

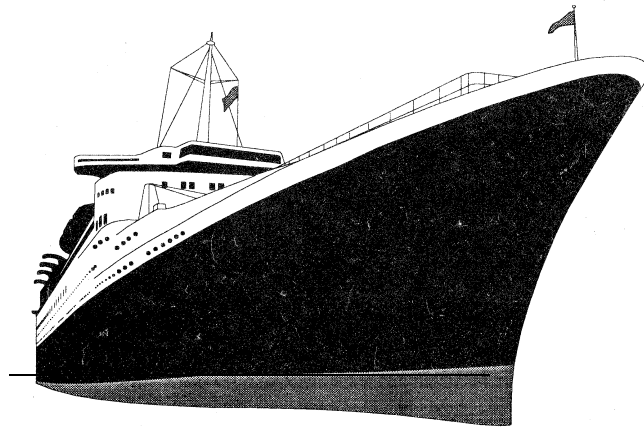
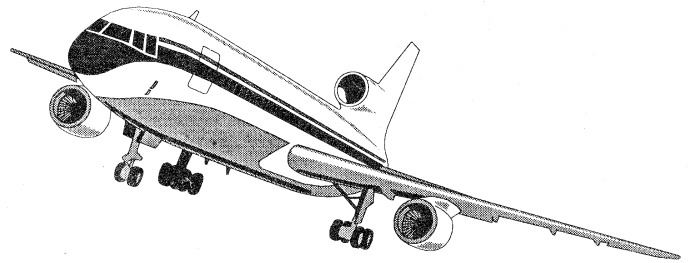


United States  
Department of  
Agriculture

Animal and Plant  
Health Inspection  
Service

Plant Protection  
and Quarantine

# Manual for Agricultural Clearance



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When using pesticides, read and follow all label instructions.

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# 1

Agricultural  
Clearance

# Introduction

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## Purpose

The *Manual for Agricultural Clearance* (MAC) provides Customs and Border Protection (CBP) personnel working at airport, maritime, and land border locations with guidelines, directions, and policy for excluding pests that are a threat to American agriculture. CBP personnel will prevent pests from entering the United States by performing the following duties:

- ◆ Examining cargo and associated documentation
- ◆ Examining carriers<sup>1</sup>
- ◆ Clearing passengers, crew, and their baggage
- ◆ Examining international mail
- ◆ Preventing the spread of pests
- ◆ Preparing plant pest interceptions

CBP clears carriers and passengers and controls garbage and cargo to minimize the risk of introducing plant pests and/or animal diseases into the United States. This manual provides the information necessary to accomplish those clearance tasks that are performed at airports, maritime ports, and land border points of entry. As a part of excluding pests, CBP will also perform Agriculture Quarantine Inspection Monitoring (AQIM) activities on passengers, vehicles and cargo that enter at ports of entry. This activity is a critical step to providing USDA with risk information that ultimately provides additional direction and policy for better exclusion of pests. CBP personnel can find AQIM definitions, steps, procedures and other related information in the online USDA, APHIS, [AQIM Handbook](#).

APHIS PPQ personnel work in partnership with CBP to minimize pest risks and prevent the spread of plant pests and animal diseases. Guidelines, directions and policies found in this manual are useful to PPQ officials involved with safeguarding, inspection and compliance activities.

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## Scope

### What the Manual Covers

This manual is broadly divided into chapters that address each of the duties mentioned above. In addition to information presented in the chapters, the manual contains appendixes, a glossary, and an index.

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<sup>1</sup> Airplanes, barges, boats, busses, cars, railroad cars, ships, sea-land trailers, trucks, or other devices that transport or convey products, goods, or passengers.

The chapters are summarized below:

The **Introduction** provides basic information about the manual. This information includes purpose, scope, users, related documents, how to use the manual, and a description of conventions (unfamiliar or unique symbols and highlighting) that appear throughout the manual.

The **Examining and Monitoring Cargo** chapter is subdivided into these sections:

- ◆ **Clearing Imported Cargo and Inspecting Cargo Holds**
- ◆ **Clearing Transiting In-Bond Cargo**

The **Examining Carriers** chapter is subdivided into these sections:

- ◆ **Monitoring Garbage**
- ◆ **Clearing Aircraft**
- ◆ **Clearing Vessels**
- ◆ **Clearing Trains and Buses**
- ◆ **Clearing Privately Owned Vehicles**

The **Clearing Passengers, Crew, and Baggage** chapter provides policy, methods, and procedures for clearance.

The **Examining United States Postal Service (USPS) International Mail** chapter gives you the information needed to regulate mail.

The **Preventing the Spread of Pests and Diseases** chapter includes information on safeguarding, cleaning, and disinfecting.

The **Preparing Plant Pest Interceptions** chapter outlines procedures for preserving and submitting specimens for identification.

The **Violations** chapter includes information on violations and assessing civil penalties.

Each section includes an *Introduction* that gives a brief review of the content of the section, the equipment you need, any general policies, and any information you need to know before beginning a task.

The *Appendixes* contain supplemental information **not** essential to the manual but helpful to the user.

The **Glossary** defines specialized words, abbreviations and acronyms, and other terms used in airport and maritime operations that may be difficult or unfamiliar.

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

**What the MAC Covers That Is Also Covered in the *Animal Product Manual (APM)***

For easier reference, the following topics are covered in this manual as well as in the [Animal Product Manual](#):

- ◆ Cooperating with other Federal agencies
- ◆ Handling pet birds in baggage and aboard vessels
- ◆ Taking action on prohibited animal products in cargo

**What the Manual Does Not Cover**

The MAC does **not** cover the following:

- ◆ Information on determining enterability of items
- ◆ Information on what types of cargo to hold
- ◆ Port policies or port guidelines
- ◆ Information pertaining to treatments
- ◆ Information on specific inspection techniques
- ◆ Specific AQI Monitoring (AQIM) directions or procedures to do at the ports of entry. Refer to the online [AQIM Handbook](#) for these specifics.

---

**Users**

This manual is written for use by CBP and APHIS-PPQ personnel. The experience levels of CBP users will vary, but it is assumed that the officer has a working knowledge of the following:

- ◆ Assessing civil penalties
- ◆ Selecting passenger baggage for agricultural risk
- ◆ Clearing passengers
- ◆ Examining cargo for clearance
- ◆ Verifying cargo
- ◆ Recognizing contamination in cargo
- ◆ Recognizing pests in cargo

## Authorities and Policies

The regulatory authority for taking the actions listed in this manual is contained in the following Acts:

- ◆ Act of July 2, 1962—21 U.S.C. 134d
- ◆ Animal Health Protection Act
- ◆ [Endangered Species Act](#)
- ◆ [Plant Protection Act](#)
- ◆ 21 U.S.C. 111

These Acts and statutes give you authority to control garbage and inspect carriers, passenger baggage, and cargo arriving from Guam, Hawaii, Puerto Rico, U.S. Virgin Islands, and foreign countries.<sup>2</sup>

### APHIS Manuals

- ◆ *Animal Product Manual*
- ◆ *Cut Flowers and Greenery Import Manual*
- ◆ *Fresh Fruits and Vegetables Import Manual*
- ◆ *Miscellaneous and Processed Products Manual*
- ◆ *Seed Not for Planting*
- ◆ *CITES I-II-III Timber Species Manual*
- ◆ *Plants for Planting Manual*
- ◆ *PPQ Treatment Manual*

### Code of Federal Regulations (CFR)

Authority for specific regulatory actions is contained in Titles [7](#), [9](#), and [50](#) Code of Federal Regulations (CFR).

Title [7](#) CFR contains the following parts:

- ◆ [Part 319](#) for specific quarantine actions
- ◆ [Part 330](#) for inspecting means of conveyance, taking emergency action on khapra beetle, regulating garbage, soil, plant pests, and requiring advance notice of arrival for carriers
- ◆ [Part 351](#) for regulating plants and plant products in mail
- ◆ [Part 352](#) for safeguarding items **not** intended for entry into the United States (aircraft and vessel stores, and cargo for immediate export)
- ◆ [Part 360](#) for regulating noxious weeds

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<sup>2</sup> Interstate movement is not handled by CBP.

Title 9CFR contains the following parts:

- ◆ Part 93 for regulating live animals and cleaning and disinfection of conveyances (related to live animals)
- ◆ Part 94 for regulating garbage, milk and milk products, and meat
- ◆ Part 95 for regulating animal by-products and cleaning and disinfection of conveyances (related to products/by-products)
- ◆ Part 96 for regulating casings

Title 50CFR for regulating endangered species.

Refer to the CFRs if you are interested in finding more information on specific regulations.

Other documents which include information related to agricultural clearance are as follows:

- ◆ CBP Agricultural Alerts and Notices
- ◆ Army Regulation 40-12, SECNAVINST 6210.2A and AFR 161-4
- ◆ Department of Defense, Regulation 4500.9R, Ch. 505 and 506
- ◆ Foreign Clearance Guide
- ◆ Naval Supplemental Publication Number 486, Vol. 1
- ◆ Technical Guidance 31, Contingency Retrograde Washdown
- ◆ Vienna Convention on Diplomatic and Consular Relations

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## Application

This manual contains the policy and guidelines for the tasks associated with agricultural clearance. The policies listed in this manual **must** be followed. The guidelines were written with the recognition that there are differences between ports, and allows individual ports some procedural flexibility in completing required tasks.

This manual not only informs officers on how to perform various clearance tasks, but also informs Port Directors (PDs) on what tasks take priority to aid in allocating resources to accomplish those tasks.

---

## Maintaining Contact with APHIS PPQ

Supervisory Agriculture Specialists or their designees can maintain close contact with their counterparts in PPQ through appropriate channels to keep informed of any changes in local entry procedures. Make sure that whenever procedures change, control is maintained over cargo that is at risk for introducing pests and pathogens.

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## Conventions

Conventions are established by custom and are widely recognized and accepted. Major conventions used in this manual follow.

### Advisories

Advisories are used throughout the manual to bring important information to your 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.

### 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.

## Boldface

Boldfaced type is used to emphasize important words throughout the MAC. These words include: **always, cannot, do not, does not, except, lacks, must, neither, never, nor, not, only, other than.**

## Bullets

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

## Change Bars

Black change bars in the left margin are used to indicate changes and appear on revised pages. Unfortunately, change bars **do not** always appear when text is merely deleted. Change bars from the previous update are deleted when the chapter or appendix is revised.

## Chapters

This manual contains the following chapters: ***Introduction; Examining and Monitoring Cargo; Examining Carriers; Clearing Passengers, Crew, and Baggage; Examining United States Postal Service (USPS) International Mail; Preventing the Spread of Pests and Diseases; Preparing Plant Pest Interceptions;*** and ***Violations.***

## Contents

Every chapter has a table of contents that lists the heading titles within.

## Control Data

Control data are located at the top and bottom of each page to help manual users keep track of where they are in the manual and be aware of updates to specific chapters, sections, appendixes, etc., in the manual. At the top of each page is the chapter title and first-level heading for that page. At the bottom of each page is the transmittal number (month, year, number), title of the manual, page number, and unit responsible for content. To track revisions to the MAC, use the Control data.

## Decision Tables

Decision tables are used throughout the manual. The first and middle columns in each table represent conditions, and the last column represents the action to take after all conditions listed for that row are considered. Begin with the column headings and move left-to-right. If the condition **does not** apply, then continue one row at a time until you find the condition that does apply (see **TABLE 1-1-1**).



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

<b>If you:</b>	<b>And if the condition applies:</b>	<b>Then:</b>
Read this column cell and row first	Continue in this cell	TAKE the action listed in this cell
Find the previous condition <b>did not</b> apply, then read this column cell	Continue in this cell	TAKE the action listed in this cell

## Examples

Examples are used to clarify a point by applying it 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 always appear in a box like this.

## Footnotes

Footnotes comment on or cite a reference to text and are referenced by number. The footnotes used in this manual include general text footnotes, figure footnotes, and table footnotes. General text footnotes are located at the bottom of the page. When space allows, figure and table footnotes are located directly below the associated figure or table. However, for multi-page tables or tables that cover the length of a page, footnote numbers and footnote text cannot be listed on the same page. If a table or figure continues beyond one page, the associated footnotes will appear on the page following the end of the figure or table.

## Heading Levels

Within each chapter and section there are three heading levels. The first heading is indicated by a horizontal line, and the heading follows directly below and 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 the text is in the right-hand column.

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

Figures, headings, and tables are cross-referenced in the body of the manual and are highlighted in boldface type. These appear in blue hypertext in the online manual.

### EXAMPLE

Refer to the [Glossary](#) for a definition of air taxi.

## Indentions

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

## Italics

The following items are italicized throughout the MAC:

- ◆ Cross-references to headings and titles
- ◆ Publication names
- ◆ Scientific names of commodities

## Numbering Scheme

A three-level numbering scheme is used to indicate 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 identifying and updating. Dashes are used in page numbering to differentiate page numbers from decimal points.

## Section

The *Examining and Monitoring Cargo* and *Examining Carriers* 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.

## Transmittal Number

The transmittal number contains the month, year, and a consecutively-issued number (beginning with -01 for the first edition and increasing consecutively for each update to the edition). The transmittal number is **only** changed when the specific chapter sections, appendixes, or glossary, tables, or index is updated. If **no** changes are made, then the transmittal number remains the unchanged. The transmittal number **only** changes for the entire manual when a new edition is issued or changes are made to the entire manual.

### EXAMPLE

12/2012-160 is the transmittal number for this update and is located in the control data on the pages in this chapter.

12 is the month the update was issued

2012 is the year the update was issued

160 is the number (the original new edition was 01 plus 159 updates)

## Using the Manual

Review the contents of this manual to get a feel for the scope of material covered. Glance through the section that you will be using, and familiarize yourself with the organization of the information. Use the table of contents for each section to find the information you need. If the table of contents is **not** specific enough, then turn to the index to find the topic and corresponding page number.

**EXAMPLE** To find information on assessing a civil penalty for a ship's garbage violation, go to the section within *Examining Carriers* titled *Monitoring Garbage* and check the table of contents (within the section) for the page number.

## Reporting Problems With or Suggestions for the Manual

Use **TABLE 1-1-2** to report suggestions, problems, situations, and disagreements which directly affect the contents of the MAC.

**TABLE 1-1-2: How to Report Problems with the Manual**

If you:	And the problem is:	Then:
Have a situation that requires an <b>immediate</b> response	Regarding <b>birds, animal product</b> or <b>animal by-product</b> , or procedures or regulatory actions in the MAC	CALL a HQ, PPQ, VMO at PPQ, VRS, 301-851-2295
	Regarding all <b>other</b> procedures or regulatory actions in the MAC that are <b>not</b> related to animal products or animal by-products	CONTACT the Field Office Agriculture Liaison through the chain of command
<ul style="list-style-type: none"> <li>◆ Have comments, suggestions, or complaints about the content of the MAC or you disagree with a policy, procedure, or regulatory action identified in the MAC</li> <li>◆ Have a suggestion for improving the formatting (design, layout, composition), grammar, or spelling of your MAC</li> <li>◆ Have a problem accessing or with the availability of the on-line MAC</li> </ul>	→	SEND an e-mail to <a href="mailto:OFO-APL@dhs.gov">OFO-APL@dhs.gov</a> (precede your message with "MANUAL QUESTION FOR APTL")
Have comments, suggestions, or complaints relating to any <b>animal product</b> or <b>animal by-product</b> or <b>birds</b> procedure or regulatory action content of the MAC	→	CONTACT PPQ, VRS through the chain of command and describe why you disagree and what you recommend

### **Manual Updates**

The PPQ Manuals Unit issues and maintains manuals electronically on the [Manuals Unit Web site](#). The on-line manuals contain the most up-to-date information.

Immediate update revisions to the MAC are issued and distributed via e-mail to CBP Agriculture Specialists and all PPQ employees.

Each immediate update contains the following information:

- ◆ Link to access and download the on-line manual
- ◆ List of the revised page numbers
- ◆ Purpose of the revision(s)
- ◆ Transmittal number

### **Ordering Additional Manuals and Revisions**

Although using the on-line manuals is the preferred method, APHIS employees may order hard copies of manuals from the APHIS Printing, Distribution, and Mail Services Center in Riverdale, Maryland. Visit the [Riverdale Print Shop Web site](#) for detailed information and printing costs. The Manuals Unit is **not** responsible for printing costs.

# 2

Agricultural  
Clearance

## Examining and Monitoring Cargo

### *Clearing Imported Cargo and Inspecting Cargo Holds*

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## Introduction

This chapter provides the general procedures and guidelines for examining cargo and inspecting cargo holds and barges. Most aspects of the clearance process that are routinely performed are outlined in this section, including documenting the inspection.

Sometimes there will be more specific guidance related to the physical inspection that are specific to a country or a commodity, and such procedures may be found in the [APHIS Manuals](#) on **page 2-1-3**.

In addition, the completion of AQI Monitoring (AQIM) activities on foreign agricultural cargo is essential to provide valuable risk information. The exam findings and data results are needed to create or revise operational strategies for mitigating the pest risk of foreign cargo.

### Policy

It is PPQ's policy to clear all foreign cargo of agricultural interest, including returning military equipment and supplies, at the first port of arrival or first port of unloading. The holding of nonregulated, miscellaneous cargo for assessment of pest risk, including hitchhiking pests and misclassification, is also supported.

### General Procedure

Review the cargo documents available, such as manifests, air waybills, bills of lading, PPQ Form 203 (Foreign Site Certificate of Inspection and/or Treatment), Notice of Arrival, Customs entry Form 3461, invoices, APHIS permits, sanitary and phytosanitary certificates, and vessel reports as soon as they are available. Look for and note items of agricultural interest, including the following:

- ◆ animal products and by-products
- ◆ cut flowers
- ◆ fresh fruits and vegetables
- ◆ grains and seeds
- ◆ live organisms
- ◆ other miscellaneous or processed articles
- ◆ propagative plant materials

While reviewing the cargo documents, determine what cargo will remain on the conveyance (residue cargo) and what cargo will be off-loaded. If regulated cargo is transiting the U.S., refer to the section [Clearing Transiting In-Bond Cargo](#) on **page 2-2-1**.

## Materials Needed

You will need a working knowledge of the following manuals and job aids to understand and apply agricultural laws, statutes, regulations and policies to properly control cargo. To determine what cargo items are regulated specifically by regulation (i.e., prohibited or restricted items), refer to any of the following APHIS Import Manuals:

### APHIS Manuals

- ◆ [Animal Product Manual](#)
- ◆ [Clearing Nursery Stock and Flower Bulbs for CBPAS](#)
- ◆ [Clearing Seeds for Planting-A Job Aid for CBPAS](#)
- ◆ [Cut Flowers and Greenery Import Manual](#)
- ◆ [FAVIR Online Reference](#)
- ◆ [Fresh Fruits and Vegetables Import Manual](#)
- ◆ [Miscellaneous and Processed Products Manual](#)
- ◆ [Seeds Not for Planting Manual](#)

### Other Useful Sources and Materials

- ◆ [APHIS Plant Health Website](#)
- ◆ AQIM sampling schedule and data worksheets
- ◆ CBP Agricultural Alerts and Notices
- ◆ [CITES I-II-III Timber Species Manual](#)
- ◆ [PPQ Treatment Manual](#)
- ◆ Flashlight
- ◆ Latex gloves
- ◆ Port guidelines for holding miscellaneous cargo
- ◆ Quarantine material tags, tape, and stickers
- ◆ Strip (Tyden), strap, or button seals
- ◆ Various forms (refer to [Appendix A](#))

## Local Variations

The use of automated CBP systems, CBP release programs, and other CBP initiatives may vary from location to location. Because of the differences in local practices, the operational methods of controlling regulated cargo may vary slightly from port to port. Follow local management guidelines.

## Holding Cargo of Agricultural Interest

Depending on local practice, hold all cargo determined to be of agricultural interest, using the Automated Cargo System (ACS), Automated Targeting System (ATS), or paper CBP Form AI-212, Agriculture Inspection Hold.

By placing a hold on the cargo, you are informing the carrier and the other parties involved in the importation (broker, freight forwarder, importer) that the cargo is being restricted for agricultural reasons and should not be released until CBP has authorized the release.

### Completing CBP Form AI-212, Agriculture Inspection Hold

Use the paper CBP Form AI-212 only in the event that the automated CBP systems for holding cargo are not operational or the commercial carrier is unable to receive the cargo hold information electronically. It can serve as a combination local use worksheet and port record.

Completing CBP Form AI-212 varies from port to port depending on the information needed at each port. Fill in the information as required by local practice at your port (see [CBP Form AI-212, Agriculture Inspection Hold](#) on [page A-1-35](#) for directions on completing the form).

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## Taking Action on Held Cargo

Agricultural cargo of interest may be of plant or animal origin, and may arrive precleared by APHIS. Plant material cleared overseas for pests under an APHIS-PPQ preclearance program in a foreign country will be accompanied by PPQ official documentation. Only a few country's products (typically fresh fruits and bulbs for planting) qualify to participate in APHIS-run overseas preclearance programs.



Prohibited and restricted agricultural cargo may **not** move to free trade zones (FTZ).

Refer to [Table 2-1-1](#) on [page 2-1-5](#).



**TABLE 2-1-1: Action to Take on Held Cargo of Agricultural Interest**

<b>If the cargo is:</b>	<b>And:</b>	<b>Then:</b>
<ul style="list-style-type: none"> <li>◆ Federal noxious weeds</li> <li>◆ Living plant pests</li> <li>◆ Living regulated organisms</li> <li>◆ Pathogens</li> <li>◆ Soil for the isolation of living organisms</li> </ul>	Has a valid PPQ Form 526 Pest Permit and/or a <b>PPQ Form 599, Red and White Permit Label</b>	SAFEGUARD and SEND to the Plant Inspection Station listed on the permit or permit label, unless otherwise instructed in the permit conditions
	<b>Lacks</b> above permit or label	CONTACT PPQ Permit Unit at 301-851-2046
Other regulated plant material	The importer, broker, airline representative, or carrier operator requests that CBP allow movement of held cargo to another port for CBP clearance	GO to <b>Authorizing Immediate Transportation (IT) Movement of Cargo</b> on <b>page 2-2-5</b>
	The importer, broker, airline representative, or carrier operator moves or releases cargo held without CBP authorization	GO to <b>Cargo Violations</b> on <b>page 8-1-2</b>
	The importer, broker, airline representative, or carrier operator requests that CBP allow exportation of cargo on HOLD	GO to <b>Clearing Transiting In-Bond Cargo</b> on <b>page 2-2-1</b>
	The importer, broker, airline representative, or carrier operator does <b>not</b> request any of the above actions	GO to <b>Table 2-1-2</b> on <b>page 2-1-6</b>
Other regulated animal material	—————→	GO to <b>Inspecting Animal Material</b> on <b>page 2-1-13</b>
Other miscellaneous material	—————→	GO to <b>Inspecting Miscellaneous Material</b> on <b>page 2-1-15</b>

If the product you are clearing is accompanied by documentation that mentions the word “precleared” or if a PPQ 203, Preclearance certificate is provided, consider the product precleared. If the product does **not** meet the parameters of preclearance, or when you know the article is **not** a precleared item, consider the product not precleared. Refer to **Table 2-1-2** on **page 2-1-6**.

**TABLE 2-1-2: Action to Take Based on Clearance Status**

If the plant material is:	And:	Then:
Not precleared	Propagative	GO to <b>Propagative Plant Material, Not Precleared</b> on page 2-1-6
	Nonpropagative	GO to <b>Nonpropagative Plant Material, Not Precleared</b> on page 2-1-9
Precleared <sup>1, 2</sup>	→	GO to <b>Precleared Plant Material</b> on page 2-1-10

- 1 Only a few country’s products (typically fresh fruits and bulbs for planting) qualify to participate in a preclearance program.
- 2 U.S. military cargo is typically pre-inspected, under APHIS procedures, for entry back into the U.S.

## Propagative Plant Material, Not Precleared

Propagative plant material may include nursery stock, bulbs, seeds, weeds, and parasitic plants. Refer to **Table 2-1-3** on page 2-1-7.



CBP Agriculture Specialists also have the following job aids available:

- ◆ [Clearing Nursery Stock and Flower Bulbs for CBPAS](#)
- ◆ [Clearing Seeds for Planting – A Job Aid for CBPAS](#)



Record in **PPQ280** only those propagative materials that you are authorized to inspect and release. **Do not** enter data into PPQ280 for plant material forwarded to a plant inspection station. See guidelines in **Appendix A** for additional information.

**TABLE 2-1-3: Action to Take on Propagative Plant Material**

<b>If:</b>	<b>And origin is:</b>	<b>And:</b>	<b>And:</b>	<b>Then:</b>
Accompanied by <b>PPQ Form 508, Green and Yellow Permit Label</b> or <b>PPQ Form 599, Red and White Permit Label</b>	Canada	Accompanied by a Canadian phytosanitary certificate or other official form <sup>1</sup>	→	REGULATE per <a href="#">Plants for Planting Manual</a>
		<b>Not</b> as above	Accompanied by a Small Lots of Seed permit	
			<b>Not</b> as above	PROHIBIT ENTRY
	Other than Canada		→	SAFEGUARD <sup>2</sup> and SEND <sup>3</sup> to the Plant Inspection Station <sup>4</sup> listed on the permit or permit label, along with all the accompanying documentation <sup>5</sup>
Accompanied by <b>Biotechnology Regulatory Services (BRS) Blue and White Importation Labels (APHIS Form 2051)</b>			→	REFER to <b>Appendix A</b> for handling information
<b>Not</b> as above	Canada	Accompanied by a Canadian phytosanitary certificate or other official form <sup>1</sup>	Q37 permit is required <sup>6</sup> but <b>absent</b>	PROHIBIT ENTRY
			Q37 permit is <b>not</b> required	REGULATE per <a href="#">Plants for Planting Manual</a>
		<b>Not</b> as above	→	PROHIBIT ENTRY
	Other than Canada	Accompanied by a phytosanitary certificate from the country of origin	Q37 permit is required <sup>7</sup> but <b>absent</b>	Contact PPQ Plant Inspection Station for instructions
			Q37 permit is <b>not</b> required	REGULATE per <a href="#">Plants for Planting Manual</a>
		Accompanied by a Small Lots of Seed permit	→	
<b>Not</b> as above		→	PROHIBIT ENTRY	

- The phytosanitary certificate may be CFIA Form 1327, CFIA Form 4743, or CFIA/ACIA 5378. Other official forms include CFIA/ACIA 4702, CFIA/ACIA 5289, CFIA/ACIA 5309, PPQ Form 925. See Appendix A of the [Canadian Border Agricultural Clearance Manual](#) for examples.
- The plant material must be stored in a CBP restricted access area.

- 3 The importer is responsible for making arrangements, and for the cost of forwarding the materials to the plant inspection station. The importer is also responsible for making arrangements for picking up or shipping the propagative materials after they have been released.
- 4 See [Appendix M](#) for a list of plant inspection stations.
- 5 See [PPQ280](#) guidelines. Record in the PPQ280 **only** those propagative materials that you are authorized to inspect and release. **Do not** enter data into PPQ280 for plant material forwarded to a plant inspection station.
- 6 A shipment from Canada requires a written permit if it contains **any** of the following:
  - ◆ Articles that require a Postentry Permit
  - ◆ Plants regulated by [CITES](#) or [ESA](#)
  - ◆ Articles that require treatment as a condition of entry
  - ◆ Articles (except seeds) of *Malus*, *Pyrus*, *Prunus*, *Cydonia*, *Chaenomeles*, and/or *Rubus*
  - ◆ Articles (except seeds) of *Castanea* or *Castanopsis* destined to California or Oregon
  - ◆ Articles (except seeds) of *Pinus* (5-leaved), destined to Wisconsin
  - ◆ Articles of *Ribes* destined to Massachusetts, New York, West Virginia, or Wisconsin
  - ◆ Articles (except seeds) of *Planera* or *Zelkova* destined to California, Nevada, or Oregon
  - ◆ Seeds of *Prunus* destined to Colorado, Michigan, New York, Washington or West Virginia
  - ◆ Articles (except seeds) of *Vitis* destined to California, New York, Ohio, Oregon and Washington
  - ◆ Articles (except seeds) of *Corylus* from provinces east of Manitoba and destined to Oregon or Washington
  - ◆ Articles (except seeds) of *Pinus*
  - ◆ Articles (except seeds) of *Ulmus* destined to California, Nevada or Oregon
  - ◆ Small lots of seed entering without a phytosanitary certificate
- 7 A shipment from any country **other than** Canada requires a written permit if it contains any of the following:
  - ◆ Articles that require a Postentry Permit
  - ◆ Plants regulated by [CITES](#) or [ESA](#)
  - ◆ Articles that require treatment as a condition of entry
  - ◆ Lots of 13 or more articles (other than seeds, bulbs or sterile cultures of orchid plants)
  - ◆ Seeds of woody plants (trees or shrubs)
  - ◆ Bulbs of *Allium sativum*, *Crocasmia*, *Gladiolus* and *Watsonia* from New Zealand
  - ◆ Articles of *Cocos nucifera* (coconut)
  - ◆ Articles (except seeds) of *Dianthus* spp.
  - ◆ Articles (except seeds) of *Castanea* or *Castanopsis* destined to California or Oregon
  - ◆ Articles (except seeds) of *Pinus* (5-leaved), destined to Wisconsin
  - ◆ Articles (except seeds) of *Planera* or *Zelkova* from Europe, St. Pierre Island, or Miquelon Island, and destined to California, Nevada, or Oregon
  - ◆ *Solanum tuberosum* true seed from New Zealand and the area of Chile between 39 degrees and 44 degrees South latitude
  - ◆ Small lots of seed entering without a phytosanitary certificate

Continue to [Post Inspection Steps](#) on **page 2-1-15**.

## Nonpropagative Plant Material, Not Precleared

Nonpropagative plant materials include but are not limited to the following items:

- ◆ Cut flowers and greenery
- ◆ Dried and processed fruits, vegetables and plant materials
- ◆ Dried beans and seeds for consumption
- ◆ Fresh fruits and vegetables
- ◆ Materials for research
- ◆ Timber and wood products, including wood packaging material

Consult the appropriate APHIS PPQ Import manual to verify the import requirements. Clearance of admissible material may be made by presentation of paperwork (certifications, permits), by an inspection (random, routine or targeted examination), or by a combination of both.



If the material is a prohibited agricultural commodity, continue to [Departmental Permits for Prohibited Materials](#).

Follow any special exam instructions in the appropriate import manual to inspect and regulate restricted plant products appropriately. Also inspect for possible contamination of the container (exterior/interior), the packaging, ISPM 15 compliance, etc.



If a quarantine plant pest is found in foreign origin cargo of any kind, the cargo would be considered regulated until the pest concern can be eliminated or alleviated. Consult [Inspecting Cargo Holds](#) on [page 2-1-17](#) and [Preventing the Spread of Pests and Diseases](#) on [page 6-1-1](#), to mitigate the risks associated with infested, contaminated or prohibited cargo.

Continue to [Post Inspection Steps](#) on [page 2-1-15](#).

### Departmental Permits for Prohibited Materials

Prohibited plant products manifested for unloading in the United States may be imported only if approved by a valid Departmental permit. Use [Table 2-1-4](#) on [page 2-1-10](#) to determine your action.

**TABLE 2-1-4: Action to Take on Cargo Containing Prohibited Nonpropagative Plant Material Requiring a Departmental Permit**

<b>If the cargo is:</b>	<b>And it is:</b>	<b>Then:</b>
Approved by a Departmental Permit	Moving to a research facility or educational institution	REVIEW the APHIS import permit conditions and handle the shipment as directed
	<b>Not</b> moving to a research facility or educational institution	FORWARD the shipment to the Plant Inspection Station listed on the permit
<b>Not</b> approved by a Departmental Permit	→	<ul style="list-style-type: none"> <li>◆ SAFEGUARD the shipment</li> <li>◆ COMPLETE <b>PPQ Form 523, Emergency Action Notification</b> on <b>page A-1-119</b></li> <li>◆ ORDER the item destroyed or reexported</li> </ul>

Continue to **Documenting Action Taken** on **page 2-1-20**.

## Precleared Plant Material

Precleared cargo is inspected by APHIS-PPQ or under APHIS-PPQ work plans that are negotiated with the foreign country’s National Plant Protection Organization (NPPO). Examples of precleared cargo may include the following commodities:

- ◆ Fresh fruits and vegetables
- ◆ Bulbs for planting
- ◆ Certain seeds
- ◆ Military cargo (with Form DD2855, DD1253, or Label 30-1)



The following procedures **do not** preclude the option at port of entry to monitor or inspect precleared shipments.

Follow these procedures for precleared cargo:

1. For precleared **flower bulbs**, refer to [Clearing Nursery Stock and Flower Bulbs for CBPAS](#).
2. For precleared **military cargo**, the following conditions apply:
  - a. USDA APHIS has a permanent preclearance program in the European Command, led by a USDA Advisor. All US military shipments **originating** in Europe are considered precleared.<sup>1</sup>

<sup>1</sup> The instructions apply only to the USDA-APHIS European Preclearance Program. Handle broken seals from Mexico issues according to established protocol.

- b. USDA APHIS may preclear military cargo from specific operations and exercises at the request the military. USDA will notify CBP.
  - c. Military cargo will be accompanied by DD Forms 1253, 2855, or Label 30-1.
- 3. For preleared fruits and vegetables, make sure that all commodities preleared at foreign site locations are accompanied by *PPQ Form 203, Foreign Site Certificate of Inspection and/or Treatment* on **page A-1-70**, or a vessel report sent by fax or e-mail that verifies PPQ preleared the shipment.<sup>2</sup> Refer to FAVIR, Officer Instructions section, and follow any specific officer instructions for verification and inspection of the shipment. If a preleared shipment lacks a specifically titled instruction for the commodity or for a required treatment verification at the port of arrival (cold treatment or foreign site irradiation, for example), verify the preleared status following the steps outlined in the procedure titled, *Preleared Commodities Not Covered by a Specific Special Procedure or Officer Instruction*.**

Monitor unloading of bulk shipments that include both preleared and noncleared cargo to prevent commingling. Ensure the placement of preleared and noncleared cargo in separate areas using **either** of the following methods:

- a. If there is one warehouse site, remove the preleared cargo before unloading the noncleared cargo. **or**
- b. If there are separate warehouses or a separation in the warehouse (floor to ceiling and buffer zone), off-load the cargo to the appropriate section.

When the monitoring or inspection of preleared cargo reveals noncompliance and/or additional quarantine action is required, the CBPAS will take appropriate safeguarding action. The CBPAS will notify APTL though appropriate channels.

Continue to ***Post Inspection Steps*** on **page 2-1-15**.

**Preleared Commodities Not Covered by a Specific Special Procedure or Officer Instruction**

RELEASE consignments of preleared fruits and vegetables that lack other specific instructions for officers or special inspection procedures, provided all other import conditions and the quantities/seals are in order.

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<sup>2</sup> PPQ Form 203 may also be emailed or FAXED by APHIS-IS.

1. Review the PPQ Form 203 (yellow or white), Foreign Site Certification of Inspection and/or Treatment, or an electronic message, to verify whether APHIS precleared the consignment. If the consignment **does not** come directly from the country of origin then proceed to **Table 2-1-6** and check the integrity of the seals.
2. Compare the PPQ Form 203 to other supporting documentation or information. Confirm that the information and conditions contained on the preclearance form agree with the cargo manifest and/or other Customs entry documents. Check the commodities and their quantity listed on the PPQ Form 203. Proceed to **Table 2-1-5**.

**TABLE 2-1-5: Check Quantities of Produce Authorized**

<b>If the quantity of each commodity listed on the PPQ Form 203 is:</b>	<b>Then:</b>
Greater than or equal to the quantity listed on the supporting documentation	CONTINUE to <b>No. 3.</b> below
Less than the quantity listed on the supporting documentation	1. HOLD the consignment and check the seals to ensure the entire shipment has been precleared 2. CONTINUE to <b>Table 2-1-6</b>

**TABLE 2-1-6: Action to Take Based on the Integrity of Seals**

<b>If, upon verification, the seals are:</b>	<b>Then:</b>
Intact	CONTINUE to <b>No. 3.</b> below
Broken at the port of arrival	
Broken before arrival	CONTACT PPQ HQ Preclearance and Offshore Programs via APTL
Missing	

3. If the commodity was cold treated for internal feeders, refer to **Cold Treated Commodities**.<sup>3</sup>
4. Follow any special instructions such as treatment verification, inspection procedures, fruit cutting, etc.
5. If determined that the entire shipment has been precleared, **RELEASE**. Otherwise, **CONTACT PPQ HQ Preclearance and Offshore Programs via APTL**.

<sup>3</sup> This document, which provides the inspection and sampling procedure for cold treated fruit, is available to **authorized personnel only**.



## Inspecting Animal Material

For APHIS purposes, regulated animal material includes meat, bones, blood, milk, eggs, hides, organs and pet food. Refer to the [Animal Product Manual](#) to determine admissibility and to confirm a country's disease status. Contact your local Plant Protection and Quarantine Agricultural Quarantine Inspection Veterinary Medical Officer (PPQ AQI VMO) or a PPQ HQ Staff QPAS VRS Veterinarian for current information on VS-defined regions in areas defined as "regionalized countries."

To determine the entry requirements for earthworms, insects (including bees), snails, and similar organisms, refer to the [Miscellaneous and Processed Products Manual](#).

### Animal Product/Animal By-Product On Hold Shipment Release Request

If an animal product/animal by-product shipment is put on hold that requires a release from USDA/APHIS Veterinary Services National Center for Import and Export (VS/NCIE), Technical Trade Services Product Staff (TTSPS), and an Emergency Action Notice (PPQ Form 523) has not been issued, then inform the broker/importer to provide the information listed below (as applicable) to USDA/APHIS/VS/NCIE/TTSPS (see [On Hold Shipment](#)).

- ◆ On hold shipment notification form
- ◆ A copy of the shipping invoice or manifest
- ◆ The bill of lading, air waybill or tracking receipt
- ◆ Foreign government certification
- ◆ Valid Veterinary Services import permit
- ◆ A phone and fax number of the port where the shipment is being held
- ◆ CBP document outlining the reason for the quarantine

Instruct the broker/importer to use the [On Hold Shipment Notification Form](#) to request a release of the on hold shipment from USDA/APHIS/VS/NCIE/TTSPS.

For more information, contact VS/NCIE/TTSPS at 301-851-3300.



If the animal product/animal by-product shipment placed on hold has been issued an Emergency Action Notification (PPQ Form 523) then the shipment **must** be destroyed or re-exported. Do **not** inform the broker/importer to call USDA/APHIS/VS/NCIE/TTSPS for assistance to release the shipment if a PPQ Form 523 has been issued, because the shipment will **not** be released by USDA/APHIS/VS/NCIE/TTSPS once a PPQ Form 523 has been issued.



Refer to **Table A-1-36** on **page A-1-125** for instructions on initiating an Emergency Action Notification (PPQ Form 523).

### Live Animals

Cargo may consist of live animals that may **not** be eligible for entry into the U.S. Refer to local VS for procedures on safeguarding live animals, including poultry and VS-regulated aquaculture.



Do **not** handle live animals, except pet birds or smuggled birds as necessary! Use appropriate personal protective equipment when handling birds per CBP policy if the birds are from VS-defined regions considered to be affected with Highly Pathogenic Avian Influenza (HPAI) or Exotic Newcastle Disease (END).

### Animal Products and By-products

If you know there is prohibited material or restricted material that does **not** meet animal health entry requirements aboard, **do not** allow off-loading until you are satisfied adequate safeguarding procedures are in place to hold and control the movement of the prohibited material at the port of arrival. If the carrier arrives with prohibited material aboard, take the following action:

1. Safeguard the product until it is disposed of.
2. If contamination is present, refer to **Table 2-1-7** on **page 2-1-14**. After disinfecting, proceed to **3.** below.

**TABLE 2-1-7: Action to Take if Contamination is Present**

If the carrier is:	Then:
An aircraft	GO to <b>Cleaning and Disinfecting</b> on <b>page 3-2-6</b> in the chapter <b>Examining Carriers</b>
<b>Other than</b> an aircraft	GO to <b>Cleaning and Disinfecting</b> on <b>page 6-1-9</b> in the chapter <b>Preventing the Spread of Pests and Diseases</b>

3. Give the consignee these options to complete within specified time frame:
  - A. Reexport
  - B. Incinerate to ash
  - C. Sterilize at 212 °F internal temperature for 30 minutes

If none of the options are possible, contact Headquarters QPAS VRS at 301-851-2295.

4. If the importer fails to take the appropriate action, issue a violation and complete **PPQ Form 518, Report of Violation** on **page A-1-110**. See **Violations** on **page 8-1-1** for additional information.
5. Complete **PPQ Form 523, Emergency Action Notification** (see **Table A-1-36** on **page A-1-125** for directions).

Refer to **Documenting Action Taken** on **page 2-1-20**.

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## Inspecting Miscellaneous Material

Refer to the *Procedures* and *Reference* sections of the **Miscellaneous and Processed Products Manual** to regulate the importation of miscellaneous material of non-plant origin regulated by Plant Protection and Quarantine. Follow the general inspection procedures in the *Procedures* Section.

Examples of miscellaneous material of non-plant origin follow:

- ◆ Containerized cargo that is packaged in jute or burlap
- ◆ Maritime containers (including reefers)
- ◆ Household goods
- ◆ Used bags, bagging, and covers
- ◆ Used farm tractors, machinery, or vehicles

Determine whether the contents of the shipment are regulated by PPQ. If the article is **not** regulated, consider the article's risk of carrying pests, prohibited packaging, or contaminants. Use the Reference Section of the **Miscellaneous and Processed Products Manual** to determine if the shipment's contents are regulated. Also, read what your authority is for taking action to help you evaluate the pest risk.



Follow the *Safety Instructions When Inspecting Certain Categories of Cargo* in the **Miscellaneous and Processed Products Manual**.

Continue to **Post Inspection Steps** below.

## Post Inspection Steps

After reviewing the shipment by paperwork or physical inspection, you may decide to continue to hold the shipment for these reasons:

- ◆ Identification of pests
- ◆ Verification of a requirement
- ◆ Review of appropriate import permits
- ◆ Review of other official foreign documentation
- ◆ Gathering of additional shipment details, such as the following:
  - ❖ Ingredients list
  - ❖ Processing statements
  - ❖ Destination of shipment
- ◆ Contamination that needs to be cleaned, treated, or removed

Capture that hold information and provide the information to the appropriate parties involved, such as the broker, steamship line, importer, etc. Follow the guidelines used at your port to undertake this important step in the clearance process.





If you find a pest, contamination (soil, weed seeds, prohibited plant parts, garbage, etc.), or prohibited cargo, safeguard the cargo to minimize the risk of pest dissemination or accidental release.



If recycling materials imported as cargo consist of clean food containers, import is authorized without further treatment.

Refer to **Table 2-1-8** on **page 2-1-17** for guidance on taking further action.

**TABLE 2-1-8: Taking Action Based on Findings**

If:	And:	Then:
The pest(s) found are <b>only</b> of an organism for which you have earned Cargo Release Authority (CRA)	You recognize the pest as a non-regulated pest of cargo which is on both your earned list and one of the <a href="#">NIS CRA Taxa Lists</a>	RELEASE the shipment
<b>Not</b> as above		FOLLOW the instruction in <a href="#">Preparing Plant Pest Interceptions</a> on <a href="#">page 7-1-1</a>
You find the article contaminated with soil		Have the soil removed and disposed of (refer to the <a href="#">Miscellaneous and Processed Products Manual</a> ).
You find the imported article visibly contaminated with regulated garbage	The imported article is a vehicle that can be cleaned and disinfected at an approved facility	ALLOW movement to the approved facility
	The imported article is <b>not</b> a vehicle <sup>1</sup> or it is a vehicle that <b>cannot</b> be cleaned and disinfected	The article <b>must</b> be exported [7 CFR 330.400 (a)(2) and 9 CFR 94.5 (a)(2)]
The cargo <b>does not</b> meet entry requirements per the animal regulations		1. REFUSE ENTRY 2. RE-EXPORT or DESTROY  (USE standard regulated garbage handling procedures <sup>2</sup> for destruction)
The cargo is prohibited by plant regulations		FOLLOW the guidance in the appropriate import manual

- 1 Consult the local AQI VMO for guidance if the imported article is **other than** a vehicle. Waste material, such as recycling material, **must** be clean upon arrival.
- 2 Consult the AQI VMO for guidance on handling large amounts of prohibited animal products and by-products.

If you find **no** quarantine or regulated pests, contamination, or other reasons to prohibit or restrict the cargo and are ready to release the shipment, go to [Documenting Action Taken](#) on [page 2-1-20](#).

## Inspecting Cargo Holds

Inspect self-contained cargo holds that have separate compartments with walls in the following manner:

Inspect each cargo hold separately by selecting a representative sample. Close each hold after selecting the sample. Refer to [Table 2-1-9](#) on [page 2-1-18](#).

**TABLE 2-1-9: Action to Take on Pests Found in Holds**

<b>If inspection reveals a pest that is:</b>	<b>And the pest is:</b>	<b>And you:</b>	<b>And after ID the pest is:</b>	<b>Then:</b>
A hitchhiking pest	Found at large or in open containers	Have cargo release authority (CRA) for all pests found <sup>1</sup>	→	RELEASE the shipment
		<b>Do not</b> have CRA for all pests found	Actionable	REQUIRE action for the contents of the cargo hold
			<b>Not</b> actionable	RELEASE the shipment
	Found in enclosed containers <sup>2</sup>	Have CRA for all pests found <sup>1</sup>	→	
		<b>Do not</b> have CRA for all pests found	Actionable	FOLLOW instructions from the USDA-APHIS-PPQ Plant Inspection Station that made the final determination <sup>3</sup>
			<b>Not</b> actionable	RELEASE the shipment
<b>Not</b> a hitchhiking pest, but one associated with a host	→	Have CRA for all pests found <sup>1</sup>	→	
		<b>Do not</b> have CRA for all pests found	Actionable	FOLLOW instructions from the USDA-APHIS-PPQ Plant Inspection Station that made the final determination <sup>3</sup>
			<b>Not</b> actionable	RELEASE the shipment

- 1 To determine the need to submit the pest(s) to the Area Identifier, use the “PestID Data Entry Job Aid” in the “Job Aids” section of the CBPnet.
- 2 For example, cardboard boxes with lids (6 covered sides and reduced number and size ventilation holes).
- 3 The Plant Inspection Station may consider the following factors when action is required and when treatment is selected:
  - Grower
  - Lot number
  - Packing shed designation

## Controlling Barge Shipments

Since barges are vessels, you **must** control all barge shipments that are likely to present a pest risk. One primary interest in barge shipments is unmarked wood packaging materials including dunnage. Regulations for wood packaging materials (WPM) are listed in 7 CFR 319.40-3. Information on regulating WPM is available in the [Miscellaneous and Processed Products Manual](#).

Empty barges may carry dunnage residue. Do **not** allow the discharge of unmarked dunnage, and safeguard infested dunnage on board. If a barge of interest is moving to an inland destination, alert the CBP inland destination about the condition of the dunnage on board. Refer to **Table 2-1-10** on **page 2-1-19** to determine where to inspect the barge.

**TABLE 2-1-10: Determine Where to Inspect the Barge**

If the barge is:	And the:	And:	Then:
Moving to an inland location that is covered by CBP	CBP office can inspect the incoming barge shipment	→	1. AUTHORIZE MOVEMENT to the inland location for clearance by CBP 2. SEND a copy of the Hold to the inland CBP office
	CBP office can <b>not</b> inspect the incoming barge	→	REQUIRE removal of dunnage for inspection at the port of arrival
<b>Not</b> moving to an inland location that is covered by CBP	Barge is empty	Barge is safely accessible	INSPECT for dunnage
	→	Barge is <b>not</b> safely accessible	REQUIRE removal of dunnage from barge
	Barge is <b>not</b> empty	→	REQUIRE removal of dunnage for inspection

### Notice to Inland Ports

Using a compliance agreement may be helpful in controlling unmarked dunnage from barges. When completing a compliance agreement, incorporate the following considerations:

- ◆ Obtain a compliance agreement template from APHIS PPQ
- ◆ Refer to **Completing a Compliance Agreement (PPQ Form 519)** on **page B-1-11**
- ◆ Require notification when dunnage is removed
- ◆ Make work plans that include a regular schedule for monitoring

When you intercept a plant pest in properly marked dunnage that is confirmed by USDA APHIS personnel to be quarantine significant and requires a quarantine action, initiate an Emergency Action Notification. If the barge has moved inland, notify CBP at the next port of arrival by providing copies of **PPQ Form 523, Emergency Action Notification** on **page A-1-119** and **PPQ 309, Pest Interception Record** on **page A-1-99**, if needed.

## Documenting Action Taken

Document all regulatory action you take in response to a hold placed on cargo. Interested parties may need to know the final action you have taken in response to the hold. A release serves as a notification to interested parties that the cargo has met agricultural requirements or that it is authorized to move. Appropriate actions to be documented are:

- ◆ Caution: Shipment Authorized
- ◆ Inspected and Released
- ◆ Prohibited Entry (cargo destroyed or re-exported)
- ◆ Released for Export
- ◆ Seized
- ◆ Treated and Released

Depending on the method of holding cargo used at your port, document your final regulatory action.

Inform private personnel (air carriers, freight forwarders, clerks, brokers) at the cargo offices of the final regulatory action.

### Agricultural Quarantine Activity Systems (AQAS)

Record your inspection data for input into the [AQAS web site](#).

This web site includes databases for:

- ◆ WADS (Work Accomplishment Data System)
- ◆ ***PPQ280***

The PPQ280 is for specific agricultural commodities and Work Accomplishment Data System (WADS) is a tally system for total activities performed by day/month. Both are required systems to use in recording inspection data and totals so risk management priority decisions and policy decisions can be made.

- ◆ AQIM

The completion of AQI Monitoring (AQIM) activities on foreign agricultural cargo is essential to provide valuable risk information. The exam findings and data results are needed to create or revise operational strategies for mitigating the pest risk of foreign cargo.

- ◆ ***PPQ Form 287, Mail Interception Notice***
- ◆ ***PPQ Form 309A, Pest Interception Record Worksheet***
- ◆ ***PPQ Form 523, Emergency Action Notification***



### Cargo Enforcement Reporting Tracking System (CERTS)

All AMS/ATS holds must have an event recorded against them in CERTS before the holds may be removed. This includes non-intrusive inspections (NII), physical examinations, and non-examination events.

### Seized Assets and Case Tracking System (SEACATS)

Initiate seizure case for seized agricultural merchandise.

## Reshipment of Cargo Infested With Quarantine Significant Organisms

If the importer requests that cargo infested with quarantine significant organisms be reshipped from the United States, follow the instruction in [Table 2-1-11](#) below:

**TABLE 2-1-11: Determine if Infested Cargo May Be Reshipped**

If the cargo request is to:	Then:
Canada	<p>CALL PPQ, Quarantine Policy, Analysis and Support (QPAS) at 301-851-2312, through appropriate channels, and provide this information:</p> <ul style="list-style-type: none"> <li>◆ Confirmed identity and life stage of organism(s)</li> <li>◆ Identity and quantity of infested or infected cargo</li> <li>◆ Identifying marks (such as bill of lading, container number)</li> <li>◆ Origin of cargo</li> <li>◆ Original foreign shipper</li> <li>◆ Consignee (if cargo is moving to Canada or Mexico)</li> </ul> <p>HOLD the cargo; QPAS will contact you on the appropriate action to take</p>
Mexico	PROHIBIT reshipment unless the cargo arrived directly from Mexico
Countries <b>other than</b> Canada or Mexico	ALLOW reshipment of the infested cargo out of North America

## **Special Procedures for Landing Meat Carried as Cargo Aboard U.S. Military Vessels Returning from Foreign Countries**

Follow the special procedures in the order that is listed below for landing meat that is carried as cargo aboard U.S. Military vessels that are returning from foreign countries:

1. Supervise the movement of all meat.
2. Allow meat to move only if it is in unopened cartons.
3. Release the meat without restriction if the cartons are marked by the Defense Procurement Services Center (D.P.S.C.) as a product of the United States. If the meat is **not** so marked, continue to **4**.
4. Allow movement of meat to take place only within the metropolitan area of the port where the meat is off-loaded.
5. Move meat to refrigeration units.
6. Seal refrigeration units until meat is to be loaded on an outbound vessel for use outside the United States.
7. Break the seals and supervise loading of meat back to vessel's stores when meat sealed in refrigeration units is ready for loading on outbound vessel.
8. Contact Headquarters QPAS VRS at 301-851-2295 for approval of any deviations from the above procedures.

# 2

Agricultural  
Clearance

# Examining and Monitoring Cargo

## *Clearing Transiting In-Bond Cargo*

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### Introduction

The Department of Homeland Security (DHS), Customs and Border Protection-Agriculture Programs and Trade Liaison (CBP-APTL) and APHIS carefully monitor the movement of regulated agricultural commodities during the period of time they are transiting the United States, prior to clearance or re-export, to ensure they are adequately safeguarded and re-exported in the specified timeframe. This section provides guidance, consistency, and general rules for the methods, procedures, documentation and action required to authorize and safeguard the movement of prohibited, restricted and admissible cargo of agriculture interest. The policies described herein apply to foreign plant material subject to Plant Protection and Quarantine (PPQ) regulations when moving through a U.S. port for export, or past the first port of arrival for final action at another location.

APHIS issues both import and transit permits for the entry and movement of foreign regulated plant material. [Transit permits](#) are issued in accordance with the [Code of Federal Regulations Title 7, CFR Part 352 \(Safeguard Regulations\)](#). Regulated agricultural shipments of foreign plant material moving for Transportation and Exportation or Immediate Export will require an approved APHIS transit permit and only permits issued from APHIS headquarters are valid. Most shipments moving under Customs bond as Immediate Transportation or Residue Cargo are covered by other authorization mechanisms.



Refer to the [Animal Product Manual](#) for instructions regarding the regulations for movement of animal products, by-products, and admissible meats for export. USDA-APHIS-NCIE issues transit permits for certain meats.

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## Definitions—Transit Cargo

Definitions of the various types of transit cargo follow:

### **Residue cargo (RC)**

Shipments that remain in the incoming conveyance and move beyond the port of first arrival. The conveyance is cleared at the port of arrival but the RC shipment is cleared at a subsequent location, normally the next port.

### **Immediate Transportation (IT)**

Shipments that enter without clearance at the port of first arrival and move from the port environs to another location for final disposition.

### **Immediate Export (IE)**

Shipments that enter and exit the same port with minimum manipulation and delay, normally exiting within 24 hours.

### **Transportation and Exportation (T&E)**

Shipments that enter through one port and exit through another, often requiring transloading and a change of conveyance or both.

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## Determining Action to Take on Transiting Cargo

Written transit permits are required for regulated commodities that require a written import permit or a phytosanitary certificate or other official certification of origin if they were to make entry. Shipments that require a written transit permit require subsequent tracking and exit monitoring using the “Transit/In-Bond Tracking Database.”

Use [Table 2-2-1](#) on [page 2-2-3](#) to determine if a written transit permit is required.

**TABLE 2-2-1: Determine if a Written Transit Permit is Required**

If the shipment is:	And is:	And:	Then:
Precleared by APHIS <sup>1</sup>		→	<ol style="list-style-type: none"> <li>1. VERIFY precleared status</li> <li>2. ALLOW to proceed without transit permit</li> <li>3. VERIFY exit using routine CBP in-bond procedures</li> </ol>
<b>Not</b> precleared by APHIS	Subject to CITES or ESA	Accompanied by valid CITES documentation	<ol style="list-style-type: none"> <li>1. ALLOW to proceed without a written transit permit</li> <li>2. GO to <b>Table 2-2-2</b> on <b>page 2-2-4</b></li> </ol>
		<b>Not</b> accompanied by valid CITES documentation	<ol style="list-style-type: none"> <li>1. HOLD the shipment</li> <li>2. CONTACT a PPQ Plant Inspection Station botanist for further directions</li> </ol>
	<b>Not</b> subject to CITES or ESA	Requires an import permit, phytosanitary certificate, or other official certification of origin for entry	<ol style="list-style-type: none"> <li>1. REQUIRE a formal written transit permit</li> <li>2. GO to <b>Table 2-2-2</b> on <b>page 2-2-4</b></li> </ol>
		Is prohibited entry into the U.S.	
		Is an admissible Canadian grown plant or plant product or a restricted plant with a CFIA issued phytosanitary certificate indicating “in transit via the United States” that is transiting the U.S. for re-entry into Canada	<ol style="list-style-type: none"> <li>1. ALLOW to proceed without a written transit permit.<sup>2</sup>  Tracking the shipment via the Transit/In-Bond Tracking Database is <b>not</b> necessary.</li> <li>2. GO to <b>Table 2-2-2</b> on <b>page 2-2-4</b></li> </ol>
	Does <b>not</b> require an import permit, phytosanitary certificate, or other official certification of origin, and is <b>not</b> prohibited entry into the U.S.		

1. Precleared shipments require a valid **PPQ Form 203, Foreign Site Certificate of Inspection and/or Treatment** presented to CBP at the port of arrival.
2. Examples of commodities **not** requiring a written transit permit include the following:
  - ◆ Admissible cut flowers that **do not** require a phytosanitary certificate for consumption entry
  - ◆ Agricultural or vegetable seed from Canada **except** those that require an import permit or certification
  - ◆ Cargo moving on an Emergency Action Notification
  - ◆ Fresh fruit and vegetables for consumption grown in Canada (**except** fresh *Allium* bulbs, *Ipomoea aquatica*, corn-on-the-cob, potatoes)
  - ◆ Fresh fruit and vegetables on the “All Countries List” in the *Fruits and Vegetables Import Requirements (FAVIR)* on-line database or the *Fresh Fruits and Vegetables Import Manual*
  - ◆ Frozen fruit and vegetables grown in Canada
  - ◆ Fully processed articles for consumption (i.e. milled flour, roasted coffee or peanuts)
  - ◆ Grain harvested in Canada (except corn and corn relatives, including sorghum, millet, pennisetum, etc.) and grain from other sources that do not require a permit or certification
  - ◆ Non-regulated lumber from Canada (except pine and ash lumber with bark attached)
  - ◆ Products from Mexico that **do not** require an import permit (i.e. bananas, dates, etc.)

**TABLE 2-2-2: Determine Action to Take on Regulated Agricultural Shipments Based on Type of Proposed Movement**

<b>If the movement is:</b>	<b>Then:</b>
RC	GO to <a href="#">Authorizing Movement of Residue Cargo (RC)</a> on <b>page 2-2-4</b>
IT	GO to <a href="#">Authorizing Immediate Transportation (IT) Movement of Cargo</a> on <b>page 2-2-5</b>
IE	GO to <a href="#">Authorizing Movement of Immediate Exportation (IE) Cargo</a> on <b>page 2-2-6</b>
T&E	GO to <a href="#">Authorizing Movement of Transportation and Exportation (T&amp;E) Cargo</a> on <b>page 2-2-7</b>

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## Authorizing Movement of Residue Cargo (RC)

Residue cargo movement by sea or air may be authorized for subsequent movement without a written transit permit if the commodity is admissible without treatment and has no entry restrictions.

Residue cargo that is not admissible must be cleared at the first port of arrival, unless the carrier or importer has a valid written permit that authorizes movement to a port of unloading.

Document review and commodity inspection of the admissible residue cargo will be performed by CBP at the port of unloading.



Live plants, some tree seeds, some CITES material, and some live insects will need to go to the nearest USDA Plant Inspection Station for clearance.

RC shipments of untreated fruit fly host material, which require a transit permit, must arrive in a leakproof, sealed conveyance or container and remain in the conveyance with the hold or container sealed if moving through tropical or subtropical ports.

Any manipulation of RC cargo is subject to CBP AS supervision/monitoring and must be authorized by PPQ as far in advance as possible.

Manipulation of RC cargo must be the minimum necessary to expedite onward movement. Unless covered by a written transit permit, removal of the cargo from the conveyance will **not** normally be authorized unless **one** of the following occurs:

- ◆ Removal is absolutely necessary, such as to adjust trim or arrange containers, and **only** for the minimum time necessary (not to exceed 2 hours)
- ◆ Removal is under unusual circumstances, such as equipment problems, weather, etc.

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### Authorizing Immediate Transportation (IT) Movement of Cargo

National policy and federal regulations state that the first port of arrival is responsible for enforcement of agriculture regulations and inspection of cargo. However, there are situations where this clearance is impossible and IT movement of regulated cargo is permitted. IT movement of a shipment is defined as a shipment that enters without clearance at the port of first arrival and moves from the port environs to another location for final disposition.

Whether a shipment arrives with a written transit permit or the importer requests special movement of the shipment to another port for entry/clearance, prior to authorization of IT movement of a regulated shipment from the first port of arrival, the destination port must be contacted and must confirm acceptance of the IT movement.

If an IT shipment changes carriers but does not clear CBP inspection, then you must assess the pest risk and decide if safeguards are adequate (that pests will not escape) while the off-loaded material is awaiting transshipment. Unless there is a compelling pest risk involved, authorize movement per the IT permit (as applicable) and under CBP custody after contacting a CBP Agriculture Specialist at the destination port to inquire if they will accept IT cargo for clearance, as specified in **Table 2-2-3** on **page 2-2-6**.

**TABLE 2-2-3: Determine What to Do with IT Cargo for Clearance**

If the port:	Then:
Accepts IT cargo for agricultural clearance	<ol style="list-style-type: none"> <li>1. VERIFY that the cargo complies with the terms of the import permit, as applicable</li> <li>2. APPLY any necessary safeguards (e.g., sealing, secure packaging)</li> <li>3. STAMP all pages of CBP entry, "Shipment Authorized, No Diversion Permitted." Do <b>not</b> provide a final release of shipment at first port.</li> <li>4. PROVIDE notification and SEND one copy of CBP entry to the CBP office receiving the cargo</li> </ol>
Does <b>not</b> accept IT cargo for agricultural clearance	<ol style="list-style-type: none"> <li>1. VERIFY that the cargo complies with the terms of the import permit, as applicable</li> <li>2. INSPECT the cargo</li> </ol>

## Authorizing Movement of Immediate Exportation (IE) Cargo

IE cargo movement requires an APHIS transit permit with the exceptions listed in [Table 2-2-1](#) on [page 2-2-3](#). The permit will state the conditions of transit which need to be met to mitigate any pest risks during the transit period.

- ◆ IE movement will **not** be authorized for other than the minimum amount of time and manipulation necessary to expedite onward movement of the shipment. Preferences related to carriers or rates will not be a factor in determining the time or degree of manipulation authorized.
- ◆ Accomplishing IE movement through the transfer of intact sealed containers is preferred. However, the transloading of loose or break-bulk cargo may be authorized if the port is able to monitor. Secure packaging may be required for certain prohibited or restricted commodities.

Shipments that have been refused entry and cannot be treated or are not treated, may be routinely authorized for immediate exportation and need not have a written transit permit but will utilize [PPQ Form 523, Emergency Action Notification](#) as a record of re-export action. VERIFY exit of these EAN shipments using routine CBP in-bond procedures. Tracking the shipment via the Transit/In-Bond Tracking Database is not necessary.

Refer to [Table 2-2-4](#) on [page 2-2-8](#) for handling regulated agricultural shipments that require a written transit permit.



