISPM No. 3, 2005].

refusal. Forbidding entry of a consignment or other regulated article when it fails to comply with phytosanitary regulations [FAO, 1990; revised FAO, 1995].

Regional Plant Protection Organization. An intergovernmental organization with the functions laid down by Article IX of the IPPC [FAO, 1990; revised FAO, 1995; CEPM, 1999; formerly plant protection organization (regional)].

regional standards. Standards established by a Regional Plant Protection Organization for the guidance of the members of that organization [IPPC, 1997].

regulated area. An area into which, within which and/or from which plants, plant products and other regulated articles are subjected to phytosanitary regulations or procedures in order to prevent the introduction and/or spread of quarantine pests or to limit the economic impact of regulated non-quarantine pests [CEPM, 1996; revised CEPM, 1999; ICPM, 2001].

regulated article. Any plant, plant product, storage place, packaging, conveyance, container, soil and any other organism, object or material capable of harbouring or spreading pests, deemed to require phytosanitary measures, particularly where international transportation is involved [FAO, 1990; revised FAO, 1995; IPPC, 1997].

regulated nonquarantine pest. A nonquarantine pest whose presence in plants for planting affects the intended use of those plants with an economically unacceptable impact and which is therefore regulated within the territory of the importing contracting party [IPPC, 1997].

regulated pest. A quarantine pest or a regulated non-quarantine pest [IPPC, 1997].

regulated wood packaging material (RWPM). Wood packaging material other than manufactured wood materials, loose wood packing materials, and wood pieces less than 6 mm thick in any dimension, that are used or for use with cargo to prevent damage, including, but not limited to, dunnage, crating, pallets, packing blocks, drums, cases, and skids [7 CFR 319.40-1].

replacing certificates. The term “replace” refers to when a new certificate is issued to substitute for a previously issued certificate. The replacement may be the result of ACO errors or at the request of an exporter for various reasons. The original certificate **must** be recovered. **Only** ACOs at the issuing office can replace completed or partially completed certificates because of changes in the information (such as extensive changes in a critical block or erasures prohibited by the foreign country).

release (into the environment). Intentional liberation of an organism into the environment (see introduction and establishment) [ISPM N° 3, 1996].

release (of a consignment). Authorization for entry after clearance [FAO, 1995].

replacing lost certificates. A certificate may be “replaced” when an exporter has **lost** the original certificate and the shipment is **not** available for inspection. **Only** ACOs at the issuing office can replace an original certificate that **cannot** be recovered.

replanting. See *planting (including replanting)*.

required response. A specified level of effect for a treatment [ISPM N° 18, 2003].

restriction. A phytosanitary regulation allowing the importation or movement of specified commodities subject to specific requirements [CEPM, 1996, revised CEPM, 1999].

RFLP. Restriction Fragment Length Polymorphism (RSPM No. 3, Potatoes). [NAPPO, 2004].

risk management options. Risk reduction actions that may be selected, alone or in combination, to reduce identified pest risk to an acceptable level (RSPM No. 3, Potatoes). [NAPPO, 2004].

RNQP. See *regulated nonquarantine pest*.

round wood. Wood **not** sawn longitudinally, carrying its natural rounded surface, with or without bark [FAO, 1990].

RPPO. See *Regional Plant Protection Organization*.

RT-PCR. Reverse Transcription-Polymerase Chain Reaction (RSPM No. 3, Potatoes). [NAPPO, 2004].

RWPM. See *regulated wood packaging material (RWPM)*.

SAGARPA. Secretaria de Agricultura, Ganaderia, Desarrollo Rural, Pesca y Alimentacion (RSPM No. 13, Karnal Bunt Pests Free Areas). [NAPPO, 2004].

SAM. NAPPO Sustaining Associate Member (RSPM No. 6, Development of NAPPO Standards). [NAPPO, 2004].

sawn wood. Wood sawn longitudinally, with or without its natural rounded surface with or without bark [FAO, 1990].

Secretary. Secretary of the Commission appointed pursuant to Article XII [IPPC, 1997].

Seed potato certification. An officially adopted scheme for the production of potato propagative materials that meet prescribed requirements for potato pest freedom and varietal purity (RSPM No. 3, Potatoes). [NAPPO, 2004].

