

3

Export Program
Manual

General Procedures

Keeping Records

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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.