## Authorizing Movement of Transportation and Exportation (T&E) Cargo

Transportation and Exportation (T&E) cargo movement requires an APHIS transit permit with the exceptions listed in [Table 2-2-1](#) on [page 2-2-3](#). The permit will state the conditions of transit which need to be met to mitigate any pest risks during the transit period.

- ◆ T&E shipments of admissible cargo<sup>1</sup> must enter a CBP AS staffed port, but may exit any port provided the route is identified as among the quickest and most direct route to the destination.
- ◆ T&E shipments of restricted<sup>2</sup> and prohibited cargo<sup>3</sup> must enter and exit CBP AS staffed ports except for Mexican citrus and avocado shipments authorized under the conditions described in the permit.
- ◆ The use of overland transportation will not be authorized through regions of the United States that are considered high-risk, or susceptible to pest(s). See [Transit Corridors](#) on [page 2-2-18](#).



Do **not** allow overland movement of regulated cargo without one of the following:

- ◆ A valid transit permit
- ◆ Proof of a transit permit application on file with APHIS
- ◆ PPQ Headquarters authorization

Refer to [Table 2-2-4](#) on [page 2-2-8](#) for handling regulated agricultural shipments that require a written transit permit.

- 1 Admissible cargo: articles that, if presented for consumption entry, are subject to inspection **only**.
- 2 Restricted cargo: articles that, if presented for consumption entry, would be subject to treatment and/or other restrictions in addition to inspection. For example, a commodity that requires a phytosanitary certificate, must be grown in a specific region in the country of origin, or requires treatment as a condition of consumption entry.
- 3 Prohibited cargo: articles that, if presented for consumption entry, would **not** be allowed to enter the U.S. under any circumstances.

Use **Table 2-2-4** below to take appropriate action on regulated agricultural shipments that require a written transit permit.

**TABLE 2-2-4: Determine if Shipment is Accompanied by a Valid USDA APHIS Transit Permit and Take Appropriate Action**

<b>If the shipment is:</b>	<b>And the In Bond type is:</b>	<b>And the movement is:</b>	<b>Then:</b>
Accompanied by a valid USDA-APHIS transit permit	An Immediate Exportation (IE)	→	1. VERIFY permit and ENFORCE permit conditions 2. SAFEGUARD the shipment and MONITOR any transloading activity for restricted and prohibited shipments <sup>1</sup> 3. VERIFY exit using routine CBP in-bond procedures  Tracking the shipment via the Transit/In-Bond Tracking Database is <b>not</b> necessary.
	A Transportation & Exportation (T&E)	By air	
		Overland	1. VERIFY permit and ENFORCE permit conditions 2. GO to <b>Table 2-2-8</b> on <b>page 2-2-12</b>
<b>Not</b> accompanied by a valid transit permit	→	→	GO to <b>Table 2-2-5</b> on <b>page 2-2-9</b>

1 Monitoring a transload means being physically present to mitigate pest risks that occur while the shipment is broken down and re-assembled into the out-going conveyance. A valid compliance agreement and subsequent monitoring of the transload facility can substitute for the physical presence each time by a CBP Agriculture Specialist, if the compliance agreement specifies appropriate safeguards designed to mitigate pest risk and prevent cross-contamination with shipments for entry.

## Authorizing Movement of Agricultural Cargo Without a Written Permit

When a transit permit is required, shipments may not move through the U.S. without a valid transit permit, proof of a transit permit application on file with APHIS, or a PPQ Headquarters authorization. If the importer or carrier does **not** have a transit permit when one is required at the time of entry, then the importer or carrier can apply for a transit permit by using PPQ Form 586. Refer to the [PPQ Permits web site](#) for further information on how to apply for a transit permit or have the importer or carrier contact the Permit Unit at 1-877-770-5990. If the responsible party (importer, carrier, etc.) does **not** apply for a transit permit when one is required, then refuse entry and require immediate exit; **do not seize**.


For more information on Transit responsibilities, refer to [Transit Permit, PPQ Form 597, Responsibilities](#) on [page 2-2-15](#). Use [Table 2-2-5](#) on [page 2-2-9](#) to take action on agricultural regulated cargo after the importer or carrier has demonstrated that they have applied for a transit permit.

**TABLE 2-2-5: Action to Take on Agricultural Regulated Cargo with Proof of Application for a USDA APHIS Transit Permit<sup>1</sup>**

If the shipment consists of cargo that is <sup>2</sup> :	Then:
Admissible <sup>3</sup>	GO to <a href="#">Table 2-2-6</a> on <a href="#">page 2-2-10</a>
Restricted <sup>4</sup>	GO to <a href="#">Table 2-2-7</a> on <a href="#">page 2-2-11</a>
Prohibited <sup>5</sup>	<ol style="list-style-type: none"> <li>1. <b>DO NOT ALLOW</b> overland transit without APHIS HQ authorization or written permit</li> <li>2. APPLY the following safeguards immediately:                             <ol style="list-style-type: none"> <li>a. Cover the shipment with a physical barrier on all sides to prevent pest escape</li> <li>b. <b>Do not</b> allow transloading</li> <li>c. Allow one transfer, but only if supervised by a CBP Agriculture Specialist</li> </ol> </li> <li>3. ALLOW the T&amp;E shipment to return to origin or the IE shipment to exit immediately</li> </ol>



- 1 Proof of Application **must** be **one** of the following:
  - ◆ Confirmation of permit application via e-Permits
  - ◆ Fax receipt showing successful delivery to the APHIS transit desk (fax 301-734-0572)
  - ◆ Verbal confirmation from PPQ Permit Services (301-851-2046 or toll free 1-877-770-5990)
- 2 If a shipment has a mixture that includes restricted material, take action as if the entire shipment consists of restricted material. If the shipment has a mixture that includes prohibited material, **do not** allow the shipment to proceed without a written permit.
- 3 Admissible cargo: articles that, if presented for consumption entry, would be subject to inspection **only**.
- 4 Restricted cargo: articles that, if presented for consumption entry, would be subject to treatment and/or other restrictions in addition to inspection.
- 5 Prohibited cargo: articles that, if presented for consumption entry, would **not** be allowed to enter the U.S. under any circumstances.

**TABLE 2-2-6: Action to Take on Admissible Agricultural Cargo with Proof of Application for a USDA APHIS Transit Permit<sup>1</sup>**

If the bond is:	And the shipment is moving through:	Then:
IE		1. ALLOW to transit For air shipments, do <b>not</b> allow shipment to move beyond the restricted area of the airport. <sup>2</sup> 2. VERIFY exit using routine CBP in-bond procedures Tracking the shipment via the Transit/In-Bond Tracking Database is <b>not</b> necessary.
T&E	A State <b>other than</b> AZ, CA, or FL	1. ALLOW to transit <b>only if the following conditions are met:</b> ◆ Adequate safeguards <sup>3</sup> are in place ◆ Transloading <sup>4</sup> activity is monitored by a CBP Agriculture Specialist 2. GO to <b>Table 2-2-8</b> on <b>page 2-2-12</b>
	AZ, CA, or FL	1. <b>DO NOT ALLOW</b> transit without authorization from APHIS HQ or a written permit 2. APPLY adequate safeguards <sup>3</sup> immediately 3. If APHIS authorizes movement, GO to <b>Table 2-2-8</b> on <b>page 2-2-12</b>

- 1 Proof of Application **must** be **one** of the following:
  - ◆ Confirmation of permit application via e-Permits
  - ◆ Fax receipt showing successful delivery to the APHIS transit desk (fax 301-734-0572)
  - ◆ Verbal confirmation from PPQ Permit Services (301-851-2046 or toll free 1-877-770-5990)
- 2 Movement may be authorized to warehouses in the immediate area if the warehouses have a valid compliance agreement on file with the CBP Agriculture office which specifies safeguards designed to mitigate pest escape and prevent cross-contamination with shipments for entry.
- 3 Adequate safeguards means the shipment is packaged or presented in a way that prevents any chance of pests escaping, including: boxes in the shipment or containers undamaged, not leaking, and pests not present upon a visual examination. For further information, refer to [Safeguarding Cargo](#) on **page 2-2-13**.
- 4 See [Transloading](#) on **page 2-2-14**.

**TABLE 2-2-7: Action to Take on RESTRICTED Agricultural Cargo with Proof of Application for a USDA APHIS Transit Permit<sup>1</sup>**

If the bond is:	And the shipment:	And moving through:	Then:
IE			1. ALLOW to transit <b>only if the following conditions are met:</b> <ul style="list-style-type: none"> <li>◆ Adequate safeguards<sup>2</sup> are in place</li> <li>◆ Transloading<sup>3</sup> activity is monitored by a CBP Agriculture Specialist</li> <li>◆ Air shipments do <b>not</b> move beyond the restricted area of the airport<sup>4</sup></li> </ul> 2. VERIFY exit using routine CBP in-bond procedures  Tracking the shipment via the Transit/ In-Bond Tracking Database is <b>not</b> necessary.
T&E	Meets U.S. entry requirements	A State <b>other than</b> AZ, CA, or FL	1. ALLOW to transit <b>only if the following conditions are met:</b> <ul style="list-style-type: none"> <li>◆ Adequate safeguards<sup>2</sup> are in place</li> <li>◆ Transloading<sup>3</sup> activity is monitored by a CBP Agriculture Specialist</li> </ul> 2. GO to <b>Table 2-2-8</b> on <b>page 2-2-12</b>
	<b>Does not</b> meet U.S. entry requirements	AZ, CA, or FL 	1. <b>DO NOT ALLOW</b> transit without authorization from APHIS HQ or a written permit 2. APPLY the following safeguards immediately: <ul style="list-style-type: none"> <li>a. Cover the shipment with a physical barrier on all sides to prevent pest escape</li> <li>b. <b>Do not</b> allow transloading</li> <li>c. Allow one transfer, but only if supervised by a CBP Agriculture Specialist</li> </ul> 3. ALLOW the shipment to return to origin 4. If APHIS authorizes movement, GO to <b>Table 2-2-8</b> on <b>page 2-2-12</b>

- 1 Proof of Application **must** be **one** of the following:
  - ◆ Confirmation of permit application via e-Permits
  - ◆ Fax receipt showing successful delivery to the APHIS transit desk (fax 301-734-0572)
  - ◆ Verbal confirmation from PPQ Permit Services (301-851-2046 or toll free 1-877-770-5990)
- 2 Adequate safeguards means the shipment is packaged or presented in a way that prevents any chance of pests escaping, including: boxes in the shipment or containers undamaged, not leaking, and pests not present upon a visual examination. For further information, refer to **Safeguarding Cargo** on **page 2-2-13**.
- 3 See **Transloading** on **page 2-2-14**.
- 4 Movement may be authorized to warehouses in the immediate area if the warehouses have a valid compliance agreement on file with the CBP Agriculture office which specifies safeguards designed to mitigate pest escape and prevent cross-contamination with shipments for entry.

**TABLE 2-2-8: Action to Take on Overland T&E Shipments**

If the shipment is at the:	Then:
Port of Arrival	<ol style="list-style-type: none"> <li>1. Review the documentation to ensure that the shipment is en route out of the U.S.<sup>1</sup></li> <li>2. Ensure that the shipment is adequately safeguarded during storage and transfers/transloads at the port. See <a href="#">Safeguarding Cargo</a> on <a href="#">page 2-2-13</a> and <a href="#">Transloading</a> on <a href="#">page 2-2-14</a>.</li> <li>3. Apply seals to restricted shipments moving overland by truck that require treatment or are prohibited for entry and document such action.<sup>2</sup></li> <li>4. Create an entry in the “Transit/In-Bond Tracking Database.”</li> <li>5. Notify the exit port of the pending exit.<sup>3</sup></li> <li>6. Allow to Proceed.</li> </ol>
Port of Exit	<ol style="list-style-type: none"> <li>1. Verify and document in the Transit/In-Bond Tracking Database the integrity of the seal if a seal is required. If seals are not intact, refer to <a href="#">Assessing Civil Penalties for Breaking Seals</a> on <a href="#">page 8-1-5</a>.</li> <li>2. Ensure that the shipment is adequately safeguarded during storage and transloads at the port. See <a href="#">Safeguarding Cargo</a> on <a href="#">page 2-2-13</a> and <a href="#">Transloading</a> on <a href="#">page 2-2-14</a>.</li> <li>3. Verify that the shipment exited within the approved time frame.<sup>4, 5</sup></li> <li>4. If the shipment moves without CBP authorization or violates permit conditions, or did not exit, document the violation by completing PPQ Form 518 and report the violation to IES. See <a href="#">Cargo Violations</a> on <a href="#">page 8-1-2</a>.</li> <li>5. Update and “Close” the entry in the “Transit/In-Bond Tracking Database.”</li> </ol>

1. Verify the in-bond status of the shipment by reviewing the In-Bond Form 7512 and other documents as necessary. Stamp paperwork with “Released for Exportation Only.”
2. A shipping “line seal” is acceptable if it is intact and not tampered with; otherwise apply a CBP seal.
3. Entrance and exit port pairs have the flexibility to coordinate and establish their notification process together for these shipments. Notification can be via fax, email, telephone, or the tracking database. You can do the following:
  - ◆ Use the “T&E Notice of Arrivals” in the “Job Aids” section of the CBP Net
  - ◆ Use the “AQI Export Verification Sheet” (formerly known as the “Green Sheet”) also listed in the “Job Aids” section of the CBP Net
  - ◆ Use “Transit/In-Bond Tracking Database” by clicking on the “Exit Port” View to see a listing of shipments pending for your Port
4. If an “AQI Export Verification Sheet” was dropped off by the trucker, use this form as verification of exit for purposes of updating the Transit/In-Bond Tracking Database.  
  
 For transit shipments that do **not** require a permit, verify exit using routine CBP in-bond procedures.
5. The approved period of time for the transit to occur will be specified on the APHIS transit permit or authorization; the clock starts at the time CBP authorizes movement and ends at the time the shipment physically exits the U.S.

## Safeguarding Cargo

Safeguarding is a preventive action for handling, maintaining, or disposing of prohibited or restricted products and articles to eliminate the risk of plant and animal pest and disease dissemination. These commodities are subject to safeguarding when they are:

- ◆ **Not** unloaded, and the products or articles are temporarily in the United States (freight remaining on board (FOB) or residue cargo)
- ◆ Unloaded for transshipment and direct exportation, Immediate Exportation (IE)
- ◆ Unloaded for transportation and exportation (T&E)
- ◆ Unloaded for entry at a subsequent port (for restricted items)



Prohibited and restricted agricultural cargo may not move to free trade zones (FTZ)

Safeguarding involves various means of cargo control to prevent plant and animal pest and disease dissemination. Apply safeguards that are appropriate to pest risk after evaluating the actual or suspected pests associated with the shipment. Safeguards can include, but are not limited to, the following actions:

- ◆ Supervising transloads to ensure that pests are not present on/ around the shipment or U.S. bound conveyances
- ◆ Applying physical barriers around the shipment to prevent pest escape
- ◆ Ensuring that In-Bond shipments are physically separated from consignments for entry
- ◆ Utilizing and enforcing compliance agreements with the storage/transload facilities

### EXAMPLE

You find a snail on a 20-foot cargo container. To safeguard the container, you might require a salt barrier or require it to be mounted on a chassis and not allow movement from the container yard. These safeguards would prevent pest dissemination that might occur if the container were placed on the ground or transported to a distant location.

## Transloading

Transloading is the manipulation of transiting product, such as a breakdown of pallets, transfer of boxes from container to container, or transfer of pallets from one conveyance to another. A maximum of one transloading may be allowed in the U.S. if authorized by the permit and all of the following apply:

- ◆ Port has sufficient resources to handle monitoring
- ◆ CBP has approved a suitable location
- ◆ Cargo is adequately packaged and can be handled in an expeditious manner
- ◆ Receiving container or conveyance is clean, enclosed, and sealable
- ◆ Transloading is required for the most expeditious onward movement of the cargo
- ◆ Cargo is **not** avocados, untreated citrus or mangos from Mexico or Q-37 material

Monitoring a transload means being physically present to mitigate pest risks that occur while the shipment is broken down and re-assembled into the out-going conveyance. A valid compliance agreement and subsequent monitoring of the transload facility can substitute for the physical presence each time by a CBP Agriculture Specialist, if the compliance agreement specifies appropriate safeguards designed to mitigate pest risk and prevent cross-contamination with shipments for entry.

**Citrus, avocado, and mango shipments from Mexico** may be authorized for transloading twice (at both the port of entry and the port of exit) provided transloading is done within the designated corridor and the ports are able to handle monitoring and truck cleaning.



For shipments of high risk fruit fly host material (e.g. mangos, guavas, etc.), be sure to thoroughly inspect truck trailers for fruit fly larvae and pupae in the floor and drain plugs of the trailer.



Some shipments of untreated fruit fly host material require 1mm x 1mm insect mesh netting as a safeguard. If netting is required by the transit permit, ensure that the netting is intact and there are no holes, gaps, etc., especially near the bottom of the stacks. Netting tends to tear during the course of rough shipments and must be repaired at the time of the transload by the broker. Document any such discrepancies in the Transit Tracking Database.



## Transit Permit, PPQ Form 597, Responsibilities

A permittee with a valid Transit Permit, PPQ Form 597, is responsible for the following:

- ◆ Ensuring cargo handlers, agents, drivers, and other entities involved with handling transit shipments are aware of the provisions of the permit authorization and are able to comply with such provisions. Failure to do so may result in revocation of the permit and assessed possible penalties.
- ◆ Notifying CBP AS immediately at the port of arrival of any deviation of the permit provisions.
- ◆ Providing export documentation (air, rail, and sea modes) that the permitted cargo did, in fact, exit the country. In the case of truck movements, the permittee will maintain copies of import documents verifying that the permitted cargo did enter into Canada or Mexico. The permittee will be subject to audits and monitoring.

Carriers of transit material are responsible for the following:

- ◆ Maintaining the integrity of the permitted cargo through the U.S. All carriers involved with the transit of permitted cargo must be U.S. Customs bonded, and upon request of PPQ, provide proof of their U.S. Customs bond and Internal Revenue Service number.
- ◆ Maintaining the seal on the container.
- ◆ Maintaining secure, refrigerated areas for temporary storage of transit cargo, if required.
- ◆ Maintaining routing as dictated in the provisions of the permit.
- ◆ Reporting immediately to CBP- APTL any cargo that is off-loaded by mistake or any container, carrying transiting cargo, is broken and needs repair.
- ◆ Providing export or import documentation, in the case of importing into Mexico and Canada, to auditors or monitoring personnel.

Brokers handling transit material on behalf of permittees are responsible for the following:

- ◆ Ensuring cargo handlers, agents, drivers, and other entities involved with handling transit shipments are aware of the provisions of the permit authorization and are able to comply with such provisions.
- ◆ Maintaining a list of all the clients and addresses of such clients involved under the broker's permit.
- ◆ Providing export or import documents, in the case of importing into Mexico and Canada, to auditors or monitoring personnel.

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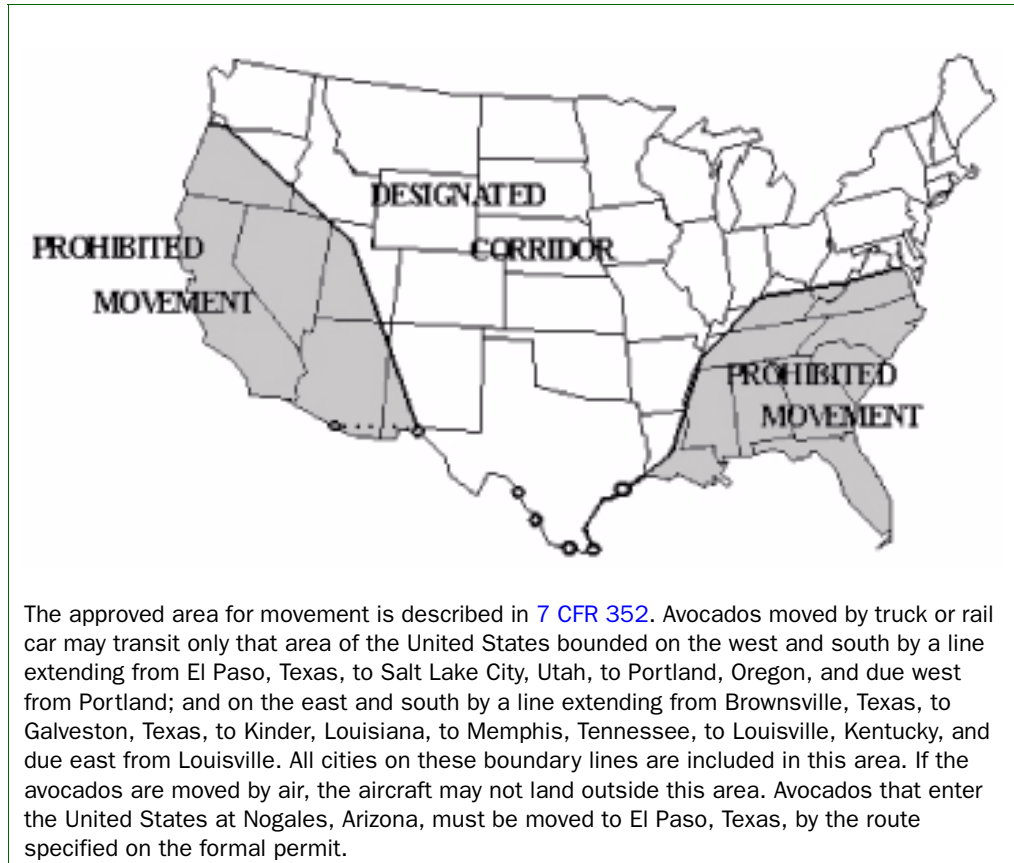
## Additional Definitions

<b>Admissible cargo</b>	Articles that, if presented for consumption entry, would be subject to inspection <b>only</b> .
<b>Areas considered high-risk</b>	Regions, areas, locales, or sites where the probability of the establishment of a pest or pests is believed to be relatively high based on the biology of the pest and the environment into which it is introduced.
<b>Bulk cargo</b>	Cargo <b>not</b> enclosed in a container.
<b>Cargo release authority</b>	Authority to recognize certain organisms found in association with cargo that is issued by the Area Identifier to a CBP Agriculture Specialist based on provisions in the Cargo Release Authority Management Plan.
<b>Commingling</b>	Mixing two or more types of cargo under a single shipping entry, usually in the same conveyance and container. Commodities may be commingled in a shipment (pears and asparagus) or entry types may be commingled (half for U.S. consumption and half for export).
<b>Containerized cargo</b>	Cargo completely enclosed in a durable container that can be sealed and moved without manipulation of the cargo itself. The port of arrival is utilized as the focus for contingency management because it is more likely to have the most information concerning the shipment. However, the port is encouraged to consult Quarantine Policy, Analysis and Support (QPAS) and other PPQ offices, especially those nearest the site of the problem, for guidance and assistance.
<b>Designated corridor</b>	Geographic areas defined by easily recognizable political or other points forming boundaries within which specific activities are authorized.
<b>Designated ports</b>	Ports with Plant Inspection Station responsibilities designated in <a href="#">7 CFR 319.37-14</a> .
<b>Extenuating circumstances</b>	Unanticipated conditions requiring deviations from prescribed policy in order to adjust safeguarding procedures or prescriptions for unique circumstances.
<b>High-risk pest</b>	A pest requiring quarantine action and believed to have the potential for serious damage to economically important plant resources in the U.S.
<b>Inspection</b>	Plant quarantine inspection equivalent to that provided to shipments offered for entry into the U.S.
<b>Manipulation</b>	Handling cargo. Moving, arranging, loading, packing or unpacking, marking, opening, sampling, etc. Manipulation does <b>not</b> include storing, holding, or transporting cargo.

<b>Monitoring</b>	Supervising on an occasional or sporadic basis to ensure compliance with specified conditions.
<b>Pest-proof packages</b>	Packages that are sufficiently sturdy and durable to prevent the entry or exit of pests of concern or vectors of pathogens of concern. Pest-proof packages may be ventilated, but vents must be covered with mesh or otherwise prevent the entry and exit of pests of concern.
<b>Port environs</b>	The area immediately surrounding a port that has been designated by the Port Director as being under the control of a port office.
<b>Prohibited cargo</b>	Articles that, if presented for consumption entry, would <b>not</b> be allowed to enter the U.S. under any circumstances.
<b>Restricted cargo</b>	Articles that, if presented for consumption entry, would be subject to treatment and/or other restrictions in addition to inspection.
<b>Routine authorizations</b>	Authorizations that are issued with relative frequency and which have consistently similar or identical conditions.
<b>Secure area (of an airport)</b>	The area surrounding an airport within which access is limited to personnel approved and appropriately identified for specific work within the airport and adjacent properties.
<b>Secure packages</b>	Packages that are sufficiently sturdy and durable to prevent the spillage of contents. Secure packages may be ventilated, but are not loosely constructed or easily damaged under normal conditions.
<b>Shipper</b>	The agent, person, or Agency responsible for causing a package or article to be transported to the United States. It may be the transport company, owner, or owner's agent.
<b>Transfer</b>	Movement of the entire container of transiting product from one conveyance to the other. In a transfer, there is no manipulation of the components (e.g. boxes, pallets) of the shipment.
<b>Transit</b>	The movement of regulated cargo into or through the U.S. and its territories without establishing the final disposition at the first port of arrival.
<b>Transloading</b>	The manipulation of transiting product, such as a breakdown of pallets, transfer of boxes from container to container, or transfer of pallets from one conveyance to another.

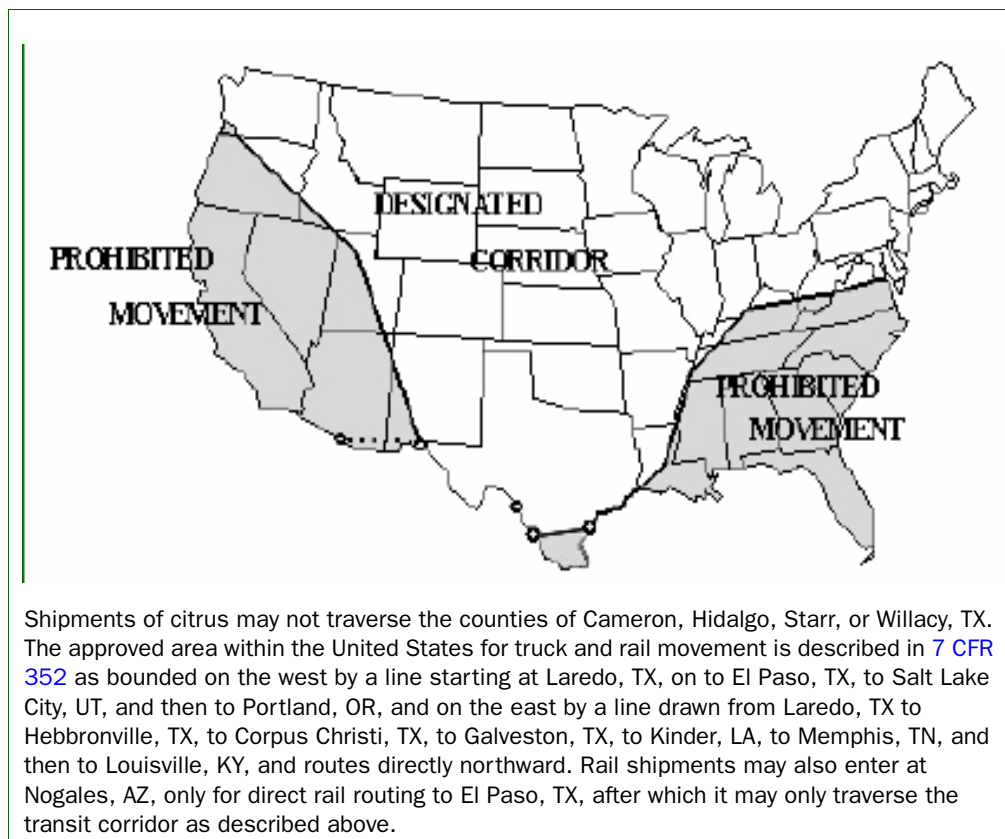
## Transit Corridors

### Transit Corridor for Avocado from Mexico



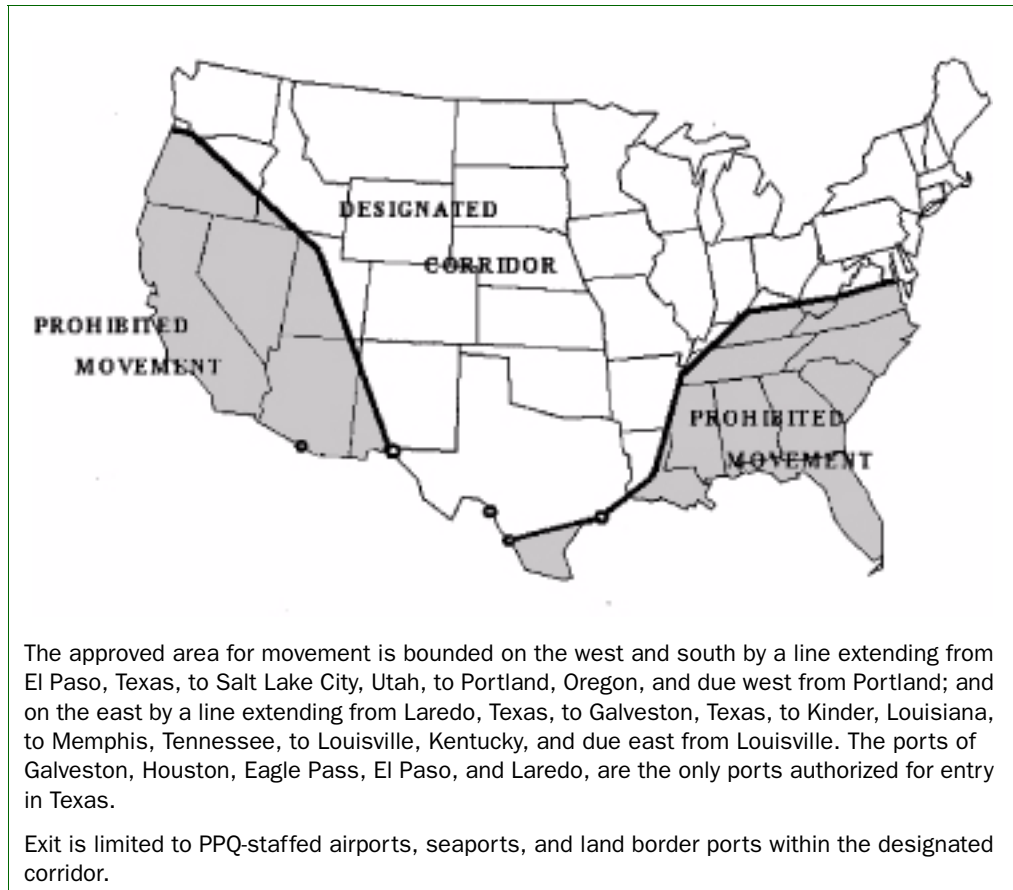
**FIGURE 2-2-1: Designated Transit Corridor for Avocado from Mexico**

## Transit Corridor for Untreated Citrus from Mexico



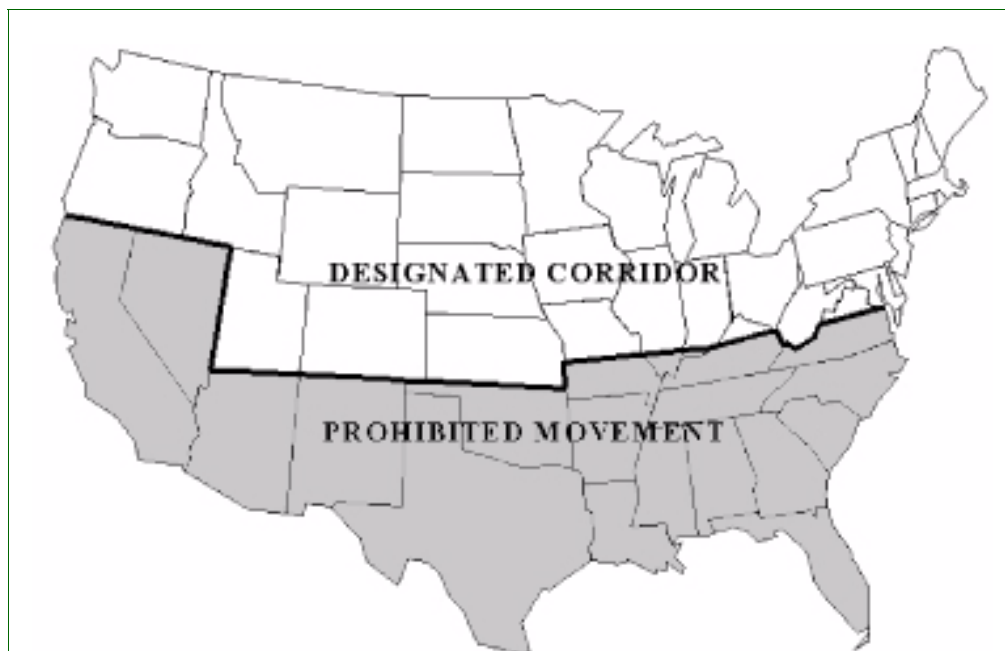
**FIGURE 2-2-2: Designated Transit Corridor for Untreated Citrus from Mexico**

### Transit Corridor for Untreated Guavas and Mangos from Mexico



**FIGURE 2-2-3: Designated Transit Corridor for Untreated Guavas and Mangos from Mexico**

## Transit Corridor for Cotton and Okra



The authority for prescribing an approved area for the movement of cotton and related articles is [7 CFR 319.8-17](#). Cotton and related items from Mexico are handled exactly as they would be if moving from a PBW -infested State in the United States. Cotton and related items from other countries is only authorized for movement through ports outside the corridor if meeting the density and treatment requirements for entry into the United States.

The approved areas for okra mimic the entry conditions described in [7 CFR 319.56-21](#). The transit movement of untreated okra from the Dominican Republic, Mexico, and Suriname may be authorized through any State **except** that movement into or through California is prohibited between March 16 and December 31, and movement into or through any of the areas outside the corridor is prohibited between May 16 and November 30.

**FIGURE 2-2-4: Designated Transit Corridor for Cotton and Okra**





# 3

Agricultural  
Clearance

## Examining Carriers

### *Monitoring Garbage*

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## Introduction

This section provides methods and instructions for controlling and disposing of regulated **garbage** generated on board carriers. Because garbage may contain prohibited items or foreign animal and plant diseases and pests, controlling and disposing of garbage is an essential aspect of protecting American agriculture. Garbage arriving from any place outside the continental United States, **except** Canada, is subject to requirements and safeguards for handling once in the United States. The importation of garbage from all foreign countries **except** Canada is prohibited except as provided in [7 CFR 330.401](#) and [9 CFR 94.5](#) (c). Consult the local AQI VMO for additional information.

Garbage that is aboard an aircraft from Hawaii or Puerto Rico that has undergone APHIS-PPQ predeparture clearance is **not** regulated. For the purposes of this Manual, garbage regulated by USDA-APHIS from outside of the U.S. or Canada and/or arriving from U.S. territories or possessions will be called “regulated garbage.” All other garbage **not** regulated by APHIS will be designated “non-regulated garbage.”

For garbage not generated on board carriers, see Clearing Imported Cargo and Inspecting Cargo Holds, **Post Inspection Steps** on **page 2-1-16**.

All companies that handle, store, transport or dispose of regulated garbage (except handling within the conveyance) must be approved by USDA-APHIS (see **Regulated Garbage Approval Process and Compliance Agreements** on **page B-1-2**) and must be authorized under a compliance agreement in accordance with agricultural regulations except when performing these duties under the direct supervision of CBP or APHIS unless otherwise authorized by the APHIS Administrator. Compliance agreements, written and signed by CBP and/or APHIS, specify the conditions which must be met in order to comply with the requirements of the APHIS garbage regulations ([7 CFR 330.400 – 330.403](#) and [9 CFR 94.5](#)). Templates for compliance agreements are developed by USDA-APHIS-PPQ-QPAS (see **Completing Regulated Garbage Compliance Agreements** in **Appendix B**).

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## All Carriers

### Disposing of Garbage by Approved Methods

The three approved disposal methods for garbage are:

- ◆ Incineration to ash
- ◆ Sterilization (cooking regulated garbage to an internal temperature of 212 °F for 30 minutes)

◆ Grinding and discharge into a sewage system approved by APHIS



Canadian-origin animal products and by-products confiscated at Canadian land border ports and seized for destruction by CBP may be disposed of in EPA approved landfills. Other foreign origin animal products and by-products seized by CBP **must** be disposed of by one of the three approved methods. For further information, refer to [Land Border](#) on [page 3-1-10](#).

### Handling Garbage Spills

Regulated garbage spills outside of enclosed buildings can disseminate animal and plant diseases and pests into the environment. When you detect garbage that has spilled outside the facility, ensure the following steps are taken:

1. Have the gross waste picked up and put into tight, leak-proof, covered containers.
2. Have an absorbent material applied to the spill to absorb excessive liquid, if needed. Remove the absorbent material and treat as regulated garbage.
3. Have the surfaces where the spillage occurred scrubbed with a good detergent solution, then flushed with clean water.
4. Apply the appropriate APHIS authorized disinfectant. Use [Table 3-1-1](#) on [page 3-1-3](#) to select the appropriate disinfectant.
5. Read disinfectant label to determine how long the disinfectant should remain on the surfaces, then flush with clean water.

**TABLE 3-1-1: Select Disinfectant to Use for Garbage Spills**

If the spill occurred:	Then:
Anywhere food is handled or prepared (catering kitchens, galley areas inside aircraft, or trucks used to transport food)	REQUIRE thorough cleaning and allow the use of any sanitizer <sup>1</sup> normally used in areas where food is prepared or handled <sup>2</sup> <div style="display: flex; align-items: center; margin-top: 10px;"> <div style="border: 1px solid black; padding: 5px; background-color: #e0f2f1;"> <p><b>Never</b> use Virkon S®. It is <b>not</b> approved for use around food by <b>either</b> the Food and Drug Administration <b>or</b> the Environmental Protection Agency.</p> </div> </div>
In a nonfood area outside loading docks, ramp areas, dumpsters, vehicles and equipment used for transporting garbage	USE sodium hypochlorite or Virkon S® (see <a href="#">Cleaning and Disinfecting</a> on <a href="#">page 6-1-9</a> in the chapter <a href="#">Preventing the Spread of Pests and Diseases</a> for detailed procedures) <sup>2</sup>

- 1 For example, sanitizers containing chlorine, iodine, and quaternary ammonium compounds. If used inside a passenger plane, the sanitizer must be approved for use by the airline.
- 2 Persons cleaning up spills should wear appropriate personal protective equipment.

## Marking of Garbage

If the firm handles both regulated and non-regulated garbage and separates the non-regulated from the regulated garbage<sup>1</sup>, then ensure that these steps are followed:

1. When regulated garbage is transported together with non-regulated garbage in the same vehicle, apply placards or labels that identify the individual containers or galley equipment as regulated garbage when it is removed from the conveyance. Take all regulated garbage directly to the processing facility for disposal and do the following:
  - ❖ Segregate regulated from non-regulated equipment and material until sterilized, ground, or incinerated either by uniquely colored bag, tag, label or specified location per the compliance agreement in the approved SOP
  - ❖ Allow commingling of regulated and non-regulated material and equipment only if all materials and equipment are treated as regulated
2. Identify containers used for regulated garbage and maintain separately from those containers used for non-regulated garbage by using signs on containers or by placing in a clearly identified location. The signs shall be printed with “Regulated Garbage” or another similar phrase. The lettering on signs and containers should be large enough so that they could be legible from a distance of at least 10 feet.
3. Post or make available the establishment standard operating procedures (SOP) in all work area(s).
4. Remove the container markings and clean and disinfect with an APHIS authorized disinfectant (**Table 3-1-1** on **page-3-1-3**), under the direct supervision of CBP or APHIS, all garbage containers and areas that are used for regulated garbage before using containers and areas for non-regulated garbage, unless non-regulated garbage is handled like regulated garbage.

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1 The APHIS Administrator may authorize alternate methods of marking/handling regulated garbage. Check with the local AQI VMO before allowing any deviation from the above requirements.

## Recycling Materials

The following items, if off-loaded from a conveyance as part of their waste stream, may be recycled under conditions as specified:

- ◆ Aluminum cans, glass and plastic containers (as long as they **never** held milk or other dairy products), if stored separately from food waste or other regulated garbage, and are **not** required to be incinerated or sterilized
  - ❖ Bottles (i.e. beer bottles) with or without pieces of fruit can be recycled; bottles containing fruit that are **not** recycled **must** be incinerated or sterilized
  - ❖ The carrier must store the containers separate from the garbage; **neither** separation **nor** sorting is allowed **off** the conveyance
  - ❖ Cans or containers commingled with or visibly contaminated with garbage require sterilization or incineration
- ◆ Baled, clean, cardboard boxes or paper that are **not** contaminated with animal material and that are **not** meat, egg, or poultry containers, if stored separately from food waste (garbage), are **not** required to be incinerated or sterilized
  - ❖ Cardboard boxes that have held fresh fruits or vegetables may be recycled, if stored separately from food waste; boxes **not** recycled **must** be incinerated or sterilized
  - ❖ If there is baled cardboard or paper that is ready for export to a foreign country, you may allow removal and storage, but **only** if the port where it was off-loaded from the carrier is also the port from which it will be exported
  - ❖ The outer boxes, such as those that contained plastic milk jugs, are unrestricted and are **not** required to be incinerated or sterilized
- ◆ Broken crockery (dishes and plates) that has been cleaned and rinsed, if stored separately from food waste, is **not** required to be incinerated or sterilized; clean broken crockery may be sent to a landfill without being recycled

If, upon inspection, you find the recycled materials, off-loaded from a conveyance as part of their waste stream, are contaminated with regulated garbage, require them to be incinerated or sterilized. For recycling materials imported as cargo and found visibly contaminated with regulated garbage, see Clearing Imported Cargo and Inspecting Cargo Holds, ***Post Inspection Steps*** on **page 2-1-16**.

## Vessels

Shipboarding and garbage monitoring are CBP's enforcement activities<sup>2</sup> to ensure garbage is maintained in a way that reduces the pest risk associated with garbage, thereby preventing the entry and dissemination of plant pests and animal diseases.



Garbage aboard maritime vessels is **not** considered regulated solely based on the fact that the vessel transited through the Panama Canal. Other parameters may cause the garbage to be regulated, such as having foreign origin regulated stores aboard, the vessel being in a foreign port (including one in Panama) within the previous two years without purging, or in a U.S. territory, possession or Hawaii within the previous year without purging, etc. Consult the AQI VMO for additional guidance.

### Materials Needed

To control garbage, you will need the following items:

- ◆ **CBP Form AI-288, Ship Inspection Report** on **page A-1-48**
- ◆ **CBP Form AI-592, Notice of Violation** on **page A-1-61**
- ◆ **PPQ Form 288, Ship Inspection Report** on **page A-1-92**
- ◆ **PPQ Form 518, Report of Violation** on **page A-1-110**
- ◆ **PPQ Form 519, Compliance Agreement** on **page A-1-115**

### Garbage Removal and Disposal

Where facilities exist and are approved by USDA<sup>3</sup> at a port, garbage may be removed from a vessel for approved disposal either by sterilization or incineration. Arrangements for disposal of the garbage **must** be made in advance with the CBP or PPQ office. The removal and disposal of the garbage may be done under direct continual CBP or PPQ supervision. In addition, trained APHIS-approved cruise ship or facility personnel may directly supervise stevedores off-loading garbage from a cruise ship, if the cruise ship or facility accepts all responsibility for the movement. Also, these activities **must** be listed in the cruise ship's or facility's compliance agreement (see [Appendix B, Completing Regulated Garbage Compliance Agreements](#)). Personnel from vessels **other than** cruise ships are **not** authorized to supervise the offloading of regulated garbage.

A further description of conditions that caterers and other handlers of garbage must meet pertaining to equipment used for garbage disposal is found under the section [Monitoring Handlers](#) on **page 3-1-14**.

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2 These activities may also be conducted by APHIS-PPQ personnel on non-military vessels arriving from Hawaii or Puerto Rico.

3 New technology for disposal of regulated garbage must be approved by the APHIS Administrator. See [New Technology and Storage](#) on **page B-1-2**.

Also, for Military vessels, see [Handling Regulated Garbage Aboard U.S. Naval and Coast Guard Vessels](#) on page 3-1-9 and [All Carriers](#) on page 3-1-2.

## Handling Regulated Garbage Aboard Commercial Vessels



If you witness the unsupervised landing of garbage or supervision by **other than** an authorized person, issue a civil penalty to the Captain of the vessel. Complete [CBP Form AI-592, Notice of Violation](#) on page A-1-61 or [PPQ Form 518, Report of Violation](#) on page A-1-110.

Follow these steps when supervising the landing, collection, transportation, heating (sterilization), grinding, or incineration, and disposing of regulated garbage:

1. Require advance notification of the landing of regulated garbage.
2. Allow the landing of regulated garbage **only** under the direct supervision of a CBP Agriculture Specialist or an APHIS-PPQ employee<sup>4</sup>, unless the regulated garbage is removed directly from the vessel by a trained employee of an establishment/cruise ship with a compliance agreement or under the supervision of a compliance agreement holder's trained employee/subcontractor and the activity is documented in the compliance agreement of the establishment/cruise ship (see [Appendix B, Completing Regulated Garbage Compliance Agreements](#)).
3. Confirm that regulated garbage is in tight, covered, leak-proof containers. Plastic bags of 3 Mil (.003-inch) thickness may be used if securely closed and are removed in a manner determined by APHIS or CBP to prevent puncture.
4. Verify that if the regulated garbage is to be moved, it is transported only by a cartage firm under compliance agreement.
5. Require that the garbage either be incinerated to ash (except metal and glass), ground into an approved sewage system, or heated to an internal temperature of 212 °F for at least 30 minutes. The facility heating, grinding, or incinerating the regulated garbage **must** be under a compliance agreement.

## Monitoring/Inspection of Garbage on Board a Vessel

The condition of the garbage containers will be checked on all vessels whether by ship boarding or by monitoring. Monitoring is the periodic supervision of garbage movement and disposal operation from decatering of the carriers to the approved disposal of the garbage.

<sup>4</sup> Depending on local agreements, PPQ Plant Health Safeguarding Specialists may monitor non-military vessels arriving from Hawaii or Puerto Rico.

Monitor a vessel's garbage by observing (aboard or from ashore<sup>5</sup>) the maintenance of garbage aboard the vessel. While a vessel is in port, the following are violations of the garbage regulations:

- ◆ Dumping of garbage into harbor or inland waterways
- ◆ Disposing of garbage in unauthorized manner
- ◆ Keeping garbage containers outside the vessel's railing
- ◆ Leaking garbage containers<sup>6</sup>
- ◆ Uncovered garbage containers<sup>6</sup>
- ◆ Exposed, unrestrained garbage<sup>6</sup>

Seal to prevent use while in U.S. territorial waters, if the vessel's garbage handling equipment includes either of the following:

- ◆ Garbage chutes
- ◆ Garbage containers built into the railing

If the captain or first officer indicated there is a working incinerator, inspect the incinerator for confirmation that it is functional.

When monitoring cruise ships with Bermuda, Caribbean or Mexico itineraries, if they have compliance agreements, take along the [\*\*\*Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage.\*\*\*](#)

## Policy

The policy guidelines on monitoring/surveillance include the following:

- ◆ Vessels not boarded will be monitored when feasible
- ◆ Of vessels boarded, **at least 50 percent** of the vessels boarded will be subsequently monitored while in port

All garbage is regulated on commercial and private vessels traveling between any of the following:

- ◆ Continental United States
- ◆ Foreign countries
- ◆ Hawaii, Puerto Rico, U.S. Virgin Islands and other U.S. territories and U.S. possessions



For garbage handling aboard U.S. Naval and Coast Guard vessels, see [\*\*\*Handling Regulated Garbage Aboard U.S. Naval and Coast Guard Vessels\*\*\*](#) on [\*\*\*page 3-1-9\*\*\*](#)

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<sup>5</sup> Monitor from ashore only if all the conditions of the garbage can be observed from the shore.  
<sup>6</sup> These are violations if found outside, i.e. on deck.



If there are sufficient CBP or PPQ resources available, a maritime vessel can be purged when it is in a continental U.S. port. When a vessel travels solely between ports within the continental United States or throughout Canada, the garbage is **not** regulated. See [Purging Stores and Garbage](#) on **page 3-3-16** for additional information.

### Determining if Vessel Is on Garbage Violation List

Before boarding, find out if the vessel is on the Garbage Violation List. It lists, alphabetically by vessel name, those vessels that are violators (one to two prior garbage violations) and habitual violators (three or more prior garbage violations). The Garbage Violation List (updated monthly) is available to all DHS employees through the CBPNET. USDA-APHIS- PPQ can formally request this list through Customs and Border Protection-Agriculture Programs and Trade Liaison (CBP-APTL).

CBP-APTL maintains the list of garbage violators. When submitting new violations, please include the following information: Carrier, Flag, IMO Number (for targeting), Date, Serial/Case No., CBP Location, Type (garbage or seals), Amount, Violator, Issuing Official. Submit to: [cbp.ofo-apl@dhs.gov](mailto:cbp.ofo-apl@dhs.gov), title the subject "Vessel Garbage Violation," or fax to: 202-344-1442.

Report the violation to a local AQI VMO. For information on assessing civil penalties, see [Ocean Vessel Garbage Violations](#) on **page 8-1-10**. To determine assessments for spot settlements, refer to [Assessing a Spot Settlement](#) on **page 8-1-14**.

### Handling Regulated Garbage Aboard U.S. Naval and Coast Guard Vessels

Handle regulated garbage from U.S. Naval vessels, Coast Guard vessels<sup>7</sup>, and [Military Sealift Command \(MSC\) vessels](#) the same as you would handle regulated garbage from commercial vessels. Only CBP personnel should board military vessels. If regulated foreign stores or domestic regulated plant stores are present and **not** purged or transferred to an outbound vessel, notify subsequent ports of the restricted stores aboard. Intact cartons of U.S. origin meats and poultry and their products **do not** need to be purged from military vessels. See [Purging Stores and Garbage](#) on **page 3-3-16**.

<sup>7</sup> U.S. Naval vessels are those with the designation "USS" followed by the name of the ship. [MSC ships](#) are handled the same as U.S. Naval vessels. Ships under contract to the military, "NOAA" ships or other nonmilitary, government ships are handled as commercial vessels.

If there are **no** regulated foreign stores aboard the vessel, require sterilization, incineration, or grinding into approved sewage system of all garbage aboard the vessel at docking and all garbage produced during the first 24 hours at the first U.S. port. Once the garbage is incinerated, ground, or sterilized at the first U.S. port, any additional garbage produced onboard is **not** regulated and no further action is required at subsequent ports. This is the 24-hour rule.



If foreign stores were present and were purged or transferred to another vessel, document this purging or transfer on **CBP Form AI-288, Ship Inspection Report**. For stores that must be removed, refer to **Monitoring/Inspection of Garbage on Board a Vessel** on **page 3-1-7**. Write "Purged (or Transferred), now Domestic." Advise the Captain to retain the form until the vessel departs the mainland as proof of Domestic status.

If prohibited foreign stores are present as part of the regulated foreign stores, **do not** apply the 24-hour rule. Once the foreign stores are used up or otherwise disposed of, then you may apply the 24-hour rule. Until the regulated stores are used up or disposed of, treat the garbage as regulated while onboard the vessel or while being off-loaded as you would for any other foreign vessel.

To enlist support of APHIS garbage requirements, refer Naval personnel to Naval Supplemental Publication Number 486, Volume 1, to show that Naval policy parallels APHIS requirements for regulated garbage. Refer Coast Guard personnel to their *Subsistence Manual* COMDTINST M4061.3C (Waste Disposal Requirements).



**Do not** issue a civil penalty for a violation aboard a U.S. Naval or **Military Sealift Command vessel**. Issue a warning letter for regulated garbage violation aboard these vessels. See **Figure C-1-1** on **page C-1-1**.

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## Land Border

Ensure regulated garbage is removed from all land conveyances (truck, rail, POV) undergoing inspections upon entering the U.S.

Intercepted quarantine material from foreign countries **other than** Canada **must** be disposed of by one of the following approved methods: (1) sterilization, (2) incineration, (3) grinding into a sewage system approved by the APHIS Administrator, or (4) other method approved in advance by the **PPQ-QPAS Regulated Garbage Program**.

Canadian-origin animal products, by-products, and plant products confiscated at Canadian land border ports and seized for destruction by CBP may be disposed of in EPA approved landfills if **not** co-mingled with seizures from other foreign countries. All seized foreign animal origin materials (other than those from Canada) **must** be disposed of as regulated garbage. Seized foreign plant material **must** be disposed of as regulated garbage unless a Compliance Agreement is in place to address other disposal methods.

### Rail

The regulated garbage onboard freight rail cars arriving from Mexico is collected and safeguarded under compliance agreement. All rail locations **must** be approved by APHIS to handle regulated garbage. CBP ensures that the garbage is returned to Mexico and the rail cars are cleaned and disinfected as needed when regulated garbage is found onboard. Monitor the rail employees to ensure handling activities are consistent with the compliance agreement. Minimally, conduct compliance enforcement visits at least quarterly to ensure that garbage removal, transport, storage, and disposal are accomplished as per the terms of the compliance agreement. Take along the ***Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage***.

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### Aircraft

All foreign origin aircraft should be boarded and cleared of regulated garbage, including those aircraft arriving from CBP preclearance locations. Garbage is regulated on aircraft arriving from non-predeparture locations in Hawaii or Puerto Rico, and from all other U.S. territories and possessions. Contact the local PPQ office in Hawaii or Puerto Rico to determine which flights have undergone predeparture clearance as needed. Also, CBP ensures that caterers/cleaners report in a timely fashion and ensures regulated garbage containers and dumpsters at the airport are properly maintained.

### Materials Needed

To control garbage, you will need the following items:

- ◆ Digital camera
- ◆ ***PPQ Form 518, Report of Violation*** on **page A-1-110**
- ◆ ***PPQ Form 519, Compliance Agreement*** on **page A-1-115**
- ◆ ***CBP Form AI-592, Notice of Violation*** on **page A-1-61**
- ◆ Quarantine tags

You should also be familiar with the operations authorized by the compliance agreements held by caterers, cleaners, haulers and any other compliance agreement holders operating at the airport.

### Determining if Garbage Can Be Unloaded

Check the list of commercial airports in [Appendix E](#) and military bases in [Appendix G](#) to determine if the airport or military base has approved regulated garbage procedures in place. CBP should **not** authorize landing of foreign origin aircraft at locations without APHIS approved regulated garbage handling procedures.<sup>8</sup> If there are no approved regulated garbage handling procedures, then garbage must be removed and incinerated, sterilized, or ground into an approved sewage system under direct CBP supervision. If the airport is approved, then the garbage may be unloaded. See [Table 3-2-2](#) on [page-3-2-6](#) to determine if the aircraft is eligible to move to another U.S. port. Private aircraft **must** be cleared at the first U.S. port of arrival.

### Decatering of Aircraft

Decatering is the process of removing all regulated garbage from the aircraft. Require that the garbage be removed by an approved company or under direct CBP supervision. If from non-pre-departure locations in Hawaii or Puerto Rico, regulated garbage must be removed under direct PPQ supervision, unless local agreements are made with CBP. Otherwise, the regulated garbage must be handled by an APHIS approved company under a compliance agreement. The firm under compliance agreement must meet the following conditions:

1. Meet aircraft on arrival.
2. Remove garbage from aircraft in tight, enclosed (covered), leak-proof (nonleaking), containers<sup>9</sup> and transport to a storage location or to a processing facility approved by APHIS.
3. Ensure that meals, food items, and other regulated garbage items are not removed by unauthorized personnel.
4. Ensure that all requirements, as outlined in the compliance agreement of the catering company (and the cleaning company if applicable) are met.

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<sup>8</sup> Garbage handling activities at airports are approved by the APHIS Administrator. Contact USDA-APHIS-PPQ-QPAS or refer to [Appendix E](#).

<sup>9</sup> 3 Mil plastic bags that are tightly closed may be used to off-load the garbage.

### Monitoring Caterers, Cleaners, and Fixed Base Operators (FBOs)

All caterers, cleaners, and FBOs **must** be approved by USDA-APHIS prior to beginning regulated garbage handling activities without direct supervision by CBP or PPQ. Monitor caterers, cleaners, and FBOs to ensure that they are following the conditions listed in the appropriate Uniform Standards for Compliance Agreements for Regulated Garbage as contained in the company's compliance agreement. Minimally, conduct compliance enforcement visits at least quarterly to ensure that garbage removal, transport, storage, and disposal are accomplished. Monitor from the time that the garbage is removed from the aircraft until the garbage is incinerated or sterilized by the caterer, cleaner, or FBO until the garbage is transported to another APHIS-approved processing facility for incineration or sterilization (see [Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage](#) on [page 3-1-23](#)).

When monitoring caterers, cleaners or FBOs, take along a copy of the signed compliance agreement. Also, take along the [Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage](#). Review the conditions specified in the compliance agreement, and monitor the performance of the firm under agreement for the conditions specified in the compliance agreement. If you detect a violation of the compliance agreement, then see [Compliance Agreement Violations](#) on [page 8-1-12](#).

### Unloading Garbage at Airports Without Garbage Handling Approved by USDA

**Do not** authorize foreign origin aircraft to land at airports that **do not** have approved regulated garbage handling capability unless the aircraft is eligible for a CBP Form AI-250 (see [Documenting Aircraft Clearance](#) on [page 3-2-6](#)) or the garbage handling activities are directly supervised by CBP personnel. If you discover that garbage is being unloaded from an aircraft at an airport where there are **no** regulated garbage handling procedures approved by USDA-APHIS, notify the appropriate airline official and the responsible official from the company off-loading the regulated garbage of the violation and request immediate corrective measures. If the airline official refuses to stop off loading, **do not** physically attempt to prevent off loading of the garbage, but continue to supervise the off loading to ensure the appropriate mitigations are taken to prevent the spread of animal diseases and plant pests. Notify the local PPQ AQI VMO immediately if corrective action is **not** taken by the airline so that a court order may be obtained through OGC. This is a violation of [7 CFR 330.400-330.403](#) and [9 CFR 94.5](#). Take the appropriate actions against the unapproved company handling the regulated garbage. For issuing a violation, follow the procedures in [Regulated Garbage Violations](#) on [page 8-1-6](#).

## Requests for Approval

The airport authority or agents having jurisdiction over an airport's catering or disposal facility must request initial approval of that facility by writing a letter to the APHIS Administrator. Ultimately, it is the airport authority's responsibility to ensure that the regulated garbage at the airport is appropriately handled. The regulated garbage is generally handed off to the local catering company or other on-port handlers. In order to be approved, all aspects of the regulated garbage handling services must be available including the following: collection and removal from aircraft, storage of regulated garbage until processed or removed from airport (if applicable), hauling off airport property to a processor (if applicable) and processing. The process for requesting initial approval is covered in ***Regulated Garbage Approval Process and Compliance Agreements*** on **page B-1-2**.

New technology for processing regulated garbage must be approved by the APHIS Administrator. Storing regulated garbage for longer than 72 hours must also be approved by the APHIS Administrator. The process for requesting APHIS approval of new technology and the process for requesting approval to store regulated garbage for longer than 72 hours are covered in ***New Technology and Storage*** on **page B-1-2**. The process for completing a compliance agreement is covered in ***Completing a Compliance Agreement (PPQ Form 519)*** on **page B-1-11**.

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## Monitoring Handlers

Responsibility for the following monitoring activities may be negotiated and documented at the local level between CBP and PPQ personnel.

### CBP Responsibilities

CBP is responsible for monitoring the activities of these entities:

- ◆ Airports
- ◆ Caterers
- ◆ Cleaners
- ◆ Cruise ships
- ◆ Fixed base operators (FBO)
- ◆ Hauling/cartage firms
- ◆ Military facilities and equipment
- ◆ Storage facilities (including marinas and transfer stations)
- ◆ Rail yards
- ◆ CBP owned and operated equipment/facilities

Every entity handling regulated garbage should be monitored every one to two months, but at least quarterly. CBP is responsible for monitoring port associated processing equipment (i.e. ensuring it is fully functional) during their quarterly enforcement visits at these establishments. CBP is responsible for calibrating/evaluating processing equipment on military bases. CBP is required to conduct compliance enforcement visits at the main facility and all other garbage handling areas to ensure the requirements outlined in the compliance agreement are being met.

### PPQ Responsibilities

PPQ is responsible for monitoring the activities of all stand-alone processing establishments, except for port associated equipment.

Every entity handling regulated garbage should be monitored every one to two months, but at least quarterly. PPQ is required to conduct compliance enforcement visits at the main facility and all other garbage processing areas to ensure the requirements outlined in the compliance agreement are being met.

PPQ is also responsible for calibrating processing equipment at stand-alone processors, caterers, FBOs, cleaners, and other port associated facilities. PPQ **must** complete semiannual calibrations on sterilizers and annual evaluations of grinders and incinerators **except** on military bases.

### Enforcement Visits and Monitoring Activities

Enforcement visits may be announced or unannounced; at least two visits during a 4-quarter period should be unannounced. CBP and APHIS representatives **must** be allowed timely access to all areas where regulated garbage handling occurs (7 CFR 330.403 (b)(2) and 9 CFR 94.5 (e)(2)(ii)). Every entity handling regulated garbage should be monitored every one to two months, but at least quarterly if an establishment has a compliance agreement. There are **no** inactive compliance agreements.

Every time you monitor a facility, document the visit according to local policy and note non-compliant activities. However, all quarterly enforcement visits **must** be documented on the [Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage](#).



Handling regulated garbage without a compliance agreement or under direct supervision by CBP or PPQ is a violation of 7 CFR 330.400-330.403 and 9 CFR 94.5. Take the appropriate actions against the unapproved company found handling the regulated garbage. For issuing a violation, follow the procedures in [Regulated Garbage Violations](#) on [page 8-1-6](#).

Regulated garbage handlers **must** comply with all requirements outlined in the compliance agreement, including:

- ◆ Any plastic bags used in the transport or storage of regulated garbage must be at least three (3) Mil (0.003-inch) thick
- ◆ Regulated garbage must be continually maintained in rigid, tight, covered, leak-proof receptacles
- ◆ Any container used in the transport or storage of regulated garbage must be tight, covered, leak-proof, and appropriately labeled with the words “REGULATED GARBAGE” or a similar acceptable phrase in English and any appropriate foreign language—the lettering on signs and containers should be large enough so that they could be legible from a distance of at least 10 feet
- ◆ Three (3) Mil thick plastic bags may be used to remove regulated garbage from a conveyance if securely closed and handled to prevent damage to the bags; only rigid leakproof containers with tight fitting covers may be used to store regulated garbage outdoors
- ◆ Any container used in the transport or storage of regulated garbage must be capable of being cleaned and disinfected, unless the container is disposed of as regulated garbage
- ◆ All wood surfaces, including floors, walls, and ceilings, must be treated so that wood surfaces are impermeable to liquids
- ◆ Any container used in the transport or storage of regulated garbage must be secured to prevent tampering or unauthorized removal of garbage
- ◆ Storage of regulated garbage must not exceed 72 hours without prior written approval from the APHIS Administrator
- ◆ Regulated garbage must be maintained in a manner so that it is inaccessible to birds, rodents, and other vermin

A compliance agreement holder is **not** required to accept regulated garbage that is not properly contained or handled<sup>10</sup>

CBP and PPQ personnel should collaborate with all compliance agreement holders to ensure that the operating procedures of one compliance agreement holder **do not** violate the requirements of the consecutive compliance agreement holder.