Seed potatoes. Potato plantlets, plants, microtubers, minitubers, tubercles and tubers.

seeds. A commodity class for seeds for planting or intended for planting and **not** for consumption or processing (see grain) [FAO, 1990; revised ICPM, 2001].

shipment. As a working definition for export certification purposes, shipment means one exportation of commodities, from one exporter, to one consignee, in one country, on one means of conveyance [7CFR 353]. In most cases, **only** one export certificate is issued per shipment. See also *consignment*.

SIT. See *sterile insect technique* [ISPM No. 3, 2005].

soil. The loose surface material of the earth in which plants grow, in most cases consisting of disintegrated rock with an admixture of organic material (Soil Movement Position Paper). [NAPPO, 2004].

solid wood packing material. See *regulated wood packaging material (RWPM)*.

SPAGE. Sequential Polyacrylamide Gel Electrophoresis (RSPM No. 16, Citrus). [NAPPO, 2004].

specificity. A measure of the host range of a biological control agent on a scale ranging from an extreme specialist **only** able to complete development on a single species or strain of its host (monophagous) to a generalist with many hosts ranging over several groups of organisms (polyphagous) [ISPM N° 3, 1996].

spread. Expansion of the geographical distribution of a pest within an area [FAO, 1995].

standard. Document established by consensus and approved by a recognized body, that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context [FAO, 1995; ISO/IEC GUIDE 2:1991 definition].

standard operating procedure. Codified best laboratory practices for handling biological control agents in quarantine or containment (RSPM No. 7, Biological Control of Weeds and RSPM No. 12, Biological Control of Pests). [NAPPO, 2004].

State phytosanitary certificate. Document issued by a plant regulatory official of a State Department of Agriculture attesting to the phytosanitary condition of commodities. A State certificate documents origin, treatment, active growth field inspection, virus indexing, or other special conditions. Under the current cooperator Memorandum of Understanding, State phytosanitary certificates are **not** to be utilized for international trade.

State Plant Health Director (SPHD). An administrator within USDA-APHIS-PPQ who is responsible for pest prevention and the export certification program within their assigned state(s).

State Plant Regulatory Official (SPRO). An administrator of the section of his or her state's Department of Agriculture that deals with pest prevention and export certification. The main administrator in conjunction with the Federal State Cooperators' Memorandum of Understanding (i.e. State Entomologist, State Plant Pathologist).

sterile insect. An insect that, as a result of a specific treatment, is unable to reproduce [ISPM No. 3, 2005].

sterile insect technique. Method of pest control using area-wide inundative release of sterile insects to reduce reproduction in a field population of the same species [ISPM No. 3, 2005].

stored product. Unmanufactured plant product intended for consumption or processing, stored in a dried form (this includes in particular grain and dried fruits and vegetables) [FAO, 1990].

succulents. As relates to the U.S./Canada Greenhouse Certification Program, succulents are thick fleshy plants capable of storing large quantities of water in their leaves and stems. Many succulent plants are spineless. Succulents with spines differ from cacti in that the spines grow directly from the plants tissue rather than from structures called areoles. Succulent plants grown in greenhouses include jade plants, aloe vera, and crown-of-thorns.

superseding certificates. The term "supersede" refers to the situation when a new certificate is issued to substitute for a previously issued certificate that **cannot** be recovered. Generally, when an export certificate needs to be superseded, it is because the foreign NPPO has the original export certificate which contains errors. The superseding certificate may be the result of ACO error or at the request of an exporter for various reasons. The original certificate **cannot** be recovered and the shipment is **not** available for inspection. This is **not** the same situation as a lost certificate which is dealt with as a replaced certificate.

suppression. The application of phytosanitary measures in an infested area to reduce pest populations [FAO, 1995; revised CEPM, 1999].

surveillance. An official process which collects and records data on pest occurrence or absence by survey, monitoring or other procedures [CEPM, 1996].

survey. An official procedure conducted over a defined period of time to determine the characteristics of a pest population or to determine which species occur in an area [FAO, 1990; revised CEPM, 1996].