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<sup>10</sup> If a compliance agreement holder refuses to accept a load of garbage, report the incident to the local AQI VMO. Large amounts of rejected cargo or recalled agricultural commodities require approval from APHIS or CBP to be handled in a manner other than required by the compliance agreement.





Additional requirements for regulated garbage handlers and processors are contained within the Uniform Standards for Compliance Agreement Templates in [Appendix B](#).

## Monitoring Processing Equipment

Compliance enforcement visits **must** be conducted to ensure the requirements outlined in the compliance agreement are being met (see [Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage](#) on [page 3-1-23](#)).

## Sterilization

The category of sterilizers include autoclave types (use pressure as part of the sterilizing process) and cooker types (without pressure). All entities **must** be approved by APHIS and operate under a compliance agreement approved by APHIS prior to sterilizing regulated garbage and must comply with all requirements outlined in the compliance agreement, including:

- ◆ Sterilizer must be capable of heating regulated garbage to an internal temperature of 212 °F and maintaining it at that temperature for a minimum of 30 minutes
- ◆ Sterilizer must have an automatic time and chamber temperature recorder (and pressure recorder if appropriate) to permanently document each processing cycle
- ◆ Sterilization cycle must be reevaluated and adjusted twice a year using a thermocouple or a data logger to recalibrate the temperature recording device. Adjusting the sterilization cycle semiannually will assure that all garbage processed is heated to an internal temperature of 212 °F for at least 30 minutes, and that the temperature recording device accurately reflects the internal temperature of the sterilizer.
- ◆ Thermocouple or data logger must be routinely calibrated by a professional company to ensure that the thermocouple is accurate; certificates or records must be made available to APHIS and CBP. APHIS and CBP personnel should also use boiling water to spot check thermocouple thermometer to ensure accuracy. The establishment is responsible for maintaining thermocouples, data loggers, and all other equipment used during calibration to make sure they are in good working order.
- ◆ Operator must date and initial time/temperature records for each batch of garbage sterilized
- ◆ Supervisor must review and sign each time/temperature record
- ◆ Facility must retain records for one year from the end of the month the processing occurred for review by APHIS and CBP

- ◆ All sterilizers and associated parts or equipment, including the drainage system, must be cleaned or otherwise maintained to ensure proper processing and prevent leakage during processing
- ◆ Sterilizer is recalibrated after major repairs or malfunction by an APHIS representative, prior to being used to process regulated garbage

## Monitoring the Sterilizer

Every entity sterilizing regulated garbage should be monitored every one to two months, but at least quarterly. PPQ is required to conduct compliance enforcement visits at stand-alone processors **not** located at the ports of entry, excluding military facilities processing regulated garbage, to ensure the requirements outlined in the compliance agreement are being met. Similarly, CBP is required to conduct compliance enforcement visits at military facilities processing regulated garbage to ensure the requirements outlined in the compliance agreements are being met (see [Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage](#) on [page 3-1-23](#)). CBP will monitor sterilizers at facilities associated with the ports of entry such as caterers, cleaners, FBOs and airport on site sterilizers. PPQ **must** calibrate the equipment at these locations every 6 months. Local agreements may be made to cover these activities. CBP should also monitor sterilizers owned by CBP at least quarterly to ensure proper function. If a sterilizer is used for garbage disposal, then do the following during your monitoring activities<sup>11</sup>:

1. Review the time and temperature record for each batch of garbage to ensure that the minimum internal temperature (212 °F) of the regulated garbage was reached and maintained for at least 30 minutes. Also, confirm that the operator has initialed and dated each record, and that the supervisor of the operator of the sterilizer has signed each record.



Observe all re-evaluations and adjustments. Sterilizer **must** be calibrated after any major repair or malfunction. If a non routine calibration, such as that after a major repair or replacement, PPQ personnel **must** conduct the calibration, regardless of ownership.



If the sterilizer is a Rotoclave with a data logger, a thermocouple probe is not used; the facility technician must monitor and recalibrate in the presence of CBP or PPQ personnel.

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<sup>11</sup> CBP is responsible for quarterly monitoring CBP owned and operated sterilizers, even though there are no compliance agreements.

2. Twice a year, monitor the recalibration of the temperature recording device (the chart outside a sterilizer which displays the temperature of its chamber), and monitor the adjustment of the sterilization cycle. These enforcement activities are conducted to ensure the garbage is heated to a minimum internal temperature of 212 °F for 30 minutes. Use a load of garbage (including the standard number of bags or carts) that is representative of the establishment's usual load. Along with the sterilizer's thermocouple probe (A), an additional thermocouple probe (B) or data logger will be needed, which is to be supplied by the caterer or cleaner. Use the data logger in the same manner as thermocouple probe (B) unless otherwise noted.
  - A. Use the following as a guide when supervising the recalibrating of a temperature recording device:
    - i. If possible, place thermocouple probes (A) and (B)<sup>12</sup> in a container of boiling water to compare the actual temperatures recorded at the boiling point.
    - ii. If there is a difference, have the temperature recording device adjusted by a qualified technician to reflect the actual temperature.

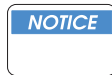


Water at sea level boils at 212 °F. The boiling point drops 1 degree for each increase of 550 feet elevation. (For example, water boils at 202 °F to 203 °F in Denver, Colorado.) Contact QPAS HQ for guidance on handling sterilizers in these locations.

- B. The steps to use as a guide when supervising the adjustment of the sterilization cycle are listed below. The sterilization cycle is the total amount of elapsed time from the time the sterilizer is turned on, until the end of the 30-minute period that the minimum internal temperature is maintained at 212 °F. In addition to the thermocouple probes (A) and (B) or data logger, you will need a watch. The steps are as follows:
  - i. Place thermocouple probe (A) in its holder inside the chamber of the sterilizer. This probe records the air temperature of the chamber.
  - ii. Fill the chamber with the maximum load of garbage.
  - iii. Place thermocouple probe (B) deeply into a potato<sup>13</sup> (do **not** use a potato with the data logger). Place the potato or data logger into a dense portion of the garbage—the lower portion of the front third of the load. This position normally represents the coolest section of the chamber.

<sup>12</sup> The data logger does **not** need to be placed in boiling water but should be professionally calibrated.  
<sup>13</sup> Use a large Russet or similar potato. Potatoes are **not** used with data loggers.

- iv. Start the sterilizer; note the time on your watch and record the time and temperatures of both probes (A) and (B).
- v. Monitor the temperature of thermocouple probes (A) and (B). Record the time and temperature every 10 minutes until probe (B) reaches 190 °F; then record every few minutes after that.



The air temperature of the chamber (identified by thermocouple probe (A) and on the recording device) reaches and exceeds 212°F before the internal temperature of the garbage (identified by thermocouple probe (B) or data logger) reaches 212 °F.

- vi. When thermocouple probe (B) reaches 212 °F, note the time, and record the time and temperature of probe (B). After 30 minutes has elapsed, turn off and discharge the sterilizer. Some operators may want to continue the sterilization cycle for additional time to ensure that the 30-minute time requirement is met during routine processing.
- vii. Look for fluctuations in the temperature; these may represent equipment malfunctions. The total time represents the new sterilization cycle for the sterilizer. Where applicable, note the reading of pounds per square inch (PSI) measurement.



A sterilization cycle usually ranges from 90 to 120 minutes (1-1/2 to 2 hours). Sterilizers (autoclave type) with automated processing cycle settings may have shorter sterilization cycles.

- viii. Compare the new sterilization cycle to the one previously established for the sterilizer. Evaluate the new cycle for major differences from the previous cycle. If there are major or unusual differences, there may be problems with the equipment. Request the company to have the equipment evaluated by a qualified technician. Consult the AQI VMO for additional guidance; you may have to suspend regulated garbage processing activities until the equipment is repaired. If the differences are not major or unusual, note the reason for any difference and maintain the information in the file. Write, sign, and date an addendum with the new temperature/processing time (and PSI, if appropriate) requirements needed to maintain the regulated garbage at 212 °F internal temperature for 30 minutes to the original compliance agreement signed by CBP or APHIS, as applicable, and the responsible establishment employee. The information included in the compliance agreement or addendum must be the same as the load (amount of garbage), temperature, processing time and PSI used during the calibration.



Remember the processing time/temperature (and PSI) requirements **must** accurately reflect those recorded on the permanent chart or record. Charts and/or records reviews during enforcement visits are used to ensure proper equipment function.



A non-pressurized cooker is monitored in the same manner.

## Incineration

All entities **must** be approved by APHIS and operate under a compliance agreement approved by APHIS prior to incinerating regulated garbage and **must** comply with all requirements outlined in the compliance agreement, including the following:

- ◆ Incinerator **must** be capable of reducing garbage to ash, except glass and metal (by policy)
- ◆ Incinerator **must** be maintained adequately to assure continued effective operation
- ◆ Incinerator operation **must** be evaluated at least once annually during a compliance enforcement visit to verify that the incinerator is capable of processing the establishment's regulated garbage. A routine load of the establishment's typical type and size **must** be completely processed at this time.
- ◆ After any major malfunctions or repairs, the incinerator **must** be evaluated by APHIS to ensure proper incineration function

## Monitoring the Incinerator

Every entity incinerating regulated garbage should be monitored every one to two months, but at least quarterly. PPQ is required to conduct compliance enforcement visits at stand-alone processors **not** located at the ports of entry, excluding military facilities processing regulated garbage, to ensure the requirements outlined in the compliance agreement are being met. Similarly, CBP is required to conduct compliance visits at military facilities processing regulated garbage to ensure the requirements outlined in the compliance agreements are being met (see [Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage](#) on [page 3-1-23](#)).<sup>14</sup> CBP will monitor incinerators at facilities associated with the ports of entry such as caterers, cleaners, FBOs and airport on site incinerators. PPQ **must** evaluate and certify the equipment at these locations annually. Local agreements may be made to cover these activities. CBP should also monitor incinerators owned by CBP at least quarterly to ensure proper function.

<sup>14</sup> CBP is responsible for quarterly monitoring CBP owned and operated incinerators to ensure they are working properly, even though there are no compliance agreements.

## Grinding and Disposal

Grinding and discharging into an approved sewage system is allowed. An approved sewage system is a sewage system approved by the APHIS Administrator (9 CFR 94.5 (f)(2) and 7 CFR 330.400 (b)). Septic tanks and other similar systems are **not** approved for use with grinders as the primary disposal process. Contact the local AQI VMO to determine that the system is designed and operated in such a way as to prevent the discharge of sewage effluents onto land surfaces, into lagoons or other stationary waters, and is adequate to prevent the dissemination of plant pests and livestock or poultry disease. The sewage system **must** be certified by an appropriate local, State and/or Federal government official to ensure that it is in compliance with applicable laws for environmental protection.

All entities **must** be approved by APHIS and operate under a compliance agreement approved by APHIS prior to grinding and disposal of regulated garbage in an approved sewage system and **must** comply with all requirements outlined in the compliance agreement, including the following:

- ◆ Grinder **must** be capable of reducing garbage to particles small enough to pass easily into the sewage system
- ◆ Grinder, grease trap, all associated equipment, and pipes, **must** be maintained adequately to assure continued effective operation
- ◆ Grinder operation **must** be evaluated at least once annually during a compliance enforcement visit to verify that the grinder is capable of processing the establishment's regulated garbage. A routine load of the establishment's typical type and size **must** be completely processed at this time.
- ◆ Establishment **must** have procedures in place to sterilize or incinerate materials in contact with regulated garbage and the regulated garbage which cannot be ground and disposed of in an approved sewage system
- ◆ After any major malfunctions or repairs, the grinder **must** be evaluated by APHIS to ensure appropriate disposal

## Monitoring the Grinder

Every entity grinding and disposing regulated garbage in an approved sewage system should be monitored every one to two months, but at least quarterly. PPQ is required to conduct compliance enforcement visits at stand-alone processors **not** located at the ports of entry, excluding military facilities processing regulated garbage, to ensure the requirements outlined in the compliance agreement are being met. Similarly, CBP is required to conduct compliance visits at military facilities processing regulated garbage to ensure the requirements outlined in the compliance agreements are being met (see [Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage](#) on **page 3-1-23**). CBP will monitor grinders at facilities associated with the ports of entry such as caterers, cleaners, FBOs and airport on site grinders used as the primary disposal process. PPQ **must** evaluate and certify the equipment at these locations once a year. Local agreements may be made to cover these activities. CBP should also monitor grinders operated by CBP at least quarterly to ensure proper function.

### Activating Emergency Backup Systems

If a violation causes you to suspend an approved company's regulated garbage handling activities, activate the emergency backup system. It is essential that provisions exist for an alternative method to process or handle regulated garbage in case the primary processing equipment or facility fails or if the compliance agreement holder is otherwise unable to perform their regulated garbage handling duties. Backup systems are **not** for routine use but are initiated in cases of emergency or other non-routine situations. These systems **must** provide for each facet of the establishment's regulated garbage handling activities as appropriate. See [Emergency Backup Systems](#) on **page B-1-10**.

If the establishment commits a serious violation or multiple violations, the company may be required to suspend regulated garbage handling activities and you may recommend that the compliance agreement be cancelled (see [Violations](#) on **page 8-1-1**).

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## Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage

To view the checklist, click [here](#).





# 3

Agricultural  
Clearance

## Examining Carriers

### *Clearing Aircraft*

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#### Introduction

The *Clearing Aircraft* section of Examining Carriers provides guidelines for all aspects of inspecting and clearing aircraft.

#### Materials Needed

You will need these items for inspecting aircraft:

- ◆ Flashlight
- ◆ Hearing protection equipment (ear plugs, headset)
- ◆ Large plastic garbage bags
- ◆ Pill boxes (for large, adult insects)
- ◆ Pocketknife
- ◆ Quarantine tags
- ◆ Vials

For additional equipment, see **Materials Needed** on page 3-1-11.

## Advance Notification of Arrival

You should already have information on the aircraft arrival since the owner/operator or representative is required to provide this information under the provisions of Advance Notification of Arrival as specified in 7 CFR 330.111<sup>1</sup> and reproduced in **Figure 3-2-1** below:

The owner, operator, or other representative of any aircraft or watercraft entering the United States from a foreign country, or arriving in the continental United States from Hawaii or any territory or possession of the United States, shall provide every Plant Protection and Quarantine office (PPQ office) serving a port of arrival on the itinerary of the craft while in the United States with advance notification of intent to arrive at that port. This advance notification of arrival shall:

1. Reach the appropriate PPQ office not less than 12 hours before the craft's estimated time of arrival at the port;
2. Be communicated by radio, wire, telephone, or any other means; and
3. Include the following information:
  - a. The name or other identifying feature of the individual craft;
  - b. The date and estimated time of arrival at the port;
  - c. The location of arrival, providing the most site-specific data available, such as the dock, pier, wharf, berth, mole, anchorage, gate, or facility, and;
  - d. The names of all foreign and non-Continental U.S. ports where any cargo, crew, or passenger destined for the continental United States has boarded the craft since its most recent arrival at a port in the United States.
4. If the craft's estimated time of arrival changes by more than one hour, the PPQ office that serves the port of arrival must be notified and provided with updated information immediately.
5. If the craft's site of arrival changes after a PPQ office has received advance notification of arrival, both that PPQ office and the newly affected PPQ office shall be notified of this change immediately. This applies, too, to site-specific changes involving watercraft.
6. If the craft's point of arrival is an anchorage, the PPQ office shall be notified, as soon as possible after the craft's arrival at the anchorage, of the specific site, such as berth, mole, pier, to which the craft will be moving, as well as of its estimated time of arrival at that site.
7. Aircraft and watercraft meeting any of the following conditions are exempt from the provisions in this section, and need not provide advance notification of arrival:
  - a. The craft is not regularly used to carry passengers or cargo for a fee;
  - b. The aircraft is making a flight scheduled in the Official Airline Guide, North American Edition, or the Official Airline Guide, Worldwide Edition, unless the scheduled time of arrival changes by more than one hour or the plane is diverted to another landing port;
  - c. An inspector has precleared the aircraft in Hawaii, a territory or possession of the United States, or a foreign port, having determined that the aircraft contained only articles that are not prohibited or restricted importation into the United States under the provisions of 7 CFR chapter III and 9 CFR chapter I; or
  - d. Personnel of the United States armed forces, including the U.S. Coast Guard, in Hawaii, a territory or possession of the United States, or a foreign port, have precleared an aircraft, having determined that the aircraft contained only articles that are not prohibited or restricted importation into the United States under the provisions of 7 CFR chapter III and 9 CFR chapter I.
  - e. The owner, operator, or other representative of the aircraft or watercraft not leaving the United States has been informed in writing by a PPQ inspector that notification of intended arrival is not required at subsequent ports in the United States.

**FIGURE 3-2-1: Advance Notification of Arrival of Aircraft and Watercraft**

If you receive a courtesy of the port request, see *Courtesy of the Port for Military and State Aircraft* on **page 3-2-10**.

<sup>1</sup> Although the CFR refers to PPQ, this authority has been delegated to CBP.

## Inspecting Aircraft

Board the aircraft after all the passengers have deplaned. Unless you authorize other personnel to board, **do not** allow caterers, airline ground service personnel, and other personnel (such as contract cleaners or in-flight movie concessionaire) aboard until you have completed your inspection of the aircraft. If inspecting cargo/military aircraft holds, see [Inspecting Air Cargo Holds](#) on **page 3-2-4**.

Look for the following when you inspect the cabin and galley areas on an aircraft:

- ◆ Prohibited stores that might easily be carried off the aircraft by unauthorized personnel
- ◆ Contraband left aboard by crew or passengers

Complete your inspection of the aircraft as quickly as possible so that airline ground handlers, caterers, etc. may begin their jobs. Encourage airlines to have their flight attendants collect and bag fresh fruits for faster clearance. Check to make sure recycled cans or bottles have been maintained separately from food waste before landing. Inspect the following areas aboard the aircraft.

### Galley Areas/Stores

Search the galley storage compartments. Ensure removal of the following items: fresh fruits and vegetables, fresh eggs, poultry, meat, all leftover meals and all other agricultural products that might easily be taken off the aircraft by unauthorized personnel. See [Meals Carried as Stores](#) on **page 3-2-9** for exemptions. If you remove agricultural products, mark the flight number, your initials, date, and stores on the bag so identification can be made when examining the contraband. If you suspect agricultural products are being hidden in sealed liquor stores, you may break airline seals to inspect the cabinets. If unused meals are carried aboard aircraft either in the galley or cargo holds, use [Table 3-2-5](#) on **page-3-2-9** to determine the action to take.

### Passenger/Crew Areas

Search the passenger and crew compartments. Ensure removal of the following items: fresh fruits and vegetables, fresh eggs, poultry, meat, flowers (if not to be safeguarded), all leftover meals and all other agricultural products that might easily be taken off the aircraft by unauthorized personnel. If you remove agricultural products, mark the flight number and quarters on the bag so identification can be made when examining the contraband.

For garbage handling/removal, see [Monitoring Garbage](#) on **page 3-1-1**.

GO to [Documenting Aircraft Clearance](#) on **page 3-2-6** once inspection is complete.

### Inspecting Air Cargo Holds

Look for the following when you inspect the aircraft's holds:

- ◆ Hitchhiking pests aboard the aircraft
- ◆ Contamination of aircraft by soil, animal secretions, or animal residue (blood, manure, urine) or even live/dead animals

Cargo and military aircraft pose a risk for carrying hitchhiking insects. So be sure to inspect carefully for flying insects. When inspecting holds, keep all doors and exits closed until the walk-through inspection is completed. Also look for other plant contaminants or soil. If there is an odor of animals, or animal contamination, question the crew and check the aircraft log to determine if the aircraft previously carried livestock or animal products. Refer to [Table 3-2-1](#) on **page-3-2-5**.

If live animals or animal contamination regulated by Veterinary Services (VS) are present in the aircraft hold, contact VS. See also [Taking Action on Live or Dead Animals](#) on **page 3-2-7**. If the aircraft requires cleaning, see [Cleaning and Disinfecting](#) on **page 3-2-6**.

For garbage handling/removal, see [Monitoring Garbage](#) on **page 3-1-1**.

If unused meals are on board military aircraft, see [In-Flight Meals Aboard Military Aircraft](#) on **page 3-2-9**.

If you find live pests in cargo holds, CONTINUE to [Taking Action on Contaminants and Pests](#) below.

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## Taking Action on Contaminants and Pests

Take action quickly on pests and contaminants found aboard aircraft to prevent risk of pest escape or spread, and to reduce down time of the aircraft for the owner/operator. Use [Table 3-2-1](#) on **page-3-2-5** to determine the action you need to take.

**TABLE 3-2-1: Action to Take on Contaminants and Pests in Aircraft Holds (with or without Cargo)**

If you find:	And you:	And:	Then:
Live pests	Have cargo release authority (CRA) for all pests found <sup>1</sup>	→	RELEASE the aircraft unless soil or animal contaminants are present
	<b>Do not</b> have CRA for all pests found	In holds <b>without</b> cargo	<ol style="list-style-type: none"> <li>HOLD the aircraft and apply T409-b<sup>2</sup> to <b>all</b> affected areas <b>only</b> for live potential quarantine pests to mitigate pest risk (see application rates and limitations for T409-b in the <a href="#">Electronic Index of PPQ Treatment Schedules</a>). <b>Do not</b> delay treatment waiting for pest identification.</li> <li>DOCUMENT the T409-b treatment in the AQAS EAN system. Section #3 of the EAN should list the "Article Name" as <b>Aircraft</b> with a "Description" for <b>Aircraft Holds</b> or a similar facsimile.</li> <li>FORWARD any pest interceptions as "Prompt" or "Routine."</li> </ol>
		In holds <b>with</b> cargo	<ol style="list-style-type: none"> <li>HOLD the aircraft and, <b>before</b> discharging any cargo, apply T409-b<sup>2</sup> to all affected areas <b>only</b> for live potential quarantine pests to mitigate pest risk. <b>Do not</b> delay treatment waiting for pest identification.</li> <li>DOCUMENT the T409-b treatment in the AQAS EAN system. Section #3 of the EAN should list the "Article Name" as <b>Aircraft</b> with a "Description" for <b>Aircraft Holds</b> or a similar facsimile.</li> <li>FORWARD any pest interceptions associated with the aircraft as "Prompt" or "Routine."</li> <li>PROCEED to examination of discharged cargo<sup>3</sup> as outlined in <a href="#">Table 2-1-1</a> on <a href="#">page 2-1-5</a>.</li> </ol>
Soil	→	REQUIRE removal and disposal from the aircraft hold	
Animal contamination	→	CONTACT the local Veterinary Services Veterinarian for information on cleaning and disinfection	

- To determine the need to submit the pest(s) to the Area Identifier, use the "PestID Data Entry Job Aid" in the "Job Aids" section of the CBPnet.
- Organisms such as snails, mites, ticks, khapra beetles, and FNWs are **not** covered by T409.
- Caution:** Application of T409-b to the aircraft does **not** preclude discharged cargo inspection. Live pests associated with discharged cargo require issuance of a separate EAN along with a treatment specific to the pest discovered. **Do not** apply T409-b to discharged cargo.

## Cleaning and Disinfecting

If any article or surface is contaminated with an animal material or with spillage from regulated garbage, then that article or surface must be cleaned and disinfected. If you detect leaks from packages or containers holding prohibited or restricted animal products, then the contaminated pallets, machinery used in handling, dock or warehouse areas used for storage, or trucks or railroad cars used for transporting the products must be cleaned and disinfected before they are reused.



Spills of regulated garbage in food handling and preparation areas should be cleaned and sanitized by the caterer using the caterer's product. The disinfectant used by the caterer should be approved by the Environmental Protection Agency (EPA) for use around food or on surfaces that come into contact with food.

See [Cleaning and Disinfecting](#) on **page 6-1-9**.

## Documenting Aircraft Clearance

Complete PPQ Form 213, Airplane Inspection Report after each aircraft is cleared. You will only need to complete those sections of the form that pertain to the aircraft inspection. (The rest of the form will be completed after all passengers and baggage have been cleared.) See [PPQ Form 213, Airplane Inspection Record](#) on **page A-1-73** for instructions on completing the form.

If you are partially clearing a foreign commercial or military aircraft, you will also need to complete [CBP Form AI-250, Aircraft Clearance or Safeguard Order](#) if the flight is **not** a normally scheduled flight that proceeds for final clearance at another airport. Refer to [Table 3-2-2](#) below to determine the appropriate use of this form.

**TABLE 3-2-2: Determine Whether to Use CBP Form AI-250**

If you are using CBP Form AI-250 for:	Then:
Military Use <sup>1</sup>	See <a href="#">Instructions for Using CBP Form AI-250 as a Safeguard Order for Military Use at the Initial U.S. Port of Arrival</a> on <b>page A-1-40</b> .
Commercial Use <sup>2</sup>	See <a href="#">Instructions for Using CBP Form AI-250 as a Safeguard Order for Commercial Use at the Initial U.S. Port of Arrival</a> on <b>page A-1-42</b> .
Private Aircraft Use	<b>DO NOT</b> use CBP Form AI-250 to clear private aircraft. Private aircraft <b>must</b> be completely cleared at the port of arrival.

1 Includes U.S. Department of Defense aircraft/U.S. Department of Defense-chartered aircraft proceeding on to a military installation.

2 Includes any aircraft, government or non-government, proceeding on to a non-military airport.



For airlines in noncompliance of CBP Form AI-250 instructions, issue **PPQ Form 518, Report of Violation**, citing failure to comply with CBP Form AI-250.



For flights from Hawaii, Puerto Rico, the U.S. Virgin Islands, and for military preclearance, PPQ uses **PPQ Form 250, Aircraft Clearance or Safeguard Order** on **page A-1-77**.

## Taking Action on Contaminated Aircraft

CBP is responsible for safeguarding aircraft contaminated with animal waste such as manure and straw. Notify APHIS Veterinary Services (VS) or the aircraft arrival. VS or their designated representative is responsible for the cleaning and disinfection of these aircraft in accordance with [9 CFR 93](#). Please contact the local Area Veterinarian In Charge as listed in [Appendix H](#) of the [Animal Product Manual \(APM\)](#).

## Taking Action on Live or Dead Animals

If you find animals, use [Table 3-2-3](#) to determine the action to take.

**TABLE 3-2-3: Action to Take if Animals Are Found**

If the shipment is:	Then:
Live animals or dead animals that are part of a live animal shipment	GO TO <a href="#">Live Animals</a> on <b>page 3-2-7</b>
Solely dead animals	GO TO <a href="#">Dead Animals</a> on <b>page 3-2-8</b>

### Live Animals

Live animals are the responsibility of Veterinary Services (VS). Additionally, VS has the responsibility for cleaning and disinfecting the vessel if it held live animals regulated by APHIS. Consult your local VS port veterinarian or Area Veterinarian in Charge (AVIC). Since CBP is often the first to board the aircraft, follow the instructions in [Table 3-2-4](#) on **page-3-2-8** when VS is **not** present to meet aircraft carrying live animals. The aircraft captain is expected to prevent the removal of other animals (including birds) as well as other restricted or prohibited items. Depending on the type of animals, you may also need to contact [U.S. Fish and Wildlife Service \(FWS\)](#).

**TABLE 3-2-4: Action to Take When Finding Live Animals on Aircraft**

If the animal group is:	And the animals are:	Then:
Horse, ruminant, or swine	Aboard the aircraft	1. HOLD the animals aboard the aircraft <sup>1</sup> 2. NOTIFY the Area Veterinarian In Charge (AVIC) or VS Port Veterinarian by telephone
	Off-loaded from the aircraft	1. HOLD the animals and the associated feed, bedding, etc., at the point of discovery <sup>1</sup> 2. NOTIFY the AVIC or VS Port Veterinarian by telephone
Birds (includes poultry and pet birds) <sup>2</sup>	→	1. HOLD the birds 2. NOTIFY the AVIC or VS Port Veterinarian by telephone
Canine <sup>3</sup> (dogs)	Used with livestock <sup>3</sup>	1. HOLD the animals 2. NOTIFY the AVIC or VS Port Veterinarian by telephone
	With open sore(s) <sup>4</sup>	
	Without open sore(s) or <b>not</b> used with livestock	RELEASE
<b>Other than</b> above <sup>5</sup>	→	1. INSPECT cages for prohibited items and have them removed <sup>6</sup> 2. REFER to Fish and Wildlife Service (FWS)

- 1 Consider the welfare of the animals in severe weather. If you authorize movement, supervise cleaning and disinfection performed by an authorized contractor. Ensure all equipment used to move the animals and areas occupied by the animals are cleaned and disinfected. **Do not** allow movement to an area where other animals are present, or away from the immediate area of the point of discovery. **Do not** allow the aircraft to move prior to VS arrival.
- 2 For birds that are **not** owned by a person or included in a shipment (i.e. wild birds), contact the Fish and Wildlife Service for instructions. **Do not** contact VS.
- 3 Dogs kept around livestock may carry tapeworms.
- 4 Could possibly be screwworm, which feeds on living tissue.
- 5 Refer primates to FWS and Centers for Disease Control.
- 6 Allow importer to replace bedding with U.S. origin material.

### Dead Animals

If only dead birds<sup>2</sup>, horses, ruminants, or swine are discovered, then contact VS. CBP should contact [FWS](#) for any additional instructions regarding dead animals other than dead birds<sup>2</sup>, horses, ruminants or swine.

## Taking Action on Animal Contamination

When an aircraft arrives without live or dead animals but you find contamination such as blood, manure, or bedding, contact VS.

- 2 Report only dead birds that are part of a legal or illegal import to VS.



## Meals Carried as Stores

If unused meals are carried aboard aircraft either in the galley or cargo holds, use [Table 3-2-5](#) to determine the action to take.

**TABLE 3-2-5: Determine Action to Take on Unused Meals Carried Aboard Aircraft in Gallies or Cargo Hold**

If the aircraft is originating from:	Then:
Canada	ALLOW the meals to be retained aboard the aircraft
Countries <b>other than</b> Canada	<p>REQUIRE the removal of all meals, milk, and dairy products carried as stores at the first port of arrival, <b>except</b> the following:</p> <ul style="list-style-type: none"> <li>◆ Pre-packaged snacks (such as pretzels, chips, nuts, crackers, cookies)</li> <li>◆ Beverages (such as alcoholic drinks, soda, coffee, juice, tea, water)</li> <li>◆ Condiments (such as ketchup, mustard, salt, sugar, pepper, non-dairy creamer)</li> </ul> <p>DISPOSE OF all unused meals with the other regulated garbage at that location</p>

### In-Flight Meals Aboard Military Aircraft

The purpose of APHIS' policy pertaining to in-flight meals aboard military aircraft is to establish uniform and worldwide policy governing the contents of in-flight meals placed aboard precleared<sup>3</sup> military aircraft. These in-flight meals are for use by crew and passengers returning to the Customs Territory of the United States (CTUS). Our goals are to protect American agriculture while allowing U.S. military personnel to have healthful and nutritious in-flight meals. Both goals can be achieved through the combination of continued regulated garbage compliance in the CTUS and adherence to the policy and procedures that follow.

APHIS maintains an Agricultural Advisor in the European Department of Defense Command who is responsible for the MCI Program there. APHIS Headquarters monitors the preclearance program in the Atlantic, Pacific and Southern Department of Defense Commands. Military bases with in-flight kitchens that are approved and under compliance agreement will be listed in this section. CBP officials in the CTUS occasionally inspect precleared arrivals (**never** to exceed 5 percent) to verify the integrity of these procedures and policy. For additional information contact APHIS-PPQ Preclearance and Offshore Programs – Military at (301) 851-2267.

<sup>3</sup> Military preclearance is the inspection of military passengers and crew members, baggage, cargo, and aircraft airframes outside continental United States to make sure they are in compliance with agricultural regulations prior to their arrival in the U.S. The inspections are carried out by trained and accredited Military Customs Inspectors. Department of Defense regulation DOD 4500.9R Part V. Customs and Border Clearance Policy and Procedures and DOD 4500.54 Foreign Clearance Guide, United States Section authorizes the inspections and preclearance.

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## **Courtesy of the Port for Military and State Aircraft**

The Courtesy of the Port addresses aircrafts that have been given Diplomatic Overflight and Landing Clearance by the Department of State (DOS), Bureau of Political-Military Affairs, and Office of International Security Operations (PM/ISO). Such aircrafts are known as “state aircraft.”

In general, CBP Agriculture Specialists are instructed not to board the foreign government or foreign military aircraft described above. CBP Agriculture Specialists do not board such aircraft out of respect for international agreements between the United States and many foreign countries regarding the sanctity of state aircraft. Also, international custom and practice dictate that, once clearance is given, foreign military aircrafts are exempt from inspection if there is not a specific agreement to the contrary, or unless the right to inspect is asserted in the terms of the diplomatic clearance.

Various international agreements and international custom and practice therefore oblige the United States to protect the sovereignty of state aircraft. These agreements and practices in turn serve to protect the sovereignty and security of the United States and diplomatic aircraft when our President, Diplomats, and soldiers travel abroad. Additionally, the Department of Defense Foreign Clearance Guide gives clear guidance to aircraft commanders that they are not to allow a foreign government official to board their aircraft unless approved by the ambassador or the head of the applicable Service. Foreign governments often have the same expectation of their aircraft commanders.

### **Contraband on Board**

If, however, a CBP Agriculture Specialist has a strong suspicion that the aircraft is being used to transport contraband, or strong suspicion of non-official use of the aircraft, authority to board may be obtained. For example, if CBP officials have credible information regarding contraband on board an aircraft belonging to a foreign nation, DOS may obtain authorization from the government of that foreign country for CBP to board the aircraft. Boarding with permission of the foreign government does not violate principles of sovereignty. If you believe there is a need to board an aircraft that has been granted Diplomatic Overflight and Landing Clearance by DOS, notify the Director of Field Operations (DFO) from your Port of Entry and the Situation Room through your Port chain of command. Notification allows CBP to coordinate with the DOS and that government’s embassy at appropriate levels. CBP may then facilitate a solution to the situation.

Although CBP Agriculture Specialists are not to board such aircraft, all persons equipments, baggage, and cargo that exit the aircraft are subject to normal inspection procedures in accordance with the law, unless separate regulations, agreements, policies, or arrangements apply. For example, heads of state, diplomats, and diplomatic couriers (and their pouches) that are accredited to the United States by the government of that country, may be entitled to certain exceptions. These are addressed in accordance with Directive 3340-032, Processing Foreign Diplomatic and Consular Officials. Regardless of the status of the person or the aircraft, unless prior arrangement is made with CBP, all agricultural products, cut flowers, meat, and garbage must remain on board while the aircraft is in the United States. Therefore, CBP will not ordinarily board nor inspect foreign state aircraft, military or non-military.

### **Extenuating Circumstances**

If circumstances arise in which boarding and inspection are necessary, contact the Director of Field Operations (DFO) from your Port of Entry and the Situation Room at (202) 344-3910, to file a significant incident report (SIR) through your Port chain of command. To verify the issuance of the Diplomatic Overflight and Landing Clearance, contact CBP Headquarters, or PM/ISO at (202) 647-4855 during normal working hours, or their 24-hour operation center at (202) 647-1512.



# 3

Agricultural  
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# Examining Carriers

## Clearing Vessels

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## Introduction

This section provides the standard procedures and guidelines for vessel clearance. Port Directors who need to establish boarding and sealing procedures that deviate from those set down in this manual must get approval from Headquarters Customs and Border Protection-Agriculture Programs and Trade Liaison (CBP-APTL) through the Director of Field Operations (DFO). Examples of situations that may warrant establishing nonstandard procedures like instream boarding are identified where appropriate in this manual. PPQ officials boarding vessels from Hawaii and Puerto Rico should follow the appropriate procedures for clearing these vessels.

### Materials Needed

When inspecting vessels, be sure to have the following materials readily available:

- ◆ Agricultural Safeguard Notices (translated version for non-English speaking crew members)
- ◆ [Animal Product Manual](#)
- ◆ Boarding bag
- ◆ ***CBP Form AI-288, Ship Inspection Report***
- ◆ ***CBP Form AI-591, Notice of Alleged Violation***
- ◆ ***CBP Form AI-592, Notice of Violation***
- ◆ Cleaning and disinfecting equipment
- ◆ Digital camera or camera phone
- ◆ Flashlight
- ◆ Hand lens
- ◆ Hard hat
- ◆ Knife
- ◆ Importation of Plant Products Manuals
- ◆ [Manual for Agricultural Clearance](#)
- ◆ [Plants for Planting Manual](#)
- ◆ [Seeds Not for Planting Manual](#)
- ◆ [CITES I-II-III Timber Species Manual](#)
- ◆ ***PPQ Form 288, Ship Inspection Report***
- ◆ ***PPQ Form 523, Emergency Action Notification***
- ◆ Quarantine tags
- ◆ Sealing cord
- ◆ Seals—strip, (Tyden) strap, and button
- ◆ Vials

## Advance Notification of Arrival

You should already have information on the vessel arrival since the owner/operator or representative is required to provide this information under the provisions of Advance Notification of Arrival as specified in 7 CFR 330.111<sup>1</sup> and reproduced in **Figure 3-3-1** below.

The owner, operator, or other representative of any aircraft or watercraft entering the United States from a foreign country, or arriving in the continental United States from Hawaii or any territory or possession of the United States, shall provide every Plant Protection and Quarantine office (PPQ office) serving a port of arrival on the itinerary of the craft while in the United States with advance notification of intent to arrive at that port. This advance notification of arrival shall:

1. Reach the appropriate PPQ office not less than 12 hours before the craft's estimated time of arrival at the port;
2. Be communicated by radio, wire, telephone, or any other means; and
3. Include the following information:
  - a. The name or other identifying feature of the individual craft;
  - b. The date and estimated time of arrival at the port;
  - c. The location of arrival, providing the most site-specific data available, such as the dock, pier, wharf, berth, mole, anchorage, gate, or facility, and;
  - d. The names of all foreign and non-Continental U.S. ports where any cargo, crew, or passenger destined for the continental United States has boarded the craft since its most recent arrival at a port in the United States.
4. If the craft's estimated time of arrival changes by more than one hour, the PPQ office that serves the port of arrival must be notified and provided with updated information immediately.
5. If the craft's site of arrival changes after a PPQ office has received advance notification of arrival, both that PPQ office and the newly affected PPQ office shall be notified of this change immediately. This applies, too, to site-specific changes involving watercraft.
6. If the craft's point of arrival is an anchorage, the PPQ office shall be notified, as soon as possible after the craft's arrival at the anchorage, of the specific site, such as berth, mole, pier, to which the craft will be moving, as well as of its estimated time of arrival at that site.
7. Aircraft and watercraft meeting any of the following conditions are exempt from the provisions in this section, and need not provide advance notification of arrival:
  - a. The craft is not regularly used to carry passengers or cargo for a fee;
  - b. The aircraft is making a flight scheduled in the Official Airline Guide, North American Edition, or the Official Airline Guide, Worldwide Edition, unless the scheduled time of arrival changes by more than one hour or the plane is diverted to another landing port;
  - c. An inspector has precleared the aircraft in Hawaii, a territory or possession of the United States, or a foreign port, having determined that the aircraft contained only articles that are not prohibited or restricted importation into the United States under the provisions of 7 CFR chapter III and 9 CFR chapter I; or
  - d. Personnel of the United States armed forces, including the U.S. Coast Guard, in Hawaii, a territory or possession of the United States, or a foreign port, have precleared an aircraft, having determined that the aircraft contained only articles that are not prohibited or restricted importation into the United States under the provisions of 7 CFR chapter III and 9 CFR chapter I.
  - e. The owner, operator, or other representative of the aircraft or watercraft not leaving the United States has been informed in writing by a PPQ inspector that notification of intended arrival is not required at subsequent ports in the United States.

**FIGURE 3-3-1: Advance Notification of Arrival of Aircraft and Watercraft**

If you receive a courtesy of the port request, see ***Courtesy of the Port*** on **page 3-3-15**.

<sup>1</sup> Although this CFR refers to PPQ, authority has been delegated to CBP.

## Determining if a Vessel Requires Boarding on Arrival

The first step in clearing a vessel is to determine if boarding is required. If it is, then determine whether boarding is to be on arrival or can be deferred. (Deferred means to board during regular work hours as time permits.) If you determine that boarding is **not** necessary based on your port policy, then monitoring of the vessel's garbage is required. Monitoring procedures are covered in [Monitoring/Surveillance](#) on **page 3-3-14**.



CBP should board all foreign arrivals and coastwise vessels if notified of garbage or sealing problems. CBP is also responsible for boarding foreign vessels transiting Hawaii and Puerto Rico to the mainland. PPQ is responsible for monitoring domestic vessels that go directly from Hawaii and Puerto Rico to the mainland.

### Categories of Vessels Which Require Boarding on Arrival

The following categories of vessels require boarding on arrival:

- ◆ Foreign arrivals, arriving at a sealing port, that are likely to require sealing based on past experience (see [Sealing Stores](#) on **page 3-3-18**)
- ◆ Certain foreign arrivals that may harbor the Asian gypsy moth (see [Special Procedures for Suspect Asian Gypsy Moth \(AGM\) Ships](#) on **page 3-3-28**)
- ◆ Foreign flag, foreign arrivals that will depart for another U.S. port before regular working hours
- ◆ Foreign flag, military vessels
- ◆ Vessels on the current garbage violation list or list of khapra beetle (KB) infested vessels that sailed foreign without treatment
- ◆ Passenger cruise vessels with Caribbean, Mexican or Bermuda itineraries — board up to 10% of these vessels with a current compliance agreement, to monitor for proper catering/garbage handling and adherence to compliance agreement requirements (see [Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries — Passenger Education](#) on **page B-1-29**). Passenger cruise vessels without compliance agreements are subject to routine inspection.
- ◆ Passenger cruise vessels with itineraries other than the Caribbean, Mexico or Bermuda (only if eight or more passengers/crew are being landed)
- ◆ Coastwise arrivals with prior notice of garbage violations, critical pest risk situations, or stores held under seal arriving at another sealing port



## Categories of Vessels Which May Warrant Boarding on Arrival



You must have the approval of CBP APTL Headquarters to include these nonstandard categories of vessels in the board on arrival category.

The following are categories of vessels that may warrant boarding on arrival:

- ◆ Vessels immediately proceeding to locations where boarding is impractical or unsafe
- ◆ Cargo control procedures which require CBP presence on arrival or during cargo discharge, e.g., restricted meat, fresh fruit, cotton at southern ports
- ◆ U.S. military vessels which historically have recurring quarantine violations
- ◆ Vessels docking in proximity to high-risk, agricultural areas (Alabama, California, Florida, Hawaii, Louisiana, Mississippi, Puerto Rico, Texas, or the U.S. Virgin Islands)

### Barges

Since barges are vessels, you **must** control all barges and their cargo and dunnage. Focus your inspection on deck areas. See [Inspecting the Deck](#) on [page 3-3-9](#). Also see [Controlling Barge Shipments](#) on [page 2-1-18](#) for further information.

To determine whether to board vessels on arrival, refer to [Table 3-3-1](#).

**TABLE 3-3-1: Determine Whether to Board Vessels on Arrival**

If the vessel:	And your port:	And your port policy is to:	Then:
Falls into one of the categories for boarding on arrival		→	GO to <a href="#">Inspecting the Vessel</a> on <a href="#">page 3-3-7</a>
Does <b>not</b> fall into one of the categories for boarding on arrival	Has approval from CBP Headquarters to include the category as a board on arrival	→	
	Does <b>not</b> have approval from CBP Headquarters to include the category as a board on arrival	DEFER <sup>1</sup> boarding of vessel	◆ GO to <a href="#">Categories of Vessels for Deferred Boarding</a> on <a href="#">page 3-3-6</a>
		MONITOR vessel	◆ GO to <a href="#">Monitoring/Surveillance</a> on <a href="#">page 3-3-14</a>

<sup>1</sup> Defer means to board during regular work hours as time permits.

### Categories of Vessels for Deferred Boarding

All vessels **not** boarded on arrival are either deferred for boarding or they are monitored for garbage compliance. Use port policy to determine whether to defer boarding or monitor the following categories of vessels. The Port Director or designee determines port policy based on the port's previous experience and workload. If you board the vessel, continue to *Inspecting the Vessel* on **page 3-3-7**. If you monitor the vessel, see *Monitoring/Surveillance* on **page 3-3-14** for instructions.

The following categories are examples of vessels to be boarded as time permits during regular working hours:

- ◆ U.S. military vessels **not** boarded on arrival
- ◆ U.S. flag vessels
- ◆ Private pleasure boats
- ◆ Fishing vessels
- ◆ Coastwise vessels arriving without notice of problems or sealing requirements
- ◆ Vessel which frequently arrives at a port and has demonstrated low risk based on absence of pest risk, garbage problems, significant pest interceptions, or other quarantine problems requiring corrective action

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## Boarding Safety

### Boarding Instream

Boarding vessels instream is a nonstandard procedure. If instream boarding has been approved, follow safety precautions.



When boarding instream, consider your physical capabilities and use a flotation jacket!

If the vessel leaves your port prior to boarding, then notify the next port on the vessel's itinerary to board vessel.

## Inspecting the Vessel

The actions you take during your inspection are going to be determined primarily by three factors:

- ◆ Location of your port (whether you're in a sealing area)
- ◆ Areas of the world the vessel has transited, loaded cargo, and taken on stores (to assess pest risk)
- ◆ If the ship is on a watch list for AGM, garbage violations or identified as having KB (storerooms/galley)



When inspecting cargo holds, refer to [Inspecting Cargo Holds](#) on [page 2-1-17](#).

### Gathering Information

Locate the captain or a responsible vessel's officer to gather information for filling out [CBP Form AI-288, Ship Inspection Report](#). See [Table A-1-7](#) on [page A-1-49](#) for instructions on completing the form. PPQ personnel boarding vessels from Hawaii and Puerto Rico should use [PPQ Form 288, Ship Inspection Report](#). See [Table A-1-27](#) on [page A-1-93](#) for instructions.

The information on foreign ports transited during the voyage can help you assess the areas in which to focus your inspection. Customs Form 1300 lists the complete foreign itinerary of the vessel. During your discussion with the captain, you can also inform the captain of the garbage regulations to be observed while in port. Ask the captain how many cabins have refrigerators and do they allow fruit and meat in the cabins. If the vessel is coming from Africa, Central America, South America, or Mexico, ask if any bee swarms have been sighted. Give the captain a phone number where CBP can be contacted if any swarms are found.

**TABLE 3-3-2: Determine Where to Focus Your Inspection Based on Risk**

If the vessel transited or loaded cargo or stores from:	Then:
Countries infested with khapra beetle	<ul style="list-style-type: none"> <li>◆ INSPECT the vessel for khapra beetle</li> <li>◆ REFER to <i>Special Procedures for Suspect Khapra Beetle (KB) Ships</i></li> </ul>
Africa—all countries on the continent, Belize, Brazil, Colombia, Costa Rica, El Salvador, Ecuador, French Guyana, Guatemala, Guyana, Honduras, Mexico, Nicaragua, Panama, Peru, Suriname, or Venezuela	<ul style="list-style-type: none"> <li>◆ INSPECT the deck area for bee swarms; these countries are known to have Africanized honeybees</li> <li>◆ REFER to <i>Special Procedures for Bee Swarms</i></li> </ul>
Ports in Far East Russia, Japan, North China, or South Korea	<ul style="list-style-type: none"> <li>◆ INSPECT the deck area for Asian gypsy moth</li> <li>◆ REFER to <i>Special Procedures for Suspect Asian Gypsy Moth (AGM) Ships</i></li> </ul>

### Inspecting the Galley and Stores

Inspect the galley and stores and note the quantity and origin of all fresh fruits and vegetables. If you find fresh fruits or vegetables, inspect for pests and see **Table 3-3-3** below.

**TABLE 3-3-3: Determine Whether to Seal Stores**

If your port is in:	Then:
Alabama, California, Florida, Hawaii, Louisiana, Mississippi, Puerto Rico, Texas, or the U.S. Virgin Islands	GO to <i>Sealing Stores</i> on <b>page 3-3-18</b>
St. Lawrence Seaway or Great Lakes	CHECK seals and reseal meats if necessary in support of Agriculture Canada's sealing
<b>Other than</b> the locations listed in the two cells above	<b>DO NOT SEAL</b>

Continue your inspection as follows:

- ◆ Inspect damaged bags of beans and seeds for internal feeders
- ◆ Inspect jute or burlap bags and check seams of dry provisions (flour, rice, grain cereals), and spices carefully for khapra beetle larvae and cast skins
- ◆ Inspect cracks, crevices, storage bins for storage pests

If you find evidence of insects suspected to be khapra beetles, go to *Special Procedures for Suspect Khapra Beetle (KB) Ships* on **page 3-3-63**.

## Inspecting the Quarters

Inspect the quarters as follows:

- ◆ Inspect quarters in a fruit fly sealing area to collect all fruit which requires sealing
- ◆ Inspect quarters when you suspect pet birds are being kept by crew, and/or you want to verify the birds are caged and kept inside a cabin (see [Birds Aboard Commercial Vessels](#) on page **3-3-27** for further instructions on pet birds)
- ◆ Inspect high-risk plants or cut flowers used as ship's furnishings

## Inspecting the Deck

Inspect the vessel's exterior by performing the following tasks:

### Check for Active Pest Infestations

When inspecting the decks or superstructure of an ocean vessel, check for active pest infestations. If you find a live insect, perform a thorough inspection for additional pests. Capturing and submitting the pest for ID may be a sufficient mitigation if you find only a few of one kind, or several different kinds of insects. Submit the pests found for which you **do not** have cargo release authority (CRA) as a Routine on [PPQ 309, Pest Interception Record](#) to the Area Identifier.

If you find multiple live insects in a single pest group, collect a large series (up to 20) of the seemingly identical insects to submit. If you find live adult moths, use the [Guidance Sheet: Distinguishing Gypsy Moth from Other Moths](#) as a reference. If you find any egg masses or swarming bees, follow the guidance found at the end of this section.



Adult moths may originate from the U.S. Attracted by the lights, they may fly to the vessel from the shoreline, but be of domestic origin and **not** regulated.

Submit all the seemingly identical insects together as an Urgent on the Pest ID Record (see [Preparing Plant Pest Interceptions](#)).

Include in the Remarks section of the Pest ID Record the following:

1. Estimated number of additional insects of the same species observed, but not collected
2. The exact location(s) on the vessel's exterior where the infestation was found

Attach a copy of **CBP Form AI-288, Ship Inspection Report** or **PPQ Form 288, Ship Inspection Report** if you are a PPQ official, to the URGENT, and ensure the following information is included on the ship inspection report:

1. Time of inspection and recorded vessel arrival time
2. Estimated date/time of vessel departure
3. List of previous ports of call
4. Anticipated subsequent ports of call

If possible, include any photos of the infestation. Take both close-up shots of the insects and other photos at a distance to show the extent of the infestation. It is through your observations and submissions that the extent of infestation will be able to be best determined.

While some active insect infestations on the exterior surfaces of vessels may be of foreign origin, it is possibly the result of native insects flying to the lights of the ship from the US shore. (Example: a vessel departs coastwise from the berth in the evening, with lights on, during a time of high insect activity).

If the ship is scheduled to sail and visit another U.S. port and sailing will occur prior to PPQ species level identification, the CBP AS should contact the next port. Use appropriate safeguards for any active insect infestations. Additional treatment actions may be required.

### Verify Garbage Storage Conditions

Inspect the deck area to check for garbage maintenance aboard the vessel; garbage containers should be as follows:

- ◆ Inside the railing
- ◆ **Not** leaking
- ◆ Covered

Closed intact plastic bags may be used to store regulated garbage if stored inside the vessel behind solid doors. If the preceding conditions are **not** present, then go to **Ocean Vessel Garbage Violations** on **page 8-1-10** for instructions on assessing civil penalties for a vessel's garbage violations. Refer also to **Monitoring Garbage** on **page 3-1-1** for more information.

Seal to prevent use while in U.S. territorial waters if the vessel's garbage handling equipment includes either of the following:

- ◆ Garbage chutes
- ◆ Garbage containers built into the railing

**Check for  
MARPOL  
Compliance**

When checking garbage aboard a vessel, be sure to check for compliance with MARPOL Annex V. Note the “yes” or “no” answers to the following questions:

1. Is a functional incinerator or other disposal method aboard the vessel? Has the incinerator been recently used? (verify the presence of the incinerator)
2. Did the responsible vessel representative show you a garbage pickup receipt or other evidence of lawful disposal of plastics ashore?

After answering the above questions, go to **Table 3-3-4** below.

**TABLE 3-3-4: Determine if Violation of MARPOL Annex V Exists**

If the answers to the above questions were:	Then:
1. No 2. No	A violation of MARPOL Annex V exists; do the following: <ol style="list-style-type: none"> <li>1. COMPLETE the APHIS MARPOL Annex V Compliance Checklist on <b>CBP Form AI-288, Ship Inspection Report</b> or <b>PPQ Form 288, Ship Inspection Report</b>, if you are a PPQ official</li> <li>2. GET the responsible vessel representative to sign the CBP Form AI-288 and the Annex</li> <li>3. FORWARD CBP Form AI-288 with original signatures in Block 17 and in Annex to the local Coast Guard Captain</li> </ol>
<b>Other than</b> those listed in the cell above	<b>DO NOT</b> complete the Annex to CBP Form AI-288

Also, if a crew member informs you (volunteers the information without your questioning) that plastics were dumped at sea, then complete the Annex to **CBP Form AI-288, Ship Inspection Report** or **PPQ Form 288, Ship Inspection Report**, if you are a PPQ official and indicate in the *Remarks* section the crew member’s statement. Have the crew member sign in the Annex and indicate the crew member’s position (for example, Captain, Chief Mate, etc.)

Plastics for disposal ashore are considered regulated garbage when they are used as wrappers for meats, containers for animal products, or are commingled with the vessel garbage. All other plastic stored separately aboard the vessel may be disposed of ashore without restriction. If the vessel originates in Hawaii or Puerto Rico, animal diseases are not a consideration, so meat wrappers and containers for animal products are **not** restricted.

### Taking Other Emergency Measures

Exercise your professional judgment when you find active infestations of known or suspected plant pests, that would require quarantine action. Consider using the following available tools:

- ◆ Withholding permission to discharge
- ◆ Destroying infested material
- ◆ Taking any other safeguard deemed appropriate

If you find live or dead animals, leaking garbage, or other animal disease contamination, refer to [Cleaning and Disinfecting](#) on **page 6-1-9**.

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### Documenting Ship Clearance

Complete [CBP Form AI-288, Ship Inspection Report](#) on **page A-1-48**, to document your inspection. See [Table A-1-7](#) on **page A-1-49** for instructions on completing the form. If you are a PPQ official, complete [PPQ Form 288, Ship Inspection Report](#) on **page A-1-92**, using instructions in [Table A-1-27](#) on **page A-1-93**.

### Risk Factors

List any risk factors on the CBP Form AI-288. These risk factors include, but are not limited to:

- ◆ Detection of garbage violations
- ◆ Detection of Asian gypsy moth
- ◆ Going into “lay-up status” (see [Taking Action on Vessels In Lay-up Status](#) on **page 3-3-24**)
- ◆ Request for “domestic status” (see [Purging Stores and Garbage](#) on **page 3-3-16**)
- ◆ Sealed stores
- ◆ Other identified pest risks (Africanized honeybees, khapra beetle)

### Asian Gypsy Moth (AGM)

If the vessel transited or loaded cargo or stores in a country known to have AGM, report the inspection results as follows:

1. Each CBP Office must report inspection results to PPQ, QPAS. **FAX these results within 24 hours of the inspection** to (301) 734-5269. Please include a copy of [CBP Form AI-288, Ship Inspection Report](#) and all pertinent paperwork (like the Certificate of Inspection from Russia and the official itinerary from the Captain).
2. Clearly identify the information with the title, “AGM Ship Inspection.”



3. Include the following information regarding AGM ship inspections:

- ❖ Ship Name
- ❖ Flag
- ❖ Port
- ❖ Date of Inspection
- ❖ Result of Inspection—positive (life stage found) or negative (action taken)—brief statement

**CBP Form AI-288, Ship Inspection Report** on **page A-1-48**, can be used to document the above information. Note in *Remarks* the results of inspection and the action taken.

### Bee Swarms

If the vessel transited or loaded cargo or stores in a country known to have the Africanized honeybee, note whether or **not** live bees were found on the vessel. On **CBP Form AI-288, Ship Inspection Report, Block 23, Remarks** write a message to the captain requesting “If live bees are sighted on the ship or a container, then call a CBP AS at [port phone number].”

### Khapra Beetle (KB)

If suspected KB is intercepted, issue the following warning notice on CBP AI-288:

“An insect believed to be khapra beetle, a serious agricultural pest, has been found in your vessel. If identification is confirmed, an Emergency Action Notification will be issued by Customs and Border Protection.”

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## Notifying and Reporting

When a direct vessel is proceeding to another port within the United States, its possessions, or its territories, Agriculture Specialists or Agriculture Specialist Supervisors must notify the Agriculture Operations Specialist in the originating Field Office if they discover certain risk factors. Agriculture Operations Specialists will then notify their counterparts at the subsequent Field Offices by telephone or e-mail of the specific risk factors. Agriculture Operations Specialists will also notify all subsequent coastwise ports in their areas of responsibility, and if possible, will fax a copy of **CBP Form AI-288, Ship Inspection Report** to these ports as well.

If the port receiving the direct vessel decides not to clear the vessel or if the vessel is deferred and sails coastwise prior to clearance, Agriculture Specialists must notify subsequent ports through the same official channels.

The first port identifying a vessel with identified risk factors has the responsibility to notify all subsequent ports via the Field Office chain of command. For vessels with fruit fly host materials, all subsequent coastwise ports with sealing requirements must be notified. Ports without sealing requirements do not require this notification.

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## Monitoring/Surveillance

QPAS establishes program policies to ensure that garbage handling and safeguarding of stores on vessels in port are monitored on an unannounced, spot-check basis, as follows:

- ◆ Vessels **not** boarded will be monitored when feasible
- ◆ Vessels boarded—at least 50 percent will be subsequently monitored

The Port Director may use **CBP Form AI-288, Ship Inspection Report** or a local log to record monitoring activities. The PPQ SPHD's office or the local PPQ office may use **PPQ Form 288, Ship Inspection Report** to document monitoring activities.

In monitoring, make sure that garbage aboard a vessel is as follows:

- ◆ Inside the railing
- ◆ In a leakproof container
- ◆ In a covered container

Closed intact plastic bags may be used to store regulated garbage if stored inside the vessel behind solid doors. If the vessel is **not** complying with these garbage conditions, then require remedial measures and assess a civil penalty. Instructions for assessing civil penalties are contained in **Ocean Vessel Garbage Violations** on **page 8-1-10**.



When inspecting cargo holds, refer to **Inspecting Cargo Holds** on **page 2-1-17**.

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## Courtesy of the Port

Courtesy of the Port is a privilege granted by CBP and other Federal Agencies. The Department of State considers foreign, public vessels as all foreign commissioned naval vessels, scientific research vessels, and other vessels operated by a foreign government when used in noncommercial service. Generally, you will receive information in advance including the nationality of the vessel, port(s) to be visited, and the approximate date(s) of the visit. Boarding and garbage safeguarding guidelines are listed below.

### Permission to Board

Unless you receive permission to board the vessel from the captain or another officer, do **not** board the vessel. If boarding permission is granted, exercise good judgment in carrying out your inspection. Be sure to discuss the protocol to be observed during boarding. Once aboard, make a careful assessment of the plant pest and animal disease risk associated with the stores or elsewhere, and of prohibited or restricted agricultural items. You can assess the risk either by questioning the captain or other officer, or by actual inspection. If actual inspection is warranted, then gain the permission and escort of the captain or another officer. If the captain or officer refuses to cooperate, then immediately contact the Director of Field Operations (DFO) from your Port of Entry and the Situation Room through your Port chain of command. Follow up your initial contact by writing an Officer's Statement of the incident describing the problem encountered.

### Handling Garbage

Explain and solicit cooperation for maintaining garbage while the vessel is in port. The U.S. Navy usually makes initial arrangements for garbage removal for foreign, military vessels. If approved garbage disposal facilities are available at your Port, inform the captain or officer that an approved garbage disposal company may remove garbage. Make periodic checks to ensure the garbage is being handled properly. See [Monitoring Garbage](#) on **page 3-1-1** for specific information on garbage control.

### Garbage Violations

If you detect a deliberate and flagrant violation of the garbage handling procedures or other safeguard requirements, then make a full report to the Director, Field Operations and the Situation Room through your Port chain of command. Follow up by writing an Officer's Statement of incident.

### Animals Aboard Public Vessels

Live ruminant animals or swine should not be aboard public vessels given Courtesy of the Port. If live animals are aboard, the Director, Field Operations and the Situation Room should be notified through your Port chain of command. The vessel's captain is expected to prevent the removal of other animals (including birds) as well as other restricted or prohibited items.

## Purging Stores and Garbage

When a vessel travels solely between ports within the continental United States or throughout Canada, the garbage is **not** regulated. Garbage is regulated on vessels arriving from foreign countries or Hawaii, U.S. territories or possessions (see [Monitoring Garbage on page 3-1-1](#)). Vessels may purge their stores and garbage and disinfect if necessary to attain “domestic status.” By purging their stores and garbage, vessel owners are provided an opportunity to reduce their costs associated with garbage removal. This opportunity will most likely be taken by vessels entering mainland U.S. and Canadian service for either an extended period or permanently.

If there are sufficient CBP or PPQ resources available, a maritime vessel can be purged when it is in a continental U.S. port. Vessels may also be purged while in a port in Hawaii or a U.S. territory or possession if PPQ, CBP or APHIS designated inspectors are available. However, the purge is only valid while in Hawaii or the U.S. territory or possession where the purge occurred. Purging allows the garbage to be disposed of **without** being incinerated or sterilized if **either** of the following conditions are met:

1. Vessel has **not** been in any port outside the continental United States and Canada within the previous 2 years<sup>2</sup>
2. Vessel has disposed of all of the following items:
  - A. Meat and meat products regardless of origin, **except** shelf stable canned meat/poultry<sup>3</sup>
  - B. Fresh and condensed milk and cream from countries in which foot-and-mouth disease exists
  - C. Fresh eggs
  - D. Fresh fruits and vegetables<sup>4</sup>
  - E. All garbage aboard the vessel<sup>4</sup>

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2 If the vessel has **only** traveled between Hawaii, U.S. territories or possessions, and the continental United States or Canada and has **not** visited a foreign country within the previous 2 years without purging, then the 2-year period is reduced to 1 year.

3 All ruminant material from BSE affected countries (regardless of processing) and canned perishable poultry material from END and/or HPAI countries is prohibited and **must** be disposed of.

4 Only fresh fruits and vegetables and all garbage need to be disposed of in the routings between Canada and the continental U.S. and/or between Hawaii, U.S. possessions and/or U.S. territories. **No** cleaning and disinfection of the stores area is required.

Crew quarters and any other possible locations should also be inspected for items that need to be purged. Following disposal, all storerooms and locations which held the previously listed materials must be cleaned and disinfected<sup>5, 6</sup> under direct supervision by a CBP Agriculture Specialist or PPQ personnel. [Reference: [7 CFR 330.401](#) (c) (2) (i) and [9 CFR 94.5](#) (c) (2) (ii)]



If a United States military vessel, other options are available under [Handling Regulated Garbage Aboard U.S. Naval and Coast Guard Vessels](#) on [page 3-1-9](#). These directions are based on NAVSUP (Naval Supply Systems Command) for the Navy or the Subsistence Manual for the Coast Guard. Once purged, the vessel may have its stores and garbage regulated as if it were domestic. U.S. origin meat and poultry and their products U.S. military vessels do **not** need to be purged if in unopened, intact cartons.

Directions for allowing non-military vessels, and U.S. military vessels that opt to use this method, to purge their regulated stores and garbage are as follows:

1. Monitor the purging of the vessel's regulated stores and garbage. For stores that must be removed, refer to [Monitoring/Inspection of Garbage on Board a Vessel](#) on [page 3-1-7](#).
  - A. The purged material must be incinerated, sterilized, or transferred to another vessel.
  - B. If transfer to another vessel is the option selected for purging, see [Transferring Meat or Poultry in a Vessel's Stores](#) on [page 3-3-22](#).
  - C. If the vessel calls only at a U.S. Territory or Hawaiian port and has **not** visited a foreign port within the previous two years, then only the regulated produce needs to be purged; there is **no** animal disease risk. Otherwise, require the purging of both regulated animal products and produce.
2. Fill in "Purged-now domestic" in [CBP Form AI-288, Ship Inspection Report](#) (or [PPQ Form 288, Ship Inspection Report](#), if you are a PPQ official), Remarks block.
  - A. Give a copy of the completed form to the captain.
  - B. Tell the captain to keep the copy of the form as evidence of domestic status until the vessel sails again outside of the continental U.S. or Canada.

5 Only fresh fruits and vegetables and all garbage need to be disposed of in the routings between Canada and the continental U.S. and/or between Hawaii, U.S. possessions and/or U.S. territories. **No** cleaning and disinfection of the stores area is required.

6 Disinfectant used **must** be a product approved by EPA for use in food preparation or storage area. Use APHIS authorized disinfectants on garbage containers and non-food preparation areas.

## Sealing Stores

Sealing stores is a safeguarding practice which prevents the use or movement of fruit fly host materials (fresh fruits and vegetables) aboard a vessel while in U.S. territorial waters.



Putting fruit fly host material in a cardboard box and taping it shut does **not** constitute proper secure sealing!

Make sure the crew cannot get into the sealed area.

In climates that can support fruit fly year round, all fruit fly host materials are sealed in vessel stores. See [Table 3-3-5](#) to determine if you are in an area where sealing is standard practice.

**TABLE 3-3-5: Determine if You Are in an Area Where Sealing Stores Is Standard Practice**

If you are in:	Then:
Alabama, California, Florida, Hawaii, Louisiana, Mississippi, Puerto Rico, Texas, or the U.S. Virgin Islands	GO to <a href="#">Determining What Fruit Fly Material to Seal</a> on <a href="#">page 3-3-18</a>
<b>Other than</b> the locations listed in the above cell	<b>DO NOT SEAL</b> for fruit flies or for the Canadian Food Inspection Agency

### Determining What Fruit Fly Material to Seal

Seal all fleshy botanical fruits **except** those listed in [Table 3-3-7](#) and those originating in the “No sealing” areas. However, material that is host to fruit flies, but was grown in the contiguous United States does **not** require sealing. If you’re located in Hawaii, you **do not** need to seal any fruit fly material from Mediterranean<sup>7</sup> (West) countries. If you’re in Puerto Rico or the U.S. Virgin Islands, then you **do not** need to seal any fruit fly material from the West Indies<sup>8</sup>. If you are interested in an explanation of the reasons for **not** sealing, see [Appendix K](#).

7 Mediterranean (West) countries: Albania, Algeria, France, Greece, Italy, Libya, Morocco, Portugal, Spain, Tunisia, and former Yugoslavia (now Croatia, Bosnia and Herzegovina, Serbia and Montenegro, and Macedonia).

8 West Indies: Annually, Antigua and Barbuda, Bahamas, Barbados, Cayman Islands, Cuba, Dominica, Dominican Republic, Grenada, Guadeloupe (and St. Barthelemy), Haiti, Jamaica, Martinique, Montserrat, St. Eustatius, St. Kitts and Nevis, St. Lucia, St. Martin, St. Vincent and the Grenadines, Turks and Caicos Islands, and the British Virgin Islands.

Inspect for and collect all fruit fly host material from the quarters and galley. Combine all the collected material with all fruit fly host materials in the refrigerated stores. Seal excessive amounts of fruit fly host material in a secure compartment within the storeroom. A secure, refrigerated compartment is one which ensures that the only way to gain access to the compartment is by breaking the seal. If you must seal the entire storeroom, then give the chief steward the opportunity to remove all nonhost material from the storeroom for use while in port. Bags or boxes are **not** considered secure compartments within a storeroom. Move the bags or boxes to a secure compartment for sealing, or seal the entire storeroom.

### **Small Amounts of Fruit Fly Material**

In sealing areas, if only a small amount of fruit fly host material is found, give the chief steward the option to destroy the material or seal it in a secure compartment. If the chief steward chooses to have the fruit fly material destroyed, you may seize the material by placing it in a plastic bag for destruction and examination at a later time. Make a note on **CBP Form AI-288, Ship Inspection Report** or **PPQ Form 288, Ship Inspection Report** if you are a PPQ official, of all fruit fly materials seized. Use **Table 3-3-6** on **page 3-3-20** to determine which fruit fly materials require sealing based on the origin of the commodities.

**TABLE 3-3-6: Determine Which Fruit Fly Materials Require Sealing Based on Origin of Commodities**

<b>If the fleshy botanical fruits are from:</b>	<b>Then:</b>
Africa ( <b>not including</b> Algeria, Libya, Morocco, and Tunisia) <sup>1</sup>	SEAL all fleshy botanical fruits
Asia ( <b>except</b> for Asian Russia, Japan, South Korea, or Mongolia)	
Australia	
Chile	SEAL only tomatoes
Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, or Panama	GO to <a href="#">Table 3-3-7</a> on <a href="#">page 3-3-21</a>
Hawaii	SEAL all fleshy botanical fruit <b>except</b> papaya (treated) and pineapple
Japan and South Korea	SEAL only cucurbits
Mediterranean (West) <sup>2</sup>	GO to <a href="#">Table 3-3-7</a> on <a href="#">page 3-3-21</a>
Mexico or Belize	
Northern Eurasia <sup>3</sup> [ <b>not including</b> Mediterranean (West), Japan, or South Korea]	SEAL only cherries
Puerto Rico or U.S. Virgin Islands (located in the <b>West Indies</b> )	GO to <a href="#">Table 3-3-7</a> on <a href="#">page 3-3-21</a>
South America, Tobago, and Trinidad ( <b>except</b> Chile)	
West Indies and Lesser Antilles <sup>4</sup> (includes Aruba, Bonaire, and Curacao)	
<b>Other than</b> a country or State listed in the cells above	GO to <a href="#">Figure 3-3-2</a> on <a href="#">page 3-3-22</a> , which shows the countries for which sealing is <b>not</b> required

- 1 Algeria, Libya, Morocco, and Tunisia are considered to be Mediterranean (West) countries.
- 2 Mediterranean (West) countries: Albania, Algeria, France, Greece, Italy, Libya, Morocco, Portugal, Spain, Tunisia, and former Yugoslavia (now Croatia, Bosnia and Herzegovina, Serbia and Montenegro, and Macedonia).
- 3 Northern Eurasia countries: All countries **north of** Mediterranean (West) and **north of** Turkey, Iran, Afghanistan, and China.
- 4 West Indies: Anguilla, Antigua and Barbuda, Bahamas, Barbados, Cayman Islands, Cuba, Dominica, Dominican Republic, Grenada, Guadeloupe (and St. Barthelemy), Haiti, Jamaica, Martinique, Montserrat, St. Eustatius, St. Kitts and Nevis, St. Lucia, St. Martin, St. Vincent and the Grenadines, Turks and Caicos Islands, and the British Virgin Islands.

If the seal is broken or removed while in U.S. territorial waters, then complete **CBP Form AI-592, Notice of Violation**. PPQ personnel should follow standard procedures for issuing a violation.



**TABLE 3-3-7: Determine Which Fleshy Botanical Fruit to Seal**

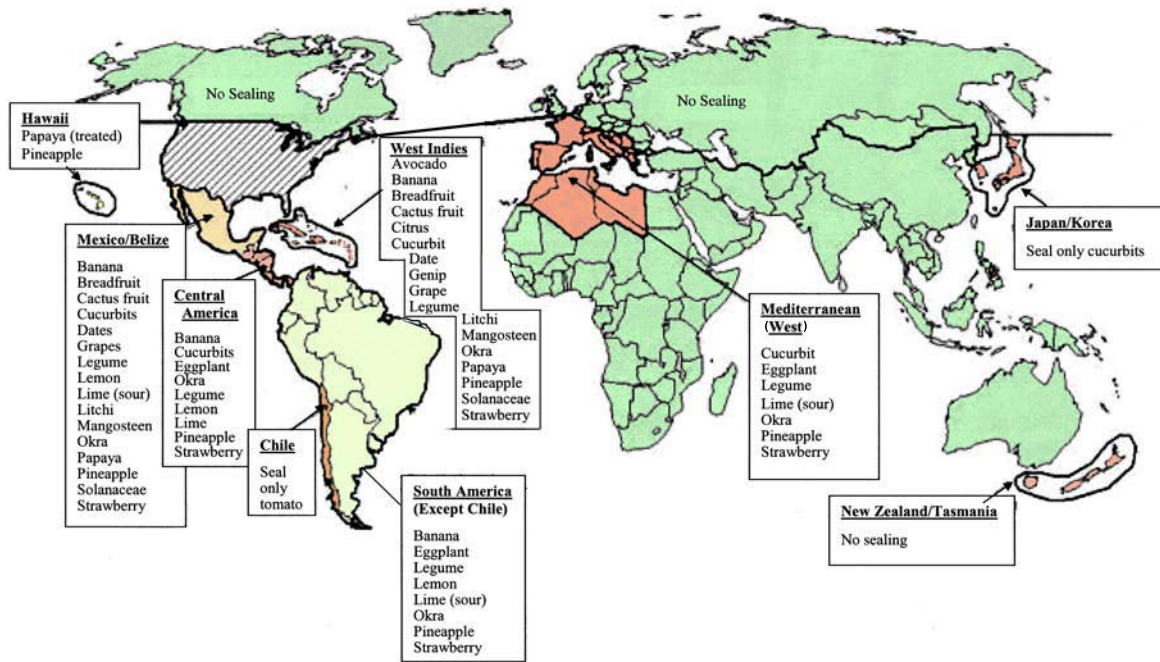
<b>If the country of origin is:</b>	<b>And the fruit is:</b>	<b>Then:</b>
Central America ( <b>except</b> Belize) <sup>1</sup>	Banana, cucurbit, eggplant, okra, legume, lemon, lime, pineapple, strawberry	<b>DO NOT</b> seal fruit
	All other fleshy, botanical fruit	SEAL fruit
Mediterranean (West) <sup>1</sup>	Cucurbit, eggplant, legume, lime (sour), okra, pineapple, strawberry	<b>DO NOT</b> seal fruit
	All other fleshy, botanical fruit	SEAL fruit
◆ Mexico <sup>1</sup> ◆ Belize <sup>1</sup>	Banana ( <i>Musa</i> sp.), breadfruit, cactus fruit, cucurbit, date, grape, legume, lemon, lime (sour), litchi, mangosteen, okra, papaya, pineapple, Solanaceae <sup>2</sup> , strawberry	<b>DO NOT</b> seal fruit
	All other fleshy, botanical fruit	SEAL fruit
◆ South America ( <b>except</b> Chile) <sup>1</sup> ◆ Trinidad <sup>1</sup> ◆ Tobago <sup>1</sup>	Banana, eggplant, legume, lemon, lime (sour), okra, pineapple, strawberry	<b>DO NOT</b> seal fruit
	All other fleshy, botanical fruit	SEAL fruit
West Indies <sup>1</sup>	Avocado, banana, breadfruit, cactus fruit, citrus, cucurbit, date, genip, grape, legume, litchi, mangosteen, okra, papaya, pineapple, Solanaceae <sup>2</sup> , strawberry	<b>DO NOT</b> seal fruit
	All other fleshy, botanical fruit	SEAL fruit

1 For an explanation, see [Appendix K](#).

2 The botanical family Solanaceae includes tomato, pepper, and eggplant.

**World Map Indicating Fruit Fly Sealing Areas (With List of Exceptions) and Do Not Seal Areas**

Do NOT seal the items listed under each area (unless otherwise noted)



**FIGURE 3-3-2: Map of Fruit Fly Seal and Do Not Seal Areas of the World**

**Transferring Meat or Poultry in a Vessel's Stores**

Meat, poultry and other edible animal products and by-products in a vessel's stores may be transferred over water from one vessel to another when permission in writing listing the items to be transferred is requested of CBP. The vessel's agent will also request approval from PPQ VRS HQ to transfer these commodities. The transfer will be made under the direct supervision of CBP. Stores must be transferred from one vessel onto a barge or other floating carrier, over water to the receiving vessel.

Stores in sealed, leak proof maritime containers may be moved overland within the port's environs with permission from CBP and VRS. The stores must be off-loaded from the donating vessel in a sealed leak-proof maritime shipping container. The container must not be opened while on land; it must remain sealed at all times. The container cannot leave the port of arrival. The meat or other animal products cannot be held in port for more than 72 hours.

Stores that cannot be transferred under the above conditions must be presented as a cargo shipment and meet all of the requirements for importation by the appropriate government agencies.

Follow these procedures for the transfer of meat:

- ◆ Determine the origin of the meat
- ◆ Determine from the vessel's log the ports the vessel has previously visited since taking on the meat to be transferred

Refer to **Table 3-3-8** on **page 3-3-23**.

**TABLE 3-3-8: Transfer of Meat or Poultry in Vessel's Stores**

If the meat or poultry originates:	And the vessel:	And it is in:	Then:
In countries <b>free of</b> bovine spongiform encephalopathy (BSE), foot-and-mouth disease (FMD), rinderpest (RP), classical swine fever (CSF), swine vesicular disease (SVD), African swine fever (ASF), highly pathogenic avian influenza (HPAI), and exotic newcastle disease (END)	Did <b>not</b> transit an infected country	Sealed, leakproof container	<ul style="list-style-type: none"> <li>◆ ALLOW transfer of meat under the direct supervision of CBP to another vessel or to a cold storage facility within the port environs for a maximum of 7 days</li> <li>◆ <b>Do not</b> allow meat to be used ashore</li> </ul>
	Transited an infected country	Sealed, leakproof container, packed as originally shipped	<ul style="list-style-type: none"> <li>◆ ALLOW only transfer of meat in unopened containers to another vessel or to a cold storage facility within the port environs for a maximum of 72 hours</li> <li>◆ Movement must be under direct CBP supervision</li> <li>◆ <b>Do not</b> allow meat to be used ashore</li> </ul>
		Boxes or cartons that were opened (staples or bands removed or flaps unglued)	ALLOW transfer of stores only under the following conditions: <sup>1</sup> <ul style="list-style-type: none"> <li>◆ Direct supervision of a CBP-AS officer</li> <li>◆ Transfer direct, over water from one vessel onto a barge or other floating carrier, then over water to the receiving vessel</li> </ul>
In an <b>infected</b> country	—————→		<ul style="list-style-type: none"> <li>◆ Require cleaning/disinfection of the barge and equipment following transfer</li> </ul>

<sup>1</sup> If either of the conditions is **not** practical, then contact Headquarters QPAS VRS.

### Special Procedures for Relanding Meat Aboard U.S. Military Vessels Returning from Foreign Countries

Require the following procedures for relanding U.S.-origin meat aboard military vessels having transited infected countries:

- ◆ Conduct movement of all meat under CBP AS supervision
- ◆ Allow only meat in unopened boxes to move
- ◆ Allow movement of meat to take place only within the metropolitan area of the port where the meat is off-loaded.
- ◆ Move meat to refrigeration units
- ◆ Seal refrigeration units with USDA seals until meat is to be loaded on an outbound vessel for use outside the United States
- ◆ Break USDA seals and supervise loading of meat back to vessels' stores when meat sealed in refrigeration units are ready for loading on an outbound vessel
- ◆ Contact QPAS VRS HQ for approval of any deviations from the above procedures

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### Taking Action on Vessels In Lay-up Status

Vessels going into lay-up status (temporarily removed from commercial activity) are considered in a special category for restricted and prohibited stores.

Because of the unknown duration of lay-up, it is **not** practical to attempt to control the garbage.

Seal aboard ship, or have all restricted and prohibited stores removed before the vessel goes into lay-up. **Seal the entire locker or refrigerator** rather than a portion of a refrigerator from which stores might be removed. Periodically recheck sealed refrigerators to make sure that the seals are intact.

Transfer meat stores as directed in [Transferring Meat or Poultry in a Vessel's Stores](#) on **page 3-3-22**.

## Taking Action on Live or Dead Animals

If you find animals, use **Table 3-3-9** to determine the action to take.


**TABLE 3-3-9: Determine Action to Take if Animals Are Found**

<b>If the shipment is:</b>	<b>Then:</b>
Live animals or dead animals that are part of a live animal shipment	GO to <b>Live Animals</b> on <b>page 3-3-26</b>
Solely dead animals	GO to <b>Dead Animals</b> on <b>page 3-3-27</b>

### Live Animals

Live animals are the responsibility of Veterinary Services (VS). If required, VS has the responsibility for cleaning and disinfecting the vessel if it held live animals regulated by APHIS. Consult your local VS port veterinarian or Area Veterinarian in Charge (AVIC). Since CBP is often the first to board the vessel, follow the instructions in **Table 3-3-10** when VS is **not** present to meet vessels carrying live animals. The vessel's captain is expected to prevent the removal of other animals (including birds) as well as other restricted or prohibited items.

**TABLE 3-3-10: Action to Take When Finding Live Animals on Vessels**

If the animal group is:	And the animals are:	Then:
Horse, ruminant, or swine	Aboard the vessel	1. HOLD the animals aboard the vessel <sup>1</sup> 2. NOTIFY the Area Veterinarian In Charge (AVIC) or VS Port Veterinarian by telephone
	Off-loaded from the vessel	1. HOLD the animals and the associated feed, bedding, etc., at the point of discovery <sup>1</sup> 2. NOTIFY the AVIC or VS Port Veterinarian by telephone
Birds (includes poultry and pet birds) <sup>2</sup>	A commercial shipment	1. HOLD the birds 2. NOTIFY VS by telephone
	Birds in baggage	GO to <b>Handling Pet Birds in Baggage</b> on <b>page 4-1-10</b>
	Birds in quarters	GO to <b>Birds Aboard Commercial Vessels</b> on <b>page 3-3-27</b>
Canine <sup>3</sup> (dogs)	Used with livestock <sup>3</sup>	1. HOLD the animals 2. NOTIFY VS by telephone
	With open sore(s) <sup>4</sup>	
	Without open sore(s) or <b>not</b> used with livestock	RELEASE
<b>Other than</b> above <sup>5</sup>		1. INSPECT cages for prohibited items and have them removed <sup>6</sup> 2. REFER to Fish and Wildlife Service (FWS)

- 1 Consider the welfare of the animals in severe weather. If you authorize movement, then clean and disinfect all areas occupied by, or equipment used to move the animals. **Do not** allow movement to an area where other animals are present or away from the immediate area of the point of discovery. **Do not** allow vessels to move prior to VS arrival.
- 2 For birds that are **not** owned by a person or included in a shipment (i.e. wild birds), contact the Fish and Wildlife Service for instructions. **Do not** contact VS.
- 3 Dogs kept around livestock may carry tapeworms.
- 4 Could possibly be screwworm, which feeds on living tissue.
- 5 Refer primates to FWS and Centers for Disease Control.
- 6 Allow importer to replace bedding with U.S. origin material.

### Birds Aboard Commercial Vessels

Allow birds to remain aboard vessels under the custody of the captain when the birds are maintained in a secure location throughout travel in U.S. territorial waters. Write the following statement on **CBP Form AI-288, Ship Inspection Report** (or **PPQ Form 288, Ship Inspection Report** for PPQ personnel) in the *Remarks* section:

“I agree to keep the bird(s) caged or tethered and kept in a ship’s cabin while in U.S. territorial waters.”

*(Captain’s Signature)*

Get the captain to sign below the statement (shown above) on CBP Form AI-288 or PPQ Form 288. If you harbored the vessel and find that the birds are **not** being kept as stated in the agreement, issue a civil penalty (PPQ Form 591) to the captain of the vessel. If you discover a crew member taking a bird off the vessel, then seize the bird and issue a civil penalty (PPQ Form 591) to the crew member. Assess a civil penalty if the crew member has attempted to conceal the bird.

### Birds Aboard Noncommercial Vessels (Yachts and Pleasure Vessels)

Make sure that birds are kept aboard yachts and pleasure vessels while at any U.S. port. Write a notice on CBP Form AI-288 stating that removal of the bird(s) is prohibited.

If a bird is to be removed from the yacht, it must meet import requirements (quarantine). Notify VS by telephone. After completing quarantine, the bird may move in and out of a port as a U.S. returned bird. U.S. returned birds must have the following:

- ◆ U.S. health certificate issued prior to departure
- ◆ Proper identification (leg band or tattoo)
- ◆ VS veterinary inspection

If a bird has been out of the country for more than 60 days, it must be quarantined at the owner’s residence for 30 days. Notify VS to take action.

### Dead Animals

If only dead birds<sup>9</sup>, horses, ruminants, or swine are discovered, then contact VS. CBP should contact Fish and Wildlife for any additional instructions regarding dead animals other than dead birds<sup>9</sup>, horses, ruminants or swine.

<sup>9</sup> Report only dead birds that are part of a legal or illegal import to VS.

## Special Procedures for Suspect Asian Gypsy Moth (AGM) Ships

The purpose of this manual section is to provide guidance and protocol to prevent the artificial spread of Asian gypsy moth (AGM), *Lymantria dispar*, from high-risk areas including Far East Russian and Japanese ports where AGM populations are at high densities. Inspection and exclusion of contaminated ships will prevent the artificial spread of AGM.

The AGM displays significant behavioral differences compared to the European gypsy moth (EGM). The female AGM is an active flyer that is attracted to lights, and capable of flying up to 25 miles. The AGM feeds on larch and other conifers as well as on alder and willow. Oaks and other hardwood species are also acceptable hosts.

The female AGM lays eggs primarily during August and September in Far East Russia and Northern Japan; in June and July in Southern and Central Japan; and from June to September in South Korea and Northern China (including all ports north of Shanghai). Attracted by the lights on ships, the females may lay eggs on the superstructure. The larvae can be blown by the wind short distances on silk strands. Due to these characteristics, a list of vessels that called at Far East Russia, Japan, South Korea, and Northern China ports, during periods between June and September that are defined (see **Table 3-3-12** on **page 3-3-33**) has been developed: the AGM Vessel Alert List.

Although APHIS has no regulation prohibiting the entry of ships designated from areas where AGM is prevalent, the Plant Protection Act grants the authority to order infested ships to leave U.S. waters [[Title IV- Plant Protection Act, 7 U.S.C. 7701, Subtitle A, Section 411 \(a\)](#)].

### Determine Status of Arriving Ships

Determine which ships should be excluded entry, which should be boarded on arrival, and which require normal, non-AGM boarding procedures. These procedures use two approaches: (1) If a pest is found, CBP has the authority to order a ship to leave U.S. waters to resolve the situation; and (2) PPQ recommends that the following ships obtain certifications that they are free from AGM prior to departure during PPQ designated high-risk periods (**note**: AGM certifications **are** available in Northern China, South Korea, Japan, and Russia):

- ◆ Ships that have been in Far East Russia ports between July 15 and September 30 of the previous year
- ◆ Ships that have been in ports in Japan, South Korea, and northern China during designated flight periods (see **Table 3-3-12** on **page 3-3-33**)



A narrative description of the main steps involved in determining your action follows. [Table 3-3-12](#) on [page 3-3-33](#) and [Table 3-3-15](#) on [page 3-3-35](#) summarize the action.

**EXEMPTION:** Hawaii, Puerto Rico, and Guam are exempt from excluding entry to ships because the climate and host conditions are **not** suitable for AGM. Therefore, throughout the year, ships from Far East Russian and identified high-risk Japanese ports are allowed to arrive in Hawaii, Puerto Rico, and Guam subject to inspection. If the ship's schedule includes subsequent continental U.S. ports of call, then the ship must be inspected for AGM.

### Step 1: Check the AGM Vessel Alert List

Check the AGM vessel alert list for ports of loading in Russian and Japanese ports at the [CBPnet webpage](#) or the [PPQ gypsy moth website](#) for the ship's name and hull number (IMO number) to determine if the ship is high risk for AGM. The AGM vessel alert list includes ships that called at Far East Russia ports between July 15 and September 30 of the previous year and ports in Japan, South Korea, and northern China during designated periods (see [Table 3-3-12](#) on [page 3-3-33](#)).

If an arriving ship has a name very similar to one on the alert list, check with the agent to verify the hull number (IMO number) or the itinerary of the ship between June 1 and September 30 of the previous year. The alert list is **not** all inclusive, so apply the ship risk criteria to all arrivals ([Step 3](#)).

The alert list of AGM suspect ships will be entered into the CBP Treasury Enforcement Communication System (TECS) database. This will alert the local CBP office when an AGM suspect ship reports to a port.



A ship's name may change, but a ship's hull number (IMO number) **never** changes.

### Step 2: Check the Ship's Itinerary

Targeting of ships is most critical. Ports must check the ship's itinerary to see if it has called on suspect port areas during designated AGM flight periods during the current and previous year. It is critical to review the itinerary for the previous twelve months or more to ensure that it covers the entire previous high risk season. Check the ship's itinerary for a Far East Russia port that occurs within the range from Posyet to Nikolayevsk. The three most likely ports are Nakhodka, Vladivostok, and Vostochnyy. The other ports in Far East Russia that are regulated are Kozmino, Olga, Plastun, Posyet, Slavyanka, Vanino, and Zarubino.



**Important**

If strange names are on the itinerary, get a map of the high-risk area (extreme southeast mainland of Russia) and match any listed ports.

Check the ship's itinerary to see if it has called on a Japanese port during designated AGM flight periods.

AGM is also present in Northern China and South Korea. Ports in these countries may also present an AGM suspect origin for ships and may be subject to inspection.

Verify when the ship called at the Far East Russia, Japan, South Korea, or northern Chinese port. Did it call during designated flight periods between June and September?

**Step 3: Apply Criteria to Arriving Ships**

Refer to **Table 3-3-11** on **page 3-3-30** to determine the level of risk based on the ship's date of arrival.

**TABLE 3-3-11: Mandatory Asian Gypsy Moth Inspection Periods at U.S. Ports for Ships Arriving from Far East Russia, Japan, South Korea, or Northern China Ports (Per APTL and APHIS Policy)**

Port Location	Date of Arrival											
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Alaska	Green	Green	Green	Red	Red	Red	Red	Red	Green	Green	Green	Green
Great Lakes	Green	Green	Red	Red	Red	Red	Red	Red	Green	Green	Green	Green
Hawaii	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green
Oregon	Green	Green	Red	Red	Red	Red	Red	Red	Green	Green	Green	Green
Puerto Rico	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green
Washington State	Green	Green	Red	Red	Red	Red	Red	Red	Green	Green	Green	Green
Norfolk, VA and northward	Green	Green	Red	Red	Red	Red	Red	Red	Red	Green	Green	Green
South of Norfolk, VA to Jacksonville, FL	Green	Green	Red	Red	Red	Red	Red	Red	Red	Red	Green	Green
South of Jacksonville, FL	Red	Red	Red	Red	Red	Red	Red	Red	Red	Red	Red	Red
Alabama, California, Florida, Louisiana, Mississippi, and Texas	Red	Red	Red	Red	Red	Red	Red	Red	Red	Red	Red	Red



Inspection required during this high-risk period

Inspection **not** required but recommended, as staffing allows, during this low-risk period



**Important**

Southern ports need to be more aware of AGM inspection of ships year round. There is a possible risk of larvae hatching in these warmer climates even during the months which are **not** considered the high-risk hatching period.



Ships from Japan, South Korea, and Northern China can proceed to U.S. berths for AGM inspection procedures.

**High-risk Ships**—Determine which ships are to be considered to be high-risk. If information indicates advance notice of suspicion of AGM infestation prior to arrival, exclude entry to these ships. These ships can be boarded instream or at preapproved remote sites.

Consider high risk a ship arriving at a continental U.S. port during the high-risk period identified in **Table 3-3-11** on **page 3-3-30** and **one** of the following conditions exist:

- ◆ Specifically identified on the AGM vessel alert list
- ◆ Itinerary including a Far East Russia port between July 15 and September 30 or a port in Japan, South Korea, or northern China during designated AGM flight periods (see **Table 3-3-12** on **page 3-3-33**) of the previous or current year. This would include ships from areas where AGM is prevalent.
- ◆ Itinerary that **cannot** adequately verify the location of the ship between May 15 and October 15 of the previous year

If you determine an arriving ship to be infested with AGM, go to **Exclude Entry to Infested Ships** on **page 3-3-32**.

**Low-risk Ships**—Determine which arriving ships are low risk and are allowed to proceed to the intended berth for initial AGM inspection and follow-up monitoring, if necessary.

Consider low risk a ship arriving at a continental U.S. port during the low-risk period identified in **Table 3-3-11** on **page 3-3-30** and with **one** of the following:

- ◆ **Not** identified on the AGM vessel alert list, or from designated areas where AGM is prevalent
- ◆ Itinerary including a Far East Russia port between July 15 and September 30 of the previous year or a port in Japan, South Korea, or northern China (see **Table 3-3-12** on **page 3-3-33**) with approved certification of freedom from AGM
- ◆ Itinerary that can adequately verify the location of the ship between May 15 and October 15 of the previous year

If you determine an arriving ship to be low-risk, go to **Table 3-3-15** on **page 3-3-35**.

### Exclude Entry to Infested Ships

Every effort should be made to encourage voluntary exclusion of ships that could be identified as high-risk for AGM infestation arriving at a U.S. port during the high-risk hatching period.

During the high-risk hatching period, inspection and reinspections of infested ships can be accomplished by boarding instream or at preapproved sites. Provide options to inspect or to conduct an initial evaluation at a remote location. This option provides the mutual benefit of reducing the risk of pest introduction and of saving money for the shipping industry by reducing the possibility of a ship being ordered out of U.S. waters after traveling inland waterways. Boarding a ship instream is an option which must be requested by the agent and approved by CBP. All arrangements concerning transportation to the ship and the method of boarding should be confirmed before the trip to the ship begins.

See **Table 3-3-12** on **page 3-3-33**, which summarizes the procedures for determining action to take for ships arriving during the high-risk hatching period.

If the ship is found to be free of suspect AGM egg masses and larvae, allow the ship to proceed to its intended berth. While in port, monitor previously infested ships for hatching AGM larvae.

If the ship is found to have suspect AGM egg masses and larvae, CBP will determine safeguarding steps. See **Table 3-3-17** on **page 3-3-41** to determine safeguarding action.

**TABLE 3-3-12: Procedures to Follow for Ships Arriving During High-Risk Period<sup>1</sup>**

<b>If ship's name is:</b>	<b>And the itinerary:</b>	<b>And called at port:</b>	<b>And certification<sup>2, 3, 4</sup> is:</b>	<b>Then:</b>
<b>Not on the alert list</b>	Includes a Far East Russia port <sup>2</sup>	Between July 15 and September 30	<b>Absent</b>	◆ PROVIDE options for inspection outside the port area <sup>5</sup> ◆ GO to <b><i>Inspect for AGM</i></b>
			Present	◆ ALLOW movement to berth ◆ REFER to APTL and APHIS policy in <b>Table 3-3-11</b> on <b>page 3-3-30</b>
		<b>Other than the time of year above</b>	→	
	Includes a Japan port <sup>1</sup>		→	GO to <b>Table 3-3-13</b> on <b>page 3-3-34</b>
	Includes a South Korea <sup>6</sup> or Northern China port <sup>3, 4</sup>	Between June 1 and September 30	<b>Absent</b>	◆ ALLOW movement to berth ◆ GO to <b><i>Inspect for AGM</i></b>
			Present	◆ ALLOW movement to berth ◆ REFER to APTL and APHIS policy in <b>Table 3-3-11</b> on <b>page 3-3-30</b>
<b>Other than the time of year above</b>		→		
Does <b>not</b> include a Far East Russia, Japan, South Korea, or Northern China port <sup>7</sup>		→	REQUIRE standard, non-AGM boarding procedures	
<b>Cannot</b> be ascertained or the ship has transited an area where AGM is known to occur		→	◆ ALLOW movement to berth ◆ GO to <b><i>Inspect for AGM</i></b>	
<b>On the alert list</b>	Includes a Far East Russia port <sup>2</sup>	→	<b>Absent</b>	◆ PROVIDE options for inspection outside the port area ◆ GO to <b><i>Inspect for AGM</i></b>
			Present	◆ ALLOW movement to berth ◆ REFER to APTL and APHIS policy in <b>Table 3-3-11</b> on <b>page 3-3-30</b>
	Includes a Japan, South Korea <sup>6</sup> , or Northern China port <sup>3, 4</sup>	→	<b>Absent</b>	◆ ALLOW movement to berth ◆ GO to <b><i>Inspect for AGM</i></b>
			Present	◆ ALLOW movement to berth ◆ REFER to APTL and APHIS policy in <b>Table 3-3-11</b> on <b>page 3-3-30</b>

- 1 Dates of risk are subject to annual changes.
- 2 Certifications from Far East Russian ports must be from the Federal Service for Veterinary and Phytosanitary Surveillance of the Russian Federation and declare that the vessel is free from AGM.
- 3 Accept AGM ship monitoring forms and checklist from Korea National Plant Quarantine Service as equivalent to certification.
- 4 Certifications from China must come from CCIC Inspection Co., LTD (CCIC).
- 5 If ships are found to be infested, then the options for inspection are off-shore inspections or inspections at remote docking locations away from port areas.
- 6 South Korean AGM Certificates issued after March 1, 2012 will be issued by the newly formed International Plant Quarantine Accreditation Board (IPAB). Certificates issued during the risk period for Korea during 2011 (June 1 - September 30) by South Korea's Animal, Plant and Fisheries Quarantine and Inspection Agency (QIA) are still valid. See ***Examples of AGM Certificates*** on **page 3-3-49**.
- 7 Vessels from other countries and areas where AGM is prevalent may also be subject AGM inspection at berth.

**TABLE 3-3-13: Procedures to Follow for Ships Calling at Japanese Ports**

<b>If the ship called at the port:</b>	<b>And:</b>	<b>Then:</b>
<b>Not</b> during an AGM flight period for a port listed in <b>Table 3-3-14</b> on <b>page 3-3-35</b>	→	<ul style="list-style-type: none"> <li>◆ ALLOW movement to berth</li> <li>◆ REFER to APTL and APHIS policy in <b>Table 3-3-11</b> on <b>page 3-3-30</b></li> </ul>
During an AGM flight period for a port listed in <b>Table 3-3-14</b> on <b>page 3-3-35</b>	Has a pre-departure inspection certificate issued by an approved company in Japan <sup>1</sup> or any other approved inspection certification	
	<b>Lacks</b> the above certification	<ul style="list-style-type: none"> <li>◆ ALLOW movement to berth</li> <li>◆ GO to <b><i>Inspect for AGM</i></b></li> </ul>

1 Allow vessels from Japan to enter U.S. berths for Asian Gypsy Moth (AGM) inspection. This list is presently under review and subject to change.

Vessels that call on ports in Japan during high-risk periods should arrange to have pre-departure certification issued by the following authorized third-party inspection bodies in Japan. The certificates will include the seal of the company that conducted the certification. The names of the approved and authorized companies are as follows:

- ◆ All Nippon Checkers Corporation (ANCC)
- ◆ Hokkaido Bouekikunjyo Co., LTD (HBKC)
- ◆ Japan Cargo Tally Corporation (JCTC)
- ◆ Japan Export Vehicle Inspection Center Co., Ltd. (JEVIC)
- ◆ Japan Grain Inspection Association (JGIA)
- ◆ Kanto Fumigation Co., Ltd (KFCO)
- ◆ Keiyochiku Plant Quarantine Association (KPQA)
- ◆ Kobe Plant Quarantine Association (KOBEPQA)
- ◆ Kyoritsu Sanitary Co., Ltd. (KRS)
- ◆ Muroran & Tomakomai Plant Quarantine Association (MTPQA)
- ◆ Nikkun Co., Ltd (NCL)
- ◆ Nippon Kaiji Kentei Kyokai (NKKK)
- ◆ Okayama-Ken Plant Quarantine Association (OKYPQA)
- ◆ Osaka Plant Quarantine Association (OPQA)
- ◆ Osaka Timber Quarantine Association (OSKTQA)
- ◆ Shin Nihon Kentei Kyokai (SNKK)
- ◆ Techno Kasei Co., Ltd. (TKL)
- ◆ Tokai Plant Quarantine Association (TOKAIPQA)
- ◆ Tokyo Plant Quarantine Association (TPQA)
- ◆ Yokohama Plant Protection Association (YPPA)



**Important**

Ships from Japan, South Korea, and Northern China can proceed to U.S. berths for AGM inspection procedures.

**TABLE 3-3-14: AGM Flight Regions by Japan Prefectures**

Port Location			
Region	Prefecture	Non-inclusive List of Ports Within Flight Region	AGM Flight Period
Northern	Aomori, Fukushima, Hokkaido, Iwate, or Miyagi	Aomori, Hachinohe, Hakodate, Ishikariwanshinko, Kushiro, Muroran, Otaru, Rumoi, and Tomakomai	Jul 1 – Sep 30
Western	Akita, Ishikawa, Niigata, Toyama, or Yamagata	Fushiki, Kanazawa, Nanao, Naoetsu, Niigata, Sakata, and Toyama Shin	Jun 25 – Sep 15
Eastern	Aichi, Chiba, Fukui, Ibaraki, Kanagawa, Mie, Shizuoka, or Tokyo	Chiba, Gamagori, Kashima, Kinuura, Kisarazu, Nagoya, Shimizu, Toyohashi, Tsuruga, and Yokohama	Jun 20 – Aug 20
Southern	Ehime, Fukuoka, Hiroshima, Hyogo, Kagawa, Kagoshima, Kochi, Kumamoto, Kyoto, Miyazaki, Nagasaki, Oita, Okayama, Osaka, Saga, Shimane, Tottori, Tokushima, Wakayama, or Yamaguchi	Aboshi, Amagasaki, Fukuyama, Hakata, Hannan, Hibikinada, Hirohata, Hiroshima, Kakogawa, Kobe, Kokura, Komatsushima, Kudamatsu, Matunaga, Mizushima, Nagahama, Niihama, Oita, Osaka, Sakai, Sakai-Senboku, Takamatsu, Tobata, Tokuyama, Ube, Uno, and Yahata	Jun 1 – Aug 10
Far Southern	Okinawa	Naha	May 25 – Jun 30



If a port is **not** listed, use an online search engine to determine which prefecture includes the port.

**TABLE 3-3-15: Procedures to Follow for Ships Arriving During Low-Risk Period**

If ship's name is:	And the ship's itinerary:	Then:
On the alert list	—————→	<ul style="list-style-type: none"> <li>◆ ALLOW movement to berth</li> <li>◆ REFER to APTL and APHIS policy in <a href="#">Table 3-3-11</a> on <a href="#">page 3-3-30</a></li> </ul>
<b>Not</b> on the alert list	Includes a Far East Russia, Japan, South Korea, or Northern China port	REQUIRE normal, non-AGM boarding procedures
	Does <b>not</b> include a Far East Russia, Japan, South Korea, or Northern China port	<ul style="list-style-type: none"> <li>◆ ALLOW movement to berth</li> <li>◆ REFER to APTL and APHIS policy in <a href="#">Table 3-3-11</a> on <a href="#">page 3-3-30</a></li> </ul>
	Cannot be ascertained, or has transited suspect areas	<ul style="list-style-type: none"> <li>◆ ALLOW movement to berth</li> <li>◆ REFER to APTL and APHIS policy in <a href="#">Table 3-3-11</a> on <a href="#">page 3-3-30</a></li> </ul>

**Board Instream**

Boarding ships instream is a nonstandard procedure. If instream boarding has been approved, then use the following guidelines:

1. Request the ship's agent or the U.S. Coast Guard (at particular sites) to arrange for and provide boarding and retrieval launch, and a suitable boarding method. U.S. Coast Guard units at ports without sufficient resources to transport a CBP AS can provide CBP with a list of certified, commercial marine taxis or launch services.

2. Wear a U.S. Coast Guard approved flotation jacket.
3. Board the ship on arrival, within 1 hour after sunrise and 3 hours before sunset.
4. Board by conventional gangway or another method judged safe by the boarding officers.

### **Board Low-Risk Ships**

During the low-risk period, board suspect AGM ships on arrival or within 1 hour of sunrise if the ship arrives during the night. Inspect all accessible areas of the ship's super-structure. Use binoculars to inspect unreachable areas of the ship. Inspect the ship's hold(s) when there are indications (physical evidence on the superstructure or ship records) that the ship has been cleaned for AGM. If possible, at least two officers should inspect the ship.

### **Inspect for AGM**

#### **Step 1: Prepare Materials**

Have on hand the following AGM inspection tools and supplies:

- ◆ AGM Boarding Bag to include:
  - ❖ **AGM Boarding Card** (see **Appendix C**)
  - ❖ Binoculars
  - ❖ Blank EAN
  - ❖ Cell Phone
  - ❖ Digital Camera
  - ❖ Flashlight
  - ❖ Mirrors
  - ❖ Plastic bags that zip closed
  - ❖ Scraper
- ◆ Golden Pest Spray Oil and applicator
- ◆ Safety Equipment: Hard hat, reflective vest

#### **Step 2: Look for Egg Masses**

Inspect all accessible areas of the ship's super-structure. Use binoculars to inspect unreachable areas of the ship. Inspect the ship's hold(s) when there are indications (physical evidence on the superstructure or ship records) that the ship has been cleaned for AGM. Egg masses are the most likely life stage to be found on the superstructure of ships. During March through August, hatching larvae can be found. Hatching larvae always present an **unacceptable** pest risk any time of the year at any U.S. port. If you detect egg masses or hatching larvae, inspect the entire ship to fully determine the extent of infestation.



While some adult moth infestations on the exterior surfaces of vessels may be of foreign origin, it is possibly the result of native insects flying to the lights of the ship from the US shore. (Example: a vessel departs coastwise from the berth in the evening, with lights on, during a time of high insect activity). Refer to [Inspecting the Deck](#) on [page 3-3-9](#) for more information.

The following points will help you detect gypsy moth infestations:

- ◆ Egg masses normally are deposited in sheltered locations such as in crevices or cavities, under tarps, behind walls and doors, around light fixtures, and underneath the hold rims
- ◆ Binoculars may allow you to see unreachable areas of the ship
- ◆ Use a flashlight and mirror to help inspect hard to see areas
- ◆ Establish a pattern in order to inspect the entire super-structure
- ◆ Female AGMs are attracted to light; therefore, the female moths could lay their egg masses on surfaces of the ship that are exposed to night lights. However, if the ship was lit with shore-based flood lights while in a foreign port, egg masses could be found in all locations
- ◆ Viable egg masses on ships may be weathered, darkened, and appear old
- ◆ Look for evidence of fresh paint covering scrapes on walls or painted over egg masses
- ◆ Look for hatching larvae that may be blowing on silk strands from the ship. Peak hatching of eggs is in the morning. Dispersing larvae move toward vertical structures and climb rapidly
- ◆ Ensure cargo holds are opened when possible to detect AGM on interior associated with laden cargos
- ◆ Make note of cargo type and any dunnage that may be associated with the vessel

See [Figure 3-3-3](#) on [page-3-3-38](#) for a photograph of AGM egg masses aboard a ship. The egg masses appear as brown fuzz on the blue nylon rope. The rope in this photograph was on a ship that was **not** on the AGM Alert lists. [Figure 3-3-4](#) on [page-3-3-39](#) illustrates AGM eggs found between two bays on a support beam near a cargo hold opening.



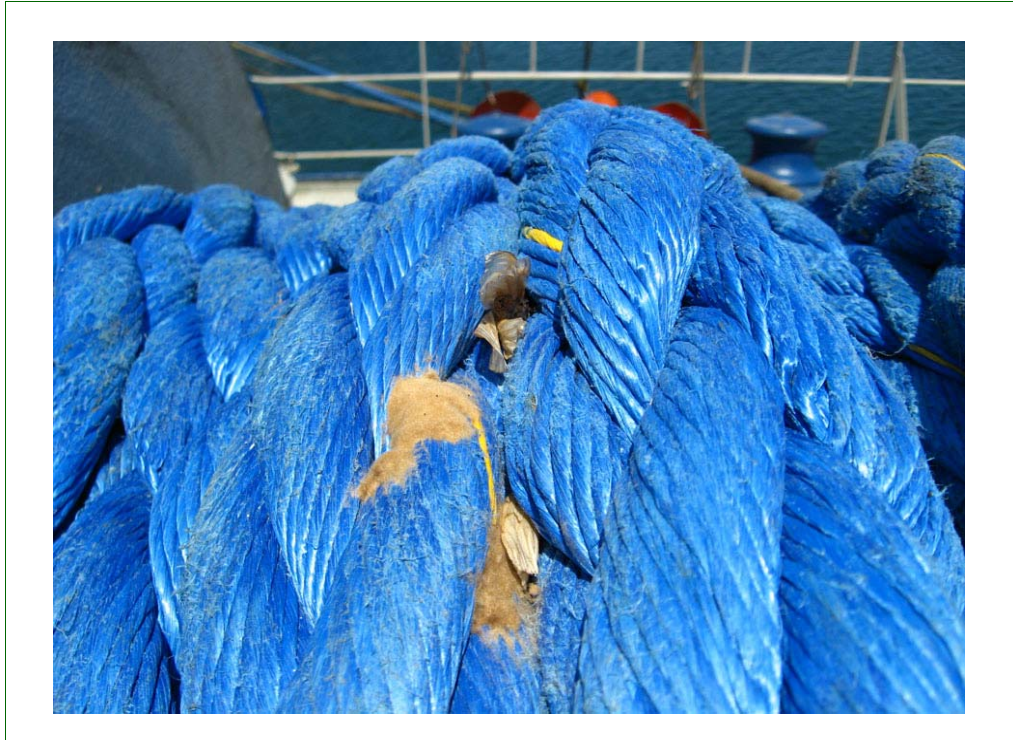
Vessel crews may paint over egg masses before a ship arrives in the U.S. Consider these egg masses to be viable organisms and submit for identification when found!



Peak hatching of gypsy moth eggs is in the morning. Check the ship for dispersing larvae. These larvae move toward vertical structures and climb rapidly.

**EXAMPLE**

If steel beams are being discharged at the seaport and you find suspect AGM on this vessel, monitor the break bulk cargo that is discharged at the port for presence of AGM egg masses.



**FIGURE 3-3-3: Asian Gypsy Moth Egg Masses on Blue Nylon Rope**



**FIGURE 3-3-4: AGM Eggs Found Between Two Bays on a Support Beam Near a Cargo Hold Opening**

Use **Table 3-3-16** below to determine action to take when inspecting suspect AGM ships or ships with Far East Russia, Japan, South Korea, or Northern China ports of call.

**TABLE 3-3-16: Inspect Suspect AGM Ships or Ships with Far East Russia, Japan, South Korea, or Northern China Ports of Call**

If the month is:	And you find:	Then:
High-risk hatching period	Egg masses or hatching larvae	DETERMINE the appropriate safeguarding action (see <b>Table 3-3-17</b> on <b>page 3-3-41</b> )
	No life stages of AGM	<ul style="list-style-type: none"> <li>◆ ALLOW the ship to dock and conduct business</li> <li>◆ MONITOR the ship while in port</li> </ul>
Low-risk hatching period	Egg masses	CONTACT PPQ, QPAS and APTL through appropriate channels, who will determine final regulatory action based on level of infestation and guidance from management
	Hatching larvae	CONTACT PPQ, QPAS and APTL through appropriate channels, who may instruct you to order the ship to leave <sup>1</sup> (refer to the guidelines under <b>Step 10</b> on <b>page 3-3-47</b> )
	No life stages of AGM	<ul style="list-style-type: none"> <li>◆ ALLOW the ship to dock and conduct business</li> <li>◆ MONITOR the ship while in port</li> </ul>

<sup>1</sup> Depending on the life stage found and the host material present at the port, ordering a ship to leave may spread AGM over a larger area than allowing the ship to stay at the berth.

### Step 3: Find Suspect AGM and Collect Specimen Interceptions

Samples of egg masses, larvae, and adults are needed for identification. Remove as many egg masses as possible from the ship. Using a knife, paint scraper, or putty knife, scrape the egg masses from the ship's surface and place into a container. **Be careful not to drop egg masses into the water.**

When suspect egg masses are found and reported to the CBP Supervisor, the CBP Supervisor will submit a CBP Significant Incident Report (SIR) and a CBP Significant Agriculture Incident Report (SAIR) within 24 hours of the incident. Update both reports as the timeline progresses.

### Step 4: Apply Treatment Where Interceptions Were Removed

After scraping the egg masses for collecting and submission, drench those areas associated with egg masses with *Golden Pest Spray Oil* registered for gypsy moth. This product is available from Stoller Enterprises, Inc., 4001 W. Sam Houston Pkwy N., Houston, TX 77043-1226 telephone number (713) 461-1493, FAX (713) 461-4467. Use this spray to ensure treatment of stray gypsy moth eggs.

**Application Technique**—Mix equal amounts of *Golden Pest Spray Oil* and water and apply to egg masses as a 50% mix. Make a new mix each day treatments are made. Using a small hand sprayer, apply the mixture to individual egg masses until they are completely saturated. Keep the mixture agitated while treating.

Each port should establish contingency plans for ordering vessels out of U.S. waters and for quick availability of commercial spray equipment for large applications. Port Directors should work with port authorities and/or ships' agents to arrange for commercial pesticide applicators to be on standby in the event they are needed to conduct remedial inspections and to apply the treatment. Commercial application will be at the expense of the agent, ship, or port authority.

**TABLE 3-3-17: Handling Interceptions**

If:	And:	Then:
AGM vessel inspection performed	A small number of viable suspect AGM specimens are detected <sup>1</sup>	<ul style="list-style-type: none"> <li>◆ Collect specimens and apply Golden Pest Spray Oil (GPSO) to the area where the specimens were removed. Continue inspection until complete.</li> <li>◆ Issue Warning Notice: “Asian gypsy moth, a serious plant pest, is suspected and has been found on your vessel. The vessel may be reboarded, and may be ordered to leave U.S. territorial waters depending on additional pest risks.”</li> <li>◆ Prepare interception specimens as URGENT (see <a href="#">Step 6</a> on <a href="#">page 3-3-42</a>)</li> <li>◆ Record data, complete the AGM Scientific Report (see <a href="#">Step 7</a> on <a href="#">page 3-3-43</a>)</li> <li>◆ Notify PPQ-QPAS and APTL (see <a href="#">Step 8</a> on <a href="#">page 3-3-46</a>); send the AGM Scientific Report with photos to QPAS and APTL; include copies of <a href="#">CBP Form AI-288, Ship Inspection Report</a> and AGM certificates from overseas, if produced by vessel</li> <li>◆ Allow the vessel to proceed coastwise; notify and inform next CBP port(s) of the pest risk and estimated times of arrival</li> </ul>
	An <b>excessive infestation amount</b> of viable suspect AGM specimens are detected <sup>1</sup>	<ul style="list-style-type: none"> <li>◆ Promptly complete the AGM inspection (see <a href="#">AGM Scientific Report</a> on <a href="#">page 3-3-45</a>) and request concurrence to remove the vessel from port<sup>2</sup> NOTE: When notifying PPQ and APTL of need to remove a vessel, in the subject line of the email to PPQ and APTL, write: “Request concurrence: Excessive egg masses detected.” Apply GPSO and collect specimens.</li> <li>◆ If PPQ concurs to remove the vessel from port for safeguarding concerns, order the vessel to immediately cease all operations to ensure that contaminated cargo is <b>not</b> offloaded.</li> <li>◆ Immediately issue <a href="#">PPQ Form 523, Emergency Action Notification</a> (see <a href="#">Table A-1-36</a> on <a href="#">page A-1-125</a>) and order the ship to leave (see <a href="#">Step 10</a> on <a href="#">page 3-3-47</a>).<sup>3</sup></li> <li>◆ Prepare interception specimens as URGENT (see <a href="#">Step 6</a> on <a href="#">page 3-3-42</a>)</li> <li>◆ If QPAS determines it unnecessary to order the vessel out, permit the vessel to resume operations and allow the vessel to proceed coastwise; notify and inform next CBP port(s) of the pest risk and estimated times of arrival</li> <li>◆ Issue Warning Notice: “CBP has determined that potential Asian gypsy moth pest has been found and exceeds an acceptable amount. This vessel may be reboarded or may be ordered to leave U.S. territorial waters depending on pest risks.”<sup>4</sup></li> </ul>
Reboarding for re-inspection	→	Go to <a href="#">Table 3-3-18</a> on <a href="#">page 3-3-49</a>
No interception submitted	→	Fax <a href="#">CBP Form AI-288, Ship Inspection Report</a> , and AGM certificate to PPQ-QPAS (301) 734-5269

- 1 If infestation amounts cause a safeguarding concern, alert PPQ-QPAS and APTL with analysis immediately.
- 2 If excessive, viable, egg masses are found and removal is warranted, CBP will request PPQ concurrence through the AGM Scientific Report email.
- 3 Consider local alternative options by collaborating with PPQ in certain situations including: safeguarding inland/interior waterways; weather and high wind scattering egg masses; and/or vessel safety due to unforeseen sea conditions.
- 4 Depending on the life stage found and the host material present at the port, ordering a ship to leave may spread AGM over a larger area than allowing the ship to stay at the berth.

### Step 5: Finalize Vessel Inspection

- ◆ Continue searching the vessel to locate and treat areas where AGM was suspected.
- ◆ CBP is **not** expected to cleanse or treat the entire vessel when excessive egg masses are discovered; however it is beneficial to detail the extent of the infestation, and mitigate threat where necessary.
- ◆ Consider shipments being discharged, and inspect containers and bulk cargo that is of high risk for AGM contamination, particularly when excessive egg masses are found on the super structure.
- ◆ Notify the Captain that a serious plant pest has been detected and the vessel may be re-boarded if AGM is confirmed. Then after confirmation, if excessive viable suspect AGM life stages are found, depending on weather and safeguarding conditions, the vessel must leave U.S. waters for decontamination prior to re-entering or beginning operations at any U.S. port.
- ◆ If vessel removal is warranted, request PPQ concurrence via the **AGM Scientific Report** on **page 3-3-45**.

### Step 6: Prepare Interception Specimens

When appropriate, and in accordance with local protocol, send all suspect Asian gypsy moth egg masses and life forms to the Otis Pest Survey Detection and Exclusion Laboratory (PSDEL) through PPQ specialists for confirmation through DNA analysis.<sup>10</sup> Address the interceptions:

Asian Gypsy Moth Analysis  
USDA, APHIS, PPQ  
Otis PSDEL  
Bldg. 1398, W. Truck Rd.  
Buzzards Bay, MA 02542-1329  
Telephone 508-563-9303

The PPQ identifier will send the specimens to the Otis laboratory by overnight carrier, and send an e-mail notification with the tracking number and Pest ID collection number to the following contacts:

- ◆ State Plant Health Director (SPHD)
- ◆ QPAS AGM Program Manager
- ◆ Laboratory Director, Otis PSDEL
- ◆ [ppq.nis.urgents@aphis.usda.gov](mailto:ppq.nis.urgents@aphis.usda.gov)

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<sup>10</sup> If conditions exist that prevent submission of pests using normal procedures, contact PPQ, QPAS and APTL for guidance.

To preserve egg masses for submission, please observe the following procedure and submit to the port Identifier (combine AGM interceptions on a vessel for one pest ID number):



**Never** submit multiple PPQ Form 309s for suspect AGM detected on the same vessel. Combine all egg masses, adults and larvae into one interception.

1. Prepare and keep egg masses separate in individual plastic bags that zip closed and double seal with additional bag.
2. Package the whole egg mass—**no** portions unless noted as found.
3. Send the egg mass live, **not** treated or killed, should rearing be necessary.
4. Prepare suspect AGM larvae, unboiled, in 95% ethyl alcohol.
5. Prepare suspect AGM adults dead and dry (do **not** put in alcohol). Adult moths can be frozen to kill them.
6. Forward to PPQ Identifier with a completed **PPQ 309, Pest Interception Record** and/or enter into Pest ID (see [Lists of PPQ Identifiers and PPQ National Specialists](#)). Mark suspect AGM life stages “URGENT” when submitting to identifiers. Upon preliminary identification as suspect AGM, the PPQ Identifier will forward sample with proper permit, if necessary.

### Step 7: Record Results

A detailed inspection summary follows:

1. Please include the following paperwork:
  - ❖ **CBP Form AI-288, Ship Inspection Report**
  - ❖ AGM Certificate of Inspection from Russia, Japan, South Korea, or other authorized countries
  - ❖ AGM Scientific Report, which can be found on the CBPnet Secure (Sharepoint): OFO, APTL, under the “Tools” column
2. Clearly identify the information with the title, “AGM Ship Inspection,” and capture additional data at the top portion of the form. Handwrite the information shown in green (see [Figure 3-3-4](#) below) on the CBP Form AI-288.
  - ❖ Was an AGM certificate presented for the vessel?
  - ❖ Record the country that issued the certificate
  - ❖ Record the number of specimens found

Use **CBP Form AI-288, Ship Inspection Report** on **page A-1-48** to document the above information. Note in *Remarks* the results of inspection and the action taken.

<b>AGM Ship Inspection</b>		DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection		<b>AGM Cert: <u>Yes</u></b>	
				<b>Country: <u>S. Korea</u></b>	
				<b>Specimens: <u>0</u></b>	
<b>SHIP INSPECTION REPORT</b>					
1. PORT REPORTING		2. FLAG/NAME OF VESSEL		3. DOCK	
4. FROM (Port and Country)		5. VIA			
6. ARRIVAL DATE	7. ARRIVAL TIME ETA                  ACTUAL		8. INSPECTION DATE	9. INSPECTION TIME FROM                  TO	
10. NUMBER PASSENGERS AND CREW CLEARED		11. NUMBER PIECES OF BAGGAGE		12. PROPOSED DEPARTURE DATE	
<b>PROHIBITED AND/OR RESTRICTED AGRICULTURAL MATERIALS</b>					
13. COMMODITY	14. LOCATION	15. COUNTRY OF ORIGIN	16. SAFE GUARD AND/OR DISPOSITION PRESCRIBED		

**FIGURE 3-3-4: Ship Inspection Report Indicating AGM Ship Inspection**

The [Canadian Food Inspection Agency](#) (Ottawa) will notify Quarantine Policy, Analysis and Support (QPAS) of their AGM ship inspection results. CBP and/or QPAS will in turn notify CFIA of U.S. AGM ship inspection results. This information will be used by both countries to update the AGM Vessel Alert List. Updates to the AGM vessel alert list will be posted on the [CBPnet webpage](#) and the [PPQ gypsy moth website](#) as changes occur. The vessel may possess an [inspection certificate from CFIA](#) indicating an AGM inspection was conducted on the current voyage.

3. The content below summarizes the CBP Agriculture Specialist’s scientific information gathering and is reflected as the **AGM Scientific Report**:



- ◆ Urgent email communication should include and list the 28 components descending in order as noted below. This **must** be spelled out in the body of the email, and is critical to informed decision-making. Emailing contact information is found at the bottom of the AGM Scientific Report on the CBPnet Secure (Sharepoint): OFO, APTL, under the “Tools” column.
- ◆ NOTE: When notifying PPQ and APTL of request to remove a vessel: In the subject line of the email to PPQ and APTL, write: “Request Concurrence: Excessive Egg Masses Detected.”
- ◆ When interceptions are **not** found, FAX **CBP Form AI-288, Ship Inspection Report** and any AGM certificates to 301-734-5269.



## AGM Scientific Report

- ❖ Date
  - ❖ CBP port and dock facility
  - ❖ Vessel name and IMO number
  - ❖ CBP critical phone number on site
  - ❖ Egg mass quantity detected
  - ❖ Describe where egg masses found
  - ❖ Special tools used to find specimens
  - ❖ Digital images of area and pest taken (attach to email)
  - ❖ Adult quantity detected
  - ❖ Was risk treated/mitigated (method used)?
  - ❖ Interpretation: Is specimen viable?
  - ❖ Was entire vessel inspected?
  - ❖ Cargo type on vessel
  - ❖ If bulk cargo, was cargo inspected?
  - ❖ Are other egg masses out of reach?
  - ❖ Was there a delay to trade?
  - ❖ Was vessel ordered out of port?
  - ❖ Captain warned, notified of pest
  - ❖ Foreign AGM ports visited
  - ❖ AGM country certificates presented (fax copies)
  - ❖ Previous U.S. (foreign) ports on current voyage
  - ❖ How long vessel remains in port
  - ❖ Departure date
  - ❖ Next U.S. (or foreign) port(s)
  - ❖ Date(s) arriving at next port(s)
  - ❖ Pest ID number (combine all specimens)
  - ❖ Provide additional risk assessment of situation
  - ❖ If removal is requested, title ASR email “Request Concurrence: Excessive Viable Egg Masses Detected”
4. Enter inspection results into CBP’s Vessel Management System (VMS).

## Step 8: Notify Contacts and Report Suspect AGM Detections

### Notifying Contacts

Upon interception of suspect AGM egg masses or lifeforms, CBP must contact QPAS, APTL, and State Plant Health Director (SPHD), or designated PPQ representative by email or telephone through the proper CBP chain of command. PPQ, QPAS will provide CBP with e-mail addresses for points of contact suspect findings, to include weekends and evenings. Whenever sending emails for interceptions of suspect AGM, send a copy of all correspondence to QPAS and/or PPQ to the OFO-APL Mailbox ([cbp.ofo-apl@dhs.gov](mailto:cbp.ofo-apl@dhs.gov)) with a return phone number in the email message.