SWPM. See *regulated wood packaging material (RWPM)*.

systems approach(es). The integration of different risk management measures, at least two of which act independently, and which cumulatively achieve the appropriate level of protection against regulated pests [ISPM No. 14, 2002; revised ICPM, 2005].

technically justified. Justified on the basis of conclusions reached by using an appropriate pest risk analysis or, where applicable, another comparable examination and evaluation of available scientific information [IPPC, 1997].

terrestrial plants. Any plants (including epiphytic plants), **except** marine plants.

test. Official examination, **other than** visual, to determine if pests are present or to identify pests [FAO, 1990].

threatened. See *Endangered Species Act*.

time limit. The maximum time allowed between the date of inspection of the commodity and the issuance date of an export certificate unless otherwise specified by the importing country. This limit is established by the importing country or PPQ.

transgenic plant. A plant in which one or more genes or genetic constructs or traits have been introduced using recombinant DNA techniques, (also known as genetic engineering) which could be considered to include the insertion of genetic material from the same or different species (RSPM No. 14, Transgenic Materials). [NAPPO, 2004].

transience. Presence of a pest that is **not** expected to lead to establishment [ISPM N° 8, 1998].

transit. See *consignment in transit*.

transparency. The principle of making available, at the international level, phytosanitary measures and their rationale [FAO, 1995; revised CEPM, 1999; based on the World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures].

treatment. Official procedure for the killing, inactivation or removal of pests, or for rendering pests infertile or for devitalization [FAO, 1990, revised FAO, 1995; ISPM No. 15, 2002; ISPM No. 18, 2003; ICPM, 2005].

tubercles. Small tubers produced in leaf axils of leaf bud cuttings.

tubers. As relates to seed potatoes, potatoes produced under field conditions.

unconfined release. Release of plants that are **not** isolated either reproductively or physically from managed or un-managed environments, but may be subject to other restrictions (RSPM No. 14, Transgenic Materials). [NAPPO, 2004].

USDA-APHIS-PPQ. United States Department of Agriculture-Animal and Plant Health Inspection Service-Plant Protection and Quarantine.

validation. As a working definition for export certification purposes, validation is the verification of authenticity of a document. Specifically related to certifying CITES and ESA plants for export, validation is an original stamp, signature, and date of inspection placed on documents by PPQ Plant Health Safeguarding Specialists (PHSS).

vegetable seed. Specific seed of the kinds and varieties that are or may be grown in gardens or on truck farms and are or may be generally known and sold under the name of vegetable seed. See [Table 4-5-3](#) on [page 4-5-9](#) for a list of vegetable seed.

virus-certified stock. Plants for planting and propagation produced under an official virus testing and certification program (RSPM No. 18, Plum Pox Virus). [NAPPO, 2004].

virus X-tested. Tested for and found to be within tolerance for PVX using approved testing methods.

visual examination. The physical examination of plants, plant products, or other regulated articles using the unaided eye, lens, stereoscope or microscope to detect pests or contaminants without testing or processing [ISPM No. 23, 2005].

voucher specimens. A series of individuals from a specific population deposited in a professionally curated collection (RSPM No. 12, Biological Control of Pests). [NAPPO, 2004].

wet milled. Steeped in water with or without sulfur dioxide to soften the kernel in order to facilitate the separation of the various components.

wood. A commodity class for round wood, sawn wood, wood chips or dunnage, with or without bark [FAO, 1990; revised ICPM, 2001].

wood packaging material. Wood or wood products (excluding paper products) used in supporting, protecting or carrying a commodity (includes dunnage) [ISPM N° 15, 2002], [7 CFR 319.40-1]. Formerly known as Solid Wood Packing Material.

workplan. An official document specifying the phytosanitary measures agreed to by the National Plant Protection Organizations of both importing and exporting countries, intended to prevent the movement of regulated pests while facilitating trade of plants and plant products (RSPM No. 19 Bilateral Workplans). [NAPPO, 2004].

World Trade Organization. The global international organization dealing with the rules of trade between nations (see also web site address: <www.wto.org>).

wort. The liquid portion of malted grain. It is a solution of malt sugar and other water-soluble extracts from malted mash.

XPM. Initials representing the *Export Program Manual*.



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Comment Sheet

Directions

Use this sheet if you have a suggestion for improving the formatting (design, layout, composition), grammar, or spelling in the manual. **Do not** use this sheet to order manuals or change the number of manuals you receive or your mailing address (see [Appendix L](#) on page L-1-1).

Description of the problem, error, inconsistency, missing or insufficient information

Description of the recommended change

Reason for improvement or change

Fold this sheet in thirds so that your comments are on the inside and the Manuals Unit's address is in the center. Tape, stamp and mail.

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