### Reporting Suspect AGM Detections

1. AGM Scientific Report
  - ◆ The AGM Scientific Report (ASR) **must** be used as the initial summary of the inspection, as real-time scientific evidence is gathered, collected, and recorded.
  - ◆ The ASR provides critical information that allows PPQ to further assess risk and threat, include pictures, AGM certificates, CBPAI 288, and other relevant attachments with the ASR.
  - ◆ CBP will use the ASR to report small number of detection, and **request concurrence** to remove a vessel from port when excessive quantities of viable egg masses are detected.
  - ◆ See the CBPnet secure (Sharepoint): OFO, APTL, under the “Tools” column for the most recent version of the ASR.
2. CBP Situation Room (SitRoom) Report
  - ◆ While the ASR is used to notify PPQ of impending critical situation, the SitRoom report **must** be generated to alert CBP that a critical situation is pending.
  - ◆ SitRoom reports will be generated when suspect AGM is detected, and will be updated as otherwise required.
3. Significant Agriculture Incident Report (SAIR)
  - ◆ APTL requires that SAIRs be generated within 24 hours of the ASR and SitRoom report.
  - ◆ While ASRs and SitRoom reports provide initial notification of a critical situation, the SAIR enables additional information to be shared.
  - ◆ SAIRs should be used to record detailed interception information, including specifics techniques and tools , for inclusion in a final report.
  - ◆ SAIRS will be updated as necessary.

### Step 9: Monitor Ships and Break Bulk Cargo

Monitor ships that have been allowed to dock until they leave the port. Consider the discharged cargo, along with co-mingled dunnage and WPM that need to be monitored for potential AGM contamination/infestation. Consider shipments being discharged, and inspect containers and bulk cargo that is of high risk for AGM contamination, particularly when excessive egg masses are found on the super structure.

If suspect AGM is detected on break bulk cargo, safeguarding steps must be considered, beginning with situational risk analysis and immediate notification to both PPQ and APTL. CBP should collect additional information on the current voyage cargo destination including cargo discharged at previous U.S. ports that has been released for inland movement. If the vessel has sailed coastwise, alert the next port(s) and share critical safeguarding information. Immediately notify:

- ◆ Previous ports
- ◆ Next ports
- ◆ PPQ-QPAS and APTL

### Step 10: Order a Ship to Leave

Vessels are expected to arrive free of AGM life stages. Conditions may require that the ship be ordered out of the U.S. berth. If a vessel is found to have viable excessive suspect AGM life stages, this should be considered a significant pest risk and the vessel shall be ordered to leave the port. The vessel captain shall be made aware that all life stages and signs of potential AGM must be removed from the vessel including scraping, cleaning, and decontaminating all areas before the vessel will be allowed to return to any U.S. port of entry. The CBP Port Director or their designee will coordinate with the U.S. Coast Guard for assistance in escorting the vessel out of US territorial waters.



Prior to removing a vessel from port, CBP **must** obtain concurrence from local PPQ or headquarter PPQ officials. CBP should request concurrence from the **AGM Scientific Report**.

When ordering a ship to leave the U.S. territorial waters, issue **PPQ Form 523, Emergency Action Notification** (see **Table A-1-36** on **page A-1-125** for instructions on completing the form). Any additional CBP forms will be issued as required by CBP policies and procedures. Request the ship's master to prepare for and execute an immediate departure. The notification will instruct the ship's agent to immediately call out necessary tugs, linesmen, and pilots for the ship's departure. The only actions allowed are those that make the ship seaworthy, such as bunkering.

Ships may request reentry to a U.S. port of entry when they give CBP assurances that all egg masses are removed and given to CBP on reentry, or disposed of properly.

### **Step 11: Re-inspect/Order Professional Treatment Cleaning**

CBP will determine if ships must leave U.S. territorial waters due to unacceptable threshold presence of viable suspect AGM life stages. If a ship is ordered out of port, the PPQ Form 523 EAN will inform the master that the vessel must be clean prior to re-entry and that the vessel is subject to be re-inspected upon arrival. Any subsequent suspect AGM found will result in additional pest prevention action. These actions will result in costly delays and further detection of potential AGM presence may lead to denying entry into the U.S.

### **Coastwise Re-inspection**

When CBP detects suspect AGM at a US port of entry and the number of suspect AGM life stages are in manageable quantity, the vessel may proceed coastwise. CBP shall inform the next U.S. ports of the potential serious pest risk and shall continue to safeguard appropriately.

While in the same AGM season, and upon re-inspection at the next U.S. port, if Otis PSDEL has not provided final confirmation and CBP again detects the presence of viable suspect AGM life stages, so long as safeguarding, weather, and overall safety conditions are acceptable, CBP shall order the vessel out of U.S. territorial waters for decontamination, scraping, cleaning and removal of all signs of potential AGM life stages (see **Table 3-3-18** on **page 3-3-49**). Refer to **Step 10** on **page 3-3-47**, issue an EAN, and allow the vessel's crew to conduct the cleaning operation in offshore waters. If safeguarding, weather or safety conditions are of concern, require professional cleaning alternatives.

### **Returning to Port for Re-inspection**

Ships returning to berth that had previously been ordered out to sea for decontamination by the ship's crew due to excessive viable suspect AGM life stages are subject to be reinspected by CBP and will continue to be subject to re-boarding and re-inspection. CBP will instruct the vessel on a time and place where re-inspection will occur. This may be to a designated remote location or instream. Further detection of viable suspect AGM life stages will require additional action resulting in continued costly delays and intensive pest control actions.

Upon re-inspection, if additional viable suspect AGM life stages are detected, the vessel will be required to employ a pest control company capable of handling large commercial assignments. The commercial company shall fully inspect and certify freedom from all AGM life forms. Under normal circumstances this action should take place outside of U.S. territorial waters. If safeguarding, weather and/or safety must be considered, remedial measures must be deployed to minimize potential pest risks. Refer to **Table 3-3-18** on **page 3-3-49** to appropriately safeguard from further AGM pest risk.

**TABLE 3-3-18: Reboarding and Re-inspecting**

If:	And:	And:	Then:
Reboarding for re-inspection	Otis PSDEL determined the previous interception was <b>not</b> AGM	→	Re-boarding is <b>not</b> required; however if viable suspect AGM are detected refer to <b>Table 3-3-17</b> on <b>page 3-3-41</b> for guidance when handling interceptions
	The vessel was referred, a previous port found suspect or confirmed AGM, and the vessel has <b>not</b> previously been ordered out of port during the current AGM season	Additional viable AGM life stages are detected during re-inspection	<ul style="list-style-type: none"> <li>◆ Promptly complete the AGM inspection</li> <li>◆ Order the vessel to immediately cease all operations and prepare to remove the vessel from port, informing the Captain the vessel must leave the port: “CBP has determined that potential Asian gypsy moth pest has been found and exceeds an acceptable amount. This vessel must prepare to leave U.S. territorial waters.”<sup>1</sup></li> <li>◆ Immediately issue <b>PPQ Form 523, Emergency Action Notification</b> (see <b>Table A-1-36</b> on <b>page A-1-125</b>) and order the ship to leave (see <b>Step 10</b> on <b>page 3-3-47</b>).<sup>2</sup></li> <li>◆ Prepare interception specimens as URGENT (see <b>Step 6</b> on <b>page 3-3-42</b>)</li> <li>◆ Record data, complete the AGM Scientific Report (see <b>Step 7</b> on <b>page 3-3-43</b>)</li> <li>◆ Notify PPQ-QPAS and APTL (see <b>Step 8</b> on <b>page 3-3-46</b>); send the AGM Scientific Report with photos to QPAS and APTL; include copies of <b>CBP Form AI-288, Ship Inspection Report</b> and AGM certificates from overseas, if produced by vessel</li> </ul>
		No additional detections	Allow the vessel to proceed
	The vessel was previously ordered out of port to clean and decontaminate from exceeding the allowable threshold of suspect or confirmed AGM life stages during the current AGM season	Additional viable AGM life stages are detected during re-inspection	Stop all vessel activity and Immediately issue <b>PPQ Form 523, Emergency Action Notification</b> (see <b>Table A-1-36</b> on <b>page A-1-125</b> ) and require a commercial cleaning company to remove all life stages of AGM with a certificate that certifies the vessel is free of all life stages of AGM.
No additional detections		Allow the vessel to proceed	
No interception submitted	→		Fax AGM <b>CBP Form AI-288, Ship Inspection Report</b> , and AGM certificate to PPQ-QPAS (301) 734-5269

- 1 Depending on the life stage found and the host material present at the port, ordering a ship to leave may spread AGM over a larger area than allowing the ship to stay at the berth.
- 2 Consider local alternative options by collaborating with PPQ in certain situations including: safeguarding inland/interior waterways; weather and high wind scattering egg masses; and/or vessel safety due to unforeseen sea conditions.

### Examples of AGM Certificates

The following are examples of AGM certificates used by China, Japan, Russia, and South Korea.



**中国检验认证集团检验有限公司**  
 CCIC INSPECTION CO., LTD.

正本  
ORIGINAL

地址: 北京市朝阳区百子湾东里18号三元大厦17、18层  
 Add.: 17/F, 18/F, Sanyuan Building No.18, Xibasha Dongli  
 Chaoyang District, Beijing P.R.China  
 电话(TEL): 86-10-64603222  
 传真(FAX): 86-10-64603122  
 邮编(P.O.): 100128

证书号码(No.): \_\_\_\_\_  
 日期(Date): \_\_\_\_\_

**船舶无亚洲型舞毒蛾检查证书**  
**CERTIFICATE OF VESSEL INSPECTION FOR FREEDOM FROM  
 THE ASIAN GYPSY MOTH IN CHINA**

兹证明,如下船舶已经 CCIC 检查,被认为无亚洲型舞毒蛾 (AGM).  
 This is to certify that the vessel described below has been inspected by CCIC and is considered to be free from AGM on board at the time of inspection.

1. 申请人名称	Name of applicant	:	
2. 船东名称	Name of owner	:	
3. 船名及类型	Name and type of vessel	:	
4. 船籍、IMO 编号及总吨位	Nationality, IMO number and Gross tonnage of vessel	:	
5. 目的国	Country of destination	:	
6. 检查港	Port of inspection	:	
7. 计划离港日期	The estimated date of departure	:	
8. 检查日期	Date of inspection	:	
9. 检查方法	Method of Inspection	:	
10. 授权签字人	Name of authorized signature	:	

END



上海注册号码: 110108008071530

For and on behalf of  
**CCIC INSPECTION CO., LTD.**  
 中国检验认证集团检验有限公司

.....  
 is Authorized Signature(s) for AGM project

Page 1 of 1

C 0002773

FIGURE 3-3-5: AGM Certificate—China

**アジア型マイマイガ不在証明書**  
 Certificate of Inspection of Freedom from Asian Gypsy Moth in Japan

証明番号  
 Certification No. \_\_\_\_\_

下記船舶は、証明機関の検査員により、できる限りの船体検査が行われ、検査時点ではAGMの付着が認められないことを証明する。  
 This is to certify that the vessel, described below, was inspected as much as possible by the inspector of a certification body and is considered to be free from AGM at the time of the inspection.

1 船名及び船種  
 Name and type of vessel \_\_\_\_\_

2 船籍、船舶番号及びトン数  
 Nationality, IMO number and gross ton of vessel \_\_\_\_\_

3 出港予定日  
 The estimated date of departure \_\_\_\_\_


4 検査港及び検査地点  
 Port of inspection and place of pier \_\_\_\_\_

5 証明書の船主名又は代理店名  
 Name of Owner or Agent \_\_\_\_\_

6 受付番号  
 Receipt No. \_\_\_\_\_

検査年月日  
 Date of inspection \_\_\_\_\_

検査員名 (Signature of inspector) \_\_\_\_\_



証明機関名  
 Name of certification body  
 \_\_\_\_\_

※ 原本には、右肩に赤字でその旨を明示する。  
 It is specified that it is an original in the right shoulder part by a red character.  
 ※ この証明書の記述は英語を用いることとし、用紙はA4版とする。  
 This certificate is described in English and uses A4size paper.

FIGURE 3-3-6: AGM Certificate—Japan (page 1)

AGM卵塊検査のチェックリスト  
 Check list of inspections for AGM egg mass in a vessel

申請番号 Application No. : \_\_\_\_\_  
 受付番号 Receipt No. : \_\_\_\_\_  
 船名 Name of a vessel : \_\_\_\_\_  
 港名 Port of inspection : \_\_\_\_\_

検査場所 Areas to be inspected	卵塊発見の有無 Egg Masses Found	備考 Remarks
・前部甲板 Fore Deck	YES/NO _____	_____
・後部甲板 Aft Deck	YES/NO _____	_____
・通路 Gangways	YES/NO _____	_____
・ハッチ Hatches	YES/NO _____	_____
・手すり及びブルワーク Handrails & bulwalks	YES/NO _____	_____
・機械設備 Machinery	YES/NO _____	_____
・甲板貯蔵室 Deck Stores	YES/NO _____	_____
・甲板積み貨物 Deck Cargo	YES/NO _____	_____
・パイプ及び換気装置 Pipes & ventilation	YES/NO _____	_____
・灯火 Lights	YES/NO _____	_____
・救命ボート Lifeboats	YES/NO _____	_____
・船楼 Superstructure	YES/NO _____	_____
・ブリッジ Bridge	YES/NO _____	_____
・クレーン又は起重機 Cranes or derricks	YES/NO _____	_____
・マスト Masts	YES/NO _____	_____
・煙突 Funnel	YES/NO _____	_____
・その他通知すべき事項 Others _____		

検査年月日 Date of inspection : \_\_\_\_\_  
 証明機関名 Name of certification body : \_\_\_\_\_  
 検査員名 Name of inspector : \_\_\_\_\_


上記の通り検査を行いましたので、その結果をお知らせします。  
 As we inspected the above areas of a vessel, we inform you of the result of inspection.

※ 原本には、右肩に赤字でその旨を明示する。  
 It is specified that it is an original in the right shoulder part by a red character.  
 ※ このチェックリストの記述は英語を用いることとし、用紙はA4版とする。  
 This check list is described in English and uses A4size paper.

FIGURE 3-3-7: AGM Certificate—Japan (page 2)



**ФЕДЕРАЛЬНАЯ СЛУЖБА  
ПО ВETERИНАРНОМУ  
И ФИТОСАНИТАРНОМУ НАДЗОРУ**



**FEDERAL SERVICE  
FOR VETERINARY  
AND PHYTOSANITARY SURVEILLANCE  
OF THE RUSSIAN FEDERATION**

**ФИТОСАНИТАРНЫЙ СЕРТИФИКАТ  
PHYTOSANITARY CERTIFICATE**

Организация по защите и карантину растений (страна)  
To: Plant Protection organisation of (country) \_\_\_\_\_

**INSPECTION OF VESSEL FROM ASIAN GYPSY MOTH**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**ОБЕЗЗАРАЖИВАНИЕ - Decontamination and/or disinfection treatment**

Дата - Date - Способ обработки - Treatment \_\_\_\_\_

Химикат и его концентрация  
Chemical (active ingredient) \_\_\_\_\_

Экспозиция и температура  
Duration and temperature \_\_\_\_\_

Дополнительная декларация - additional declaration: \_\_\_\_\_

time of commencement \_\_\_\_\_ time of completion \_\_\_\_\_

Печать организации  
Stamp of Organisation

Место выдачи  
Place of issue \_\_\_\_\_

Фамилия уполномоченного должностного лица  
Name of authorized officer \_\_\_\_\_

Дата - Date \_\_\_\_\_ Подпись Signature \_\_\_\_\_

В М 4101675

FIGURE 3-3-8: AGM Certificate—Russia (page 1)

**АКТ ПРОВЕРКИ СУДНА НА НАЛИЧИЕ ЯЙЦЕКЛАДОК  
 АЗИАТСКОГО НЕПАРНОГО ШЕЛКОПРЯДА  
 CHECK LIST FOR SHIP ASIAN GYPSY MOTH EGG MASS INSPECTION**

Название судна: \_\_\_\_\_ Название порта: \_\_\_\_\_  
 Ship: m/v \_\_\_\_\_ Port: \_\_\_\_\_

<u>Какие части судна проверены</u> <i>Areas to be inspected</i>	<u>Яйцекладки обнаружены</u> <i>Egg Masses Found</i>	<u>Замечания</u> <i>Remarks</i>
<u>Носовая палуба</u> <i>Fore Deck</i>	_____	_____
<u>Кормовая палуба (ют)</u> <i>Aft Deck</i>	_____	_____
<u>Сходни</u> <i>Galvanies</i>	_____	_____
<u>Крышки люков</u> <i>Hatches</i>	_____	_____
<u>Поручни и фальшборты</u> <i>Handrails &amp; bulwarks</i>	_____	_____
<u>Машины</u> <i>Machines</i>	_____	_____
<u>Палубные кладовые</u> <i>Deck Stores</i>	_____	_____
<u>Палубные грузы</u> <i>Deck cargo</i>	_____	_____
<u>Кладовые</u> <i>Cargo</i>	_____	_____
<u>Трубопроводы и вентиляционные каналы</u> <i>Pipes &amp; ventilators</i>	_____	_____
<u>Освещение</u> <i>Lights</i>	_____	_____
<u>Спасательные шлюпки</u> <i>Lifeboats</i>	_____	_____
<u>Надстройки</u> <i>Superstructures</i>	_____	_____
<u>Мостик</u> <i>Bridge</i>	_____	_____
<u>Краны и стрелы</u> <i>Cranes &amp; derricks</i>	_____	_____
<u>Мачты</u> <i>Masts</i>	_____	_____
<u>Дымовая труба</u> <i>Funnel</i>	_____	_____
<u>Камбуз</u> <i>Galley</i>	_____	_____
<u>Помещения с выходом наружу</u> <i>Cabins with outside access</i>	_____	_____
<u>Трюма</u> <i>Hold</i>	_____	_____

Дата проверки: \_\_\_\_\_ Организация: \_\_\_\_\_  
 Date of inspection: \_\_\_\_\_ Organization: \_\_\_\_\_  
 Name of authorized officer: \_\_\_\_\_

**FIGURE 3-3-9: AGM Certificate—Russia (page 2)**


<p>Министерство сельского хозяйства России Федеральная служба по ветеринарному и фитосанитарному надзору Российской Федерации</p>	<p>Ministry of agriculture of Russia Federal Service for veterinary and phytosanitary surveillance of Russian Federation</p>
<p>Приморский филиал ФГУ «Всероссийский центр карантин растений»</p>	<p>FGU "All Russian center for plant quarantine", Primorskiy branch</p>
<p>4. Народный проспект, г.Владивосток, Россия, 690014, тел./факс: 8(4232) 45-46-19, 45-49-72</p>	<p>4 Narodniy district., Vladivostok, RUSSIA, 690014 phone/fax: 8-4232-45-46-19, 45-49-72</p>
<p>Пункт организации досмотра _____</p>	<p>Place of inspection _____</p>
<p><b>Инструкция № 3</b></p>	<p><b>Instruction " 3</b></p>
<p>По подготовке к досмотру, очистке от испарного шлюкограда и сертификации судна.</p>	<p>On preparation for inspection, clearing of a Asian Gypsy Moth and certification of a vessel.</p>
<p>Наименование судна _____</p>	<p>The name of vessel _____</p>
<p>Фамилия капитана _____</p>	<p>Surname of the captain _____</p>
<p>К досмотру администрация судна обязана:</p>	<p>To inspection the administration of a vessel is obliged:</p>
<ol style="list-style-type: none"> <li>1. Очистить палубы; проходы, крышки трюмов от посторонних предметов (доски, мусор, пустая тара, россыпи зерна, угля и так далее).</li> <li>2. В зимнее время снести снег, сколоть лед.</li> <li>3. Снять чехлы с лебедок, шлюпок и другого оборудования.</li> <li>4. На время досмотра открыть все без исключения двери подсобных помещений, компрессорных, аккумуляторных, кладовок и шкафов хранения по внешнему контуру судна, крышки вентиляционных шахт (в присутствии ответственных лиц).</li> <li>5. На весь период досмотра выделить 4-х человек из команды судна, которые по указанию специалистов, устраняют недостатки, открывают крышки трюмов, снимают защитные кожуха с оборудования.</li> <li>6. Досмотр осуществляется только в светлое время суток в день отхода. Время досмотра определяет старший группы в зависимости от зараженности судна и метеоусловий (суда не досматриваются в дождь, снег, шторм, во время разгрузочно-погрузочных работ).</li> </ol>	<ol style="list-style-type: none"> <li>1. To clear decks, passes, cover of holds from extraneous subjects (wood panels, dust, empty container, loose of a grain, coal and so on).</li> <li>2. In winter time sweep away snow, split off ice.</li> <li>3. To remove covers from windlasses, life boats and other equipment.</li> <li>4. On time of inspection to open all doors of auxiliary rooms (without exception), compressor rooms, accumulator rooms, storerooms and cases of a storage on an external contour of vessel, cover of ventilating shafts (at the presence of the responsible persons ).</li> <li>5. On the whole period of inspection to allocate 4-th persons from crew, which under the instruction the specialists are eliminated the defects, open covers of holds, remove of a protective casing from the equipment.</li> <li>6. Inspection is carried out only in light time of day of departure. The chief of the inspection's group defines the time of inspection depending on incidence of infection of a vessel and meteorological conditions (vessels are not examined in a rain, snow, storm, during of discharge-loading works).</li> </ol>
<p><i>Во избежание повторного заражения судна Лимаитридами, судно должно покинуть порт после окончания досмотра в тот же день до наступления сумерек.</i></p>	<p><i>In protection of renew infestation of vessel of Lymatrids (AGM) the vessel have to leave port after the finishing inspection within same day before dark time.</i></p>
<p><i>Инструкцию получил и обязуюсь выполнять все указанные в ней требования.</i></p>	<p><i>I have received the instruction and oblige to execute all above requests.</i></p>
	<p>MASTER FOR INTEGRITY</p>

FIGURE 3-3-10: AGM Certificate—Russia (page 3)

Result No. KR-29-2012-001

AGM 모니터링 결과서(Monitoring result for AGM in Korea)	
1. 선명명(Vessel Name) :	2. 국적(Nationality) :
3. 선사(Shipping Company) :	4. 대행사(Agent) :
5. 반계 선적량(Dead weight) :	6. 선적화물(Commodity) :
7. IMO No. :	8. CALL SIGN :
9. 이전 경유지(Ports visited before) □ □ □ □ □ □ □ □	
10. 모니터링 항구(port of monitoring) :	
(1) 입항일(Inbound date) :                      (2) 출항예정일(Outbound date):	
11. 다음 경우 예정 항구(Assumed next port) :	
12. 북미 도착국가(Arrival country in North America) :	
13. 북미 도착항구(Arrival port in North America) :	
14. 북미 도착예정일(Expected arrival date in North America) :	
15. 모니터링 결과(Monitoring Results) : 발견(Detected) 또는 미 발견(Not-Detected) (1) AGM의 발견상황을 구체적으로 표기(특별 발생부위) (Details for detection of AGM(stage, detected spot))	
시일차(Inspection Date) :	
1. 정명(Inspector) :	signature
2. 심명(Inspector) :	signature
3. 직(Attender) : 소속	signature
A..... PLANT AND FISHERIES QUARANTINE AND INSPECTION AGENCY BUSAN NEWPORT BRANCH OFFICE	

\* 첨부 : AGM 모니터링 조사표 1부  
 Attachment



1907190 1907 A3N E4H 0512121550 14 22 FAX 0512710250

**FIGURE 3-3-11: AGM Certificate—South Korea Issued by QIA (page 1)**

<ATTACHMENT>

**AGM 모니터링 조사표**  
Check list of monitoring for AGM sign in a vessel

선박명 Name of a vessel : \_\_\_\_\_  
항 명 Port of inspection : \_\_\_\_\_

검사장소 Areas to be inspected	AGM 표점 유무 AGM sign Found	비고 Remarks
앞부분 갑판 Fore Deck	YES / NO	_____
후부 갑판 Aft Deck	YES / NO	_____
통로 Gangways	YES / NO	_____
표지 Hatches	YES / NO	_____
난간 및 브루워크 Handrails & bulwarks	YES / NO	_____
기계 선비 Machinery	YES / NO	_____
갑판 저장실 Deck Stores	YES / NO	_____
갑판 화물 Deck Cargo	YES / NO	_____
파이프 및 환기장치 Pipes & ventilation	YES / NO	_____
전등주변 Lights	YES / NO	_____
구명보트 Lifeboats	YES / NO	_____
선 주 Superstructure	YES / NO	_____
브릿지 Bridge	YES / NO	_____
크레인 또는 기중기 Cranes or derricks	YES / NO	_____
마스트 Masts	YES / NO	_____
굴뚝 Funnel	YES / NO	_____
그 외 통지해야 할 사항 Others	_____	_____
조사일자 Date of inspection	_____	_____
조사자 Inspector	_____	(서명 signature)
조사자 Inspector	_____	(서명 signature)


FIGURE 3-3-12: AGM Certificate—South Korea Issued by QIA (page 2)

Result No. KR-43-2012-001

**AGM 모니터링 결과서(Monitoring result for AGM in Korea)**

1. 선명(Vessel Name) :	2. 국적(Nationality) :
3. 선사(Shipping Company) :	4. 대령사(Agent) :
5. 만재 선적량(Dead weight) :	6. 선적화물(Cargo) :
7. 이전 경유지(Ports visited before)	
(1)	(2)
8. 모니터링 항구(port of monitoring) :	
(1)입항일(Inbound date) :	(2)출항예정일(Outbound date) :
9. 다음 경유 예정 항구(Assumed next port) :	
10. 북미 도착국가(Arrival country in North America) :	
11. 북미 도착항구(Arrival port in North America) :	
12. 북미 도착예정일(Expected arrival date in North America) :	
13. 모니터링 결과(Monitoring Results) :	

조사일자(Inspection Date) :  
 조사자 성명(Inspector) :  
 임의자(Attender) :


 NATIONAL PLANT QUARANTINE SERVICE GWANGYANG BRANCH OFFICE

\* 붙임  
 Attachment :

**FIGURE 3-3-13: AGM Certificate—South Korea Issued by QIA (page 3)**

**AGM 모니터링 조사표**  
 Check list of monitoring for AGM sign in a vessel

선박명 Name of a vessel \_\_\_\_\_  
 항명 Port of inspection \_\_\_\_\_

검사장소 Areas to be inspected	AGM 표징 유무 AGM sign Found	비고 Remarks
앞부분 갑판 Fore Deck	YES / NO	_____
후부 갑판 Aft Deck	YES / NO	_____
통로 Gangways	YES / NO	_____
해치 Hatches	YES / NO	_____
난간 및 브루워크 Handrails & bulwarks	YES / NO	_____
기계 설비 Machinery	YES / NO	_____
갑판 저장실 Deck Stores	YES / NO	_____
갑판 화물 Deck Cargo	YES / NO	_____
파이프 및 환기장치 Pipes & ventilation	YES / NO	_____
전등주변 Lights	YES / NO	_____
구명보트 Lifeboats	YES / NO	_____
선루 Superstructure	YES / NO	_____
브릿지 Bridge	YES / NO	_____
크레인 또는 기중기 Cranes or derrick	YES / NO	_____
마스트 Masts	YES / NO	_____
굴뚝 Funnel	YES / NO	_____
그 외 행지해야 할 사항 Others	_____	_____
조사일자 Date of inspection	: 14	
조사자 Inspector	: _____	_____

FIGURE 3-3-14: AGM Certificate—South Korea Issued by QIA (page 4)

(1 page)

**Certificate of Inspection of Freedom from Asian Gypsy Moth in Korea**

Certificate No. IPAB-PORT NAME-0000(year)-000(serial number)

---

This is to certify that the vessel, described below, was inspected as much as possible by the inspector of a certification body and is considered to be free from AGM at the time of the inspection.


---

1. Name and type of vessel: \_\_\_\_\_  
 2. Nationality, IMO number and gross ton of a vessel: \_\_\_\_\_  
 3. The estimated date of departure: \_\_\_\_\_  
 4. Port of inspection and place of pier: \_\_\_\_\_  
 5. Name of Shipping Company or Owner: \_\_\_\_\_  
 6. Receipt No.: \_\_\_\_\_

---

ADDITIONAL DECLARATION

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Stamp of Organization  
 International Plant Quarantine  
 Accreditation Board

Date of inspection: \_\_\_\_\_  
 Name of inspector: \_\_\_\_\_  
 (Signature of inspector)

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※ No financial liability with respect to this certificate shall attach to the International Plant Quarantine Accreditation Board or to any of its inspectors or representatives.

Attachment : Check list of inspection for AGM egg mass in a vessel

**FIGURE 3-3-15: AGM Certificate—South Korea Issued by IPAB (page 1)**



(2 page)

**Check list of inspection for AGM egg mass in a vessel**

증명서번호 Certificate No. : IPAB-PORT NAME-0000(year)-000(serial No.)  
 선 박 명 Name of a vessel : \_\_\_\_\_  
 검역항구 Port of inspection : \_\_\_\_\_

검역장소 Areas to be inspected	AGM 표징 유무 AGM sign Found	비고 Remarks
• 앞부분 갑판 Fore Deck	YES / NO	_____
• 후부 갑판 Aft Deck	YES / NO	_____
• 통로 Gangways	YES / NO	_____
• 해치 Hatches	YES / NO	_____
• 난간 등 Handrails & Bulwarks	YES / NO	_____
• 기계 설비 Machinery	YES / NO	_____
• 갑판 저장실 Deck Stores	YES / NO	_____
• 갑판 화물 Deck Cargo	YES / NO	_____
• 환기구 등 Pipes & Ventilation	YES / NO	_____
• 전등주변 Lights	YES / NO	_____
• 구명보트 Lifeboats	YES / NO	_____
• 선 루 Superstructure	YES / NO	_____
• 브릿지 Bridge	YES / NO	_____
• 크레인 등 Cranes or Derricks	YES / NO	_____
• 마스트 Masts	YES / NO	_____
• 굴뚝 Funnel	YES / NO	_____

인 통지해야 할 사항 Others notices \_\_\_\_\_

검역일기 Date of inspection : \_\_\_\_\_

검역기관 Name of Certification Body : International Plant Quarantine  
 Accreditation Board

검역자 Name of inspector : \_\_\_\_\_ (서명 signature)

As we inspected the above areas of a vessel, we inform you of the result of inspection.

FIGURE 3-3-16: AGM Certificate—South Korea Issued by IPAB (page 2)

## Special Procedures for Bee Swarms

If the vessel is arriving from or transited a country known to have Africanized honeybees<sup>11</sup>, then make sure you have the phone number of the contractor responsible for bee disposal and proper protective equipment as follows:

- ◆ Bee veil and helmet or bee suit
- ◆ White or tan coveralls
- ◆ Thick gloves to protect your hands from stings
- ◆ Commercial wasp and bee killer
- ◆ CO<sub>2</sub> fire extinguisher; available from port office

## Inspection Procedures for Africanized Honeybees



**Do not** assign employees known to be sensitive to bee venom to this job.

Inspect the deck area of the vessel for swarms of bees. Look for bees around garbage containers and any water source, such as water faucets. Check any opening on deck or on the bridge for possible colony sites. Pipes, mast crossbars, air vents, and other equipment stored on deck offer excellent colony sites for bees.

If you find bees<sup>12</sup>, then do the following:

1. Advise the agent to contact a local commercial pest control operator that can eliminate Africanized honeybee populations.



Treating for bees can be very dangerous. Do not attempt to destroy a bee colony without the services of a pest control professional.

2. Examine the dead bees to determine if the queen is present.
3. Question personnel in the dock area to locate additional bees that may have escaped detection.
4. Notify the local USDA APHIS entomologist.
5. Submit a written report through channels to QPAS within 2 weeks.

---

<sup>11</sup> Africa—all countries on the continent, Belize, Brazil, Colombia, Costa Rica, El Salvador, Ecuador, French Guyana, Guatemala, Guyana, Honduras, Mexico, Nicaragua, Panama, Peru, Suriname, or Venezuela  
<sup>12</sup> Even if you find **no** live bees, note this fact on [CBP Form AI-288, Ship Inspection Report](#).

6. Note the fact that you found live bees on **CBP Form AI-288, Ship Inspection Report**.
7. See **Routine Interceptions** on **page 7-1-2** for directions on how to submit interceptions.



If you are stung, immediately scrape the stinger off by scraping it in the direction **opposite** where it entered the skin. You may scrape the stinger off by using your fingernail or any straight-edged instrument. **Never** pull the stinger out because this will force more venom into your skin as well as release more alarm pheromone. Since the stinger is barbed, immediate removal can greatly reduce the effect of the sting. To avoid more stings (since the site of the sting is releasing alarm pheromone), get to safety quickly and wash the site of the sting with soap and water.

---

## Special Procedures for Suspect Khapra Beetle (KB) Ships

The purpose of the emergency action is to prevent the spread of khapra beetle (KB) *Trogoderma granarium* into the U.S. KB eggs and pupae can survive up to seven years with little or no food. KB can hide in cracks, crevices, or other hiding spots. Because cracks and joints are “super highways” for insect movement, they should be a priority in any inspection for dead cast skins or live KB. Inspection and treatment of contaminated vessels will prevent the spread of KB.

### Where to Inspect for KB

Inspect the following areas or items that may harbor KB:

- ◆ Ship’s storerooms and galley areas
- ◆ Grains and grain products
- ◆ Dried seeds and nuts
- ◆ Used bags and bagging (including but not limited to those made of burlap or cotton)
- ◆ Dried milk, dried blood, fish meal, meat and bone meal, and dried animal hides
- ◆ Ledges, shelves, corners, and window sills
- ◆ Spider webs
- ◆ Ceiling lights and lenses

### **Khapra Beetle Countries**

Refer to [Countries Infested with Khapra Beetle](#) for a list of countries designated by the USDA as having endemic KB and considered as high risk for introduction. Because this list is revised periodically, check frequently for updates.

### **Policy and Procedures**

Although APHIS regulations do not prohibit the entry of ships from areas where KB is considered prevalent, the [Plant Protection Act](#) grants the authority to order ships found to be infested to leave the U.S. territorial waters or to be treated for the infestation.

### **Inspection**

Inspect the storerooms and dried stores in vessels that load provisions in an endemic KB country. Board vessels on arrival that meet the following conditions:

- ◆ Vessels identified as having cast skins or dead KB in the past
- ◆ Vessels under notice for KB fumigation, but which left the territorial limits of the U.S. without fumigation

After ship inspection, if suspected KB is intercepted, issue the following warning notice on CBP AI-288:

“An insect believed to be khapra beetle, a serious agricultural pest, has been found in your vessel. If identification is confirmed, an Emergency Action Notification will be issued by Customs and Border Protection.”

Refer to [Preventing the Spread of Pests and Diseases](#) on **page 6-1-1** for further information on safeguarding infested material.

## Taking Action for Khapra Beetle

If identification is confirmed as KB, refer to **Table 3-3-17** below.

**TABLE 3-3-17: Determine Action to Take on Khapra Beetle Infestation**

If you found:	Then:
Dead KB or cast skins in storerooms	<b>No</b> further action is necessary
Live KB	<ol style="list-style-type: none"> <li>1. ISSUE <b>PPQ Form 523, Emergency Action Notification</b> to the operator (see <b>Issuing an Emergency Action Notification</b> on page <b>6-1-7</b> and refer to <b>Table A-1-36</b> on page <b>A-1-125</b> for instructions on completing the form) (7 CFR 330.106)</li> <li>2. CONTACT local PPQ to supervise treatment (7 CFR 319.75.4)</li> <li>3. NOTIFY any subsequent port</li> <li>4. CONTACT APTL<sup>1</sup> and QPAS<sup>2</sup> headquarters immediately with detailed information about the infested shipment or infested ship(s)</li> </ol>

- 1 Contact CBP, APTL (including weekends and holidays) at OFO-APL Mailbox [cbp.ofo-apl@dhs.gov](mailto:cbp.ofo-apl@dhs.gov).
- 2 Contact PPQ, QPAS by email or by telephone through the proper CBP chain of command. PPQ, QPAS will provide CBP with email addresses for points of contact, including contacts for evenings, holidays and weekends.



If you intercept more than one pest in the galley, dry stores, or anywhere else on the same vessel, compare all specimens. Combine all life stages of the same pest species into one interception. **Never** submit multiple PPQ Form 309s for suspect KB found on the same vessel. **Never** submit a PPQ Form 309 for each CBP AS. Submit one PPQ Form 309 from all CBP AS, and in the remarks section write the names of all CBP AS.

If the next port of call is U.S., CBP will notify CBP at the subsequent port of call about the dead KB, cast skin, or live KB.

## Treating for Live Khapra Beetle

Require treatment to start within 24 hours after receipt of PPQ Form 523 unless the vessel sails foreign or there are insufficient facilities for treatment. You may extend the 24-hour starting period to 48 hours if you determine the reasons for delay to be satisfactory. Have the captain or the vessel's agent sign the form to acknowledge they have received the Emergency Action Notification, and give a copy to the person signing.

The owner of the infested means of conveyance under notice for fumigation which leaves the territorial limits of the U.S. without fumigation should have arranged for eradication of the infestation before returning to the the U.S.

If the vessel with confirmed live KB sails prior to treatment, it **cannot** continue to another U.S. port. Unloading or landing of any product or article shall **not** be permitted pending compliance with the fumigation requirement, except as authorized by the CBP AS and under conditions prescribed by the CBP AS. If the next port of call is U.S., the CBP AS will notify the subsequent port of call.

If the vessel sails foreign, the vessel's name would be added to the KB vessel list maintained by APTL. Upon subsequent return to the U.S., the vessel with confirmed live KB must be boarded on arrival. Proof of treatment must be made available. No cargo may be off-loaded prior to completion of the vessel inspection by CBP. The CBP AS may request documentation of treatment for eradication verification. The documentation should be in the form of a treatment certificate.

If the CBP AS for any other reason is not satisfied that the infestation has been eliminated, the notification shall immediately become effective and treatment will be required. Issue a new EAN. Conditions may require that the ship be ordered out of the U.S. berth. When ordering a ship to leave U.S. territorial waters, issue **PPQ Form 523, Emergency Action Notification**, located in the [Agricultural Quarantine Activity Systems \(AQAS\)](#). See **Table A-1-36** on **page A-1-125** for instructions on completing the form. Any additional CBP forms will be issued as required by CBP policies and procedures. Request the ship's master to prepare for and execute an immediate departure. The notification will instruct the ship's agent to immediately call out necessary tugs, linesmen, and pilots for the ship's departure. The only actions allowed are those that make the ship seaworthy, such as bunkering.

Whenever communicating vessel status to QPAS and/or PPQ or seeking their operational guidance or concurrence, including vessels with interceptions of live khapra beetle, send a copy of all correspondence to QPAS and/or PPQ to the OFO-APL Mailbox ([cbp.ofo-apl@dhs.gov](mailto:cbp.ofo-apl@dhs.gov)) with a return telephone number in the email message.

**Special  
Instructions for  
Infested Vessels  
Sailing Foreign  
Without  
Treatment**

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

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

# 3

Agricultural  
Clearance

## Examining Carriers

### *Clearing Trains and Buses*

---

Develop local port standard operating procedures (SOP) for the clearance of trains and buses.





# 3

Agricultural  
Clearance

## Examining Carriers

### *Clearing Privately Owned Vehicles*

---

■ Develop local port standard operating procedures (SOP) for the clearance of privately owned vehicles.



# 4

Agricultural  
Clearance

# Clearing Passengers, Crew, and Baggage

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## Introduction

This chapter of the MAC provides policy, methods, and procedures you will need to clear passengers and crew. Inspection can be divided into two phases: screening and inspecting. Screening involves questioning the passenger, reviewing the declaration, and visually observing the passenger's baggage for referral for further examination. Inspecting involves a more detailed questioning of the passenger and, if deemed necessary, a physical examination of the baggage.

### Policy

The inspection of passengers and their baggage is necessary since they present a risk for pest introduction. The completion of AQI Monitoring (AQIM) activities on passenger baggage will provide valuable risk information to help create or revise operations strategies for mitigating the pest risk. Because of the risk, CBP must use well established strategies to detect pests and contraband. These strategies include screening, use of detector dogs, and X-ray equipment. Information obtained from the Passenger Analysis Unit (PAU) may help evaluate risk. CBP may also use civil penalties as a method to enhance passenger compliance with regulations.



**Caution on diplomatic pouches—never** open or X-ray diplomatic pouches without the approval of the affected embassy or consulate. If you have convincing evidence that there are prohibited articles in a diplomatic pouch, then you may contact the affected embassy or consulate to get their approval to open it. If the embassy or consulate gives their approval, most often they will want to be present when the pouch is opened. The Vienna Convention on Diplomatic Relations prohibits our access to diplomatic pouches.

### Materials Needed

You will need the following items for clearing passengers:

#### APHIS Manuals

- ◆ *Animal Product Manual*
- ◆ *Cut Flowers and Greenery Import Manual*
- ◆ *Fresh Fruits and Vegetables Import Manual*
- ◆ *Miscellaneous and Processed Products Manual*
- ◆ *Seeds Not for Planting Manual*
- ◆ *CITES I-II-III Timber Species Manual*
- ◆ *Plants for Planting Manual*

## Other Materials

- ◆ Bolt cutters
- ◆ Brochure handouts
- ◆ Can opener
- ◆ ***CBP Form AI-277, Agriculture Inspection Baggage Information*** on **page A-1-45**
- ◆ Container or receptacle with a tight-fitting lid for placing contraband
- ◆ Disinfectants for footwear
- ◆ Disposable gloves
- ◆ Hand lens
- ◆ Lighter for boiling larvae
- ◆ Luggage keys
- ◆ Paper or plastic bags for separating and identifying contraband
- ◆ Paper towels
- ◆ Pocket knife
- ◆ ***PPQ 309, Pest Interception Record*** on **page A-1-99**
- ◆ ***VS Form 10-4, Specimen Submission*** on **page A-1-137**
- ◆ Tape or twine for resealing packages
- ◆ Vials and pill boxes for making interceptions

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## Screening Baggage

Screening is the process of selecting baggage for further examination. In practice, screening is a review of the written declaration, an assessment of oral responses to an officer's questions, and a visual assessment for baggage. **Do not** support any system in which the passenger declaration (written or by channel selection) is the only factor in selection of passengers for examination.

A successful screening system should include the following:

- ◆ CBP Agriculture Specialist to conduct a face-to-face interview and review of the written declaration
  - ❖ The interview should take place when the passengers have possession of their baggage
  - ❖ If the interview takes place before the passengers have their baggage, then CBP personnel should screen these same passengers once they have their baggage
- ◆ Opportunity to redirect passengers for more comprehensive inspection

## Inspecting Baggage

All persons and baggage are subject to inspection upon arrival.



All passengers and crew are responsible for lifting their baggage onto the inspection belt and opening all baggage for inspection. Airlines or porters may be called for assisting disabled passengers with their baggage. **Do not** lift or open baggage for passengers or crew.

Inspection can consist of as little as detailed questioning or as much as a thorough inspection of the passenger's baggage. High-risk baggage should receive a thorough examination. A passenger carrying low-risk baggage who declares an agricultural item might simply be asked to produce the item for examination. For the procedures in handling foreign diplomats with A-1 or A-2 visas, go to [Courtesy of the Port When Inspecting Diplomats](#) on **page 4-1-15**.

### Accompanied Baggage

When inspecting passengers with baggage, do as follows:

1. Review the Customs Declaration and question the passenger about the items declared.
2. Allow the passenger to amend the declaration by restating the agricultural questions on the declaration and allowing the passenger to respond orally.

The initial declaration along with the opportunity to amend the declaration meets the first two criteria for allowing you to assess a civil penalty.

3. Search passenger baggage thoroughly for agricultural items.



Take care **not** to search passenger baggage blindly with your hands due to safety hazards such as sharp objects, razor blades, broken glass, and syringes. Wear rubber gloves for examination due to risk of anthrax.

4. Refer to your *Plant Import: Nonpropagative Volume of Manuals*<sup>1</sup>, *Plants for Planting Manual*, or *Animal Product Manual* to determine admissibility and any conditions of entry. Inspect these items and seize prohibited or infested items. A careful inspection can have a positive effect on cooperating inspectors and the passenger.

---

<sup>1</sup> [Cut Flowers and Greenery Import Manual](#), [Fresh Fruits and Vegetables Manual](#), [Miscellaneous and Processed Products Manual](#), or [Seeds Not for Planting Manual](#)

5. Examine the article for soil or manure. If you find the article contaminated with soil, then have the soil removed and disposed of. Soil removal is unnecessary from some areas in Canada (refer to the [Miscellaneous and Processed Products Manual](#)). If you find contamination with manure, clean the article and disinfect.

### Unaccompanied Baggage

Inspect unaccompanied baggage after the carrier has been cleared and when a carrier representative is available to open the baggage. If you discover agricultural contraband, remove it from the baggage for examination and disposal. If you seize contraband, place the *Notice to Arriving Traveler* flyer in the baggage. If resources are available, include a written description of any item that was removed.

## Taking Action Based on Inspection

To take the correct regulatory action, refer to the listed [APHIS Manuals](#) on [page 4-1-2](#). See [Table 4-1-1](#) to determine if the information is covered in the Reference Section.

**TABLE 4-1-1 Determine Action to Take on Footwear or Pet Bird**

If you found:	Which was:	And the farm or ranch is in:	Then:
Footwear	Used on a farm or ranch that has livestock or poultry	Australia, Iceland, or New Zealand	Unless soil must be removed and disposed of, no action is required since these countries are free from animal disease of concern
		Other than above	GO to <a href="#">Disinfecting Footwear</a> on <a href="#">page 4-1-14</a>
	Never used where there was livestock or poultry	—————▶	Unless soil must be removed and disposed of, no action is required since there is negligible risk of animal contamination
Pet bird	—————▶	—————▶	GO to <a href="#">Handling Pet Birds in Baggage</a> on <a href="#">page 4-1-10</a>
Other than footwear or a pet bird	—————▶	—————▶	GO to <a href="#">Table 4-1-2</a>

**TABLE 4-1-2 Material Other Than Footwear or a Pet Bird**

<b>If the material:</b>	<b>And:</b>	<b>Then:</b>
Is prohibited	You are holding the material for a decision on enterability from Headquarters	GO to <a href="#">Safeguarding Detained Baggage Items</a> on <b>page 4-1-6</b>
	You are <b>not</b> holding the material	GO to <a href="#">Seizing and Safeguarding Contraband</a> on <b>page 4-1-6</b>
Is enterable <sup>1</sup>	It is propagative plant material	GO to <a href="#">Inspecting Propagative Materials in Baggage</a> on <b>page 4-1-7</b>
	It is nonpropagative plant material	INSPECT and RELEASE <sup>2</sup>

- 1 If material has restrictions that cannot be met such as treatment, postentry, special certification, or it is an ESA or CITES plant, then seize the material.
- 2 If it is impracticable or too great a risk to inspect the material in the passenger area, then consider having that material sent to a cargo facility for inspection.

### Seizing and Safeguarding Contraband

After referring to the appropriate APHIS manual,<sup>2</sup> seize the following agricultural items:

- ◆ Those that the manual instructs you to refuse entry
- ◆ Those that have restrictions that cannot be met
- ◆ Those infested with actionable pests

Explain to the passenger the pest risks and the general reason for the seizure. Be diplomatic and polite but firm when taking contraband from passengers. Safeguard all seized material out of the reach of the passenger. Collect and record the information necessary to complete [PPQ 309, Pest Interception Record](#) accurately. Ports will establish local Standard Operating Procedure to fulfill these requirements. If the seizure is pet birds, go to [Handling Pet Birds in Baggage](#) on **page 4-1-10**. If you find suspect khapra beetle (KB) in personal baggage, go to [Passenger Baggage](#) on **page 6-1-4**.

### Safeguarding Detained Baggage Items

Occasionally, you may need to hold a detained item for a decision on admissibility. Safeguard the item(s) by double bagging the quarantined material. Mark the material held with the identity of the importer and an alert to other officers that material is being held. Safeguard the material (refrigerate if necessary) until you receive a decision. If it is determined to be admissible, have the passenger make arrangements to pick up or forward the material.

<sup>2</sup> [Animal Product Manual](#), [Plants for Planting Manual](#), [Cut Flowers and Greenery Import Manual](#), [Fresh Fruits and Vegetables Manual](#), [Miscellaneous and Processed Products Manual](#), or [Seeds Not for Planting Manual](#)



## Inspecting Propagative Materials in Baggage

All propagative materials offered for import must be accompanied by a phytosanitary certificate issued by the country of origin. Some examples of propagative materials include seeds for planting, plants in growing media, flower bulbs, green stalks with nodes, and rooted items. Due to the limited amount of time available during passenger baggage inspection and the less than ideal conditions for inspecting plant propagative materials, use the following guidelines in **Table 4-1-3** for determining which shipments of enterable propagative materials to send to the local USDA APHIS Plant Inspection Station. See **Appendix M** for a list of Plant Inspection Stations.

**TABLE 4-1-3 Determine Which Shipments of Propagative Materials to Send to a Plant Inspection Station**

If the material:	And the material:	Then:
Is prohibited by Federal Regulation (7CFR300-399)	Is <b>not</b> accompanied by a USDA-APHIS Permit	REFUSE ENTRY
	Is accompanied by a USDA-APHIS Permit	SAFEGUARD <sup>1</sup> and SEND <sup>2</sup> to the Plant Inspection Station listed on the permit or permit label, along with all the accompanying documentation <sup>3</sup>
Is admissible with a written permit issued by USDA-APHIS <sup>4</sup>	Is <b>not</b> accompanied by a copy of the phytosanitary certificate issued by the country of origin	REFUSE ENTRY
	Is accompanied by a copy of the phytosanitary certificate issued by the country of origin	SAFEGUARD <sup>1</sup> and SEND <sup>2</sup> to the Plant Inspection Station listed on the permit or permit label, along with all the accompanying documentation <sup>3</sup>
Is admissible <b>without</b> a written USDA-APHIS permit	Is <b>not</b> accompanied by a copy of the phytosanitary certificate issued by the country of origin	REFUSE ENTRY
	Is accompanied by a copy of the phytosanitary certificate issued by the country of origin	1. INSPECT 2. RELEASE, if free from pests

- 1 The plant material must be stored in a CBP limited access area.
- 2 The importer is responsible for making arrangements, and for the cost of forwarding the materials to the plant inspection station. The importer is also responsible for making arrangements for picking up or shipping the propagative materials after they have been released.
- 3 See **Appendix M** for a list of plant inspection stations.

- 4 The shipment requires a written permit if it contains **any** of the following:
- ◆ Lots of 13 or more articles (other than seeds, bulbs or sterile cultures of orchid plants) from anywhere but Canada
  - ◆ Articles that require a Postentry Permit
  - ◆ Plants regulated by CITES or ESA
  - ◆ Articles that require treatment as a condition of entry
  - ◆ Seeds of woody plants (trees or shrubs) from anywhere but Canada
  - ◆ Bulbs of *Allium sativum*, *Crocasmia*, *Gladiolus* and *Watsonia* from New Zealand
  - ◆ Articles of *Cocos nucifera* (coconut)
  - ◆ Articles (except seeds) of *Dianthus* spp. from anywhere but Canada
  - ◆ Articles (except seeds) of *Malus*, *Pyrus*, *Prunus*, *Cydonia*, *Chaenomeles*, and/or *Rubus*, from Canada
  - ◆ Articles (except seeds) of *Castanea* or *Castanopsis* destined to California or Oregon
  - ◆ Articles (except seeds) of *Pinus* (5-leaved), destined to Wisconsin
  - ◆ Articles of *Ribes* destined to Massachusetts, New York, West Virginia, or Wisconsin
  - ◆ Articles (except seeds) of *Planera* or *Zelkova* from Europe, Canada, St. Pierre Island, or Miquelon Island, and destined to California, Nevada, or Oregon
  - ◆ Seeds of *Prunus* from Canada and destined to Colorado, Michigan, New York, Washington or West Virginia
  - ◆ Articles (except seeds) of *Vitis* from Canada and destined to California, New York, Ohio, Oregon and Washington
  - ◆ Articles (except seeds) of *Corylus* from Canadian provinces east of Manitoba and destined to Oregon or Washington
  - ◆ Articles (except seeds) of *Pinus* from Canada
  - ◆ Articles (except seeds) of *Ulmus* from Canada and destined to California, Nevada or Oregon
  - ◆ *Solanum tuberosum* true seed from New Zealand and the area of Chile between 39 degrees and 44 degrees South latitude

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## Documenting Passenger Clearance

Document on Customs Declarations and agriculture forms all regulatory action and inspection activities you take. The documenting of action on the Customs Declaration is a record that you have inspected and released a passenger that was specifically referred for agricultural inspection. If you seize contraband, then record the quantity and type of materials seized.

Document baggage inspection on CBP Form AI-277 and PPQ Form 213. CBP Form AI-277 is used to record the number of inspections made, the number of inspections resulting in seizures being made, and type of seizures made. Record the number of inspections on CBP Form AI-277 (or by local method) by tallying the number of inspections. PPQ Form 213 is a record of the total number of inspections and seizures made from each flight as well as information pertaining to the flight, such as flight number, tail number, block time, and the number of passengers and crew. Complete PPQ Form 213 after all passengers and crew are cleared. For instructions on how to complete the forms see ***CBP Form AI-277, Agriculture Inspection Baggage Information*** on **page A-1-45** and ***PPQ Form 213, Airplane Inspection Record*** on **page A-1-73**. For clearing passengers aboard vessels, complete ***CBP Form AI-288, Ship Inspection Report*** on **page A-1-48** to document your inspection. See **Table A-1-7** for instructions on completing the form.

### Agricultural Quarantine Activity Systems (AQAS)

Record your inspection data on the [AQAS web site](#).

### CBP IO25/IO04

Record secondary inspection in the CBP IO25 (Airport/Seaport Secondary Operations) or CBP IO04 (Land Border Secondary Operations) according to national policy.

### DHS Online

You may also use the [DHS web site](#).

This web site includes databases for:

- ◆ WADS (Work Accomplishment Data System)
- ◆ [PPQ280](#) on **page A-1-80**
- ◆ AQIM

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## Examining and Disposing of Contraband

Examine all fruit, vegetables, and other plant material for plant pests (insects, mites, mollusks, nematodes, and diseases).

Dispose of pulpy or fleshy fruits and vegetables by grinding. Incinerate or sterilize any fibrous, hard, or other plant material which cannot be disposed of by grinding.

The preferred method of disposition of seized animal products is by incineration or sterilization. If incineration and sterilization are unavailable, then it is acceptable to grind and discharge into an approved sewage system. However, disposal into the sewage system is not applicable to materials confiscated from passengers due to BSE risk concerns.

#### EXAMPLE

You find suspect khapra beetle (KB) in baggage.

Refer to [Passenger Baggage](#) on **page 6-1-4**.

If you intercept a plant pest or disease, complete [PPQ 309, Pest Interception Record](#), using the information recorded with the seizure. Submit the interception to the appropriate identifier (see [Preparing Plant Pest Interceptions](#) on **page 7-1-1**).

## Handling Pet Birds in Baggage

All birds (except birds from Canada), as distinguished from poultry or unaccompanied birds, imported into the United States must be quarantined for 30 days at a USDA bird quarantine facility. The importer is responsible for making the necessary arrangements for quarantine as well as obtaining health certificates in the country of origin. Birds (except for budgies and cockatiels) are also subject to U.S. Department of Interior, Fish and Wildlife Service regulations.

VS has the responsibility for the handling of legally and illegally imported pet birds. You will find the regulations governing the importation of birds in 9CFR 93. Pet birds are also regulated by Fish and Wildlife Service (FWS). This service may require CITES or Wild Bird Conservation Act Export/Import Certificates issued by the country of export.



**Except for** budgies and cockatiels, **all** parrot-like birds (psittacine birds) are protected by CITES.



Workstations may have established guidelines to coordinate the importation of pet birds beyond those published here.

Pet birds are those imported for the personal pleasure of their owners and are **not** intended for resale. Pet birds are regulated since they can carry the following viral and bacterial diseases of concern:

- ◆ Exotic Newcastle disease (viral)
- ◆ Avian influenza (viral)
- ◆ Psittacosis<sup>3</sup> (bacterial)

In general, pet birds imported into the United States must be accompanied by a health certificate and a VS issued Import Permit. U.S. origin birds returning to the U.S. need only a health certificate.

### Locations of Bird Quarantine Facilities

Quarantine facilities for birds exist at the following locations:

J.F.K. International Airport, New York  
Los Angeles, California  
Miami, Florida

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<sup>3</sup> Psittacosis is an infectious disease of parrots and related birds. This bacterial disease is communicable to humans. In humans, the symptoms of psittacosis include a high fever, severe headache, chills, muscle aches and a cough.

## Responsibilities

### VS

**VS** is responsible for providing personnel during weekends and holidays. In addition, if a bird is **ineligible** for home quarantine, then VS is responsible for inspecting and transporting the bird to a quarantine facility during normal working hours.

When VS is notified of live bird(s)<sup>4</sup> at a port of entry, VS is responsible for the following:

- ◆ Meeting the flight upon arrival with the bird(s) without exception
- ◆ Determining whether the bird(s) is eligible for entry into the U.S.
- ◆ Inspecting the bird(s)
- ◆ Completing all necessary paperwork
- ◆ Transporting the bird(s) to a quarantine facility

If the bird is proceeding through a full-service preclearance location (see **Full-service Preclearance Locations** on **page 4-1-13**), and will proceed to a U.S. port of entry, then VS is responsible for the following:

- ◆ Issuing a Veterinary Services Permit to Import (VS Form 17-135). The VS Form 17-135 will:
  - ❖ Identify the U.S. port of arrival
  - ❖ Require the permit holder to present a copy of the permit (VS Form 17-135) to CBP
  - ❖ Require the permit holder to arrive for preclearance with CBP two (2) hours prior to the departure of the flight
- ◆ Making arrangements for VS personnel to meet the flight for inspection and post entry clearance upon arrival at the U.S. port. CBP will not hold bird(s) at Ports of Entry (POE) upon arriving from Preclearance Facility Locations if no VS official is present. The required arrangements include:
  - ❖ Forwarding a copy of the permit (VS Form 17-135) to the Area Veterinarian-In-Charge (AVIC) of the state where the bird(s) will make entry
  - ❖ Ensuring that the permit holder verifies their appointment with the VS personnel at least 72 hours in advance of arrival at the U.S. port

<sup>4</sup> For birds that are **not** owned by a person or included in a shipment (i.e. wild birds), contact the [U.S. Fish and Wildlife Service](#) for instructions.

## CBP

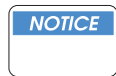
**CBP** responsibilities depend on preclearance status. When live bird(s) arrive at the U.S. port from non-precared foreign ports, CBP is responsible for the following:

- ◆ Notifying VS (the Port Veterinarians, a field veterinarian, or the AVIC) of the bird's arrival (see [Appendix H](#) of the [Animal Product Manual](#) for the list of AVICs, VRS, and VS Staff Veterinarians)

If a VS official is not available when the bird(s) is presented for entry, then CBP personnel will hold the bird(s) until a VS official arrives and can assume responsibility for the bird(s). CBP will obtain applicable information and fill in the appropriate blocks on [VS Form 17-8, Agreement of Pet Bird Owner](#) (before the owner has departed the area). Complete VS Form 17-8 using the instructions in [Table A-1-41](#) on [page A-1-146](#).

If the bird(s) is presented at one of the full-service preclearance locations (listed below), then CBP is responsible for the following:

- ◆ Verifying that the owner has a copy of the VS permit to Import (VS Form 17-135).



The presentation of the valid permit signifies that an appointment has been made with VS upon arrival at the destination port.

- ◆ Verifying that the port of entry listed on the permit (VS Form 17-135) corresponds to the travel on the owner's ticket



Lack of a VS permit by the owner will require that CBP refuse entry to the bird(s).

- ◆ Notifying VS (the Port Veterinarians, a field veterinarian, or the AVIC) of the bird(s) departure and estimated arrival time at the destination port that the bird(s) are enroute in the U.S. (see [Appendix H](#) of the [Animal Product Manual](#) for the list of AVICs, QPAS VRS, AQI VMOs, and VS Staff Veterinarians)
- ◆ Birds in passenger baggage that are **not** eligible for entry into the U.S. should **not** be allowed to continue to the U.S. (CBP should coordinate with local veterinary authorities to determine the disposition of the birds)

CBP is **not** responsible for safeguarding the birds(s) at the destination port once arriving from a preclearance location

## Full-service Preclearance Locations

Preclearance facilities for birds exist at the following locations:

- ◆ Aruba
- ◆ Dublin, Ireland
- ◆ Freeport, Bahamas
- ◆ Montreal, Canada
- ◆ Nassau, Bahamas
- ◆ Shannon, Ireland
- ◆ Toronto, Canada
- ◆ Vancouver, Canada

## The Owner of the Pet Bird

**The owner** (or importer) is responsible for the following:

- ◆ Obtaining an import permit (VS Form 17-135), if necessary
- ◆ Obtaining a health certificate in the country of origin
- ◆ Obtaining any other pertinent documentation (i.e., CITES, health certificates)
- ◆ Presenting a copy of the required import permit (VS Form 17-135) and all supporting documents to CBP
- ◆ Paying all user fees and costs associated with importing pet birds
- ◆ Arranging for the quarantine of the bird(s), if necessary
- ◆ Arriving at any full-service preclearance location (see [Full-service Preclearance Locations](#) above) two (2) hours prior to the departure of the flight to complete CBP preclearance procedures

## Supplies

- ◆ **Cages or carriers:** VS supplies cages or carriers that can accommodate both small and large birds. CBP is responsible for storing these cages at the port of entry. CBP must inventory the cages and let VS know if more are needed. If a cage or carrier is used, VS is responsible for cleaning and disinfecting the cage or carrier before returning it to the port of entry.
- ◆ **Cartons:** CBP supplies the cardboard cartons used to transport the birds in cages or carriers to a quarantine facility. Cartons must be large enough to accommodate the cages or carriers. CBP must ensure the carton is placed in a room with good ventilation and appropriate temperature. The best way to do this is to get cartons specifically made for shipping live animals. Otherwise, cut a sufficient number of air holes out of the two opposite sides of a solid carton. You can buy suitable cardboard cartons from a commercial rental dealer, self-storage business, or moving company.

- ◆ **Air filters:** VS supplies air filters to CBP. These are designed to prevent the spread of viruses and bacteria. **Never** substitute the VS supplied air filters with other types of filters. Place the air filters over the air holes on the **outside** of the carton. Use a sturdy tape such as duct tape to hold the air filters in place.
- ◆ **Bird feed:** CBP supplies feed. Ports of entry are responsible for maintaining a small amount of assorted varieties of bird feed that is available at most pet and grocery stores. To preserve the feed's quality, store the feed in a freezer.

## Procedures

**TABLE 4-1-4 Decide Which Procedures to Use for Handling Pet Birds**

If the pet bird is:	Then:
Entering the United States	<ol style="list-style-type: none"> <li>1. CONTACT the VS Port Veterinarian or AVIC<sup>1</sup> to process and inspect the bird (except for <b>Full-service Preclearance Locations</b>)</li> <li>2. SAFEGUARD the bird until the VS veterinarian arrives</li> </ol>
Transiting the United States	GO to <b>Table 4-1-5</b>

<sup>1</sup> A list of AVICs is available in [Appendix H](#) of the *APM*.

**TABLE 4-1-5 Action to Take on Pet Birds Transiting the U.S.**

If the owner has:	Then:
Provided VS with advance notification of arrival	SAFEGUARD the bird until the VS veterinarian arrives
<b>Not</b> provided VS with advance notification of arrival	<ol style="list-style-type: none"> <li>1. SAFEGUARD the bird</li> <li>2. CONTACT local VS office or AVIC<sup>1</sup></li> </ol>

<sup>1</sup> A list of AVICs is available in [Appendix H](#) of the *APM*.

## Disinfecting Footwear

To disinfect footwear, refer to ***Cleaning and Disinfecting*** on **page 6-1-9**. Before applying disinfectant, clean excess dirt and manure from boots or shoes using a stiff brush, screwdriver, or other blunt object. Be sure to scrape dirt from crevices in shoes and boots. You may have the passenger clean the footwear. If you use sodium hypochlorite (bleach) as a disinfectant, warn passengers that the strength of the solution may bleach out color depending on the type of footwear.



Removing organic material (dirt, mud, soil, manure) contaminating footwear is critical for the disinfectant to work properly. You **must** remove all organic material from boots or shoes before using the disinfectant to ensure destruction of disease causing agents.



## Courtesy of the Port When Inspecting Diplomats

Give courtesy of the port privileges<sup>5</sup> to all persons possessing a diplomatic passport with an A-1 or A-2 Visa or a G-1 or G-2 Visa (UN diplomat).

Always be courteous and tactful when clearing diplomats because a misunderstanding may result in embarrassment to the U.S. Government. At the same time, keep in mind that a pest does **not** respect the status or rank of the person with whom it travels.

Tactfully ask the diplomats if they have any material of an agricultural nature. In the absence of evidence that would suggest otherwise, accept a negative declaration.



Always perform inspections in the presence of the diplomats or the diplomats' representatives. **Never** detain or search diplomats, although you may hold the baggage or shipment if you have a serious reason to believe<sup>6</sup> they contain regulated items.

If the diplomat declares agricultural items or you have serious reason to believe<sup>6</sup> the diplomat is carrying regulated items, follow the directions below:

1. If the diplomats tell you they are carrying items of an agricultural nature, ask the diplomats to allow you to examine the agricultural items. If the diplomats agree to allow you to examine the articles, examine them. Release all enterable items. If you find prohibited items, explain the pest risk to the United States that could be caused by the item. Then ask the diplomats to surrender the items to you. If the diplomats refuse to allow you to inspect the agricultural articles or refuse to surrender any prohibited articles, then continue to the next step.
2. Try to tactfully get the diplomats to open their baggage for inspection or to surrender any prohibited articles as follows:
  - A. Explain the pest risk to the United States that could be caused by the item. Inform the diplomats that such action is in violation of Articles 36 and 37 of the Vienna Convention on Diplomatic Relations, and/or Article 50 of the Vienna Convention for Consular Relations Officers. These Articles state that inspections and seizures are allowed for quarantine purposes regardless of a privileged person's status.

5 Courtesy of the port privileges do **not** apply to U.S. citizens entering the U.S. with U.S. Diplomat passports.

6 The term "serious reason to believe" is used here because it is used in the Vienna Convention on Diplomatic and Consular Relations.

- B.** If the diplomats comply with your request, then proceed as in 1 above. If the diplomats still refuse to cooperate, record all the details of the incident on PPQ Form 591. Although you cannot assess a civil penalty to diplomats carrying a valid A-1, A-2, G-1 or G-2 visa, you will use this form to document the incident.
- C.** Inform the diplomats that a full report will be forwarded to the Department of State so that the incident can be handled immediately by the appropriate embassy. Notify your supervisor/Port Director who will then telephone the Director of Field Operations (DFO) as soon as possible with a description of the incident and follow up with a copy of the written report filled out on PPQ Form 591.
- D.** During normal business hours, the DFO will contact the nearest Department of State, Office of Foreign Missions, for guidance. All relevant documents will be provided to the Department of State, Office of Foreign Missions. For contact information, refer to **Table 4-1-6** on **page 4-1-17**.

**TABLE 4-1-6 Contact Information: Department of State, Office of Foreign Missions**

Office Location	Address, Phone, Email	Area of Responsibility
Washington, DC Headquarters	2201 C Street NW, Room 2236 Washington, DC 20522-3303  202-895-3500 ext. 2  <a href="mailto:OFMTaxCust@state.gov">OFMTaxCust@state.gov</a>	Virginia, Maryland
Chicago Regional Office	77 W. Jackson Blvd., Ste. 2122 Chicago, IL 60604-1503  312-353-5762  <a href="mailto:OFMCGCustomerService@state.gov">OFMCGCustomerService@state.gov</a>	Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Ohio, Wisconsin
Houston Regional Office	8701 S. Gessner, Ste. 906 Houston, TX 77074  713-272-2865  <a href="mailto:OFMHOCustomerService@state.gov">OFMHOCustomerService@state.gov</a>	Arkansas, Colorado, Kansas, Louisiana, Nebraska, New Mexico, Oklahoma, Texas
Los Angeles Regional Office	10940 Wilshire Blvd., Ste. 1425 Los Angeles, CA 90024  310-235-6292  <a href="mailto:OFMLACustomerService@state.gov">OFMLACustomerService@state.gov</a>	Arizona, Southern California, Southern Nevada, Utah
Miami Regional Office	95 Merrick Way, Ste. 505 Coral Gables, FL 3313  305-442-4943  <a href="mailto:OFMMICustomerService@state.gov">OFMMICustomerService@state.gov</a>	Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee, West Virginia, Puerto Rico, U.S Virgin Islands
New York Regional Office	866 UN Plaza, Ste. 265 New York, NY 10017-1811  212-826-4500  <a href="mailto:OFMNYCustomerService@state.gov">OFMNYCustomerService@state.gov</a>	Connecticut, Maine, Massachusetts, New Hampshire, New York, New Jersey, Pennsylvania, Rhode Island, Vermont
San Francisco Regional Office	201 Mission St., Ste. 2220 San Francisco, CA 94105  415-744-2910  <a href="mailto:OFMSFCustomerService@state.gov">OFMSFCustomerService@state.gov</a>	Alaska, Oregon, Washington State, Hawaii, Northern California, Northern Nevada, Idaho, Montana, Wyoming, North Dakota, South Dakota, U.S. Pacific Territories

**E.** If necessary, after normal business hours or on a holiday, the DFO **must** contact the Department of State Command Center at 1-800-866-217-2089 or 571-345-3146 and ask for the OFM Duty Officer.

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## **Courtesy of the Port for Boarding Military and State Aircraft**

The Courtesy of the Port addresses aircrafts that have been given Diplomatic Overflight and Landing Clearance by the Department of State (DOS), Bureau of Political-Military Affairs, and Office of International Security Operations (PM/ISO). Such aircrafts are known as “state aircraft.”

In general, CBP Agriculture Specialists are instructed not to board the foreign government or foreign military aircraft described above. CBP Agriculture Specialists do not board such aircraft out of respect for international agreements between the United States and many foreign countries regarding the sanctity of state aircraft. Also, international custom and practice dictate that, once clearance is given, foreign military aircrafts are exempt from inspection if there is not a specific agreement to the contrary, or unless the right to inspect is asserted in the terms of the diplomatic clearance.

Various international agreements and international custom and practice therefore oblige the United States to protect the sovereignty of state aircraft. These agreements and practices in turn serve to protect the sovereignty and security of the United States and diplomatic aircraft when our President, Diplomats, and soldiers travel abroad. Additionally, the Department of Defense Foreign Clearance Guide gives clear guidance to aircraft commanders that they are not to allow a foreign government official to board their aircraft unless approved by the ambassador or the head of the applicable Service. Foreign governments often have the same expectation of their aircraft commanders.

### **Contraband on Board**

If, however, a CBP Agriculture Specialist has a strong suspicion that the aircraft is being used to transport contraband, or strong suspicion of non-official use of the aircraft, authority to board may be obtained. For example, if CBP officials have credible information regarding contraband on board an aircraft belonging to a foreign nation, DOS may obtain authorization from the government of that foreign country for CBP to board the aircraft. Boarding with permission of the foreign government does not violate principles of sovereignty. If you believe there is a need to board an aircraft that has been granted Diplomatic Overflight and Landing Clearance by DOS, notify the DFO from your Port of Entry and the Situation Room through your Port chain of command. Notification allows CBP to coordinate with the DOS and that government’s embassy at appropriate levels. CBP may then facilitate a solution to the situation.

Although CBP Agriculture Specialists are not to board such aircraft, all persons equipments, baggage, and cargo that exit the aircraft are subject to normal inspection procedures in accordance with the law, unless separate regulations, agreements, policies, or arrangements apply. For example, heads of state, diplomats, and diplomatic couriers (and their pouches) that are accredited to the United States by the government of that country, may be entitled to certain exceptions. These are addressed in accordance with Directive 3340-032, Processing Foreign Diplomatic and Consular Officials. Regardless of the status of the person or the aircraft, unless prior arrangement is made with CBP, all agricultural products, cut flowers, meat, and garbage must remain on board while the aircraft is in the United States. Therefore, CBP will not ordinarily board nor inspect foreign state aircraft, military or non-military.

### **Extenuating Circumstances**

If circumstances arise in which boarding and inspection are necessary, contact the DFO from your Port of Entry and the Situation Room at (202) 344-3910, to file a significant incident report (SIR) through your Port chain of command. To verify the issuance of the Diplomatic Overflight and Landing Clearance, contact CBP Headquarters, or PM/ISO at (202) 647-4855 during normal working hours, or their 24-hour operation center at (202) 647-1512.

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## **Courtesy of the Port to Foreign Officials and Vessels**

Courtesy of the Port is a privilege granted by CBP and other Federal Agencies to foreign officials and vessels. Courtesy of the Port for boarding foreign public vessels, and garbage safeguarding guidelines to follow when inspecting foreign public Vessels are listed below.

The Department of State considers foreign, public vessels as all foreign commissioned naval vessels, scientific research vessels, and other vessels operated by a foreign government when used in noncommercial service. Generally, you will receive information in advance including the nationality of the vessel, port(s) to be visited, and the approximate date(s) of the visit.

### **Permission to Board**

Unless you receive permission to board the vessel from the captain or another officer, then do not board the vessel. If boarding permission is granted, exercise good judgment in carrying out your inspection. Arrange to board with CBP Officers is encouraged. Be sure to discuss the protocol to be observed during boarding. Once aboard, make a careful assessment of the plant pest and animal disease risk associated with the stores or elsewhere, and of prohibited or restricted agricultural items. You can assess the risk either by questioning the captain or other officer, or by actual inspection. If actual inspection is warranted, then gain the permission and escort of the captain or another officer. If the captain or officer refuses to cooperate, then immediately contact the DFO from your Port of Entry and the Situation Room through your Port chain of command. Follow up your initial contact by writing an Officer's Statement of the incident describing the problem encountered.

### **Handling Garbage**

Explain and solicit cooperation for maintaining garbage while the vessel is in port. The U.S. Navy usually makes initial arrangements for garbage removal for foreign, military vessels. If approved garbage disposal facilities are available at your Port, inform the captain or officer that an approved garbage disposal company may remove garbage. Make periodic checks to ensure the garbage is being handled properly. See Monitoring Garbage on page 3-1-1 for specific information on garbage control.

### **Garbage Violations**

If you detect a deliberate and flagrant violation of the garbage handling procedures or other safeguard requirements, then make a full report to the Director, Field Operations and the Situation Room through your Port chain of command. Follow up by writing an Officer's Statement of incident.

### **Animals Aboard Public Vessels**

Live ruminant animals or swine should not be aboard public vessels given Courtesy of the Port. If live animals are aboard, the Director, Field Operations and the Situation Room should be notified through your Port chain of command. The vessel's captain is expected to prevent the removal of other animals (including birds) as well as other restricted or prohibited items.

## Handling Passengers That Are in Transit

In-transit passengers are travelers who are immediately passing through the United States on their way to another country. In general, such passengers are low risk for introducing plant pests and animal diseases. However, if there is risk of pest escape, **do not** allow articles to transit. **Except** as provided for in the table that follows, **do not** allow prohibited meat to transit the United States. Use **Table 4-1-7** on **page 4-1-21** to determine your action.

**TABLE 4-1-7 Action to Take with In-transit Passengers' Animal Products and Plants or Plant Pests**

If the passenger in-transit has:	And it:	And it is in their:	Then:
◆ Meat ◆ Meat product ◆ Animal product	Is <b>ineligible</b> for entry	Baggage checked through to destination	ALLOW transit
		Carry-on baggage	REFUSE to allow transit
◆ Animal by-product	Is eligible for entry	—————→	ALLOW transit
Plant or plant product	Is prohibited or requires treatment as a condition of entry	Baggage checked through to destination	REFUSE to allow transit
		Carry-on baggage	
	Is enterable <b>without</b> treatment	—————→	ALLOW transit
Plant pest	Has a permit	—————→	REFUSE to allow transit
	<b>Lacks</b> a permit	—————→	

If you can safeguard prohibited plant articles and those requiring treatment, then allow those articles to transit. Safeguards include having the passenger check the article through with the airline or ensuring that the passenger moves straight to a secure holding area, and then checking that holding area to make sure prohibited material is **not** left behind.

**Clearing Passengers, Crew, and Baggage**  
Handling Passengers That Are in Transit

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# 5

Agricultural  
Clearance

# Examining United States Postal Service (USPS) International Mail

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## Introduction

The *Examining United States Postal Service (USPS) International Mail* chapter of the MAC gives you the information needed to regulate packages and parcels in international mail facilities. See also “Clearing Mail Importations” of the *Special Procedures* section of the *Animal Product Manual*. All mail from foreign locations and U.S. possessions is subject to inspection. Inspection is necessary to minimize the risk of introducing agricultural pests.

### Policy

PPQ policy is to clear all foreign parcels of agricultural interest at the first port of arrival into the United States. U.S. Postal Service (USPS) parcels are cleared at the mail inspection facilities recognized by Customs and Border Protection. The completion of AQI Monitoring (AQIM) activities on foreign mail parcels will provide valuable risk information to help create or revise the mitigation strategies of pest risk in foreign mail packages.

## Materials Needed

Depending on local cargo holding procedures, you'll need access to some of the following items to control mail:

- ◆ Alcohol
- ◆ *Animal Product Manual*
- ◆ Bags for safeguarding quarantine material
- ◆ Brushes
- ◆ Can opener
- ◆ Forceps
- ◆ Forms (**PPQ Form 287, Mail Interception Notice**, and other appropriate forms)
- ◆ Hand lens
- ◆ Insect vials and pill boxes
- ◆ Knife or box cutter
- ◆ Personal safety equipment
- ◆ *Cut Flowers and Greenery Import Manual*
- ◆ *Fruits and Vegetables Import Requirements (FAVIR)*
- ◆ *Fresh Fruits and Vegetables Import Manual*
- ◆ *Miscellaneous and Processed Products Manual*
- ◆ *Plants for Planting Manual*
- ◆ Probe
- ◆ References, as appropriate
- ◆ Sealing tape
- ◆ *Seeds Not for Planting Manual*
- ◆ Table or inspection area with adequate lighting

## Local Variations

Because of the differences in CBP procedures, postal facility procedures, and local practices, the methods of inspecting mail may vary from port to port. Search warrants are mandatory for opening domestic mail.

## Maintaining Contact with USPS

Port Directors and Supervisors should maintain close contact with their Postal Service counterparts to keep informed of any changes in mail handling procedures. Make sure that whenever procedures change, control is maintained over mail that is at risk for introducing pests and pathogens.

## Determining the Thoroughness of Inspection Required

Take into consideration the season of the year and the likelihood of host plants and pests being sent from the country of origin to assess the thoroughness of your inspection. Decide if the package needs to be x-rayed or inspected. Examine profiled parcels to determine their contents. Use these general guidelines to examine parcels:

1. Examine the written Customs Declaration on the outside of the package. Decide if there are articles inside the package that must be examined.
2. Pick up the parcel and evaluate the weight of the box against the items listed. Consider inspecting the parcel if the contents seem heavier or lighter than they should.
3. Evaluate the destination address. Military bases, local ethnic enclaves, and colleges and universities may have resident foreign nationals who may receive foodstuffs from home.
4. Give priority to inspecting parcels from high-risk countries.
5. Be especially alert when you know of local holidays or holidays in the parcel's country of origin.
6. Use canine teams trained for mail inspection to help select packages for examination if available.



Packages arriving from Canada may contain agricultural items that actually originate from a third country. If in doubt, take the most restrictive action. For example, Canada does not grow citrus.

## Checking for Permits

Check for permits (see [Appendix A](#) for examples) as follows:

1. Look on the outside of the package for **PPQ Form 508, Green and Yellow Permit Label**, **PPQ Form 599, Red and White Permit Label**, or **Biotechnology Regulatory Services (BRS) Blue and White Importation Labels (APHIS Form 2051)**. These permit labels allow for onward shipment **without inspection** to the address on the label. These regulated packages often move to an APHIS Plant Inspection Station (APHIS PIS) for handling and inspection. They may carry prohibited plant material, genetically engineered material, or serious pests (live insects) from the country of origin.



**Do not open packages with any of these three types of labels.** Forward the package to the address on the PPQ or APHIS label. There are significant containment concerns because the risk of dissemination of material is great.

2. If additional addresses appear on the package that are not the same as the USDA address on the permit label, expedite the package, using existing mechanisms, to the nearest APHIS PIS. Do not allow the package to be forwarded to any other address. See [Appendix M](#) for a list of Plant Inspection Stations.



CBPOs can make arrangements with USDA-APHIS-PPQ to open the package and examine its contents at a USDA inspection station. The DFO CBP Agriculture Liaison will assist with making these arrangements.

3. Refer to [Appendix A](#) for further specific information about APHIS permits and handling the various types of permit labels.



APHIS issues permits and shipping labels ([PPQ Form 508, Green and Yellow Permit Label](#)) for Small Lots of Seeds. Because seeds entered under this program do **not** require a phytosanitary certificate, you may forward them directly to the APHIS PIS **without inspection**.

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## Opening Parcels

Open parcels safely. Follow the steps listed below which incorporate the Occupational Safety and Health Administration (OSHA) guidelines for inspecting parcels to avoid airborne and direct skin contact pathogens:

1. Turn off fans, portable heaters, and other equipment that may create air currents.
2. Look out for suspicious parcels (see [Figure 5-1-1 on page 5-1-5](#)).
3. Do **not** open suspicious parcels (see [Figure 5-1-1 on page 5-1-5](#)).
4. Put on latex gloves or other suitable hand protection before opening parcels.
5. Undo parcels so that skin contact with the contents is minimized.
6. Open parcels so you do **not** disturb or damage the contents.
7. **Never** blow into parcels.

8. Keep hands away from nose and mouth while opening and examining parcels.
9. Remove items of agricultural interest for inspection.
10. Wash hands thoroughly after handling parcels.

**Characteristics of Suspicious Parcels**

**Characteristics of suspicious parcels include the following:**

- ◆ Crystals, powder, or powder-like residue on the parcel’s surface
- ◆ Suspicious or threatening language on the outside of the parcel
- ◆ Postmark that **does not** match the return address or there is no return address
- ◆ Excessive postage
- ◆ Restrictive endorsements such as “Personal” or “Confidential”
- ◆ Distorted handwriting, handwritten block-printed, or poorly-typed address
- ◆ Title but no name or an incorrect title
- ◆ Misspelled addressee’s name, title, or location
- ◆ Excessive tape or string
- ◆ Rigid, uneven, irregular, or lopsided parcel
- ◆ Soft spots, bulges, or excessive weight parcel
- ◆ Discoloration or an unusual odor

**FIGURE 5-1-1: Characteristics of Suspicious Parcels**

## Determining the Condition of the Shipment

Determine the action to take based on the condition of the shipment, using **Table 5-1-1**.

**TABLE 5-1-1: Determine Action to Take Based on the Condition of the Shipment**

If the condition of the parcel’s contents is:	Then:
Satisfactory	CONTINUE to <b><i>Determining Admissibility</i></b>
<b>Unsatisfactory</b> as evidenced by decay or rotting of animal or plant materials <sup>1</sup>	<ol style="list-style-type: none"> <li>1. REMOVE the questionable material</li> <li>2. DISPOSE of the questionable material</li> </ol>

<sup>1</sup> If the condition of the parcel is unsatisfactory due to **other than** plant or animal material, turn it over to USPS for disposition.

## Determining Admissibility

Categorize the article. Once you know the category, use one or more of the following documents to determine admissibility:

- ◆ [Animal Product Manual](#)
- ◆ [Clearing Nursery Stock and Flower Bulbs for CBPAS](#)
- ◆ [Code of Federal Regulations \(7CFR Parts 300 to 399 and 9CFR Parts 1 to 199\)](#)
- ◆ [Cut Flowers and Greenery Import Manual](#)
- ◆ [Fruits and Vegetables Import Requirements \(FAVIR\)](#)
- ◆ [Fresh Fruits and Vegetables Import Manual](#)
- ◆ [Miscellaneous and Processed Products Manual](#)
- ◆ [Plants for Planting Manual](#)
- ◆ [Seeds Not for Planting Manual](#)

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## Inspecting the Parcel's Contents

Inspect the contents of the parcel as follows:

- ◆ Look for pests (insects, snails, diseases, etc.)
- ◆ Isolate the pests and prepare them for submission or identification
- ◆ Remove any prohibited packing material or contaminants



If the parcel contains 13 or more items, or the seeds weigh 500 grams or more, forward the contents to the Plant Inspection Station listed on the USDA-APHIS permit. Check the permit and follow directions.

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## Taking Regulatory Action

After categorizing the article and inspecting for pests, determine the correct regulatory action to take on parcels using [Table 5-1-2](#) on [page 5-1-7](#). If the parcels contain propagative plant material, go to [Inspecting Propagative Plant Material in International Mail](#) on [page 5-1-7](#). If you can't determine the category or use of the article from experience, package directions, or labels (i.e. seeds for planting or grains for cooking), or in some other manner, consider the article as unknown and choose the more restrictive action from the various import manuals consulted.

**TABLE 5-1-2: Determine the Correct Regulatory Action on Parcels**

If the contents are:	And the remaining contents are:	Then:
Admissible or not regulated	→	<ol style="list-style-type: none"> <li>1. STAMP 'RELEASE' and enter your badge number</li> <li>2. RECONDITION the parcel and ALLOW it to proceed</li> <li>3. CONTINUE to <a href="#">Documenting Action Taken and Submitting Intercepted Pests</a> on <b>page 5-1-10</b></li> </ol>
Inadmissible or regulated	Uncontaminated	<ol style="list-style-type: none"> <li>1. REMOVE the inadmissible material</li> <li>2. COMPLETE PPQ Form 287, Mail Interception Notice and place in the parcel</li> <li>3. RECONDITION the parcel and ALLOW it to proceed</li> <li>4. CONTINUE to <a href="#">Documenting Action Taken and Submitting Intercepted Pests</a> on <b>page 5-1-10</b></li> </ol>
	Contaminated	<ol style="list-style-type: none"> <li>1. STAMP 'REFUSED ENTRY' and enter your badge number</li> <li>2. RECONDITION the parcel</li> <li>3. COMPLETE PPQ Form 287, Mail Interception Notice, and place in the parcel</li> <li>4. RETURN the entire parcel to the sender</li> <li>5. CONTINUE to <a href="#">Documenting Action Taken and Submitting Intercepted Pests</a> on <b>page 5-1-10</b></li> </ol>



Most live plant shipments and seeds require a phytosanitary certificate. Check the [Plants for Planting Manual](#) for permit status, CITES status, or other special requirements. Most animal products require permits from Veterinary Services. A copy **must** be presented when required.

### Inspecting Propagative Plant Material in International Mail

Propagative materials **except seeds entering under the Small Lots of Seed Program** must be accompanied by a phytosanitary certificate issued by the country of origin. Some examples of propagative materials include seeds for planting, plants in growing media, flower bulbs, green stalks with nodes, and rooted items. Use the following guidelines in [Table 5-1-3](#) for determining which shipments of enterable propagative materials to send to the USDA APHIS Plant Inspection Station on [PPQ Form 508, Green and Yellow Permit Label](#). See [Appendix M](#) for a list of Plant Inspection Stations.

**TABLE 5-1-3: Determine Which Shipments of Propagative Materials to Send to a Plant Inspection Station**

If the material is:	And is:	Then:
Identified with <b>PPQ Form 508, Green and Yellow Permit Label</b>	Accompanied by a departmental or plant pest permit	SAFEGUARD <sup>1</sup> and SEND <sup>2</sup> to the Plant Inspection Station listed on the permit or permit label, <sup>3</sup> along with all the accompanying documentation <sup>4</sup>
	<b>Not</b> accompanied by a departmental or plant pest permit	
A small lot of seed	Accompanied by a small lots of seed permit <sup>5</sup>	SAFEGUARD <sup>1</sup> and SEND <sup>2</sup> to the Plant Inspection Station listed on the permit or permit label, along with all the accompanying documentation <sup>4</sup>
	<b>Not</b> accompanied by a small lots of seed permit	GO to <b>Table 5-1-4</b> on <b>page 5-1-9</b>
Neither prohibited nor a small lot of seed		

- 1 The plant material must be stored in a CBP limited access area.
- 2 The importer is responsible for making arrangements, and for the cost of forwarding the materials to the plant inspection station. The importer is also responsible for making arrangements for picking up or shipping the propagative materials after they have been released.
- 3 If additional addresses appear on the package that are not the same as the USDA address on the permit label, expedite the package, using existing mechanisms, to the nearest USDA plant inspection station. For more information on PPQ Form 508, see **Appendix A**.
- 4 See **Appendix M** for a list of plant inspection stations.
- 5 Small lots of seed in compliance with, and accompanied by, a small lots of seed permit do **not** require a phytosanitary certificate.



**TABLE 5-1-4: Determine Which Shipments of Non-prohibited Propagative Materials to Send to a Plant Inspection Station**

<b>If origin is:</b>	<b>And is:</b>	<b>And is:</b>	<b>Then:</b>
Canadian	Admissible with a written permit issued by USDA-APHIS <sup>1</sup>	Accompanied by the permit and a phytosanitary certificate or one of the following forms (unless the permit states that a phytosanitary certificate is not required): ◆ CFIA Form 5309 ◆ CFIA Form 5289 ◆ PPQ Form 925	INSPECT and RELEASE
		<b>Not</b> accompanied by the permit and phytosanitary certificate or one of the forms used in lieu of the phytosanitary certificate listed above	REFUSE ENTRY
	Is admissible <b>without</b> a written USDA-APHIS permit	Accompanied by a phytosanitary certificate or one of the forms used in lieu of the phytosanitary certificate listed above	INSPECT and RELEASE
		<b>Not</b> accompanied by a phytosanitary certificate or one of the forms used in lieu of the phytosanitary certificate listed above	REFUSE ENTRY
<b>Other than</b> Canadian	Admissible with a written permit issued by USDA-APHIS <sup>2</sup>	Accompanied by the original phytosanitary certificate issued by the country of origin	SAFEGUARD and SEND <sup>3</sup> to the Plant Inspection Station listed on the permit or permit label, along with all the accompanying documentation <sup>4</sup>
		<b>Not</b> accompanied by the original phytosanitary certificate issued by the country of origin	REFUSE ENTRY
	Admissible <b>without</b> a written permit issued by USDA-APHIS	Accompanied by the original phytosanitary certificate issued by the country of origin	INSPECT and RELEASE
		<b>Not</b> accompanied by the original phytosanitary certificate issued by the country of origin	REFUSE ENTRY

- 1 A shipment from Canada requires a written permit if it contains **any** of the following:
  - ◆ Articles that require a Postentry Permit
  - ◆ Plants regulated by CITES or ESA
  - ◆ Articles that require treatment as a condition of entry
  - ◆ Articles (except seeds) of *Malus*, *Pyrus*, *Prunus*, *Cydonia*, *Chaenomeles*, and/or *Rubus*
  - ◆ Articles (except seeds) of *Castanea* or *Castanopsis* destined to California or Oregon
  - ◆ Articles (except seeds) of *Pinus* (5-leaved), destined to Wisconsin
  - ◆ Articles of *Ribes* destined to Massachusetts, New York, West Virginia, or Wisconsin
  - ◆ Articles (except seeds) of *Planera* or *Zelkova* destined to California, Nevada, or Oregon
  - ◆ Seeds of *Prunus* destined to Colorado, Michigan, New York, Washington or West Virginia
  - ◆ Articles (except seeds) of *Vitis* destined to California, New York, Ohio, Oregon and Washington
  - ◆ Articles (except seeds) of *Corylus* from provinces east of Manitoba and destined to Oregon or Washington
  - ◆ Articles (except seeds) of *Pinus*
  - ◆ Articles (except seeds) of *Ulmus* destined to California, Nevada or Oregon
- 2 A shipment from any country **other than** Canada requires a written permit if it contains **any** of the following:
  - ◆ Articles that require a Postentry Permit
  - ◆ Plants regulated by CITES or ESA
  - ◆ Articles that require treatment as a condition of entry
  - ◆ Lots of 13 or more articles (other than seeds, bulbs or sterile cultures of orchid plants)
  - ◆ Seeds of woody plants (trees or shrubs)
  - ◆ Bulbs of *Allium sativum*, *Crococsmia*, *Gladiolus* and *Watsonia* from New Zealand
  - ◆ Articles of *Cocos nucifera* (coconut)
  - ◆ Articles (except seeds) of *Dianthus* spp.
  - ◆ Articles (except seeds) of *Castanea* or *Castanopsis* destined to California or Oregon
  - ◆ Articles (except seeds) of *Pinus* (5-leaved), destined to Wisconsin
  - ◆ Articles (except seeds) of *Planera* or *Zelkova* from Europe, St. Pierre Island, or Miquelon Island, and destined to California, Nevada, or Oregon
  - ◆ *Solanum tuberosum* true seed from New Zealand and the area of Chile between 39 degrees and 44 degrees South latitude
- 3 The importer is responsible for making arrangements, and for the cost of forwarding the materials to the plant inspection station. The importer is also responsible for making arrangements for picking up or shipping the propagative materials after they have been released.
- 4 See [Appendix M](#) for a list of plant inspection stations.

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## Documenting Action Taken and Submitting Intercepted Pests

Document the action taken and submit intercepted pests as follows:

- ◆ Submit intercepted pests using [PPQ F 309, Pest Interception Record](#) on [page A-1-95](#). Make sure you record 'Mail' in the "Where Intercepted" section.
- ◆ Complete your local log if the parcel was released
- ◆ File a copy of the completed [PPQ Form 287, Mail Interception Notice](#) on [page A-1-87](#) if articles were removed

## Agricultural Quarantine Activity Systems (AQAS)

- ◆ Record your inspection data on the PPQ AQAS web site:

<https://aqas.aphis.usda.gov/aqas/>

## DHS Online

Or through the DHS web site:

<http://cbpnet.cbp.dhs.gov/>

This web site includes databases for:

- ❖ WADS (Work Accomplishment Data System)
- ❖ **PPQ280** on **page A-1-80**
- ❖ AQIM



# 6

Agricultural  
Clearance

# Preventing the Spread of Pests and Diseases

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## Introduction

This chapter gives directions for preventing the spread of pests or diseases when those pests or diseases are found on or with any conveyance, stores, baggage, mail, or importation, or when contamination with disease agents is possible. When selecting a method to kill pests or to apply safeguards, always choose the least severe method. The most common methods, in ascending order of severity, are as follows:

- ◆ Safeguarding
- ◆ Quarantine Order
- ◆ Treatment
- ◆ Return to shipping point (interstate movement)
- ◆ Reexport
- ◆ Seizure and destruction

## Safeguarding

Safeguarding is a preventive action for handling, maintaining, or disposing of prohibited or restricted products and articles to eliminate the risk of plant and animal pest and disease dissemination. Apply safeguards that are appropriate to the pest risk after evaluating the actual or suspected pests associated with the shipment. Safeguards can include, but are not limited to, the following:

Safeguards can include, but are not limited to, the following actions:

- ◆ Applying physical barriers around the shipment (i.e. salt for snails—see **Figure 6-1-1** on **page 6-1-5**) to prevent pest escape
- ◆ Double bagging passenger baggage, mail parcels, or other packages to prevent pest dissemination
- ◆ Ensuring that In-Bond shipments are physically separated from consignments for entry
- ◆ Physical sealing of cargo shipments, ship stores, ship holds, aircraft, railroad cars, trucks, or containers
- ◆ Reloading containers
- ◆ Removing the contamination from the article or the container (for example, physical removal, mechanical removal or chemical means of removal)
- ◆ Supervising transloads to ensure that pests are not present on/ around the shipment or U.S. bound conveyances
- ◆ Utilizing and enforcing compliance agreements with the storage/ transload facilities

### Safeguarding for Khapra Beetle (KB)

If you find evidence of suspect KB (live beetles, dead beetles, or cast skins), follow the instruction in **Table 6-1-1** below.



If you find co-mingled or multiple pests associated with the same shipment, conveyance, or passenger baggage, carefully examine the pest specimens. **Never** create multiple PPQ Form 309s for what you suspect is the same pest species. Combine the different life stages of the same pest into one interception.


**TABLE 6-1-1: Finding Evidence of Khapra Beetle**

If you find evidence of KB in:	Then GO to:
Cargo (land border, sea container, or air shipment)	<b><i>Cargo (land border, sea container, or air shipment)</i></b> on <b>page 6-1-3</b>
Personal effects or express carriers	<b><i>Personal Effects or Express Carriers</i></b> on <b>page 6-1-4</b>
Passenger baggage	<b><i>Passenger Baggage</i></b> on <b>page 6-1-4</b>
Conveyances (vessel stores)	<b><i>Conveyances (vessel stores)</i></b> on <b>page 6-1-5</b>

**Cargo (land border, sea container, or air shipment)**

To safeguard the cargo and prevent khapra beetle (KB) dissemination, refer to **Table 6-1-2** below.

**TABLE 6-1-2: Handling Cargo with Evidence of Khapra Beetle**

If:	And the shipment arrived at:	Then:
The specimen confirmation is pending APHIS final identification	Other than a land border port	HOLD and SAFEGUARD the infested material
	A land border port where: <ul style="list-style-type: none"> <li>◆ CBP determines there is capability/space for holding the cargo, and</li> <li>◆ PPQ-approved treatment facilities are present</li> </ul>	
	A land border port where: <ul style="list-style-type: none"> <li>◆ CBP determines there is <b>no</b> capability/space for holding the cargo, or</li> <li>◆ There are <b>no</b> PPQ-approved treatment facilities</li> </ul>	<ol style="list-style-type: none"> <li>1. GO to <b>Issuing an Emergency Action Notification</b> on <b>page 6-1-7</b> and re-export the shipment at the border. <b>Do not</b> allow overland movement through U.S.</li> <li>2. NOTIFY APTL through your chain of command. APTL will contact USDA-APHIS-PPQ-QPAS as appropriate.</li> </ol>
The specimen has been confirmed as khapra beetle		GO to <b>Issuing an Emergency Action Notification</b> on <b>page 6-1-7</b>

Any resulting action following APHIS identification of KB found in cargo (including personal effects) and containers will be determined by Plant Protection and Quarantine (PPQ) at the local level. Personal effects or mail shipments where KB was intercepted **must** be destroyed by incineration or returned to origin within 72 hours. **Do not** offer methyl bromide treatment (MBT) as an option if the personal effect or mail shipment cannot be fumigated because the bagging material is not suitable for fumigation.

For personal effects or mail, the following are options for disposition:

- ◆ Destruction by incineration
- ◆ Destruction by steam sterilization
- ◆ Return to origin within 72 hours (re-export)

In most cases, MBT is **not** practical nor available for small shipments (noncommercial) or for shipments placed in plastic. When recommending MBT, ensure the material is suitable for fumigation. If questions arise regarding the ability to fumigate, contact local PPQ.

### Personal Effects or Express Carriers

Follow the procedure below for handling suspected KB in personal effects or express carriers:

1. Submit the interception as urgent.
2. If the suspect KB is found with or in a commodity inside personal effects or express consignment shipments, remove the infested commodity from the personal effects or the express consignment shipment(s) and safeguard by sealing in double plastic bagging.
3. Inspect 100 percent of the personal effects or express consignment shipment. If you find KB at large, hold the entire personal effects or express consignment and safeguard by sealing in double plastic bagging.
4. Hold the remaining of personal effects or express shipment pending the identification of suspect KB interception.
5. If the interception identification was positive for KB, issue an EAN and destroy the sealed plastic bag(s) containing the infested articles by incineration, or by steam sterilization (where available) within 24 hours. This time frame may be extended as the situation warrants. Local CBP should supervise destruction in a manner consistent with local CBP SOP or in a manner consistent with the process used for destruction of other commodities infested with actionable pest(s). Release the remaining personal effects or express consignment shipment.
6. If the entire personal effects or express shipment is infested with positive KB, or the pest is found at large in personal effects or express shipment, then issue an EAN and give the consignee the option to re-export or to destroy.
7. If the interception was identified as **not** positive for KB, return the article to the personal effects package or the express consignment shipment, and release the shipment.

### Passenger Baggage

Follow the procedure below for handling suspected KB in passenger baggage:

1. Submit the interception as prompt.
2. Remove the infested item(s) from the passenger baggage and safeguard by sealing in double plastic bagging under authority of [7 CFR 319.75](#).
3. Inspect 100 percent of the passenger baggage.
4. If you find additional suspect KB, safeguard by sealing in double plastic bagging.
5. Release the inspected and cleared passenger baggage, and take action only on the confiscated article(s).



6. Destroy the sealed plastic bag(s) by incineration or by steam sterilization (where available) within 24 hours or in a manner consistent with local CBP SOP.
7. Local CBP will supervise the destruction in a manner consistent with local CBP SOP or in a manner consistent with the process used for destruction of other commodities infested with suspected actionable pest(s).
8. CBP may document the action. Refer to [Documenting Passenger Clearance](#) on [page 4-1-8](#).

### Conveyances (vessel stores)

Refer to [Special Procedures for Suspect Khapra Beetle \(KB\) Ships](#) on [page 3-3-63](#).

### Safeguarding for Snails

#### EXAMPLE

You find a snail on a 20-foot cargo container. To safeguard the container and prevent pest dissemination, require a salt barrier, whether the container is on the ground or mounted on a chassis. Do **not** allow movement from the container yard.

See [Figure 6-1-1](#) on [page 6-1-5](#) for an example of a salt barrier placed around containers.



**FIGURE 6-1-1: Salt Barrier Placed Around Containers to Prevent Snail Escape**

## Giving the Importer an Opportunity to Voluntarily Treat Cargo Pending Issuance of Emergency Order

When a pest is found in a perishable commodity shipment and you **do not** have cargo release authority (CRA), it may **not** be feasible to wait 1-3 days for final pest identification. Upon request of the importer, treatment can be authorized prior to final pest identification. Submit the interception as URGENT using **PPQ 309, Pest Interception Record**. Go to **Table 6-1-3** below.

**TABLE 6-1-3: Procedures for Voluntary Treatment of Cargo Pending Confirmation of Pest Identity**

If the importer or the importer's agent:	Then:
Wants to have the cargo treated prior to having the pest's identity confirmed <sup>1</sup>	1. GO to <b>Issuing an Emergency Action Notification</b> on <b>page 6-1-7</b> 2. CONTACT local PPQ to supervise treatment
Is willing to wait to have the pest's identity confirmed	GO to <b>Table 6-1-4</b>

1. Treatments used **must** be listed in the [Treatment Manual](#).



Do **not** use reexport or seizure and destruction methods to kill pests or apply safeguards unless there is no less severe alternative that will prevent the dissemination of the pest.

## Taking Action Based on the Final Identification

After a pest is submitted to the USDA APHIS Plant Inspection Station with **PPQ 309, Pest Interception Record**, you are notified if the pest is actionable or not. Determine the action to take based on the final identification. Go to **Table 6-1-4** below.

**TABLE 6-1-4: Taking Action Based on the Final Identification**

If the pest is:	And:	And in:	Then:
Actionable	Identified as khapra beetle	A vessel	GO to <b>Table 3-3-17</b> on <b>page 3-3-65</b>
	<b>Other than</b> khapra beetle	Cargo	1. GO to <b>Issuing an Emergency Action Notification</b> on <b>page 6-1-7</b> 2. CONTACT local PPQ to supervise treatment
Nonactionable			RELEASE

## Issuing an Emergency Action Notification

Fill out **PPQ Form 523, Emergency Action Notification** (EAN). See **Table A-1-36** on **page A-1-125** for instructions on completing this form.

Give the importer 24 hours from the time you issue the order to have the cargo treated. You may shorten the deadline, but only if there is an imminent risk of pest escape or dispersal, or if the shipment is presented at a border and it is more practical to re-export the shipment immediately. If 24 hours presents a hardship, and it is safe to do so, you may extend the deadline another 24 hours. Only a supervisor or chief may grant an extension beyond 48 hours. If the importer does not meet the deadline you set, initiate violation procedures. Prevent further dissemination of the pest by applying appropriate measures.

Issue PPQ Form 523, Emergency Action Notification, to the importer or the importer's agent. Make sure an authorized official prints his/her name, signs the form to acknowledge receipt, and includes his/her position (i.e. warehouse manager, truck driver, ship captain, broker, etc). Hold the original of this form for later revocation.

### Deciding if Commodity Has to Be Treated

When taking action on KB interceptions, refer to **Safeguarding for Khapra Beetle (KB)** on **page 6-1-2** for guidelines and final disposition.

#### Cargo that Has Been Discharged

Treat with an approved treatment all identical commodities from the same shipper that were from the same port and that were on the same carrier (consider as a unit for purposes of inspection and fumigation).

#### Cargo Remaining in the Ship's Hold

In general, treat all cargo in the ship's hold where the infestation was discovered with an approved treatment. Because of the pest's association with the infested material, there is sufficient reason to believe the pest is present throughout the hold. Your authority to require fumigation of all associated cargo is **7CFR 330.106(d)**.

Experienced CBP Agriculture Specialists, based on their professional judgment, may make exceptions to fumigating all the cargo in the hold. Factors in allowing such exceptions include the following:

- ◆ Character of the cargo (containerized or bulk)
- ◆ Degree of infestation
- ◆ Location of the infested cargo in the hold
- ◆ Practicability of a thorough inspection

If you are hesitant about deciding what to treat, check with your CBP Agriculture Supervisor. Continue to **Preventing Damage to Commodities Being Treated**.

## Preventing Damage to Commodities Being Treated



Identifiers/PIS will prescribe a treatment that will do the least damage to the commodity and still kill the pest. When treating a cargo hold, allow the removal of articles that maybe harmed by the pesticide (fumigant). Before allowing the removal of any article, ensure that the following conditions are met.

Articles that may be harmed by the pesticide (fumigant) may be removed only if the following conditions are met:

- ◆ The article must **not** be infested or show signs of contamination
- ◆ The article's removal must **not** contribute to the spread of the pest
- ◆ The owner or the owner's agent must be willing to remove the articles immediately
- ◆ The owner or the owner's agent must agree to follow directions from the CBP Agriculture Specialist or USDA-APHIS-PPQ Officer



Foam rubber and possibly other parts of an automobile may be harmed by methyl bromide. If all the bulleted conditions described immediately above are met, the officer may allow the removal of the automobile from the hold that is being fumigated.



**Do not** offer methyl bromide treatment (MBT) as an option for passenger baggage, mail, or personal effects. In most cases, MBT is neither practical nor available for small (non-commercial) shipments or for shipments placed in plastic. If questions arise regarding the ability to fumigate, contact local PPQ.

## Closing Out the Emergency Action Notification After Cargo Is Treated

Transfer the cargo that requires treatment to PPQ to supervise the treatment. Use **CBP Form AI-523A, Chain of Custody** to transfer the shipment. The agency taking final action on the shipment is responsible for closing out the EAN. If a shipment has been transferred to PPQ for treatment, it is the responsibility of PPQ to notify CBP that the treatment has been completed. It is PPQ's responsibility to close out the EAN. If an EAN remains open, direct questions regarding the status up the chain of command to a PPQ manager.

## Remedial Measures Policy and Procedures

See **PPQ Form 301-R, Remedial Measures Billing (Statement of Services)** on **page A-1-96** for further information.

## Cleaning and Disinfecting

Any means of conveyance, storage containers, or other surfaces contaminated solely with plant material and/or soil **must** be cleaned as evidenced by removal of residue. Cleaning may be done by mechanical or manual methods (i.e., sweeping, scraping, vacuuming, etc.). Disinfection is **not** required. The soil and plant material should be discarded as regulated garbage or other means to prevent the dissemination of pests.

If any article or surface is contaminated with an animal material or spillage from regulated garbage, then that article or surface **must** be cleaned and disinfected. If you detect leaks from packages or containers holding prohibited or restricted animal products, then the contaminated pallets, machinery used in handling, dock or warehouse areas used for storage, or trucks or railroad cars used for transporting the products **must** be cleaned and disinfected before they are reused.



Spills of regulated garbage in food handling and preparation areas and in the passenger area and galleys should be cleaned and sanitized using a sanitizer or other product authorized by the owner of the location. The disinfectant used by the caterer should be approved by the U.S. Environmental Protection Agency (EPA) for use around food or on surfaces that are exposed to food.



CBP is responsible for safeguarding aircraft contaminated with animal waste such as manure and straw. Notify APHIS Veterinary Services (VS) of the aircraft arrival. VS or their designated representative is responsible for the cleaning and disinfection of these aircraft in accordance with [9 CFR 93](#). Please contact the local Area Veterinarian In Charge as listed in [Appendix H](#) of the [Animal Product Manual \(APM\)](#).

### **Materials for Disinfectant Kit**

Collect the following materials for a ready-to-use disinfectant kit:

- ◆ Insulated box, such as an ice chest, for holding the materials used to disinfect (label the box “DISINFECTANT KIT” and type and affix the directions for its use inside the lid)
- ◆ APHIS authorized disinfectant – either Virkon® S (EPA Reg. No. 71654-6) or Clorox® Bleach 5.25% (EPA Reg. No. 5813-1)
- ◆ A detergent
- ◆ Gallon plastic container(s) filled with clean water adequate to achieve proper cleaning and disinfection
- ◆ 3 mil leakproof, plastic bags to hold collected material
- ◆ Leakproof, double plastic bags to hold collected material
- ◆ Material Safety Data Sheets (MSDS) and labels for Virkon® S or Clorox® Bleach 5.25%
- ◆ Spray bottle
- ◆ Masking tape or labels for spray bottle
- ◆ Roll of paper towels or other materials to contain and absorb liquids
- ◆ Scrub brush
- ◆ Equipment to pick up solid material (such as a shovel or broom and dustpan)
- ◆ Marking pen to write on labels

### **Protective Clothing and Safety Materials**

Assemble the following protective clothing and safety materials for use while disinfecting:


- ◆ Disposable, plastic shoe covers
- ◆ Face shield or goggles
- ◆ Face mask (N95 or better)
- ◆ Pair of rubber gloves or disposable, plastic gloves
- ◆ Coveralls (if you are using a bleach solution using Clorox® Bleach 5.25%)
- ◆ Rubber apron (if you are using Virkon® S)
- ◆ Long sleeves and pants

## Instructions for Cleaning and Disinfecting

Follow the steps listed below for cleaning and disinfecting.

### Step 1: Classify the article using Table 6-1-5 below.

**TABLE 6-1-5: Classify the Article**


If the article is:	Then:
Empty semen or embryo container <sup>1</sup>   Semen and embryo containers contain liquid nitrogen, which may freeze or damage your skin. <b>Avoid contact</b> unless the container is free of liquid nitrogen.	1. CONTACT local Veterinary Services for cleaning and disinfection instructions (see <a href="#">Appendix H</a> of the <a href="#">APM</a> ) 2. COMPLETE <b>VS Form 1-86A, Cleaned, Washed, and Disinfected Tag</b>
Aircraft	1. CONTACT local Veterinary Services for cleaning and disinfection instruction for animal contamination in cargo area 2. REQUIRE the use of EPA sanitizer in passenger areas and galley for regulated garbage spills
Footwear	1. WARN passenger that disinfection solution may discolor footwear 2. DISINFECT footwear <sup>2</sup> using Clorox® Bleach 5.25% (sodium hypochlorite) or Virkon®S (see <a href="#">Table 6-1-6</a> on <a href="#">page 6-1-12</a> )
<b>Other than</b> above <sup>3</sup>	DISINFECT using Virkon®S or sodium hypochlorite (see <a href="#">Table 6-1-6</a> on <a href="#">page 6-1-12</a> )

- Containers from Canada **do not** need to be cleaned and disinfected.
- Removing organic material (dirt, mud, soil, manure) contaminating footwear is critical for the disinfectant to work properly. You **must** remove all organic material from boots or shoes before using the disinfectant to ensure it is effective.
- For example, storage area, farm machinery, pallet, fork lift, pier, stall, or railroad car.

### Step 2: Prepare the Disinfectant

Use [Table 6-1-6](#) on [page 6-1-12](#) for formulas and instructions for mixing disinfectants. Prepare fresh batches of disinfectant as required. The Clorox® Bleach 5.25% (original bottle) may **only** be used for a maximum of two months. Write the date of purchase on the original bottle. Bleach is best stored out of heat and sun.

**TABLE 6-1-6: Formulas and Instructions for Mixing Disinfectants<sup>1</sup>**

If you need a solution of:	Then:
Sodium hypochlorite (bleach) containing 5000 ppm available chlorine	Use Clorox® Bleach 5.25% (sodium hypochlorite) <sup>2</sup> (EPA Reg. No. 5813-1) <ol style="list-style-type: none"> <li>1. ADD 13 ounces Clorox® Bleach 5.25% to 1 gallon of water or add 1 part Clorox® Bleach 5.25% to 9 parts water; the solution may only be used for a 24-hour period post dilution (this solution will disinfect hard non-porous surfaces and can be used to decontaminate porous surfaces and materials)</li> <li>2. MIX thoroughly</li> <li>3. WRITE the words “Bleach Solution”, the date and time of dilution on the container holding the diluted bleach</li> </ol>
1 percent Virkon® S	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin-bottom: 10px;">  <p>Powder is corrosive. Causes skin burns and irreversible eye damage. Harmful if swallowed, absorbed through skin, or inhaled. <b>Do not</b> get in eyes, on skin, or on clothing. Wear protective clothing and rubber gloves. Avoid breathing dust. Wear goggles, face shield, or safety glasses. Wash thoroughly with soap and water after handling. Remove contaminated clothing and wash before reuse. Corrosive statement refers to powder only, not solution.</p> </div> <p>When mixing powder:</p> <ol style="list-style-type: none"> <li>1. PUT on rubber gloves, rubber apron, mask (N95 or better) and face shield</li> <li>2. MIX according to directions on label for making a 1% solution</li> <li>3. DISPOSE of solution after 7 days or when yellow color fades, whichever comes first</li> <li>4. WASH hands and any other areas where the solution may have come in contact with the skin</li> <li>5. CLEAN the mixing area</li> <li>6. WRITE the words “Virkon S” and the date of dilution on the container holding the mixed solution</li> </ol>

- 1 Always read disinfectant label before use.
- 2 Use **only** this dilution of Clorox® Bleach 5.25% (sodium hypochlorite) as a disinfectant for animal disease agents.

### Step 3: Remove Excess Contaminant

Sweep up or scrape off as much of the contaminant as possible. Put the sweepings or scrapings into a 3 mil leak proof, plastic bag for grinding, incineration or sterilization later. Apply an absorbent to remove excess liquid. Free surfaces from dirt and grease if applicable. For footwear, remove excess manure and dirt using a stiff brush, screwdriver, or other blunt object. Be sure to scrape dirt from crevices in shoes and boots. You may have the passenger clean the footwear.



If the area is **not** effectively scrubbed first, then any viruses protected by the organic material remain untouched and the disinfectant is **not** effective.



#### **Step 4: Scrub the Contaminated Area**

Scrub the contaminated area or the area where the spillage occurred with a good detergent solution.

#### **Step 5: Flush the Scrubbed Surfaces**

Flush the scrubbed surfaces with clean water. Flushing is important because the detergent may react with the disinfectant and reduce its activity.

#### **Step 6: Apply the Disinfectant**

Mix disinfectant well. If the temperature is below freezing, delay the application of the disinfectant until the temperature is above freezing. Apply the disinfectant solution generously; wet the entire affected area. Read disinfectant label to determine how long the disinfectant should remain on the surfaces. **(Note: Do not soak metal objects in Virkon® S for longer than 10 minutes.** Bleach solution must remain on surface for 10 minutes.)

#### **Step 7: Flush the Disinfected Area**

Flush the disinfected surfaces with clean water. Let air dry per disinfectant label.

#### **Step 8: Destroy the Refuse**

Sterilize, incinerate, or grind into an APHIS approved sewage system all refuse that was swept up or scraped off.





# Preparing Plant Pest Interceptions

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## Introduction

Plant pest interceptions from imported commodities provide documented evidence of the value of plant quarantine activities. Historical records of interceptions are the best evidence of how pests enter the United States. Interception records provide a basis for decision making in Plant Protection and Quarantine (PPQ). The interception records are used to support risk assessments, international phytosanitary discussions, local program analyses, responses to customer inquiries, and other types of analyses. Pest interception information is available to field managers and identifiers through accessing the Agricultural Quarantine Activity System (AQAS) and the Pest ID database.

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## Classifying and Routing Interceptions for Identification

### Routine Interceptions

Classify an interception as “Routine” when neither foreign cargo nor conveyances are being held and when a quick identification is **not** necessary. You may hold “Routine” interceptions until you have a grouping—a schedule worked out in your work unit (for example, once a week when you have accumulated 10 interceptions). Work units are to send “Routine” interceptions to the appropriate PPQ Area Identifier by regular mail (see [Lists of PPQ Identifiers and PPQ National Specialists](#)). If necessary, the PPQ Area Identifier will then forward the interceptions to a PPQ National Specialist (see [Lists of PPQ Identifiers and PPQ National Specialists](#)).

### Prompt Interceptions

Classify an interception as “Prompt” when a quick identification is required and no foreign cargo or conveyances are being held. Send “Prompt” interceptions **immediately** by regular mail to the appropriate Area Identifier. No telephone identification results are required for Prompt interceptions. Select “Prompt Priority” when creating **PPQ 309, Pest Interception Record** on **page A-1-99**.

Work units are to send “Prompt” interceptions to the appropriate PPQ Area Identifier by regular mail (see [Lists of PPQ Identifiers and PPQ National Specialists](#)). If necessary, the PPQ Area Identifier will then forward the interceptions to a PPQ National Specialist (see [Lists of PPQ Identifiers and PPQ National Specialists](#)).

### URGENT Interceptions

Classify interceptions as URGENT when quarantine actions depend on host or pest identification or when immediate identification is required for a domestic collection. Your PPQ Area Identifier will determine whether you are to send the URGENT interception to him or her, or directly to the PPQ National Specialist. The decision to send the interception to the PPQ Area Identifier or PPQ National Specialist can be either on a case-by-case basis or by a prior agreement.

USDA-APHIS-PPQ Identifiers may upgrade or downgrade the classification applied by CBP Agriculture Specialists (CBP AS) for interceptions not subject to national or regional PPQ policies.

When mailing URGENT interceptions, take the following steps:

1. Package the interception as described in ***Sending Specimens for Identification*** on **page 7-1-11**.
2. Type URGENT on the mailing label and select “Urgent Priority” when creating **PPQ 309, Pest Interception Record** on **page A-1-99**.
3. Put a 2-inch band of yellow and black striped tape around both ends of the mailing container.
4. Mail by a designated **overnight** delivery service.

See **Table G-1-1** on **page-G-1-2** for the addresses of PPQ Area Identifiers and **Table G-1-4** on **page-G-1-14** and **Table G-1-5** on **page-G-1-17** for the addresses of PPQ National Specialists.

### Multiple Interceptions

Follow these guidelines for multiple interceptions:

- ◆ If you find multiple interceptions in one cargo shipment (on the same vessel, in the same mail parcel, or in the same passenger’s luggage), then compare and separate all pest species
- ◆ Provide all necessary information (for all life stages) of the same pest species in one PPQ Form 309
- ◆ Use the remarks section to note multiple specimens, multiple life stages, or multiple CBP AS
- ◆ Ensure the entire PPQ Form 309 is completed accurately (include size, weight, origin, and host material)

Include all additional details in the remarks section of the PPQ Form 309. This information helps to determine appropriate quarantine actions and treatment recommendations.



Additional information, such as size, weight, origin, and host material, are extremely important to make an accurate quarantine decision.

**Never** submit multiple forms for the same pest species in the same shipment. Submit multiple life stages of the same pest on a single PPQ Form 309.

#### EXAMPLE

- ◆ Aphids, immature and adults, or thrips, immature and adults
- ◆ Coleoptera or Lepidoptera larvae, pupae, and adults of the same species
- ◆ Khapra beetle cast skins, larvae, pupae, and dead adults in a single shipment

## Preparing Specimens for Identification

Use the following procedures for preparing specimens for identification. Treat or safeguard all host material to eliminate pest risk. Rearing intercepted specimens is **prohibited** without the proper authority. **Never** attempt to rear plant pests without authorization from Registration, Identification, Permits, and Plant Safeguarding (RIPPS) in Riverdale, Maryland.

For guidance in preserving insects, refer to any of the following publications:

- ◆ USDA Miscellaneous Publication No. 1443, *Insects and Mites: Techniques for Collection and Preservation*, edited by G. C. Stayskel, W. L. Murphy, and E. M. Hoover, 1986
- ◆ *An Introduction to the Study of Insects*, Borror, Triplehorn, and Johnson, Sixth edition or any of the previous editions

### Arthropods

Use [Table 7-1-1](#) to determine how to preserve your arthropod specimen.

**TABLE 7-1-1: Determine How to Preserve Arthropod Specimens**

If the taxon of the specimen is:	Then:
<ul style="list-style-type: none"> <li>◆ Acarina</li> <li>◆ Coleoptera</li> <li>◆ Dermaptera</li> <li>◆ Diptera</li> <li>◆ Heteroptera</li> <li>◆ Homoptera<sup>1</sup></li> <li>◆ Hymenoptera</li> <li>◆ Isoptera</li> <li>◆ Lepidoptera (immatures)</li> <li>◆ Orthoptera (immatures)</li> <li>◆ Thysanoptera (adults)<sup>2</sup></li> </ul>	PRESERVE specimens in alcohol (see <a href="#">Preserving Arthropod Specimens in Alcohol</a> on <a href="#">page 7-1-5</a> )
Homoptera on host material (scale insects and immature psyllids) Lepidoptera (adults) Orthoptera (adults)	PRESERVE specimens by dry mounting (see <a href="#">Preserving Arthropod Specimens by Dry Mounting</a> on <a href="#">page 7-1-5</a> )

- 1 **Except** whiteflies, scales, and immature psyllids on host material.
- 2 Add a few drops of vinegar (acetic acid) to the alcohol in vial.

## Preserving Arthropod Specimens in Alcohol

If, after referring to [Table 7-1-1](#), you have determined that alcohol is the proper method of preservation, then preserve the specimens using an appropriately sized shoulder-type vial or container with a screw-cap lid as follows:

1. For adult specimens, kill by placing them in 70 percent alcohol, as follows:
  - A. Select shoulder-type screw-cap vials over shell vials because they are stronger and provide better protection for the specimens.
  - B. Fill vials three-quarters full with alcohol and make sure the stoppers fit securely.
  - C. Bleed air pressure when necessary.
  - D. For delicate specimens, place wadded paper within the vials to minimize specimen movement.
2. For larvae specimens, kill larvae by doing the following:
  - A. Place the larvae in water.
  - B. Slowly bring the water to boiling point.
  - C. Allow the specimen to cool down.
  - D. Place the specimen in a vial with alcohol.
  - E. Select shoulder-type screw-cap vials over shell vials because they are stronger and provide better protection for the specimens.
  - F. Fill vials three-quarters full with alcohol and make sure the stoppers fit securely.
  - G. Bleed air pressure when necessary.
  - H. For delicate specimens, place wadded paper within the vials to minimize specimen movement.

## Preserving Arthropod Specimens by Dry Mounting

Preserve arthropod specimens by dry-mounting using the following steps:

1. Make sure all specimens are dead. If the specimen is **not** dead, you may use one of the following killing agents:
  - ❖ Ethyl acetate
  - ❖ Trichloroethylene



Use killing agents with care and follow the label directions.

Also, you may seek instructions from the Area Identifier for alternative killing measures.

2. Label all killing bottles containing the killing agents above with **“POISON.”**
3. Pin dead adult specimens of Lepidoptera and Orthoptera before shipping, as follows:
  - A. Spread and pin adult Lepidoptera and Orthoptera on styrofoam pinning blocks.
  - B. Pin the styrofoam blocks to the bottom of the pinning box.
  - C. Use small pinning boxes and place these, snugly padded, inside a shipping box.
  - D. Seek instructions from your Area Identifier for additional information.
4. Partially dry host material with insects (for example, scale insects and whiteflies) before placing in the container.
5. Unless the host material is thoroughly dry, pack to permit drying after closure of container without damaging specimens (see **Host or Other Plant Material, Including Noxious Weeds** on **page 7-1-6**). Cut as thin a slice as possible of the fruit or vegetable peel.

## Honey Bees



If interception is made during an Africanized Honey Bee Survey, then see **Special Instructions for Honey Bee Specimens** on **page 7-1-14**.

For honey bee specimen identification, do the following:

1. Place at least 10 intact adult bees in 70 percent alcohol.
2. Place about 100 adult bees in 70 percent alcohol for mite examination.
3. Package a sample of honeycomb, if available, carefully so that it is **not** crushed.

### Host or Other Plant Material, Including Noxious Weeds

For identification of host or other plant material (including noxious weeds) include as many plant parts as possible with your specimen (for example, fruit, flowers, leaves, buds, stems, roots, bark, wood, or spines). Prepare the specimen as follows:

1. Press and dry all specimens using standard herbarium techniques, if possible.
2. Send pressed and dried plants in newspaper sheets bound between corrugated cardboard.



## Preserving Soft Fruits for Identification

3. Place dry seeds in vials or resealable plastic bags. **Never** place seeds in alcohol. If you use vials, tighten vial caps so they don't come off during shipment.

If sending soft fruits for identification, preserve at least one specimen dry and place one to two specimens in alcohol for 48 hours. Drain the alcohol from the jars and pack the fruit firmly in a jar to prevent shifting during mailing.

Complete and submit **PPQ 309, Pest Interception Record** on **page A-1-99**, for each pest intercepted or host that you want identified. Give each interception a unique number. Also, give an interception number to host material you're sending in for identification. If the host material is associated with a pest, assign numbers to the host and intercepted pest so that either may be cross-referenced.

When completing **PPQ 309, Pest Interception Record** on **page A-1-99**, fill in the country of origin as accurately as possible. Add **one** of the following in the remarks section of the 309 record:

- ◆ Noxious weed
- ◆ Host identification
- ◆ Plant identification
- ◆ Seed identification

In addition, list the following information in the remarks section of the 309 record when submitting host or other plant material, including noxious weeds:

- ◆ All common names
- ◆ Uses of plant or plant parts (for example, medicinal, tea, spice)
- ◆ Any information which could give clues for identification

If the interception is **not** an URGENT, hold it until the host is identified.

## Mollusks

### **Routine Interceptions of Terrestrial Snails and Slugs Except for Giant African Snails (*Achatina* and *Archachatina* spp.), and Tropical Slugs (*Veronicellidae*)**

Use the following procedures for routine interceptions of terrestrial snails and slugs, **except** giant African snails, aquatic snails, and tropical slugs:

1. Place the mollusk in a vial or specimen bottle of water.
2. Hold the vial or specimen bottle under water and seal, making sure that no air bubbles remain inside the container.

3. Put the container containing the specimen in a cool place until the mollusk has relaxed (has died and is fully extended). This relaxation will take between 12 and 24 hours.
4. Transfer the relaxed mollusk to 70% ethanol.
5. Submit the specimen for identification.

### **Routine Interceptions of Giant African Snails (*Achatina* and *Archachatina* spp.), Aquatic Snails, and Tropical Slugs (Veronicellidae)**



Because of snail-borne parasitic diseases, wash your hands in hot soapy water or rinse them in a standard disinfectant after handling these mollusks.

Use the following procedures for routine interceptions of Giant African Snails (*Achatina*) and (*Archachantina* spp), Aquatic Snails, and Tropical Slugs (Veronicellidae):

1. Place the mollusk directly in a vial or specimen bottle with 70% ethanol.
2. Submit the specimen for identification.

### **URGENT Interceptions of Terrestrial Snails Except for Giant African Snails (*Achatina* and *Archachatina* spp.), Aquatic Snails, and Slugs Except for Tropical Slugs (Veronicellidae)**

- A. When shipping Monday through Thursday:
  - i. Place the mollusk in a vial or specimen bottle of water.
  - ii. Hold the vial or specimen bottle under water and seal, making sure that no air bubbles remain inside the container.
  - iii. **Overnight** the urgent interception for identification (the snail will have drowned in transit, hence, there is no pest risk).
- B. When shipping Friday through Sunday:
  - i. Place the mollusk directly in a vial or specimen bottle 70% ethanol. If there is time (12-24 hours), relax the specimen in water as described for routine interceptions. (Place the mollusk in a vial or specimen bottle and hold the vial or bottle under water and seal, making sure that no air bubbles remain inside the container. Put the vial or bottle containing the specimen in a cool place until the mollusk has relaxed—has died and is fully extended.)
  - ii. **Overnight** the urgent interception for identification.

## URGENT Interceptions of Giant African Snails (*Achatina* and *Archachatina* spp.), Aquatic Snails, and Tropical Slugs (Veronicellidae)



Because of snail-borne parasitic diseases, wash your hands in hot soapy water or rinse them in a standard disinfectant after handling these mollusks.

Prepare the URGENT interception for shipment as follows:

1. Place the mollusk directly in a vial or specimen bottle with 70% ethanol.
2. **Overnight** the URGENT interception for identification.

### Nematodes

Responsibilities of CBP and PPQ follow:

#### CBP Agriculture Specialists

CBP Agriculture Specialists submit the samples (soil or plant) in a plastic bag to the PPQ area identifier(s). PPQ Area Identifiers are responsible for determining if the material seized (soil or plant) has plant parasitic nematodes.

#### PPQ Area Identifiers

PPQ Area Identifiers prepare nematodes for specimen identification as follows:

1. Separate nematodes from infested material and place in a vial of water. Slowly apply heat until the nematodes stop moving. **Do not** overheat.
2. Prepare either one of the fixatives in [Table 7-1-2](#).

**TABLE 7-1-2: Determine Fixative Formula for Nematodes**

If using fixative:	Then mix together:
3 percent formaldehyde	<ul style="list-style-type: none"> <li>◆ 1 part commercial Formalin</li> <li>◆ 12 parts water</li> </ul>
TAF	<ul style="list-style-type: none"> <li>◆ 7 ml Formalin</li> <li>◆ 2 ml Triethanolomine</li> <li>◆ 91 ml water</li> </ul>

3. Add to the vial containing the specimens a volume of double-strength fixative equal to the volume of water in the vial.
4. Place cysts of *Globodera* spp., mature females of *Meloidogyne* spp., and other non worm-like nematodes directly into single-strength fixative without heating.

## Plant Diseases

### Selecting Material for Plant Disease Identification

Because diseases have complex life cycles, and specimens of different stages of the disease life cycle are helpful in making identifications, select material showing as many stages of disease life cycle as possible. Early stages of the disease may show important diagnostic signs and symptoms, while older material may have the perfect stage of a fungus. Send an ample amount of diseased material.

Since some diseases may be identified by symptoms, when possible, ship disease specimens in a natural state to the Area Identifier. Symptoms may be modified or destroyed if the host material becomes dried, molded, shriveled, or decayed. When cutting the diseased portions of fruits and vegetables, include a generous margin of healthy tissue. Cut as thin a slice as possible of the fruit or vegetable peel. If the material is soft or pulpy, then partially dry the material and pack between sheets of stiff, absorbent paper to keep the diseased area flat. **Do not** fold leaf specimens. Partially dry succulent leaves before shipping.

### Preparing and Preserving Plant Disease Material

Prepare specimens of plant disease material for identification as listed below.

#### 1. Large Specimens

Prepare large specimens of plant disease material for identification as follows:

- A. Pack large specimens to prevent movement in the shipping container.
- B. Place crumpled newspaper around the specimens to prevent movement.

#### 2. Multiple Determinations

When more than one disease is evident, circle the diseased area with India ink or in a way to indicate the diseased area.

#### 3. Soil

Most ports are equipped to sample soil interceptions for nematodes. When it is necessary to ship soil to another office, do as follows:

- A. Place a representative sample of 500 g or less (approximately 1 pound) in a metal can or other suitable container.
- B. **Do not** sift the sample.

- C. Remove rocks, pebbles, and large pieces of debris by hand.
- D. Seal the container lid with nylon reinforced (filament) tape to prevent leakage.
- E. Wrap the entire container in heavy wrapping paper.

---

## Sending Specimens for Identification

### Records

Use [PPQ 309, Pest Interception Record](#) on [page A-1-99](#) for forwarding interceptions made in predeparture items and imported items. To complete the form, see [Instructions](#) on [page A-1-100](#).

PPQ employees use [PPQ Form 391, Specimens for Determination](#) on [page A-1-105](#), for domestic collections (warehouse inspections, local and individual collecting, special survey programs, export certification). To complete and distribute the form, see [Figure A-1-42](#) on [page A-1-107](#). For more information on PPQ Form 391, contact a PPQ area identifier (see [Lists of PPQ Identifiers and PPQ National Specialists](#)).

### PestID Database

When a CBP AS intercepts a pest during AQI inspection, the CBP AS must tentatively identify the pest and determine if he/she:




- ◆ Has authority to make a final identification of the pest
- ◆ Needs to enter pest interception data in the PestID Database
- ◆ Needs to submit the pest to the Area Identifier or discard the pest using issued authority

Follow these steps to determine when to enter pest interception data in the PestID Database and submit the pest to the Area Identifier:

**Step 1: Tentatively identify the pest**

**Step 2: Follow instruction in [Table 7-1-3](#) on [page 7-1-12](#)**

**TABLE 7-1-3: Determine Need to Enter Pest Interception into PestID Database and Submit Specimen**

<b>If tentative identification is:</b>	<b>And the CBP AS:</b>	<b>And:</b>	<b>Then:</b>
Insect, disease, weed, or mollusk	Has authority (i.e. CRA) to make final identification	Final identification is a "Non-Reportable" pest	1. Identify with authority 2. Discard specimen since <b>not</b> required to submit to Area Identifier 3. <b>Do not</b> enter pest interception data into PestID database
		Final identification is a "Reportable" pest	GO to <b>Step 3</b>
	Does <b>not</b> have authority to make final identification		FOLLOW procedures in PestID User Guide (see <a href="#">AQAS database</a> )
Mite, nematode, or unknown			

**Step 3: Enter pest interception data into PestID Database**

**If using issued authority for a "Reportable" pest, then:**

Select "Add 309 Record" from the menu and enter pest interception data following standard procedures with the following exceptions:

1. In the "Add 309 Record" screen, choose "Prompt" in the "Priority" field
2. Enter all remaining necessary data in the screen and click the "Add Determination" button
3. In the "Add Determination" screen, choose "Yes" in the "Final ID?" field
4. Enter all remaining necessary data in the screen and click the "Save Determination" button
5. Upon return to the "Add 309 Record" screen, click the "Save" button (near the bottom of the screen)
6. Click the "Print" button to print pest interception record
7. Write "Final ID with Authority" (preferably in large print) in the upper right-hand corner of the pest interception record printout
8. Go to **Step 4**

**Step 4: Attach pest interception record to pest interception and submit to the appropriate Area Identifier**

See [Lists of PPQ Identifiers and PPQ National Specialists](#).

## Packaging the Specimens

### Packaging Specimens in Vials

Package specimens in vials as follows:

1. Write or type the interception number on a standard interception envelope.
2. Twist the vial cap until it is secure and place the vial in the envelope.
3. Attach the pest interception record to the unfolded form to the outside of each envelope.
4. Put the envelope and form in either a mailing tube or a box (2" x 4" x 8" cardboard box). **Do not** use padded envelopes because the contents are frequently crushed in transit.
5. Put packing material around the vial so that it will **not** break during shipping. If a live specimen is requested, use a container within a container.
6. Wrap the container securely using reinforced tape.

### Packaging Moist Materials

Since moist materials tend to cause the standard interception envelope to stay open, you may use either a paper bag or newspaper instead of the standard envelope, as follows:

1. Write or type the interception number on a paper bag or, if using newspaper, on a separate sheet of paper and then tape to the newspaper.
2. Attach the pest interception record to the unfolded form to either the paper bag or the newspaper.
3. Place the paper bag or paper containing the specimen in a mailing tube or box.
4. Wrap the container securely using reinforced tape.

## Special Instructions for Multiple Interceptions

Follow these guidelines for multiple interceptions:

- ◆ If you find multiple interceptions in one cargo shipment and you **do not** have cargo release authority (CRA) for all pests, then compare and separate all pest species
- ◆ Provide all necessary information (for all life stages) of the same pest species in one PPQ Form 309
- ◆ Use the remarks section to note multiple specimens, multiple life stages, or multiple CBP AS
- ◆ Ensure the entire PPQ Form 309 is completed accurately (include size, weight, origin, and host material)<sup>1</sup>

Include all additional details in the remarks section of the PPQ Form 309. This information helps to determine appropriate quarantine actions and treatment recommendations.



Additional information, such as size, weight, origin, and host material, are extremely important to make an accurate quarantine decision.

**Never** submit multiple forms for the same pest species in the same shipment. Submit multiple life stages of the same pest on a single PPQ Form 309.

**EXAMPLE**

- ◆ Aphids, immature and adults, or thrips, immature and adults
- ◆ Coleoptera or Lepidoptera larvae, pupae, and adults of the same species
- ◆ Khapra beetle cast skins, larvae, pupae, and dead adults in a single shipment

### Special Instructions for Pest Interceptions on Irradiated Commodities

If you find pests or diseases inside an irradiated box or carton or associated with irradiated fruits or vegetables, forward a photocopy of both the PPQ Form 203 (Foreign Site Certificate of Inspection and/or Treatment) and the phytosanitary certificate with the **PPQ 309, Pest Interception Record** on **page A-1-99** to the identifier.

### Special Instructions for Honey Bee Specimens

Bees taken in the Africanized Honey Bee (AHB) Domestic Survey should be tested using the Fast Africanized Bee Identification System (FABIS). Contact either your Area Identifier or National Identification Services (301-851-2182) for the nearest testing facility. If the FABIS test results indicate European bees, then no additional identification is needed.

If any of the following circumstances exist, then send the bees by **overnight** delivery to the Bee Research Laboratory (**Table G-1-4**):

- ◆ Swarms of bees are intercepted on carriers, cargo, or found moving in foreign commerce at U.S. Ports of Entry
- ◆ Swarms of bees are involved in severe stinging incidents
- ◆ Samples test as possible Africanized (average wing length is 9.0 mm or less) by the FABIS screening technique. Send slide-mounted wings and additional bees if possible

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1 Use the “PestID Data Entry Job Aid” in the “Job Aids” Section of the CBPnet.



Send the following to the laboratory:

- ◆ 10 (minimum) intact adults bees
- ◆ 100 adult bees for mite examination
- ◆ Sample of honeycomb, if available (package to prevent crushing)
- ◆ Note regarding presence or absence of queen or drones in swarm (specimens are **not** necessary)

Contact Mona Chambers at the following address whenever you send bees as URGENT.

Carl Hayden Bee Research Center  
200 East Allen Road  
Tucson, AZ 85719  
520-670-6380 Ext. 105



# 8

Agricultural  
Clearance

# Violations

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## Introduction

This chapter includes information on assessing civil penalties. See [Appendix A](#) for instructions on completing forms pertaining to violations.



Use **only** official PPQ or CBP forms to document violations; **do not** use local port generated forms.

## Cargo Violations

When regulated cargo which was held is moved without the proper treatment or inspection and CBP release, violations of the [Plant Protection Act](#) (7 USC 7713 (c) (1)) and/or the Animal Health Protection Act (7 USC 8307 (b) (1)) have occurred. The violator would be the individual or party responsible for the movement. Eliminate any pest risk and safeguard the cargo as soon as possible.

Another type of cargo violation occurs when transiting shipments **do not** exit the country, deviate from the approved transit corridor, or exit outside of the time allowed by the transit permit. Cite the applicable regulations in [Title 7 CFR](#) for these types of cargo violations and complete PPQ Form 518, Report of Violation, to document cargo violations.

In all cases, make sure you include the Specialist's statement with all the facts of the violation. See [PPQ Form 518, Report of Violation](#) on [page A-1-110](#) and [Sample of CBP Agriculture Specialist's Statement](#) on [page C-1-5](#).



You may need to safeguard the shipment and mitigate risk wherever the cargo has gone. As needed, contact CBP Agriculture Liaison at destination, APTL headquarters, the APHIS PPQ SPHD, agents, shippers, brokers or even APHIS PPQ Field or Headquarters.

Tell the person or party the nature of the violation. If requested, give the person a copy of the regulation(s) and make note of when the regulation(s) was given to that person. Document evidence of any **previous** violations.

You can also require that cargo be returned to the port of arrival if doing so does **not** increase the risk of pest escape. The importer is then required to return the cargo to the first port of arrival. If you need to subpoena documents, see [Subpoenas Under the Plant Protection Act](#) on [page L-1-1](#).



**APHIS Form 7060, Official Warning, is not issued at the port level.** Investigative and Enforcement Services (IES) will issue APHIS Form 7060 if appropriate.

### Collecting Evidence to Assemble a Case File

The purpose of collecting evidence is to substantiate that a violation took place. OGC will decide whether or **not** to prosecute a violation based upon the results of the investigation and how well you prepared the case file. **Only** a sound investigation and well prepared case file will result in a successful prosecution. CBP and/or APHIS personnel may be called to testify.

After application of needed safeguards against pest escape, start documenting what happened. Be specific with identifying all known facts, dates, names, titles, amounts, and descriptions. Complete **PPQ Form 518, Report of Violation** on **page A-1-110**. For instructions on completing this form, refer to **Table A-1-29** on **page-A-1-112**.

Conduct your investigation in a fair and impartial manner making every effort to obtain a complete, factual record. Collect evidence to corroborate the violation. Refer to the next section on List of Exhibits to get an idea on assembling a case file. For example, if relevant to the case, take photographs or video tapes to document the violation. Collect evidence that shows how the article(s) entered the United States. More specifically, collect copies of air waybills, CBP entry papers, invoices, packing lists, and manifest entries. Also collect permits, phytosanitary certificates, and as appropriate, other physical evidence. **Do not** prejudge a case or discuss any phase of the investigation with unauthorized persons (non-APHIS/CBP personnel). If you are unsure of whom you may speak with, contact your supervisor.

If you need advice or assistance with a complex or difficult investigation, or have questions about violations, you should contact your office's **Investigative and Enforcement Services (IES)** investigator assigned to that area. IES investigators are available to investigate violations that require additional inquiry, documentation, and case preparation. For a list of IES contacts, see **Appendix J**.

Try to get a written statement from any person who has knowledge of the violation. Statements may be handwritten or use the sample format in **Appendix C**. Ask witnesses to be specific in writing their statement, specifying all known facts, dates, names, titles, amounts, and descriptions. Ask the witness to sign and date the statement as soon as it is completed. If a witness refuses to sign the statement, make note of the refusal on the statement.

## Violations

### Seizure of Agricultural Merchandise

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Give each piece of evidence an exhibit number. Photographs and videos make forceful evidence. Include information on where and how the article was grown or animal slaughtered, who moved the cargo, the quantities, the consignee/owner and the destination. List the exhibits on a separate piece of paper with the heading “List of Exhibits.”

#### EXAMPLE

##### List of Exhibits

Exhibit 1—Agriculture Specialist’s Statement  
Exhibit 2—Witness’ Statement of Customs Inspector Carlos Colon  
Exhibit 3—Copy of the General Declaration  
Exhibit 4—Any additional documentation with the foreign carrier’s logo

Label and assemble your evidence in the following order:

1. Statement from the Agriculture Specialist or PPQ personnel initiating the action and from any contributive officer, violator’s statement, and witness’ statement. Include information on what was done to safeguard the violation.
2. Other documentary evidence related to the **current** violation such as a copy of the compliance agreement in force at the time of the violation, air waybill, General Declaration, **PPQ 309, Pest Interception Record**, and dates and methods of notifying the violator of APHIS regulations.
3. Physical evidence such as a piece from an empty carton that is labeled, sample of a processed product, product label, and photographs. When submitting photographs, write the date, description, and photographer’s name on the back of the photograph or on a piece of paper onto which the photograph is mounted. If the physical evidence presents a risk, then submit it so as to prevent leakage or disease dissemination—put it in tightly closed plastic bags.
4. Documentary evidence of any **previous** violations.

Submit the case file to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737; phone 301/851-2948, requesting an investigation.

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## Seizure of Agricultural Merchandise

See *Seizure of Agricultural Importations* on CBP.net.

## Assessing Civil Penalties for Breaking Seals

Assess a civil penalty whenever seals are broken without the authorization of CBP or whenever shipments arrive at a port with a broken APHIS-applied seal, if you have evidence that the seal was intentionally broken or tampered with. Use **CBP Form AI-592, Notice of Violation** on **page A-1-61** to document such a violation. If possible, collect the broken seal as evidence and submit it with your report of violation. Refer to **Table 8-1-1** to determine the amount of a spot settlement.

**TABLE 8-1-1: Determine the Amount of a Spot Settlement for Breaking Seals**

If the violation is the:	Then:
First	Fill in \$1,000.00 in Section II of CBP Form AI-592
Second or beyond	Leave Section II of CBP Form AI-592 blank and forward the complete case file to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737; phone 301/851-2948



You **must** record all agricultural violations on the appropriate official CBP form. Failure to do so makes enforcement actions difficult to pursue. (PPQ employees **must** use the appropriate PPQ form for the same reason.) You **must** inform alleged violators that they have an opportunity for a hearing and that by signing Section II they agree to waive the hearing and pay the penalty.

If the violation is the first, refer to these points for further guidance:

- ◆ Give the violator the opportunity to pay the spot settlement. Explain to the violator that he or she has a right to a hearing. Further explain that, should the violator be found in violation at the hearing, the penalty is often more than what is offered as a spot settlement at the port.
- ◆ Have the violator carefully read section II of the form before signing
- ◆ Inform the violator that failure to pay CBP the full amount of the settlement will result in forwarding the case to USDA (IES Headquarters) where collection of a potentially higher penalty will be initiated
- ◆ Inform the violator that the spot settlement now being assessed has no bearing on the amount assessed in the future. The future penalty and penalties for repeat offenders could be significantly higher.
- ◆ Have the violator sign section IV if the violator elects **not** to pay the spot settlement
- ◆ If the penalty is **not** paid by the carrier, send or fax a copy to the carrier's agent. Notify the agent that the penalty **must** be paid within 3 working days.

- ◆ Forward the case file to USDA-APHIS-IES (address listed in [Table 8-1-1](#) on [page 8-1-5](#)) if the port does **not** receive full payment of the spot settlement amount after three working days or if the violator requests a hearing.



Funds received from civil penalties assessed for violation of the [Plant Protection Act](#) and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are **not** controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. Make all checks and money orders payable to “Treasury of the United States.” If you have any questions, contact QPAS at 301-851-2312.

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## Regulated Garbage Violations

This section details what you should do when you detect a violation of the garbage regulations or a compliance agreement. Both CBP and APHIS personnel are authorized to pursue a regulated garbage violation.



The decision to cancel an establishment’s compliance agreement is made by the Regulated Garbage Program at APHIS headquarters.

When you detect a violation, take the following action:

1. Eliminate the pest risk immediately.
2. Document the violation and collect evidence. See [Collecting Evidence to Support a Spot Settlement or a Violation Referral](#) on [page 8-1-13](#).
3. CBP personnel should document violations by completing [CBP Form AI-592, Notice of Violation](#) and investigate the incident. Make sure you include the Specialist’s Statement with **all** the facts of the violation. See [CBP Form AI-592, Notice of Violation](#) on [page A-1-61](#), and [The Officer’s Statement – Regulated Garbage Violations](#). Send the CBP Form AI-592 and associated evidence to IES if the penalty is **not** collected by CBP (see [Assembling a Good Case File](#)).

PPQ personnel should first consider whether the violation merits the use of a Letter of Information (LOI). See the document *Overview and Guidance for Enforcement Decision Making* on the [PPQ Compliance and Enforcement SharePoint Site](#). If an LOI is **not** appropriate, you should complete [PPQ Form 518, Report of Violation](#) and complete the PPQ officer’s statement. See [PPQ Form 518, Report of Violation](#) on [page A-1-110](#) and [The Officer’s Statement – Regulated Garbage Violations](#). Send the PPQ Form 518 and associated evidence (see [Assembling a Good Case File](#)) to IES.



4. A letter is required to be sent to the establishment stating the details of the alleged violation by the CBP Port Director/designee. The SPHD or designee should send this letter if an LOI will **not** be issued. This letter notifies the management of the establishment of alleged violations by their employees. Include a copy of this letter with the CBP Form AI-592 or PPQ Form 518 when submitted to IES. Follow the sample letter in **[Sample Letters and Statements](#)** on **page C-1-1**
5. Report the violation to the APHIS Headquarters Regulated Garbage Program and Headquarters CBP- APTL through the CBP Port Director or State Plant Health Director (PPQ personnel) or designees as required by the **[CBP/APHIS National SOP for Regulated Garbage](#)**.
6. Use the **[CBP/APHIS National SOP for Regulated Garbage](#)** to determine whether to suspend the regulated garbage handling activities with or without initiating the cancellation of the compliance agreement.



If you detect a deliberate and flagrant violation of the garbage handling procedures or other safeguard requirements, before taking any enforcement action, make a full report through appropriate channels to Headquarters CBP-APTL and APHIS-QPAS within 3 hours. Headquarters may recommend the appropriate enforcement action to be taken. See the **[CBP/APHIS National SOP for Regulated Garbage](#)** to ensure all parties are properly notified.

### Assessing Civil Penalties

CBP uses **[CBP Form AI-592, Notice of Violation](#)**. PPQ should **not** use PPQ Form 592 or CBP Form AI-592, but instead determines whether to use an LOI or **[PPQ Form 518, Report of Violation](#)**. PPQ should refer to the document *Overview and Guidance for Enforcement Decision Making* on the **[PPQ Compliance and Enforcement SharePoint Site](#)** for criteria to determine if a violation should be referred to IES.

This section is further broken into the following subsections:

- ◆ **[Aircraft Garbage Violations](#)** on **page 8-1-8**
- ◆ **[Ocean Vessel Garbage Violations](#)** on **page 8-1-10**
- ◆ **[Firms Garbage Violations](#)** on **page 8-1-11**
- ◆ **[Compliance Agreement Violations](#)** on **page 8-1-12**

## Violations

### Regulated Garbage Violations

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#### Aircraft Garbage Violations

Using CBP Form AI-592, you may assess a civil penalty (spot settlement) when you discover the following violations of [7 CFR 330.400 – 330.403](#) and [9 CFR 94.5](#) involving regulated garbage<sup>1</sup>:

- ◆ Regulated garbage that is found in open, torn, spilled or leaking containers (any regulated garbage or meals that are exposed) and located at an approved facility in the following areas:
  - ❖ Outside, on dock areas where no loading or unloading activity is occurring
  - ❖ On or around a secure compactor or dumpster that is inside a perimeter fence or controlled by a guard on duty
- ◆ Regulated garbage that is found in open, torn, spilled or leaking containers (any regulated garbage or meals that are exposed) and located on open, unattended commissary trucks, cleaner trucks, loading bridges, service vehicles, portable stands or similar devices
- ◆ Regulated garbage that is neither sterilized nor incinerated and being hauled from a quarantine dumpster to a landfill



Use the CBP Form AI-592 **only** for violations of the [Plant Protection Act](#) or the [Animal Health Protection Act](#). **Never** use the spot settlement authority for violations of compliance agreements unless the conditions are listed in the Uniform Standards for Compliance Agreements templates or approved at the APHIS Headquarters level.

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1 When documenting aircraft garbage violations, PPQ should decide to use [PPQ Form 518, Report of Violation](#) or the LOI.

To determine if you should assess a spot settlement for a garbage violation, refer to **Table 8-1-2** below. Consult the local AQI VMO for additional guidance.

**TABLE 8-1-2: Determine if You Should Assess a Spot Settlement for a Garbage Violation on an Aircraft**

<b>If the violation is:</b>	<b>And the violation<sup>1</sup> is:</b>	<b>And:</b>	<b>Then:</b>
Unauthorized removal or handling of garbage ( <b>without</b> a compliance agreement)	First	→	FILL in \$1,000 spot settlement on CBP Form AI-592
	Second, <b>or</b> committed while operating with a suspended compliance agreement	→	FORWARD the complete case file to IES <sup>2</sup> with Section II blank
Improper removal or handling of regulated garbage ( <b>under</b> compliance agreement)	First	The violator promptly corrects the situation	FILL in \$500 spot settlement on CBP Form AI-592
		The violator does <b>not</b> correct the situation and does <b>not</b> adequately explain why	FILL in \$1,000 spot settlement on CBP Form AI-592
	Second	→	FILL in \$1,500 spot settlement on CBP Form AI-592
	Third	→	FILL in \$2,000 spot settlement on CBP Form AI-592
	Fourth or beyond	→	FORWARD the complete case file to IES <sup>2</sup> with Section II blank

- 1 The number of violations referenced in this column should be considered **only** within the past 5 years of the current violation.
- 2 USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737.



You **must** record all agricultural violations on the appropriate official PPQ or CBP form. Failure to do this makes enforcement actions difficult to pursue. You **must** inform alleged violators that they have an opportunity for a hearing and that by signing Section II they agree to waive the hearing and pay the penalty.

If you decide to assess a spot settlement, refer to **Assessing a Spot Settlement** on **page 8-1-14**. Consult the local AQI VMO for additional guidance.

**Ocean Vessel  
Garbage  
Violations**

To determine if you should assess a spot settlement for a garbage violation, refer to **Table 8-1-3** below<sup>2</sup>.

**TABLE 8-1-3: Determine if You Should Assess a Spot Settlement for a Garbage Violation on a Vessel**

<b>If the violation is:</b>	<b>And the violation<sup>1</sup> is:</b>	<b>And:</b>	<b>Then:</b>
Unauthorized removal or handling of garbage ( <b>without</b> a compliance agreement)	First	→	FILL in \$1,000 spot settlement on CBP Form AI-592
	Second, <b>or</b> committed while operating with a suspended compliance agreement	→	FORWARD the complete case file to IES <sup>2</sup> with Section II blank
Improper removal or handling of regulated garbage ( <b>under</b> compliance agreement)	First	The violator promptly corrects the situation	FILL in \$500 spot settlement on CBP Form AI-592
		The violator does <b>not</b> correct the situation and does <b>not</b> adequately explain why	FILL in \$1,000 spot settlement on CBP Form AI-592
	Second	→	FILL in \$1,500 spot settlement on CBP Form AI-592
	Third	→	FILL in \$2,000 spot settlement on CBP Form AI-592
	Fourth or beyond	→	FORWARD the complete case file to IES <sup>2</sup> with Section II blank
Improperly maintaining regulated garbage outside rails, leaking, uncovered containers, or loose on deck	First	→	FILL in \$1,000 spot settlement on CBP Form AI-592
	Second or beyond	→	1. FORWARD the complete case file to IES <sup>2</sup> with Section II blank 2. COMPLETE CBP Form AI-592

- 1 The number of violations referenced in this column should be considered **only** within the past 5 years of the current violation.
- 2 USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737.

2 When documenting ocean vessel garbage violations, PPQ should decide whether to use **PPQ Form 518, Report of Violation** or the LOI.



You **must** record all agricultural violations on the appropriate official PPQ or CBP form. Failure to do this makes enforcement actions difficult to pursue. You **must** inform alleged violators that they have an opportunity for a hearing and that by signing Section II they agree to waive the hearing and pay the penalty.

**Firms Garbage Violations**

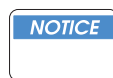
For spot settlements, refer to [Assessing a Spot Settlement](#) on page **8-1-14**. Consult the local AQI VMO for additional guidance.

The CBP Port Director (or designee) and APHIS Regulated Garbage Program staff determine the seriousness of the violation as listed in [Table 8-1-4](#) below. The State Plant Health Director (or designee) should use the document *Overview and Guidance for Enforcement Decision Making* on the [PPQ Compliance and Enforcement SharePoint Site](#) for criteria to determine if a PPQ Form 518 should be referred to IES.

**TABLE 8-1-4: Determine if Violation Is Considered Serious**

If the violation:	And it is the firm's:	Then the Port Director:
Presents an imminent risk (for example, untreated garbage is dumped in a landfill or a caterer removes meat from the aircraft to take home)	→	Classifies the violation as serious
Does <b>not</b> present an imminent risk (for example, a container holding foreign garbage leaks or garbage is held too long before disposal)	Second violation	Classifies the violation as noncritical
	First violation	

If the violation is noncritical, conclude your activities with the forwarding of the Report of Violation. Use the [CBP/APHIS National SOP for Regulated Garbage](#) to determine the response level for various violations.



If the violation is serious, the CBP Port Director or State Plant Health Director **must** report the violation to APHIS HQ (Regulated Garbage Program) within 3 hours of when the violation occurred per the [CBP/APHIS National SOP for Regulated Garbage](#).

**Compliance Agreement Violations**

Find details of what you are to do when you detect a violation of the compliance agreement in the [CBP/APHIS National SOP for Regulated Garbage](#). Use **Table 8-1-5** below to determine the civil penalty amounts for violation of compliance agreements.

**TABLE 8-1-5: Determine if You Should Assess a Spot Settlement for a Garbage Violation Not on an Aircraft or Vessel**

<b>If the violation is:</b>	<b>And the violation<sup>1</sup> is:</b>	<b>And:</b>	<b>Then:</b>
Unauthorized removal or handling of garbage ( <b>without</b> a compliance agreement)	First	→	FILL in \$1,000 spot settlement on CBP Form AI-592
	Second, <b>or</b> committed while operating with a suspended compliance agreement	→	FORWARD the complete case file to IES <sup>2</sup> with Section II blank
Improper removal or handling of regulated garbage or failure to comply with conditions as stated in the compliance agreement	First	The violator promptly corrects the situation	FILL in \$500 spot settlement on CBP Form AI-592
		The violator does <b>not</b> correct the situation and does <b>not</b> adequately explain why	FILL in \$1,000 spot settlement on CBP Form AI-592
	Second	→	FILL in \$1,500 spot settlement on CBP Form AI-592
	Third	→	FILL in \$2,000 spot settlement on CBP Form AI-592
	Fourth or beyond	→	FORWARD the complete case file to IES <sup>2</sup> with Section II blank

- 1 The number of violations referenced in this column should be considered **only** within the past 5 years of the current violation.
- 2 USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737.



Depending on the severity of the violation, you may need to immediately suspend the regulated garbage handling activities to mitigate the risk. See Appendix VI of the [CBP/APHIS National SOP for Regulated Garbage](#) for a template of the suspension letter. Consult your supervisor and, as necessary, the local PPQ AQI VMO. The decision to cancel an establishment's compliance agreement is made at the APHIS Headquarters level. See the [CBP/APHIS National SOP for Regulated Garbage](#).

**Collecting  
Evidence to  
Support a Spot  
Settlement or a  
Violation  
Referral**

The purpose of collecting evidence is to substantiate that a violation took place. OGC will decide whether or **not** to prosecute a violation based upon the results of the investigation and how well you prepared the case file. **Only** a sound investigation and well prepared case file will result in a successful prosecution. CBP or PPQ personnel may be called to testify if OGC accepts the case. In addition to discovering the violation, you **must** have the following supporting evidence:

- ◆ Proof that the garbage came off a particular flight or other conveyance arriving from a foreign location; you might have to go through the garbage to get this proof. Be sure to take pictures before you open bags to start documenting the violation.
  - ❖ Get this evidence from the smallest, contained unit that identifies where the garbage came from
  - ❖ If the evidence was a milk container in a plastic bag—the bag being in a garbage can—the evidence would have to be from the plastic bag and **not** the garbage can that held the bag
  - ❖ As evidence, you need any document that identifies the conveyance, like a discarded boarding pass or other definitive document such as the daily cruise ship flyer (a mere napkin will **not** do)
- ◆ Proof that the caterer, cleaner, cartage firm, or other company was contracted to handle that regulated garbage in question; do **either** of the following:
  - ❖ Get evidence from the written contract that provides these services to the conveyance or location in question
  - ❖ Have management of the company holding the contract either tell you or write out which approved caterer, cleaner, cartage firm, or other company serviced the conveyance or location in question
    - Document the conversation if you are **only** given the information orally
    - Make sure you write down the date, the name, and the title of the person giving you the statement

Conduct your investigation in a fair and impartial manner making every effort to obtain a complete, factual record. **Do not** prejudge a case or discuss any phase of the investigation with unauthorized persons (non-APHIS/CBP personnel). If you are unsure of whom you may speak with, contact your supervisor.

If you need advice or assistance with a complex or difficult investigation, or have questions about violations, you should contact your [IES](#) investigator. IES investigators are available to investigate violations that require additional inquiry, documentation, and case preparation. For a list of IES contacts, see [Appendix J](#).

Try to get a written statement from any person who has knowledge of the violation. Statements may be handwritten or use the sample format in [Appendix C](#). Ask witnesses to be specific in writing their statement, specifying all known facts, dates, names, titles, amounts, and descriptions. Ask the witness to sign and date the statement as soon as it is completed. If a witness refuses to sign the statement, make note of the refusal on the statement.

Collect evidence to corroborate the violation. If relevant to your case, take photographs or video tapes. Photographs or videos make forceful evidence. Collect or photograph samples from the garbage container. Also obtain a General Declaration, previously issued warning letters, statements from employees at the company, and any other supportive evidence. You **must** include a copy of the compliance agreement that was in force during the time the violation occurred for all violations involving compliance agreement holders. Refer to [Assembling A Good Case File](#) for additional information.

### **Assessing a Spot Settlement**

If CBP decides to assess a spot settlement, refer to these points for further guidance:

- ◆ Give the violator the opportunity to pay the spot settlement. Explain to the violator that he or she has a right to a hearing. Further explain that, should the violator be found in violation at the hearing, the penalty is often more than what is offered as a spot settlement at the port.
- ◆ Have the violator carefully read section II of the form before signing
- ◆ Inform the violator that failure to pay the spot settlement will result in the violation being forwarded to [IES](#) Headquarters
- ◆ Inform the violator that the spot settlement now being assessed has no bearing on the amount assessed in the future. The future penalty and penalties for repeat offenders could be significantly higher.
- ◆ Have the violator sign section IV if the violator elects **not** to pay the spot settlement
- ◆ If the violator does **not** pay the penalty, send or fax a copy to the violator or the violator's agent, if appropriate. Notify the agent that the penalty **must** be paid within 3 working days.



- ◆ If the penalty is **not** paid within 3 working days, then compile the evidence (see [Collecting Evidence to Support a Spot Settlement or a Violation Referral](#)) and appropriate form for referral to IES
- ◆ Forward the case file to USDA-APHIS-IES (address listed in [Table 8-1-1](#) on [page-8-1-5](#)) if the port does **not** receive full payment of the spot settlement amount after three working days or if the violator requests a hearing



Important

Funds received from civil penalties assessed for violation of the [Plant Protection Act](#) and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are **not** controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. Make all checks and money orders payable to “Treasury of the United States.” If you have any questions, contact QPAS at 301-851-2312.

### Serious Regulated Garbage Violations and Canceling Compliance Agreements

If a serious violation of the garbage regulations or a compliance agreement occurs, **only** APHIS Headquarters (Regulated Garbage Program) decides whether to cancel a firm’s approval to handle regulated garbage. A serious violation is one that involves an imminent risk or a second, documented violation by a firm within 6 months. See the [CBP/APHIS National SOP for Regulated Garbage](#) for additional criteria for serious or urgent violations. The port or SPHD or designee reports the serious violation to the Regulated Garbage Program per the [CBP/APHIS National SOP for Regulated Garbage](#), who then confers with the Office of the General Counsel (OGC) and Investigative and Enforcement Services (IES).

The Regulated Garbage Program then decides whether to cancel the firm’s approval to handle regulated garbage. If the violation is considered to present an imminent risk to the public health, interest, or safety, require the firm to immediately suspend its regulated garbage handling activities and recommend immediate cancellation per the [CBP/APHIS National SOP for Regulated Garbage](#). See [Suspending Regulated Garbage Handling Activities Covered by a Compliance Agreement](#) on [page B-1-17](#). Otherwise, the firm is notified of the intent to cancel their approval.

Likewise, **only** the Regulated Garbage Program may approve reinstatement of a firm’s compliance agreement to handle regulated garbage if local CBP or PPQ recommend cancellation of the compliance agreement or the compliance agreement has been cancelled. Reinstatement occurs **only** when the firm found in violation meets all the terms of settlement detailed in the consent agreement or as a result of a hearing. The company may be required to again request approval to handle regulated garbage.

## Violations

### Advance Notification of Arrival Violations



CBP personnel are **never** to cancel or reinstate a firm's compliance agreement independently. CBP personnel **must** follow protocol. See the [CBP/APHIS National SOP for Regulated Garbage](#) for additional guidance.

When you detect a violation, refer to [Regulated Garbage Violations](#) on **page 8-1-6**.

## Advance Notification of Arrival Violations

### Assessing Civil Penalties for Aircraft

If the operator of the aircraft does **not** provide advance notification of arrival as specified above, assess a civil penalty and complete [CBP Form AI-592, Notice of Violation](#) on **page A-1-61**.

To determine if you should assess a spot settlement for failure to provide advance notification, refer to [Table 8-1-6](#).

**TABLE 8-1-6: Determine Whether You Should Assess a Spot Settlement for Failure to Provide Advance Notification**

If the violation <sup>1</sup> is the:	Then:
First, second, third, or fourth	Fill in \$1,000.00 in Section II of CBP Form AI-592
Fifth or beyond	Leave Section II of CBP Form AI-592 blank and forward the complete case file to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737; phone 301/851-2948 (see <a href="#">Collecting Evidence to Assemble a Case File</a> on <b>page 8-1-3</b> )

1 The number of violations referenced in this column should be considered **only** within the past 5 years of the current violation.



You **must** record all agricultural violations on the appropriate official CBP form. Failure to do so makes enforcement actions difficult to pursue. (PPQ employees **must** use the appropriate PPQ form for the same reason.) You **must** inform alleged violators that they have an opportunity for a hearing and that by signing Section II they agree to waive the hearing and pay the penalty.

If you decide to assess a spot settlement, refer to these points for further guidance:

- ◆ Give the violator the opportunity to pay the spot settlement. Explain to the violator that he or she has a right to a hearing. Further explain that, should the violator be found in violation at the hearing, the penalty is often more than what is offered as a spot settlement at the port.
- ◆ Have the violator carefully read section II of the form before signing

- ◆ Inform the violator that failure to pay the spot settlement will result in the violation being forwarded to **IES** Headquarters
- ◆ Inform the violator that the spot settlement now being assessed has no bearing on the amount assessed in the future. The future penalty and penalties for repeat offenders could be significantly higher
- ◆ Have the violator sign section IV if the violator elects **not** to pay the spot settlement
- ◆ If the penalty is **not** paid on the carrier, send or fax a copy to the carrier's agent. Notify the agent that the penalty **must** be paid within 3 working days.



**Important**

Funds received from civil penalties assessed for violation of the [Plant Protection Act](#) and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are **not** controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. Make all checks and money orders payable to "Treasury of the United States." If you have any questions, contact QPAS at 301-851-2312.

### Assessing Civil Penalties for Vessels

If the operator of the vessel does **not** provide advance notification of arrival as specified above, assess a civil penalty and complete **CBP Form AI-592, Notice of Violation** on **page A-1-61**.

To determine if you should assess a spot settlement for failure to provide advance notification, refer to **Table 8-1-7** on **page-8-1-17**.

**TABLE 8-1-7: Determine Whether You Should Assess a Spot Settlement for Failure to Provide Advance Notification**

If the violation <sup>1</sup> is the:	Then:
First	Fill in \$500.00 in Section II of CBP Form AI-592
Second	Fill in \$1,000.00 in Section II of CBP Form AI-592
Third or beyond	Leave Section II of CBP Form AI-592 blank and forward the complete case file to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737; phone 301/851-2948 (see <a href="#">Collecting Evidence to Assemble a Case File</a> on <b>page 8-1-3</b> )

<sup>1</sup> The number of violations referenced in this column should be considered **only** within the past 5 years of the current violation.



**Important**

You **must** record all agricultural violations on the appropriate official CBP form. Failure to do so makes enforcement actions difficult to pursue. (PPQ employees **must** use the appropriate PPQ form for the same reason.) You **must** inform alleged violators that they have an opportunity for a hearing and that by signing Section II they agree to waive the hearing and pay the penalty.

## Violations

### Advance Notification of Arrival Violations

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If you decide to assess a spot settlement, refer to these points for further guidance:

- ◆ Give the violator the opportunity to pay the spot settlement. Explain to the violator that he or she has a right to a hearing. Further explain that, should the violator be found in violation at the hearing, the penalty is often more than what is offered as a spot settlement at the port.
- ◆ Have the violator carefully read section II of the form before signing
- ◆ Inform the violator that failure to pay the spot settlement will result in the violation being forwarded to [IES](#) Headquarters
- ◆ Inform the violator that the spot settlement now being assessed has no bearing on the amount assessed in the future. The future penalty and penalties for repeat offenders could be significantly higher
- ◆ Have the violator sign section IV if the violator elects **not** to pay the spot settlement
- ◆ If the penalty is **not** paid on the carrier, send or fax a copy to the carrier's agent. Notify the agent that the penalty **must** be paid within 3 working days.



**Important**

Funds received from civil penalties assessed for violation of the [Plant Protection Act](#) and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are **not** controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. Make all checks and money orders payable to "Treasury of the United States." If you have any questions, contact QPAS at 301-851-2312.

## Passenger and Crew Violations

### Assessing Civil Penalties

Refer to [Table 8-1-8](#) below.

**TABLE 8-1-8: Criteria That Must Be Met to Issue a Civil Penalty**

If the person is:	Then the following criteria must be met to assess a civil penalty:
Illegally smuggling contraband into the United States through an <b>unauthorized port</b> of entry, thus eluding making a declaration	<ul style="list-style-type: none"> <li>◆ You <b>must</b> have the legal authority to assess the civil penalty</li> </ul>
Entering through an <b>authorized</b> port of entry	<ul style="list-style-type: none"> <li>◆ The person <b>must</b> have failed to declare a prohibited or regulated agricultural article</li> <li>◆ You <b>must</b> have given the person an opportunity to amend his or her declaration orally</li> <li>◆ You <b>must</b> have the legal authority to assess the civil penalty</li> </ul>

### Determining Legal Authority for Assessing a Civil Penalty

If you have the authority to refuse entry of an article, then you have the legal authority to assess a civil penalty. Refer to the appropriate import manual (*Animal Product Manual*, *Plants for Planting Manual*, *Cut Flowers and Greenery Manual*, *Fruits and Vegetables Import Requirements (FAVIR)*, *Fresh Fruits and Vegetables Manual*, *Miscellaneous and Processed Products Manual*, or *Seeds Not for Planting Manual*), and determine the regulation that gives you the authority to refuse entry to the smuggled item. You have authority to issue a civil penalty for articles that meet any of the following conditions:

- ◆ Are outright prohibited
- ◆ Require treatment as a condition of entry
- ◆ Require postentry growing
- ◆ Require foreign certification but lack that certification
- ◆ Require a written permit but lack such a permit

You **cannot** issue a civil penalty for the following articles since legislation regulating their entry **lacks** provisions for civil penalties:

- ◆ Live honeybees or honeybee semen
- ◆ Plant or plant products regulated by CITES or ESA, **only if** there are no additional violations that can be cited. If additional violations of Title 7 CFR are identified, **other than under Part 355**, complete PPQ Form 518 listing all violations, including those under Part 355, and submit to [IES](#).



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

**Assessing Civil Penalties to Crew Members**

Since crew members are aware of our regulations and have gained knowledge of Plant Protection and Quarantine through training and frequent travel, they are assessed a higher civil penalty than passengers. Check the crew member’s violation history in TECS. If a second violation occurs, the crew member is given **no** opportunity for a spot settlement. Use **Table 8-1-9** to determine the civil penalty to assess to a crew member.

**TABLE 8-1-9: Determine Civil Penalties to Assess to Crew Members**

<b>If this is a:</b>	<b>Then:</b>
First violation <sup>1</sup>	1. ASSESS a \$500 spot settlement 2. FORWARD a standardized violation letter <sup>2</sup> to the crew member’s employer
Repeat violation <sup>1</sup>	1. DOCUMENT the violation 2. RECOMMEND that the crew member be assessed \$2,000 for the repeat violation 3. FORWARD the case file to IES for review and evaluation

- 1 The number of violations referenced in this column should be considered **only** within the past 5 years of the current violation.
- 2 This letter to the employer provides the opportunity to educate employees and, if necessary, provide additional training.

**Assessing Civil Penalties to Passengers**

Passengers are exempt from civil penalties if **either** of the following apply:

- ◆ Violator is under 18 years old and **not** accompanied by an adult
- ◆ Violator is a foreign diplomat<sup>3</sup> holding an A-1 or A-2 visa or a G-1 or G-2 visa then waive the civil penalty, but still complete CBP Form AI-591

If the foreign diplomat refuses to surrender the contraband, complete a CBP Form AI-591 (see **Table A-1-11** on **page-A-1-58** for instructions on completing the form). Release the diplomat; however, you may have to detain the baggage.



If you cannot communicate with passengers, then you cannot question them. Therefore, you would be unable to issue a civil penalty. If you encounter a passenger who cannot communicate in English, then get another officer or someone from another Agency or airlines, or Port Authority to assist with translating.

3 U.S. diplomats are subject to civil penalties.

**Determining Whether a Civil Penalty is Appropriate and Determining the Amount of the Civil Penalty**

**TABLE 8-1-10: Determine Whether a Civil Penalty is Appropriate and the Amount of Civil Penalty to Assess**

<b>If the individual failed to declare and there is:</b>	<b>And the importation represents a:</b>	<b>And it is a<sup>1</sup>:</b>	<b>Then assess Civil Penalty:</b>
Some evidence of concealment or misrepresentation	<b>Commercial</b> activity <sup>2</sup> as evidenced by the size of the shipment or an intent to distribute or sell	First violation	ASSESS a \$1,000 spot settlement <sup>3</sup>
		<b>Repeat</b> violation	1. DOCUMENT the violation 2. RECOMMEND that a fine of \$5,000 be assessed for the repeat violation 3. FORWARD the case file to <a href="#">IES</a> for review and evaluation
	<b>Noncommercial</b> activity	First violation: Trusted Traveler Program	ASSESS a \$500 spot settlement <sup>3</sup>
		First violation: <b>other than</b> Trusted Traveler Program	ASSESS a \$300 spot settlement <sup>3</sup>
		Second violation	ASSESS a \$500 spot settlement <sup>3</sup>
		Third violation or beyond	1. DOCUMENT the violation 2. RECOMMEND that a fine of \$1,000 be assessed for the repeat violation 3. FORWARD the case file to <a href="#">IES</a> for review and evaluation
No evidence of concealment or misrepresentation	<b>Commercial</b> activity <sup>2</sup> as evidenced by the size of the shipment or an intent to distribute or sell	First violation	ASSESS a \$300 spot settlement <sup>3</sup>
		<b>Repeat</b> violation	1. DOCUMENT the violation 2. RECOMMEND that a fine of \$1,000 be assessed for the repeat violation 3. FORWARD the case file to <a href="#">IES</a> for review and evaluation
	<b>Noncommercial</b> activity	First violation: Trusted Traveler Program	ASSESS a \$500 spot settlement <sup>3</sup>
		First violation: <b>other than</b> Trusted Traveler Program	ASSESS a \$300 spot settlement <sup>3, 4</sup>
		Second violation	ASSESS a \$500 spot settlement <sup>3</sup>
		Third violation or beyond	1. DOCUMENT the violation 2. RECOMMEND that a fine of \$1,000 be assessed for the repeat violation 3. FORWARD the case file to <a href="#">IES</a> for review and evaluation

- 1 The number of violations referenced in this column should be considered **only** within the past 5 years of the current violation.
- 2 If there is a case where you can **clearly** identify a linkage to a commercial enterprise, then contact SITC or [IES](#) for action.
- 3 If the violator refuses to pay the spot settlement, then immediately complete CBP Form AI-591 and forward all documents to your supervisor who will then forward the case to IES. Go to [Refusal to Pay the Civil Penalty](#) on [page 8-1-25](#).
- 4 You may mitigate to \$175; for land border pedestrians only, you may mitigate to \$75. Mitigate **only** in cases where the individual demonstrates inability to pay or where paying the full amount would cause undue hardship.

## Violations

### Passenger and Crew Violations

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If there is a case of potential **bioterrorism**, refer immediately to your supervisor.

### Initiating Seizure Case into SEACATS

Once a determination is made that a civil penalty is appropriate and the amount has been determined, initiate a case into SEACATS using short form option A. The system generates a Fines, Penalties, and Forfeitures (FP&F) case number.

If the violator refuses to pay the civil penalty, the SEACATS incident type for seizure **only** is "SZ".

If the violator pays the civil penalty, the SEACATS incident type for seizure and penalty is "SP".

Record the FP&F case number in the remarks section of CBP Form AI-591.

### Encouraging Violators to Pay

If violators pay civil penalties before leaving the port, administrative costs are lower. This is an advantage because the Department spends no additional time or effort in collection. Therefore, you may give the violator the opportunity to pay the civil penalty on the spot (spot settlement). However, **never** coerce the violator into paying. Explain to the violator that he or she has a right to a hearing. Further explain that, should the violator be found in violation at the hearing, the penalty is often more than what you are offering as a settlement at the port. Follow these steps:

1. Show the violator the back of the Customs Declaration that they signed.
2. Have the violator carefully read Section II of the form.
3. Inform the violator that failure to pay the spot settlement will result in the violation being forwarded to [IES](#) Headquarters.
4. Inform the violator that the spot settlement now being assessed has no bearing on the amount assessed in the future. The future penalty could be as high as \$1,000 for a first-time violator and significantly higher for a repeat offender.
5. If the violator agrees to pay, have the violator sign the CBP Form AI-591.



6. If the violator **does not** have U.S. currency on hand but wants to pay the settlement at the port, then offer the following alternative methods of payment:
  - ❖ Ask if the passenger could get the money from someone waiting outside for them
  - ❖ If the passenger has **only** foreign currency, then allow him or her to exchange the currency for U.S. dollars
  - ❖ Pay immediately with a money order, traveler's check, or a check drawn on a U. S. bank, made payable to Treasury of the United States
  - ❖ Pay immediately with a credit card; inform the violator that CBP may accept major credit cards for payment of the fine
7. If the violator **does not** have U.S. currency on hand to pay the settlement at the port, but has indicated their willingness to pay after leaving the port, give these instructions:
  - ❖ Encourage the violator to sign the CBP Form AI-591, but the signature is **not** mandatory
  - ❖ Tell the violator to submit payment with a money order or certified cashiers check drawn on a U. S. bank and made payable to Treasury of the United States
  - ❖ Give the violator the prepared instructions (see ***Appendix N, APHIS Prepared Letters of Instruction for Mail-in Payment of Civil Penalty*** on **page N-1-1**)
  - ❖ Give the violator a self-addressed envelope so that payment may be mailed to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737; phone 301/851-2948



Forward the case to [IES](#) for non-collection within 24 hours of violation.

### **Collecting the Spot Settlement**

Once the violator agrees to pay the civil penalty and has signed the CBP Form AI-591, do as follows:

1. Tell the violator that the penalty **must** be paid to the CBP cashier. In most instances, CBP will accept money orders, traveler's checks, U.S. currency, or checks drawn on U.S. banks. At some locations CBP will accept credit cards.
2. Direct the violator to the CBP cashier. Your port may require you to accompany the violator to the cashier and wait until the penalty is paid.

## Violations

### Passenger and Crew Violations

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3. The CBP cashier will complete Section III of the CBP Form AI-591. The money collected will be deposited in the Treasury of the United States.
4. Provide the passenger with a copy of the Form AI-591 and cashier's receipt (from the cash register).



Ports that do **not** have cash registers **must** collect penalty payments using CBP Form 368 (Collection Receipt or Informal Entry). Write the SEACATS case number on the 368 form in the remarks section. Enter acct. class code 050. In this case, provide a copy of CBP Form 368 and AI-591 to the passenger.

5. Record the incident type as "SP" in SEACATS.



Funds received from civil penalties assessed for violation of the [Plant Protection Act](#) and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are **not** controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. If you have any questions, contact QPAS at 301-851-2321.

## Mitigating the Spot Settlement

**Only** mitigate the amount of the civil penalty for first time violators who are **not** crew members, where there is no evidence of concealment or misrepresentation, and the importation represents a noncommercial activity. If the passenger claims financial hardship in paying a spot settlement, but wishes to settle the penalty immediately and the circumstances warrant, then you may reduce a \$300 spot settlement to \$175. You may further reduce the \$175 spot settlement to \$75 for land border pedestrians only. Mitigate as a last resort since payment by mail is allowed.

If the violator can pay the mitigated amount, cross out the original amount and write in the mitigated amount. Write the words "mitigated penalty" next to the new amount. **Never** put the mitigated amount on the form until you are sure that the violator is willing and able to pay that amount.



**Never** mitigate the amount of the civil penalty for repeat violators, crew members, mailed in penalties, commercial importations accompanying passengers, or where there was some evidence of concealment or misrepresentation.

### **Inability to Pay the Civil Penalty**

If the violator wants to pay, then note on the signed form in the Remarks section, the violator's willingness to pay. If all previous opportunities to pay are exhausted, then give the passenger the opportunity to remit the spot settlement by mail within 3 business days. Provide directions on how to pay by mail, and provide a self-addressed envelope.

### **Refusal to Pay the Civil Penalty**

When a violator refuses to pay the civil penalty, do as follows:

1. Allow the violator to write a statement.
2. Collect all supporting evidence including a copy of the Customs Declaration.
3. Write the following on the back of the Customs Declaration form:
  - ❖ Amount and kind of material seized
  - ❖ Amount assessed
  - ❖ Serial number of CBP Form AI-591
4. Give the violator Copy 2 of CBP Form AI-591 and dismiss the violator.
5. Write a CBP Agriculture Specialist's statement relating all the facts of the incident on a separate piece of paper. See [Sample of CBP Agriculture Specialist's Statement](#) on **page C-1-5** for directions for writing the Officer's Statement.
6. Record the incident type as "SZ" (seizure only) in SEACATS since the violator refused to pay the penalty.

### **Procedures for Collecting Delinquent Payment for Civil Penalties**

Keep a copy of CBP Form AI-591 for every case sent to IES. Set up a suspense file for the cases sent to IES. **Never** accept a late payment at the port after CBP has sent CBP Form AI-591 to [IES](#) for collection. Explain to the violator how to forward the settlement to IES.

- ◆ Indicate to the violator that a check **must** be drawn on a US bank (a certified cashier's check or money order)
- ◆ Give the violator the prepared instructions (see [Appendix N, APHIS Prepared Letters of Instruction for Mail-in Payment of Civil Penalty](#) on **page N-1-1**)
- ◆ Give the violator a self-addressed envelope so that payment may be mailed in

Emphasize that the envelope containing the check or money order **must** be posted within 3 days. If the port does **not** receive the payment within 5 business days or the passenger is unwilling to pay the violation, forward the unmitigated penalty to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737.

**Procedures for Refunding Overpayment of Civil Penalties**

Upon noticing that an overpayment of civil penalty has been made, immediately contact USDA-APHIS-IES at 301-851-2948.

Collect all documentation, including the original violation form and supporting evidence (statement from officer who originally assessed the civil penalty and statement from violator who overpaid). Record the violator's current address and phone number. Forward the documentation to IES Headquarters, 4700 River Road, Unit 85, Riverdale, MD 20737. If an overpayment was made, IES Headquarters will coordinate refund of the overpaid amount.

**Documents and Evidence**

Give your supervisor any receipts, labels, or other papers that can be used as evidence, including a copy of the Customs Declaration and CBP Form AI-591 with the amount, type of seizure, and the amount being assessed written in the appropriate blocks.

Forward all documents to your supervisor as soon as the case is complete. Supervisors **must** forward the case to IES within 2 weeks of receipt from the officer.

Follow your CBP port policy and procedure on entering violations into the appropriate database.

See **Table A-1-11** on **page-A-1-58** for instructions on completing the form.

---

**Mail Violations**

**Determining Whether to Issue a Civil Penalty**

To determine if you can issue a civil penalty, see **Table 8-1-11** below.

**TABLE 8-1-11: Determine if You May Issue a Civil Penalty**

<b>If the parcel is:</b>	<b>Then:</b>
From U.S. Military Mail	CONTINUE to <b>Applying a Civil Penalty</b> on <b>page 8-1-27</b>
<b>Other than</b> U.S. Military Mail	SKIP to <b>Documenting Action Taken and Submitting Intercepted Pests</b> on <b>page 5-1-10</b> . You do <b>not</b> have the authority to issue a civil penalty

## Issuing a Civil Penalty

**TABLE 8-1-12: Criteria to Issue a Civil Penalty**

If:	Then:
<p><b>All three</b> of the following criteria are met:</p> <ul style="list-style-type: none"> <li>◆ Sender made a false declaration about the parcel's contents</li> <li>◆ You have the legal authority to access the civil penalty for the illicit item</li> <li>◆ Parcel was U.S. Military Mail (APO)</li> </ul>	CONTINUE to the steps that follow
<p>If <b>one or more</b> of the above bulleted criteria are <b>unmet</b></p>	<p>SKIP to <b>Documenting Action Taken and Submitting Intercepted Pests</b> on <b>page 5-1-10</b>. You do <b>not</b> have the authority to issue a civil penalty</p>



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

## Applying a Civil Penalty

Follow the steps below to apply a civil penalty:

- ◆ Photocopy the applicable PPQ Form 287, Mail Interception Notice
- ◆ Complete PPQ Form 518, Notice of Violation
- ◆ Complete an Agriculture Specialist's Statement. If the intercepted material was meat or a meat product, enter the following additional information:
  - ❖ Specify whether the product is canned, vacuum packed, cured, or dried
  - ❖ State why you determined that the product is **not** shelf stable
  - ❖ State whether there is a certificate present
  - ❖ Identify whether the meat is of poultry, ruminant, or swine origin
- ◆ Include the actual label from the package, the green declaration form from the package, and a copy of the addressee's name and return address (if unable to provide originals, send photocopies)
- ◆ Send the complete case file to Investigative and Enforcement Services

For additional information on civil penalties, see **Handling Pet Birds in Baggage** on **page 4-1-10** in the chapter **Clearing Passengers, Crew, and Baggage**.





# Appendix A

## *Completing and Distributing Forms*

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## Introduction

This appendix covers those forms related to airport and maritime operations that you are responsible for completing (wholly or partially), signing, and distributing.

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## Instructions for CBP to Order USDA Forms

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

1. Obtain a Director Field Operations (DFO) Customer Identification Number by providing the following information to the USDA forms point-of-contact via e-mail to:

[Karen.A.Stratchko@aphis.usda.gov](mailto:Karen.A.Stratchko@aphis.usda.gov), and

[Cathy.A.McDuffie@aphis.usda.gov](mailto:Cathy.A.McDuffie@aphis.usda.gov)

- A. Full name of the person responsible for ordering USDA forms in the DFO Office.
  - B. Full mailing address of the DFO office (no P.O. box).
  - C. Telephone number of the point-of-contact in the Field Office.
  - D. Facsimile number of the point-of-contact in the Field Office.
  - E. E-mail address of the point-of-contact in the Field Office.
2. A DFO Customer Identification Number will be assigned to the CBP Field Office; and the designated point-of-contact in the CBP Field Office will be notified of the DFO Customer Identification Number.
  3. Once the DFO Customer Identification Number has been assigned, the CBP Field Office person responsible for ordering USDA forms is strongly encouraged to [order USDA forms via the Internet](#). As a last resort, the CBP Field Office person responsible for ordering USDA forms may FAX the order to the USDA points-of-contact:

Ms. Karen Stratchko, FAX 301/734-5319; phone 301/851-2800

Ms. Cathy McDuffie, FAX 301/734-5319; phone 301/851-2626

Follow up with a phone call to make sure the fax was received.



Ordering USDA forms by FAX could lead to delays.

4. The CBP Field Office person ordering USDA forms must use the same DFO Customer Identification Number for all forms orders. Order only the forms and quantity needed and reorder when necessary. Do not order large quantities of USDA forms. Forms take approximately 5-7 days to arrive after receipt of order. If the forms do not arrive in that time, contact Ms. Stratchko or Ms. McDuffie, for follow up.

## APHIS Form 94, Record of Public Funds Received

RECORD OF PUBLIC FUNDS RECEIVED <small>USDA-APHIS</small>					1. TRANSMITTAL NO.
INSTRUCTIONS: See reverse side. For detailed instruction, refer to the APHIS Budget and Accounting Manual.					2. DATE FORWARDED
3. TO  USDA, APHIS P.O. Box 979043 St. Louis, MO 63197-9000				4. FROM	
5. DATE RECEIVED	6. FOR MRPBS-ASD USE ONLY	7. AMOUNT	8. REMITTER	9. PURPOSE/ACCOUNTING CODE	
		\$			
<b>10. TOTAL AMOUNT SENT</b>					
			<b>RECEIVED</b> <i>(Return copy to sender in Item 4 above)</i>		
11. SENT BY (Signature)			13. AMOUNT	14. RECEIVED BY (Signature)	
			\$		
12. TITLE			15. DATE	16. TITLE	

APHIS FORM 94 (JUN 2006)   
  PART 1 - USDA-APHIS   
  PART 2 - USDA-APHIS (FOR RECEIPT AND RETURN)   
  PART 3 RETAIN UNTIL RECEIPTED COPY RETURNED

**FIGURE A-1-1: Example of APHIS Form 94, Record of Public Funds Received (blank)**

**COLLECTION PROCEDURES**

Cash collections must be converted to a money order or cashier's check before submission to USDA-APHIS, P.O. Box 979043, St. Louis, MO 63197-9000. Do **not** send cash through the mail and do **not** convert cash to a personal check. Cash collected must **not** be used to pay for money orders or cashier's checks. If necessary, use personal funds for the cost of purchasing the money order or cashier's check and claim reimbursement on an SF-1164, Claim for Reimbursement for Expenditures on Official Business. Checks and money orders should be made payable to USDA-APHIS. All collections should be transmitted for deposit within 24 hours if practical, but no later than the second workday from date of collection.

**COMPLETION INSTRUCTIONS**

1. Use this form to document the receipt and transmittal of collections.
2. Complete the original and two copies of the form.
3. Forward the original and one copy of the form along with the collection to: USDA-APHIS, P.O. Box 979043, St. Louis, MO 63197-9000.
4. Retain one copy of the form until a receipted copy is received from APHIS.
5. File the receipted copy.

APHIS FORM 94 (Reverse)

**FIGURE A-1-2: Example of APHIS Form 94, Record of Public Funds Received (reverse)**


## Purpose

Use APHIS Form 94 to document the receipt and transmittal of collections.

## Instructions

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

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

Block	Instructions
1	Enter transmittal number (submitting office enters number to use for tracking APHIS 94)
2	Enter the date you submit the form
3	The address is provided in this block
4	Enter the complete name, address, (street, city, state, zip code, etc.) of the submitting office (the receipted copy will be mailed back to this address)
5	Enter the date you receive the check or money order
6	Leave blank (MRPBS-ASD use <b>only</b> )
7	Enter the amount of the check or money order; use a separate line for each
8	Enter the name of the remitter
9	<p>Enter your 10-digit accounting code, the budget object code, the agreement number, phytosanitary certificates, Animal By-Product certificates, bill number, or reason for the check (jury duty, travel rebate, etc.)</p> <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p><b>Important</b></p> <p>The 10-digit accounting code and the 4-digit budget object code <b>must</b> be listed for <b>each</b> payment.</p> <p>Shorthand Code: 2X00000000MISCFINPUBLICUSDA            Revenue Code: 0100</p> </div> </div>
10	Add the line amounts from <i>Block 7</i> , and then enter the total amount
11	Sign the form as the APHIS 94 submitter
12	Enter your title and telephone number
13-16	Leave blank (MBS use <b>only</b> )

## **Distribution**

- 1.** Complete the original and two copies of the form.
- 2.** Forward the original and one copy of the form along with the collection to the following address:

USDA, APHIS  
P.O. Box 979043  
St. Louis, MO 63197-9000

Or EXPRESS MAIL (FedEx):

US Bank, Attn: Gov't Box 979043  
1005 Convention Plaza  
St. Louis, MO 63101

- 3.** Retain one copy of the form until a receipted copy is received from APHIS.
- 4.** File the receipted copy.

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

### **Authority**

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

### **Federal Regulations**

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

### **Purpose**

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

### **BRS Ports of Entry**

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

### **BRS Contacts**

If you have any compliance-related questions, then contact BRS Compliance by any of the following:

- ◆ Email: [BRSCompliance@aphis.usda.gov](mailto:BRSCompliance@aphis.usda.gov)  
Phone: 301-851-3935  
FAX: 301-734-7487



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

- ◆ Email: [BRSPermits@aphis.usda.gov](mailto:BRSPermits@aphis.usda.gov)  
Phone: 301-851-3935

## Overview and Instructions for Inspectors

### Overview

*Permit* refers to either a BRS Permit (APHIS Form 2000) or a BRS Notification. Both BRS Permits and BRS Notifications are issued through ePermits.

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

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

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

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

### DHS-CBP Inspector Instructions

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

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

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

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

- A. Secure package and mitigate accidental release of the regulated article.
  - B. Contact BRS Compliance Unit immediately.
10. For general questions or concerns, contact the USDA APHIS BRS Permit Unit in Riverdale, MD, @ (301) 851-3935.

## USDA-PPQ Inspector Instructions for Plant Inspection Stations

If any of the following are not met, **DO NOT CLEAR THE SHIPMENT**. Contact BRS' Headquarters @ (301) 851-3935 to determine subsequent action.

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



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

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

### **Instructions for Expediting International & Domestic Air Waybills:**

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

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

Address the International Air Waybill as follows:

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

Address the Domestic Air Waybill as follows:

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

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

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

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

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

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

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

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

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

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

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




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

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

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

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



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Agriculture

Animal and  
Plant Health  
Inspection  
Service

Biotechnology  
Regulatory  
Services

4700 River Road  
Riverdale, MD  
20737

### Biotechnology Regulatory Services (BRS)

#### Shipping Label Guidance for Importation of Genetically Engineered Organism


**IMPORTING GENETICALLY ENGINEERED ORGANISMS:**

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

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

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

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



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

**Expediting International & Domestic Air Waybills:**

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

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

Address the International Air Waybill as follows:

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

Address the Domestic Air Waybill as follows:

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

\*\*\*\*\*

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

\*\*\*\*\*

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

\*\*\*\*\*

**FIGURE A-1-4: Applicant’s Importation Instructions for Mailing/Shipping Regulated GE Organisms (page 2)**

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

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

**FIGURE A-1-5: Applicant's Importation Instructions for Mailing/Shipping Regulated GE Organisms (page 3)**



Example: Import Label (Shipping) for Genetically Engineered Organisms

This Package Contains OMB NO. 0579-0085

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

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

Label #3



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


Expires  
08/07/2003

APHIS FORM 2051 (JUN 2004)

PERMIT NO. 07-199-107n

FIGURE A-1-6: Example of APHIS Form 2051, Blue and White Label for Importation of Genetically Engineered Organisms Under Permit into the United States (Mailed/Shipped Regulated Articles)

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

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

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

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

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

**Expediting International & Domestic Air Waybills:**

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

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

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

Address the International Air Waybill as follows:

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

Address the Domestic Air Waybill as follows:

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

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

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

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

**FIGURE A-1-8: Applicant's Importation Instructions for Mailing/Shipping Non-regulated GE Organisms (page 2)**

**Example: Import Label (Shipping) for Genetically Engineered Organisms**

This Package Contains OMB NO. 0579-0085

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

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

Label #7

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

Expires  
**08/07/2003**


APHIS FORM 2051 (JUN 2004)

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

3

**FIGURE A-1-9: Example of APHIS Form 2051, Blue and White Label for Importation of Genetically Engineered Organisms Not Under Permit into the United States (Mailed/Shipped Non-regulated Articles)**

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

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


**IMPORTING GENETICALLY ENGINEERED ORGANISMS (HAND CARRY):**

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

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

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

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



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

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

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

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

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

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

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

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

\*\*\*\*\*

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

\*\*\*\*\*

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

\*\*\*\*\*

**FIGURE A-1-11: Applicant's Importation Instructions for Hand Carrying Regulated GE Organisms (page 2)**

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

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

**FIGURE A-1-12: Applicant's Importation Instructions for Hand Carrying Regulated GE Organisms (page 3)**

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

This Package Contains OMB NO. 0579-0085

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

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

Label #4

Hand Carry Permit:  
Name of Courier  
Port of Entry

Expires  
**08/07/2003**


APHIS FORM 2051 (JUN 2004)

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

**FIGURE A-1-13: Example of APHIS Form 2051, Blue and White Label for Importation of Genetically Engineered Organisms Under Permit into the United States (Hand Carried Regulated Articles)**



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



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### Biotechnology Regulatory Services (BRS)

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

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

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

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


\*\*\*\*\*

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

\*\*\*\*\*

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

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



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FIGURE A-1-14: Applicant's Importation Instructions for Hand Carrying Non-regulated GE Organisms (page 1)

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

This Package Contains OMB NO. 0579-0085

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

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

Label #4

Hand Carry Permit:  
Name of Courier  
Port of Entry

Expires  
**08/07/2003**

APHIS FORM 2051 (JUN 2004)

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

**FIGURE A-1-15: Example of APHIS Form 2051, Blue and White Label for Importation of Genetically Engineered Organisms Not Under Permit into the United States (Hand Carried Non-Regulated Articles)**

## CBP Form 4613, Order to Destroy

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

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

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

CBP Form 4613 (09/04)

**FIGURE A-1-16: Example of CBP Form 4613, Order to Destroy and Record of Destruction of Forfeited, Abandoned, or Unclaimed Merchandise**

## **Purpose**

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

## **Instructions**

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

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

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

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

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

## **Distribution**

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

## CBP Form AI-89, Billing for Reimbursable Agricultural Inspection

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

CBP Form AI-89 (03/07)

**FIGURE A-1-17: Example of CBP Form AI-89, Billing for Reimbursable Agricultural Inspection**

## **Purpose**

CBP Form AI-89 serves the following purposes:

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

## Instructions

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

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

Completed forms should be sent to the following address:

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

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

CBP Form AI-89 (03 07)

FIGURE A-1-18: Instructions for Filling Out CBP Form AI-89

## **Distribution**

Send completed forms to this address:

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

Phone number for assistance: (317) 614-4520

EMAIL address for assistance: [reimbsvcs@dhs.gov](mailto:reimbsvcs@dhs.gov)



## CBP Form AI-212, Agriculture Inspection Hold

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

CBP Form AI-212 (09/05)

**FIGURE A-1-19: Example of CBP Form AI-212, Agriculture Inspection Hold**

### Purpose

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

### Instructions

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

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

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

### Distribution

Distribute as determined by local practice.

## CBP Form AI-244, Quarantine Warning

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

**W A R N I N G!**

This material is being held in

**Q U A R A N T I N E**

**DO NOT OPEN, DESTROY OR REMOVE**

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

CBP FORM AI-244 (09/05)

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

\_\_\_\_\_

CBP FORM AI-244 (09/05)

FIGURE A-1-20: Example of CBP Form AI-244, Quarantine Warning

## **Purpose**

CBP form AI-244 serves the following purpose:

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

## CBP Form AI-250, Aircraft Clearance or Safeguard Order

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

CBP Form AI-250 (09/05)

**FIGURE A-1-21: Example of CBP Form AI-250, Aircraft Clearance or Safeguard Order**

## Purpose

CBP Form AI-250 is used as a Safeguard Order for foreign flights that are both **not** a regularly scheduled arrival **and** only partially cleared at the first or initial port. Full clearance **must** be accomplished at the next base/port. The aircraft **must** be fully cleared before moving forward to subsequent U.S. ports.



**Never** use a CBP Form AI-250 if the originating base/port has the capability to clear the aircraft. The aircraft **must** be completely cleared at the originating port if the originating port has the capability to properly handle/process agricultural items, including international/regulated garbage.

Flights that are regularly scheduled for partial clearance **do not** require CBP Form AI-250. **DO NOT** use CBP Form AI-250 to clear private aircraft. Private aircraft **must** be completely cleared at the first port of arrival.



For flights from Hawaii, Puerto Rico, the U.S. Virgin Islands, and for military preclearance, PPQ uses **PPQ Form 250, Aircraft Clearance or Safeguard Order** on **page A-1-77**.

## Instructions for Completing CBP Form AI-250

Two sets of instructions follow. See **Table A-1-3** below to determine which instructions to use.

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

If you are using CBP Form AI-250 for:	Then:
Military Use <sup>1</sup>	See <b>Instructions for Using CBP Form AI-250 as a Safeguard Order for Military Use at the Initial U.S. Port of Arrival</b> on <b>page A-1-40</b> .
Commercial Use <sup>2</sup>	See <b>Instructions for Using CBP Form AI-250 as a Safeguard Order for Commercial Use at the Initial U.S. Port of Arrival</b> on <b>page A-1-42</b> .

- 1 Includes U.S. Department of Defense aircraft/U.S. Department of Defense-chartered aircraft proceeding on to a military installation.
- 2 Includes any aircraft, government or non-government, proceeding on to a non-military airport. Do not use CBP Form AI-250 to clear private aircraft.



For commercial airlines **not** in compliance of CBP Form AI-250 instructions, issue **PPQ Form 518, Report of Violation**, citing failure to comply with CBP Form AI-250.

### **Instructions for Using CBP Form AI-250 as a Safeguard Order for Military Use at the Initial U.S. Port of Arrival**

These instructions are for using CBP Form AI-250 as a safeguard order for military use (includes U.S. Department of Defense aircraft/ U.S. Department of Defense-chartered aircraft proceeding on to a military installation). If you partially clear an aircraft and it is **not** a regularly scheduled flight, then you will need to complete CBP Form AI-250.

CBP Agriculture Specialists or military cooperators:

- ◆ Will call, prior to completing the CBP Form AI-250 at the base/ port of origin, the airport listed on the CBP Form AI-250 to coordinate, and verify capabilities of, the task(s) to be completed upon aircraft arrival at the airport listed on the CBP Form AI-250
- ◆ Will **not** release an aircraft to proceed from the destination base/ port until the aircraft is completely cleared; i.e., the aircraft will not be released to a third base/port until it has been completely cleared by actions taken at the originating base/port and/or airport listed on the CBP Form AI-250
- ◆ Will ask the military operations authorities at the base/port of origin to identify and include in the load (departure) message the type of quarantine actions that are to be complete at the airport listed on the CBP Form AI-250
- ◆ Will make emergency telephone calls to the CBP office serving the airport listed on the CBP Form AI-250 rather than calling the military cooperator at those bases not covered by CBP

When using CBP Form AI-250 as a safeguard order for military use (includes U.S. Department of Defense aircraft/U.S. Department of Defense-chartered aircraft proceeding on to a military installation), prepare form in triplicate. See [Table A-1-4](#) on [page A-1-41](#) for instructions on completing the form.

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

<b>Block</b>	<b>To be completed by</b>	<b>Instructions</b>
1	CBP AS or Military Cooperators at the initial U.S. arrival airport	Enter aircraft tail number
2	CBP AS or Military Cooperators at the initial U.S. arrival airport	Enter mission number
3	CBP AS or Military Cooperators at the initial U.S. arrival airport	Enter U.S. Army, U.S. Air Force, U.S. Marine Corps, or U.S. Navy as appropriate
4	CBP AS or Military Cooperators at the initial U.S. arrival airport	Enter last foreign departure location, base, city, and country
5	CBP AS or Military Cooperators at the initial U.S. arrival airport	Enter initial U.S. arrival airport, or military base
6	CBP AS or Military Cooperators at the initial U.S. arrival airport	Enter follow on location destination where aircraft will be cleared
7	CBP AS or Military Cooperators at the initial U.S. arrival airport	Do <b>not</b> use
8	CBP AS or Military Cooperators at the initial U.S. arrival airport	Check
9	CBP AS or Military Cooperators at the initial U.S. arrival airport	Sign
10	CBP AS or Military Cooperators at the initial U.S. arrival airport	Date
11	CBP AS or Military Cooperators at the initial U.S. arrival airport	<ul style="list-style-type: none"> <li>◆ Describe the clearance activities and safeguards that have been completed at the port of arrival</li> <li>◆ List tasks to be completed at the airport/base specified in Block 6 to clear the aircraft</li> </ul>
12	Aircraft commander	Sign
13	Aircraft commander	Enter date
14	CBP AS or Military Cooperators at the initial U.S. arrival airport	Enter name, address and FAX number of office at the originating U.S. arrival airport
15	CBP AS or Military Cooperators at the airport/base specified in Block 6 completing the aircraft clearance	List tasks completed at the airport/base specified in Block 6 to clear the aircraft
16	CBP AS or Military Cooperators at the airport/base specified in Block 6 completing the aircraft clearance	Sign
17	CBP AS or Military Cooperators at the airport/base specified in Block 6 completing the aircraft clearance	Enter date aircraft clearance is completed

## Distribution

When using CBP Form AI-250 as a safeguard order for military use (includes U.S. Department of Defense aircraft/U.S. Department of Defense-chartered aircraft proceeding on to a military installation), distribute as follows:

1. Give the original to the aircraft commander (pilot) and instruct the commander to present the form to the CBP Agriculture Specialist or military cooperator upon arrival at the airport listed on the CBP Form AI-250.
2. Telephone the next base/port and send one copy by FAX to the CBP or military cooperator office serving the airport listed on the CBP Form AI-250. Keep a copy of the fax transmittal confirmation page for port files.
3. Keep a copy for port files.
4. Keep a copy of the returned, completed, CBP Form AI-250 received from the follow-on port listed in block 6 for port files.

### Instructions for Using CBP Form AI-250 as a Safeguard Order for Military Use at the Airport listed on the CBP Form AI-250

These instructions are for the airport listed on the CBP Form AI-250 when completing CBP Form AI-250 as a safeguard order for military use (includes U.S. Department of Defense aircraft/US Department of Defense-chartered aircraft proceeding on to a military installation).

1. For a completely cleared aircraft, check to make sure blocks 15-17 are completed on the CBP Form AI-250 (see [Table A-1-4](#)).
2. Return the completed CBP Form AI-250 to the address in block 14 via mail or fax.

For instruction on completing the form, see [Table A-1-4](#) on [page A-1-41](#).

## Distribution

1. After completing blocks 15-17 return completed CBP Form AI-250 to address in block # 14 via mail or fax.
2. Keep one copy for port files. If the completed CBP AI-250 was returned by fax, also keep a copy of the fax transmittal confirmation page for port files.

### Instructions for Using CBP Form AI-250 as a Safeguard Order for Commercial Use at the Initial U.S. Port of Arrival

These instructions are for using CBP Form AI-250 as a safeguard order for commercial use (includes any aircraft, government or non-government, proceeding on to a non-military airport). If you partially clear an aircraft and it is **not** a regularly scheduled flight, and when using CBP Form AI-250 as a safeguard order for commercial use, follow the instructions in [Table A-1-5](#) on [page A-1-43](#). **DO NOT** use CBP Form AI-250 to clear private aircraft. Private aircraft **must** be completely cleared at the first port of arrival.



CBP Agriculture Specialists:

- ◆ Will call from the first base/port of arrival in the United States, and prior to completing the CBP Form AI-250, the airport that is proposed to be listed on the CBP Form AI-250, to coordinate, and verify capabilities of, the task(s) to be completed upon aircraft arrival. Should the airport that is proposed to be listed on the CBP Form AI-250 **not** possess the capability to complete the required task(s), the CBP Form 250 will **not** be issued and the aircraft will **not** be permitted to proceed to that airport.
- ◆ Will **not** release an aircraft to proceed after arriving at the airport listed on the CBP Form AI-250 until the aircraft is completely cleared by actions taken by or supervised by CBP at the airport listed on the CBP Form AI-250.
- ◆ Will ask the authorities at the base/port of origin to identify and include in the load (departure) message the type of quarantine actions that are to be completed at the airport listed on the CBP Form AI-250.

**TABLE A-1-5: Instructions for Completing CBP Form AI-250 When Using as a Safeguard Order for Commercial Use**

Block	To be completed by	Instructions
1	CBP AS at the initial U.S. arrival airport	Enter aircraft tail number
2	CBP AS at the initial U.S. arrival airport	Enter mission number
3	CBP AS at the initial U.S. arrival airport	Enter U.S. Army, U.S. Air Force, U.S. Marine Corps or U.S. Navy as appropriate
4	CBP AS at the initial U.S. arrival airport	Enter last foreign departure location, base, city and country
5	CBP AS at the initial U.S. arrival airport	Enter initial U.S. arrival airport, or military base
6	CBP AS at the initial U.S. arrival airport	Enter follow on location destination where aircraft will be cleared
7	CBP AS at the initial U.S. arrival airport	Do not use
8	CBP AS at the initial U.S. arrival airport	Check
9	CBP AS at the initial U.S. arrival airport	Sign
10	CBP AS at the initial U.S. arrival airport	Date
11	CBP AS at the initial U.S. arrival airport	<ul style="list-style-type: none"> <li>◆ Describe the clearance activities and safeguards that have been completed at the port of arrival</li> <li>◆ List tasks to be completed at the airport/base specified in Block 6 to clear the aircraft</li> </ul>

**TABLE A-1-5: (continued) Instructions for Completing CBP Form AI-250 When Using as a Safeguard Order for Commercial Use**

<b>Block</b>	<b>To be completed by</b>	<b>Instructions</b>
12	Aircraft commander	Sign
13	Aircraft commander	Enter date
14	CBP AS at the initial U.S. arrival airport	Enter name, address and FAX number of office at the originating U.S. arrival airport
15	CBP AS at the airport/base specified in Block 6 completing the aircraft clearance	List tasks completed at the airport/base specified in Block 6 to clear the aircraft
16	CBP AS at the airport/base specified in Block 6 completing the aircraft clearance	Sign
17	CBP AS at the airport/base specified in Block 6 completing the aircraft clearance	Enter date aircraft clearance is completed

**Distribution**

When used as a safeguard order for commercial use on flights **not** regularly scheduled, distribute CBP Form AI-250 as follows:

1. Give the original to aircraft commander (pilot) and instruct the commander to present the form to the CBP Agriculture Specialist on arrival at the airport listed on the CBP Form AI-250.
2. Telephone the next port and send one copy by FAX to the CBP office serving the airport listed on the CBP Form AI-250. Keep a copy of the fax transmittal confirmation page for port files.
3. Keep a copy for port files.
4. Keep a copy of the returned, completed, CBP Form AI-250 received from the follow-on port listed in block 6 for port files.

**Instructions for Using CBP Form AI-250 as a Safeguard Order for Commercial Use at the Destination Base/port**

These instructions are for the destination airport when completing CBP Form AI-250 used as a safeguard order for commercial use.

1. For a completely cleared aircraft, check to make sure blocks 15-17 are completed.
2. Return the completed CBP Form AI-250 to the address in block 14 via mail or fax.

For instruction on completing the form, see [Table A-1-4](#) on [page A-1-41](#).

**Distribution**

1. After completing blocks 15-17 return completed CBP Form AI-250 to the address in block 14 via mail or fax.
2. Keep one copy for port files. If the completed CBP AI-250 was returned by fax, also keep a copy of the fax transmittal confirmation page for port files.

## CBP Form AI-277, Agriculture Inspection Baggage Information

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

**AGRICULTURE INSPECTION BAGGAGE INFORMATION**

Location: \_\_\_\_\_ Date: \_\_\_\_\_

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

CBP Form AI-277 (03/06)

FIGURE A-1-22: Example of CBP Form AI-277, Agriculture Inspection Baggage Information

### Purpose

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

### Instructions

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

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

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

### Distribution

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

### Retention

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

## CBP Form AI-280, Report of Regulated Importations

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

CBP Form AI 280 (09/05)

FIGURE A-1-23: Example of CBP Form AI-280, Report of Regulated Importations

### Purpose

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

### Instructions

For instructions on completing CBP Form AI-280, refer to **PPQ280** on **page A-1-80**. Also see [Agricultural Quarantine Activity Systems](#).

## CBP Form AI-288, Ship Inspection Report

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

**SHIP INSPECTION REPORT**

1. PORT REPORTING		2. FLAG/NAME OF VESSEL		3. DOCK	
4. FROM ( <i>Port and Country</i> )			5. VIA		
6. ARRIVAL DATE		7. ARRIVAL TIME ETA                      ACTUAL		8. INSPECTION DATE	
				9. INSPECTION TIME FROM                      TO	
10. NUMBER PASSENGERS AND CREW CLEARED		11. NUMBER PIECES OF BAGGAGE		12. PROPOSED DEPARTURE DATE	
<b>PROHIBITED AND/OR RESTRICTED AGRICULTURAL MATERIALS</b>					
13. COMMODITY		14. LOCATION		15. COUNTRY OF ORIGIN	
				16. SAFEGUARD AND/OR DISPOSITION PRESCRIBED	

**SAFEGUARD NOTICE:** While this vessel is in the territorial limits of the United States, no crew member or other person shall remove any of the following items except by specific permission of an Agricultural Officer: (1) fruits, vegetables, meats, or other animal products; (2) live plants; (3) live birds; (4) hay, straw, rice hulls, hold sweepings or dunnage; (5) garbage from food materials including rootcrop bags, meat wrappers, or other food containers. **GARBAGE MUST BE KEPT IN COVERED, LEAKPROOF CONTAINERS INSIDE THE VESSEL'S RAILINGS AT ALL TIMES.**

If any agricultural items are sealed, the seals are not to be broken or removed while this vessel is within territorial limits of the United States except under direct of a Customs and Border Protection – Agriculture Inspection Officer.

**WARNING NOTICE:** Violations of the above requirements can result in criminal fines in accordance with Title 18, United States Code and imprisonment for up to one year, or both, or civil penalties of up to \$250,000 per violation.

17. <i>I fully understand the safeguards prescribed above.</i>		
SIGNATURE OF RESPONSIBLE SHIP'S OFFICER		DATE

18. CONDITION OF GARBAGE CONTAINERS WHEN INSPECTED			DEFICIENT CONDITION CORRECTED <input type="checkbox"/> YES <input type="checkbox"/> NO	19. SHIP AREAS <b>NOT</b> INSPECTED <input type="checkbox"/> QUARTERS <input type="checkbox"/> DRY STORES <input type="checkbox"/> PANTRY	HOLDS INSPECTED ( <i>identify</i> )	20. LIVE ANIMALS/BIRDS ABOARD <input type="checkbox"/> YES <input type="checkbox"/> NO TYPE: _____ NUMBER: _____
COVERED <input type="checkbox"/> YES <input type="checkbox"/> NO	INSIDE RAILING <input type="checkbox"/> YES <input type="checkbox"/> NO	LEAKPROOF <input type="checkbox"/> YES <input type="checkbox"/> NO				

**APHIS MARPOL ANNEX V COMPLIANCE CHECKLIST**

THE FOLLOWING OBSERVATIONS WERE MADE BY CBP-AI PERSONNEL AFTER INSPECTING VESSEL'S WASTE HANDLING PROCEDURES AND EQUIPMENT:	
21. <input type="checkbox"/> YES <input type="checkbox"/> NO	THERE IS A FUNCTIONAL INCINERATOR OR OTHER DISPOSAL METHOD ABOARD.
22. <input type="checkbox"/> YES <input type="checkbox"/> NO	THE RESPONSIBLE VESSEL REPRESENTATIVE WAS REQUESTED TO SHOW, AND DID PRODUCE A GARBAGE PICKUP RECEIPT OR OTHER EVIDENCE OF LAWFUL DISPOSAL OF PLASTICS ASHORE.
TITLE OF REPRESENTATIVE _____	

**ALERT:** REPORT THE PRESENCE OF HONEY BEES (*swarms or individual bees*) TO THE NEAREST AGRICULTURAL OFFICER. TELEPHONE \_\_\_\_\_

23. REMARKS		
24. SUBSEQUENT PORTS OF CALL ( <i>Notified</i> )	25. NUMBER PASSENGERS	26. CBP OFFICER'S SIGNATURE

CBP FORM AI-288 (09/05)

**FIGURE A-1-24: Example of CBP Form AI-288, Ship Inspection Report**

## Purpose

CBP Form AI-288 serves the following purposes:

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


## Instructions

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

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

Block	Instructions
1	List the name of the city and State of your port
2	List the flag (country of registry) and name of vessel (two-letter code/name of vessel)
3	List the dock
4	List the country of origin
5	Fill in
6	List the date of arrival
7	List the estimated time of arrival (ETA) and the actual time of arrival
8	List the date of inspection
9	List the beginning and ending time of ship boarding
10-11	List the number of people disembarking at your port and the number of pieces of baggage; if none, enter 0
12	List the proposed date of departure (important for planning any future reboardings and/or to give the next port advanced notice)
13	<ul style="list-style-type: none"> <li>◆ List the names and quantities (in kilos) of commodities (meats, animal products, fruits, and vegetables) that are restricted or prohibited</li> <li>◆ <b>DO NOT</b> list fruits and vegetables that are listed in the <i>Fresh Fruits and Vegetables Import Manual</i> as enterable unless treatment is a condition of entry or inspection discloses a pest risk requiring a specific safeguard or disposition</li> </ul>

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

Block	Instructions
14	<ul style="list-style-type: none"> <li>◆ List location by using the following letters: B for baggage, Q for quarters, S for stores, and F for ship's furnishings</li> <li>◆ Write the number of interceptions after the letter for material intercepted and destroyed, such as "B-3" for three interceptions in baggage</li> </ul>
15	List the country of origin for each commodity
16	<p>Fill in a statement to be used for safeguard and/or disposition prescribed, as follows:</p> <ul style="list-style-type: none"> <li>◆ Enter "To remain under seal while in territorial waters of the United States." for items such as fruit fly hosts and meat or meat products which require sealing, or for a garbage violation</li> <li>◆ Enter other appropriate statements, such as:               <ul style="list-style-type: none"> <li>❖ May be used while in port</li> <li>❖ To remain under seal pending treatment</li> <li>❖ Destroyed</li> <li>❖ See <i>Remarks</i></li> </ul> </li> </ul>
17	Have the Captain or highest officer aboard the vessel read the Safeguard Notice, sign, list title, and enter the date signed
18	Check yes or no to indicate whether garbage containers are covered, inside railing, and leakproof
19	<ul style="list-style-type: none"> <li>◆ Check any ship areas that were <b>not</b> inspected</li> <li>◆ If holds were inspected, then list</li> </ul>
20	<ul style="list-style-type: none"> <li>◆ Check as appropriate</li> <li>◆ If any live animals or birds are aboard, then list the type and number of regulated animals only; <b>do not</b> list cats or dogs</li> </ul>
21	If there is a functional incinerator or other disposal method aboard, check YES; if not, check NO
22	<p>Check YES or NO as appropriate and list the title of the ship's representative</p> <div style="display: flex; align-items: center; margin-top: 20px;">  <div style="background-color: #e0f2f1; padding: 5px; border: 1px solid #ccc;"> <p><b>The following checks in <i>Block 21</i> and <i>Block 22</i> constitute a violation of MARPOL Annex V:</b></p> <p><b>21) No</b></p> <p><b>22) No</b></p> </div> </div> <p style="text-align: center; margin-top: 5px;"><b>Important</b></p>



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

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

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

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

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

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

### Distribution

Distribute CBP Form AI-288 as follows:

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



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

**CBP Form AI-523A, Chain of Custody**

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection		<b>CHAIN OF CUSTODY                  EMERGENCY ACTION NOTIFICATION</b>		Serial Number: <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
1. Port Location:		2. Date Issued:		
3. Name and Quantity of Article(s):		4. Location of Article(s):		
		5. Destination of Article(s):		
6. Shipper:		7. Name of Carrier:		
		8. Shipment ID Number(s):		
9. Owner/Consignee of Article(s) Name:		10. Port of Lading:	11. Date of Arrival:	
Address:		12. ID of Pest(s), Noxious Weeds, or Article(s)		
		12a. Pest ID Number:	12b. Date Intercepted:	
		13. Country of Origin:	14. Grower Number:	
Phone Number:	FAX Number:	15. Foreign Phytosanitary Certificate Number:		
15a. Place Issued:	15b. Date:	15c. Situation Room Report Number:		
Under Section 411, 412 and 414 of the Plant Protection Act (7 USC 7711, 7712 and 7714) and Sections 10404 through 10407 of the Animal Health Protection Act (7 USC 8303 through 8306), you are hereby notified, as owner or agent of the owner of said carrier, premises, and/or articles, to apply remedial measures for the pest(s), noxious weeds, and/or article(s) specified in item 12, in a manner satisfactory to and under the supervision of an CBP Agriculture Specialist. Remedial measures shall be in accordance within the action specified in item 16 and shall be completed within the time specified in item 17*.				
After receipt of this notification, articles and/or carriers herein designated must be moved except as directed by an Agriculture Officer. The local officer may be contacted at:				
16. Action Required: <input type="checkbox"/> Treatment <input type="checkbox"/> Destruction <input type="checkbox"/> Re-Exportation <input type="checkbox"/> Other		*Should the owner or owner's agent fail to comply with this order within the time specified below, DHS is authorized to recover from the owner or agent cost of any care, handling, application of remedial measures, disposal, or other action incurred in connection with the remedial action, destruction, or removal.		
17. After receipt of this notification complete specified action within (specify number of hours or number of days): Hours:                      Days:				
Agriculture Specialist Name:		Agriculture Specialist Signature:		
<b>ACKNOWLEDGEMENT OF RECEIPT OF EMERGENCY ACTION NOTIFICATION</b>				
<i>I hereby acknowledge receipt of the foregoing notification.</i>				
Name:	Title (Shipper/Broker/Consignee)	Signature:	Date/Time:	
Name:	USDA	Signature:	Date/Time:	

CBP Form AI-523A (04/06)

**FIGURE A-1-25: Example of CBP Form AI-523A, Chain of Custody**

## Purpose

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

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

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

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

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

## Instructions

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

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

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

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

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

1 This will not be used for transfer to PIS.

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

## CBP Form AI-591, Notice of Alleged Violation

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection <b>NOTICE OF ALLEGED VIOLATION</b>					SERIAL NUMBER <div style="border: 1px solid black; height: 30px; width: 100%;"></div>
TYPE OF VIOLATOR: <input type="checkbox"/> PASSENGER <input type="checkbox"/> CREW <input type="checkbox"/> DECAL <input type="checkbox"/> SERVICE PERSONNEL					
<b>SECTION I – FOR USE BY DEPARTMENT OF HOMELAND SECURITY – U.S. CUSTOMS AND BORDER PROTECTION</b>					
1. PORT LOCATION	2. DATE ISSUED	3. TIME ISSUED	4. CARRIER ( <i>Name and ID</i> )	5. ARRIVING/DEPARTING FROM	
6. REGULATION VIOLATED			7. IDENTIFICATION NUMBER		
8. NAME OF ALLEGED VIOLATOR <i>(Last name first)</i>			<input type="checkbox"/> SOCIAL SECURITY NUMBER _____ <input type="checkbox"/> DATE OF BIRTH _____ <input type="checkbox"/> PASSPORT NO./COUNTRY _____ <input type="checkbox"/> OTHER _____ <i>(Obtain copies of identifying documents)</i>		
			REPEAT VIOLATOR <input type="checkbox"/>		
9. ADDRESSES ( <i>include zip for U.S. addresses</i> ) AND TELEPHONE NO.(S)			10. MATERIAL SEIZED		
PERMANENT		WHILE IN THE U.S.	a. QUANTITY AND NAME OF ARTICLES	b. COUNTRY OF ORIGIN	
11. TYPE OF DECLARATION GIVEN DURING INITIAL INSPECTION		11a. GIVEN OPPORTUNITY TO AMEND			
<input type="checkbox"/> WRITTEN <input type="checkbox"/> ORAL		<input type="checkbox"/> YES <input type="checkbox"/> NO			
FP&F CASE NUMBER					
12. EVIDENCE JUSTIFYING SEIZURE OF MATERIAL ( <i>i.e., labels on material, passenger remarks</i> ). IF CASE IS FORWARDED, OFFICER'S STATEMENT MUST BE ATTACHED.					
13. SIGNATURE OF OFFICER			14. BADGE NO.	15. DATE	
<b>SECTION II – (Please read Section I and Section II)</b>					
<p>The Plant Protection Act (7 U.S.C. 7734) and Animal Health Protection Act (7 USC 8313) authorize the imposition of civil penalties up to: 1) \$1,000 for an initial violation by any individual moving regulated articles not for monetary gain; 2) \$50,000 per violation for any other individual; and 3) \$250,000 per violation for any other entity. However, the civil penalty may not exceed \$500,000 for all violations adjudicated in a single proceeding unless the violations are willful. The Acts authorize civil penalties up to \$1,000,000 for all violations adjudicated in a single proceeding if the violations are willful.</p> <p>You may waive your right to a hearing on record and agree to pay a specified civil penalty in settlement of this matter by signing this agreement. If you agree to pay a specified civil penalty and do not submit payment within the designated time, the matter will be referred for collection. You may refuse to pay and request a hearing on the record; a complaint will be issued enumerating the violation(s). The civil penalty offered at this time shall not be relevant in any respect to the civil penalty which may be assessed after a hearing.</p> <p><input type="checkbox"/> I acknowledge that I have a right to a hearing on the record. I waive my right to such hearing and agree to pay the sum of \$ _____ within the designated time in full settlement of this matter.</p> <p style="text-align: center;">--OR--</p> <p><input type="checkbox"/> I acknowledge that I have a right to a hearing on the record, and I do not wish to waive my right.</p>					
SIGNATURE <b>X</b>			DATE		
<b>SECTION III – FOR USE BY U.S. CUSTOMS AND BORDER PROTECTION</b>					
AMOUNT RECEIVED	SIGNATURE OF CASHIER			DATE	
\$					

CBP Form AI-591 (04/09)

**FIGURE A-1-26: Example of CBP Form AI-591, Notice of Alleged Violation**

## Purpose

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

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

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



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



Funds received from civil penalties assessed for violation of the Plant Protection Act and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are not controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. Accept only a postal money order, a company check, or a certified check drawn on a U.S. bank and made payable to "Treasury of the United States." If you have any questions, contact QPAS at 301-851-2321.

## Instructions

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

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

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



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

Block	Instructions								
12	<p>Use this block to explain briefly the information that is <b>not</b> contained in other sections of the form when one of the following applies:</p> <ul style="list-style-type: none"> <li>◆ If the item was concealed or misrepresented, explain how</li> <li>◆ If an interpreter was used to obtain the declaration or to interview, list the name and title of the interpreter</li> <li>◆ If the declaration was checked “yes” in response to the agricultural question and a civil penalty is being imposed, explain why</li> <li>◆ If permits accompany shipment, describe permits</li> <li>◆ If CBP obtained the declaration and the amendment and found agricultural items for which you are about to issue a civil penalty, list the name or badge number of the CBP inspector and items found</li> </ul>								
13, 14, 15	Fill in								
Section II	<ul style="list-style-type: none"> <li>◆ Fill in the amount of the civil penalty before you give the form to the passenger</li> <li>◆ See <b><i>Determining Whether a Civil Penalty is Appropriate and Determining the Amount of the Civil Penalty</i></b> on <b>page 8-1-21</b> to determine the amount of the civil penalty</li> <li>◆ See <b><i>Mitigating the Spot Settlement</i></b> on <b>page 8-1-24</b> for mitigation procedures</li> <li>◆ If the civil penalty is for not complying with a commuter lane decal and is the first violation, then assess \$500. Request suspension of lane decal for one year. However, if this is a second violation or beyond, then leave Section II blank and FORWARD the complete case file to IES</li> </ul> <table border="1" style="width: 100%; margin-top: 10px;"> <thead> <tr> <th style="width: 50%;">If the violator:</th> <th style="width: 50%;">Then:</th> </tr> </thead> <tbody> <tr> <td>Immediately pays the civil penalty at the port</td> <td>HAVE the violator check the first box, then sign and date Section II</td> </tr> <tr> <td>Agrees to mail the payment within three days to IES Headquarters</td> <td> <ul style="list-style-type: none"> <li>◆ HAVE the violator check the first box, then sign and date Section II</li> <li>◆ Advise the violator to mail the payment to IES Headquarters</li> <li>◆ Fill out and give the violator one of the <b><i>APHIS Prepared Letters of Instruction for Mail-in Payment of Civil Penalty</i></b> on <b>page N-1-1</b></li> </ul> </td> </tr> <tr> <td><b>Refuses</b> to pay the civil penalty</td> <td> <ul style="list-style-type: none"> <li>◆ HAVE the violator check the second box, then sign and date Section II</li> <li>◆ See <b><i>Refusal to Pay the Civil Penalty</i></b> on <b>page 8-1-25</b></li> </ul> </td> </tr> </tbody> </table>	If the violator:	Then:	Immediately pays the civil penalty at the port	HAVE the violator check the first box, then sign and date Section II	Agrees to mail the payment within three days to IES Headquarters	<ul style="list-style-type: none"> <li>◆ HAVE the violator check the first box, then sign and date Section II</li> <li>◆ Advise the violator to mail the payment to IES Headquarters</li> <li>◆ Fill out and give the violator one of the <b><i>APHIS Prepared Letters of Instruction for Mail-in Payment of Civil Penalty</i></b> on <b>page N-1-1</b></li> </ul>	<b>Refuses</b> to pay the civil penalty	<ul style="list-style-type: none"> <li>◆ HAVE the violator check the second box, then sign and date Section II</li> <li>◆ See <b><i>Refusal to Pay the Civil Penalty</i></b> on <b>page 8-1-25</b></li> </ul>
If the violator:	Then:								
Immediately pays the civil penalty at the port	HAVE the violator check the first box, then sign and date Section II								
Agrees to mail the payment within three days to IES Headquarters	<ul style="list-style-type: none"> <li>◆ HAVE the violator check the first box, then sign and date Section II</li> <li>◆ Advise the violator to mail the payment to IES Headquarters</li> <li>◆ Fill out and give the violator one of the <b><i>APHIS Prepared Letters of Instruction for Mail-in Payment of Civil Penalty</i></b> on <b>page N-1-1</b></li> </ul>								
<b>Refuses</b> to pay the civil penalty	<ul style="list-style-type: none"> <li>◆ HAVE the violator check the second box, then sign and date Section II</li> <li>◆ See <b><i>Refusal to Pay the Civil Penalty</i></b> on <b>page 8-1-25</b></li> </ul>								
Section III	<ol style="list-style-type: none"> <li>1. Tell violator to take CBP Form AI-591 to CBP cashier and pay the civil penalty</li> <li>2. CBP cashier will complete this section (fill in the amount of money received, sign, and date the form)</li> </ol>								

## Distribution

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

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

If the violator:	Then:
Immediately pays the civil penalty at the port	<ul style="list-style-type: none"> <li>◆ KEEP Part 1 for port files</li> <li>◆ GIVE Part 2 to the violator</li> <li>◆ GIVE Part 3 to CBP Cashier</li> </ul>
Agrees to mail the payment within three days to IES Headquarters	<ul style="list-style-type: none"> <li>◆ SEND Part 1 and all other related documents (Officer's and Violator's Statements, copy of Customs Declaration, and any other evidence) to the following address:                 USDA-APHIS-IES                4700 River Road, Unit 85                Riverdale, MD 20737                Phone 301/851-2948</li> <li>◆ GIVE Part 2 to the violator</li> <li>◆ KEEP Part 3 for port files</li> </ul>
Refuses to pay the civil penalty	<ul style="list-style-type: none"> <li>◆ SEND Part 1 and all other related documents (Officer's and Violator's Statements, copy of Customs Declaration, and any other evidence) to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737; phone 301/851-2948</li> <li>◆ GIVE Part 2 to the violator</li> <li>◆ KEEP Part 3 for port files</li> </ul>

## CBP Form AI-592, Notice of Violation

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

CBP Form AI-592 (09/05)

FIGURE A-1-27: Example of CBP Form AI-592, Notice of Violation

## Purpose

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

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

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



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



Funds received from civil penalties assessed for violation of the Plant Protection Act and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are not controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. Accept only a postal money order, a company check, or a certified check drawn on a U.S. bank and made payable to "Treasury of the United States." If you have any questions, contact QPAS at 301-851-2321.

## Instructions

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

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

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

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

Block	Instructions
12	Sign the form
13	Enter your badge number
14	Fill in the date
Section II	<ol style="list-style-type: none"> <li>1. See <b>Inspecting Aircraft</b> on <b>page 3-2-3</b>, <b>Determining if a Vessel Requires Boarding on Arrival</b> on <b>page 3-3-4</b>, and <b>Assessing Civil Penalties</b> on <b>page 8-1-7</b>, to determine if you should assess the spot settlement or if you must forward the form to IES for assessment</li> <li>2. If you should assess a spot settlement, then enter the amount specified in the sections above</li> <li>3. Have the captain, owner, agent, or representative sign Section II and ask the signer to fill in his or her title and the date</li> <li>4. If the violator signs Section II and pays the spot settlement, then continue to Section III of this table</li> <li>5. If the violator refuses to sign Section II, then go to Section IV of this table</li> <li>6. Go to <b>Distribution</b> on <b>page A-1-65</b></li> </ol>
Section III	<p><i>Receiving office/CBP Officer completes at time violator pays civil penalty</i></p> <ol style="list-style-type: none"> <li>1. Accept the funds to settle the civil penalty (accept only a postal money order, a company check, or a certified check drawn on a U.S. bank and made payable to "Treasury of the United States")</li> <li>2. Enter the address of the receiving office, the check amount, and the date</li> <li>3. Sign Section III</li> <li>4. Complete <b>APHIS Form 94, Record of Public Funds Received</b> (see also <b>Instructions</b> on <b>page A-1-8</b> and <b>Distribution</b> on <b>page A-1-9</b>)</li> <li>5. GO TO <b>Distribution</b> on <b>page A-1-65</b></li> </ol>
Section IV	<ol style="list-style-type: none"> <li>1. a. Have the violator who refuses to pay the penalty acknowledge receipt of the form by signing Section IV, and ask the signer to fill in his or her title and date to acknowledge receipt of the form, <b>or</b>            b. Have a repeat violator sign here to acknowledge</li> <li>2. Allow the owner, operator, or representative to write a statement of explanation</li> <li>3. If the violator pays the penalty within 3 work days, then go to Section III of this table</li> <li>4. GO TO <b>Distribution</b> on <b>page A-1-65</b></li> </ol>

## Distribution

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

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

If the violator:	And:	Then:
Signs Section II <sup>1</sup> or Section IV	Pays the penalty within 3 work days	<ul style="list-style-type: none"> <li>◆ ENSURE that the title and date blocks are filled in</li> <li>◆ GIVE Part 1 to the person <b>paying</b> the penalty (at the time of paying)</li> <li>◆ KEEP Part 2 for the port files</li> <li>◆ GIVE Part 3 to the person signing CBP Form AI-592 (at time of signing)</li> </ul>
	<b>Fails</b> to pay the penalty within 3 work days	<ul style="list-style-type: none"> <li>◆ ENSURE that the title and date blocks are filled in</li> <li>◆ FORWARD Part 1 and all supporting documents (such as CBP Form AI-288 and the Violator's and Officer's Statements) to the following address:             USDA-APHIS-IES            4700 River Road, Unit 85            Riverdale, MD 20737            Phone 301/851-2948</li> <li>◆ KEEP Part 2 for the port files</li> <li>◆ GIVE Part 3 to the person signing CBP Form AI-592 (at time of signing)</li> </ul>
Refuses to sign either Section II or Section IV	→	<ul style="list-style-type: none"> <li>◆ FORWARD Part 1 and all supporting documents (such as CBP Form AI-288 and the Violator's and Officer's Statements) to USDA-APHIS-IES, 4700 River Road, Unit 85, Riverdale, MD 20737; phone 301/851-2948</li> <li>◆ KEEP Parts 2 and 3 for the port files</li> </ul>

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



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

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

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

CBP FORM AI-625 (09/05)

**FIGURE A-1-28: Example of CBP Form AI-625, Sealing Report/Authorization to Proceed**



## Purpose

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

## Instructions

To complete this form, follow the instructions in **Table A-1-15** on **page A-1-67**. Print or type the information.

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

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

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

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

**FIGURE A-1-29: Example of CBP Form AI-629, Notification for Perishable Cooked Ruminant or Cooked Swine Meat from Restricted Countries**

## Purpose

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

## Instructions

### Section A

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

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

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

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

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

### Section B

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



It is **mandatory** to use on-line communication as the transmittal medium.  
 Keep a hard copy of this form at the POE for 3 years.

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

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

FIGURE A-1-30: Example of PPQ Form 203, Foreign Site Certificate of Inspection and/or Treatment

## Purpose

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

## Instructions

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

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

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

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

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

Verify that any seals listed on the form are still intact. Also, confirm that the information and conditions described on the form agree with the cargo manifest, invoice, or other CBP entry documents. Contact QPAS at 301/851-2321 if **any** of the following occurs:

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



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

### Instructions for Issuing Officer

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

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

### Distribution

#### Issuing Officer

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

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

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

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

#### Agriculture Specialist

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

PPQ Form 213, Airplane Inspection Record

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

PPQ FORM 213 (AUG 96) Previous edition obsolete.

FIGURE A-1-31: Example of PPQ Form 213, Airplane Inspection Record

## Purpose

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

## Instructions

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

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

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



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

Block	Instructions
Seizures	<p>P—Enter the total number of plant seizures (each kind of fruit or plant material seized counts as a separate plant seizure per inspection)</p> <p><b>Example</b> 5 limes and 3 apples count as 2 plant materials seized (5 limes + 3 apples = 2 plant material seizures)</p> <p>A—Enter the total number of classes of animal seizures (each animal class counts as a separate animal seizure per inspection)</p> <p>WGT—Enter the total weight (in kilos) of the animal products seized</p> <p><b>Example</b> 10 ham (swine) sandwiches @ 2 kilos (swine) and 4 hamburgers (ruminant) count @ 1 kilo count as 2 animal seizures at 3 kilos</p>
QTRS	<ul style="list-style-type: none"> <li>◆ Enter the number of animal and plant seizures made in quarters/cabin (each animal class counts as a separate animal seizure per seat and each kind of fruit or plant material seized counts as a separate seizure per seat)</li> <li>◆ Draw a line to divide the box in two when you have both plant and animal seizures to separate the entries</li> </ul> <p><b>Example</b> 5 limes taken from 2 seats and 1 apple taken from 1 seat count as 3 seizures</p> <hr/> <p>2 ham (swine) sandwiches taken from 2 seats and 1 hamburger (ruminant) taken from 1 seat count as 3 seizures</p> <p>So you would enter 3 animal products and 1 plant material</p>
Stores	<p>P—Enter the total number of kinds of plant material seized in stores/galley</p> <p><b>Example</b> 5 limes and 3 apples count as 2 plant materials seized (5 limes + 3 apples = 2 plant materials)</p> <p>A—Enter the total number of animal products seized in stores</p> <p><b>Example</b> 10 ham sandwiches (swine) and 4 hamburgers (ruminant) count as 2 animal products seized (10 ham sandwiches + 4 hamburgers = 2 animal products)</p> <p>WGT—Enter the total weight (kilos) of the animal products seized</p>
Optional Use and Remarks	Fill in any appropriate remarks (e.g., hitchhiking pests found in baggage hold—treated using T409 and released)
Inspector	PL—Fill in the initials of the officer clearing the aircraft
Totals	Total columns
Remarks	Fill in if needed

## Distribution

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



**Important**

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

## PPQ Form 250, Aircraft Clearance or Safeguard Order

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

FIGURE A-1-32: Example of PPQ Form 250, Aircraft Clearance or Safeguard Order

### Purpose

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



For foreign flights that are partially cleared by CBP, CBP uses [CBP Form AI-250, Aircraft Clearance or Safeguard Order](#) on [page A-1-38](#).

## Instructions

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

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

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

## Distribution

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

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<sup>1</sup> CBP is not responsible for agriculture inspection of carriers moving interstate.

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

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

**FIGURE A-1-33: Example of PPQ Form 252-R, Quarterly Inspection Checklist for Handling of Regulated Garbage—Airport Caterer**

## PPQ280

PPQ280 is now part of the AQAS database. The paper form is obsolete.

### Purpose

PPQ280 is used to track the disposition of plants and plant products into and out of the United States. It is used to identify import problems with specific plant products and track trends that exist with respect to specific plant imports. PPQ280 data are probably used more than any other data collected. Listed below are examples of how PPQ280 data are used and who uses the data.

- ◆ When a quarantine pest is found on an enterable item, the Pest Risk Analysis unit needs to know where and how much of that commodity came in.
- ◆ PPQ280 data support the Border Cargo Release and the National Cargo Release programs. These data are critical for risk analysis.
- ◆ PPQ280 data support the Cargo AQIM program. Target fruits and vegetables are selected using PPQ280 data.
- ◆ PPQ280 data are provided to support the North American Free Trade Agreement (NAFTA) requirements.
- ◆ When a regulation is proposed that affects Quarantine 56, an economic risk analysis is needed. That information comes from the PPQ280 data.
- ◆ State, local authorities, universities, and APHIS contractors doing risk analysis use PPQ280 data.
- ◆ Other country authorities may request import information. This information may come from the PPQ280 reports.
- ◆ Congressional inquiries may require that PPQ report on the import of commodities.
- ◆ Legal entities and the general public file requests through the Freedom of Information Act (FOIA) requesting import information from the PPQ280 database.
- ◆ Program Policy and Development staff uses PPQ280 data to support program initiatives.
- ◆ Since the Harmonized Tariff System (HTS) codes lump commodities, PPQ280 data provide the only source of import data for a selected number of commodities.
- ◆ Other government agencies such as the Foreign Agriculture Service or the Economic Research Service request PPQ280 data.
- ◆ PPQ280 data are provided to the Deputy Administrator as requested.

Refer to **Table A-1-21** to determine which commodities to report and which **not** to report on PPQ280.

**TABLE A-1-21: Reporting Requirements for PPQ280**

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

The PPQ280 does **not** include reports of soil, machinery, dunnage, bagging or other non-plant related products that may be contaminated with soil and/or infested with pests. These reports are taken from other databases such as the EAN (Emergency Action Notification) and PIN 309 databases.

### Instructions

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

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

### Units of Measure

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

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

### Condition of Product

1. Fresh
2. Frozen

### Number of shipments

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

### Remarks

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

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



**F 309#** Enter the Pest ID Record number whenever you find actionable pests.

Use these **Dispositions**: DEAP, FUAP, OTAP, RXAP.

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

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

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

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

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

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

**TABLE A-1-22: Codes for Recording Disposition of Products (continued)**

Code	Definition
OTCC	<b>Other Action Taken</b> on product because of <b>Carrier Contamination</b> . Product transferred and allowed to enter. Carrier refused entry.
OTPD	<b>Other Action Taken</b> on product because of <b>Phyto Discrepancy</b> .
OTPC	<b>Other Action Taken</b> on product because of <b>Product Contamination</b> so that product meets U.S. entry requirements.
PPRP	<b>Plant Pest Permit Regulated Product</b> .
PCIR	<b>Precleared</b> in another country. <b>Inspected</b> and <b>Released</b> to monitor preclearance program.
RXPD	<b>Re-exported</b> due to <b>Phyto Discrepancy</b> .
REAR	<b>Released</b> under the <b>Agricultural Release</b> Program.
RXAP	<b>Re-exported</b> to country of origin because <b>Actionable Pest</b> was found <sup>1</sup> .
RXCC	<b>Re-exported</b> to country of origin because of <b>Carrier Contamination</b> .
RXPC	<b>Re-exported</b> to country of origin because of <b>Product Contamination</b> with non-enterable products such as blood, citrus leaves, manure, etc.
RXPP	<b>Re-Exported</b> to country of origin because <b>Product</b> is <b>Prohibited</b> entry into the U.S.
TEOC	<b>Transits</b> from one U.S. port to another U.S. port then <b>Exported to Other Country</b> .

1 309# is required.

### Canadian Origin Plant Material

The following plant material (PM) is listed as requiring a Canadian Permit or Postentry Permit in addition to a Phytosanitary Certificate (PC). CBP should enter these articles in the PPQ280 report except for articles that are referred on to a Plant Inspection Station. The Plant Inspection Station would record these items in the PPQ280 report.

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

- ◆ *Humulus* spp. – Postentry permit material and must go to the closest Plant Inspection Station.
- ◆ *Pinus* spp. (all pines) when destined to CA, ID, MT, OR & UT and 5 needle pines when destined to WI.
- ◆ *Planera aquatica*, *Ulmus* spp. & *Zelkova* spp.- when destined to CA, NV & OR.
- ◆ *Prunus* spp. (seeds) – when destined to CO, MI, NY, WA & WV
- ◆ *Ribes* spp. – when destined to MA, NY, WV & WI
- ◆ *Rubus* spp. – Postentry permit material unless the appropriate additional declaration is on the PC.
- ◆ *Vitis* spp. – when destined to CA, NY, OH, OR & WA.
- ◆ *Zea mays* (seed).

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

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

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



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

**PPQ Form 287, Mail Interception Notice**

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

FIGURE A-1-34: Example of PPQ Form 287, Mail Interception Notice

## Purpose

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

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

## Instructions

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

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

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

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

Block	Instructions
14	<ul style="list-style-type: none"> <li>◆ Check the block that states the reason why you took regulatory action</li> <li>◆ If the reason is not specifically listed, then check the “Other” block and list the reason</li> </ul>
15	<ul style="list-style-type: none"> <li>◆ Detail what you did and why so that the individuals who sent and receive the package understand what was done and why</li> </ul> <p><b>Example</b> <span style="border: 1px solid black; padding: 2px;">Pork appeared to be home prepared–roasted and put in a jar.</span></p> <ul style="list-style-type: none"> <li>◆ If the package is being returned to the sender, list in this block “The package was returned by surface mail.” The Postal Service will not return packages by air</li> </ul>
16	Sign your name
Reverse side of PPQ 287	<ul style="list-style-type: none"> <li>◆ When some items are removed from a package, it is good policy to list the remaining contents and their condition on the reverse side of this form</li> <li>◆ Note who handled the repackaging and wrapping of the package before the package was returned to the mail is advisable (this information will be useful to answer any complaints of missing items or breakage)</li> </ul>

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

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

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

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



## Distribution

Distribute PPQ Form 287 as follows:

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

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

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

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



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

## PPQ Form 288, Ship Inspection Report

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE  <b>SHIP INSPECTION REPORT</b>			1. PORT REPORTING	2. FLAG/NAME OF VESSEL	3. DOCK
4. FROM (Port and Country)			5. VIA		
6. ARRIVAL DATE		7. ARRIVAL TIME ETA _____ Actual _____		8. INSPECTION DATE	9. INSPECTION TIME From _____ To _____
10. NO. PASSENGERS AND CREW CLEARED			11. NO. PIECES OF BAGGAGE		12. PROPOSED DEPARTURE DATE
<b>PROHIBITED AND/OR RESTRICTED AGRICULTURAL MATERIALS</b>					
13. COMMODITY		14. LOCATION	15. COUNTRY OF ORIGIN	16. SAFEGUARD AND/OR DISPOSITION PRESCRIBED	
<p><b>SAFEGUARD NOTICE:</b> While this vessel is in the territorial limits of the United States, no crew member or other person shall remove any of the following items except by specific permission of an Agricultural Officer: (1) fruits, vegetables, meats, or other animal products; (2) live plants; (3) live birds; (4) hay, straw, rice hulls, hold sweepings or dunnage; (5) garbage from food materials including rootcrop bags, meat wrappers, or other food containers. <b>GARBAGE MUST BE KEPT IN COVERED, LEAKPROOF CONTAINERS INSIDE THE VESSEL'S RAILINGS AT ALL TIMES.</b></p> <p>If any agricultural items are sealed, the seals are not to be broken or removed while this vessel is within territorial limits of the United States except under direction of an Agricultural Officer.</p> <p><b>WARNING NOTICE:</b> Violations of the above requirements can result in criminal fines in accordance with Title 18, United States Code and imprisonment for up to one year, or both, or civil penalties of up to \$250,000 per violation.</p>					
17. I Fully Understand the Safeguards Prescribed Above (Signature of Responsible Ship's Officer)			18. TITLE		19. DATE
20. CONDITION OF GARBAGE CONTAINERS WHEN INSPECTED COVERED      INSIDE RAILING      LEAKPROOF <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO			DEFICIENT CONDITION CORRECTED <input type="checkbox"/> YES <input type="checkbox"/> NO	21. SHIP AREAS NOT INSPECTED <input type="checkbox"/> QUARTERS <input type="checkbox"/> DRY STORES <input type="checkbox"/> PANTRY	HOLDS INSPECTED (Identify) _____ 22. LIVE ANIMALS/BIRDS ABOARD <input type="checkbox"/> YES <input type="checkbox"/> NO Type: _____ Number: _____
<b>APHIS MARPOL ANNEX V COMPLIANCE CHECKLIST</b>					
THE FOLLOWING OBSERVATIONS WERE MADE BY APHIS PERSONNEL AFTER INSPECTING VESSEL'S WASTE HANDLING PROCEDURES AND EQUIPMENT:					
23. <input type="checkbox"/> YES <input type="checkbox"/> NO		There is a functional incinerator or other disposal method aboard.			
24. <input type="checkbox"/> YES <input type="checkbox"/> NO		The responsible vessel representative was requested to show, and did produce, a garbage pickup receipt or other evidence of lawful disposal of plastics ashore.		TITLE OF REPRESENTATIVE	
<b>ALERT: Report the presence of Honey Bees (swarms or individual bees) to the nearest Agricultural Officer, Telephone _____.</b>					
25. REMARKS					
26. SUBSEQUENT PORTS OF CALL (Notified)			NO. PASSENGERS	27. OFFICER'S SIGNATURE	
PPQ FORM 288      Previous editions are obsolete JUL 2001					

FIGURE A-1-35: Example of PPQ Form 288, Ship Inspection Report

## Purpose

PPQ Form 288, for use by PPQ personnel only, serves the following purposes:

- ◆ Port record of the ship inspection of vessels traveling between Puerto Rico or Hawaii and the U.S. mainland
- ◆ Order to the Captain or other responsible ship's officer to take or observe designated safeguards and documented agreement to those safeguards
- ◆ Means of notifying PPQ personnel at subsequent ports of observations made and disposition actions taken during ship boarding
- ◆ Means to document the agreement to safeguard restricted items and garbage, or materials under seal while in U.S. territorial waters during the voyage
- ◆ Evidence for a garbage violation case


## Instructions

To complete this form, follow the instructions in [Table A-1-27](#).

**TABLE A-1-27: Instructions for Completing PPQ Form 288, Ship Inspection Report**

Block	Instructions
1	LIST the name of the city and State of your port
2	LIST the flag (country of registry) and name of vessel (two-letter PINET code/name of vessel)
3	LIST the dock
4	LIST the country of origin
5	Fill in
6	LIST the date of arrival
7	LIST the estimated time of arrival (ETA) and actual time of arrival
8	LIST the date of inspection
9	LIST the beginning and ending time of ship boarding
10	Enter the number of passengers disembarking at your port
11	Enter the number of pieces of baggage
12	LIST the proposed date of departure in (important for planning any future reboardings and/or to give the next port advanced notice)
13	<ul style="list-style-type: none"> <li>◆ List the names and quantities (in kilos) of commodities (fruits and vegetables) that are restricted or prohibited</li> <li>◆ <b>DO NOT</b> list fruits and vegetables which are listed in the <a href="#">Fresh Fruits and Vegetables Import Manual</a> as enterable unless treatment is a condition of entry or inspection discloses a pest risk requiring a specific safeguard or disposition</li> </ul>

**TABLE A-1-27: Instructions for Completing PPQ Form 288, Ship Inspection Report**

Block	Instructions
14	<ul style="list-style-type: none"> <li>◆ List location by using the following letters: B for baggage, Q for quarters, S for stores, and F for ship’s furnishings</li> <li>◆ Write the number of interceptions after the letter for material intercepted and destroyed, such as “B-3” for three interceptions in baggage</li> </ul>
15	List the country of origin for each commodity
16	<p>Fill in a statement to be used for safeguard and/or disposition prescribed, as follows:</p> <ul style="list-style-type: none"> <li>◆ Enter “To remain under seal while in territorial waters of the United States” for items such as fruit fly hosts that require sealing, or for a garbage violation</li> <li>◆ Enter other appropriate statements, such as: <ul style="list-style-type: none"> <li>❖ May be used while in port</li> <li>❖ To remain under seal pending treatment</li> <li>❖ Destroyed</li> <li>❖ See <i>Remarks</i></li> </ul> </li> </ul>
17	Have the Captain or highest officer aboard the vessel read the Safeguard Notice and sign the block
18	Person signing Block 17 lists title
19	Have the person signing enter the date signed
20	Check YES or NO as condition of garbage containers observed
21	<ul style="list-style-type: none"> <li>◆ Check any ship areas that were not inspected</li> <li>◆ If holds were inspected, then list</li> </ul>
22	<ul style="list-style-type: none"> <li>◆ Check as appropriate</li> <li>◆ If any live animals or birds are aboard, then list the type and number of regulated animals <b>only; do not</b> list cats or dogs</li> </ul>
23	If there is a functional incinerator or other disposal method aboard, check YES; if not, check NO
24	<p>CHECK YES or NO as appropriate and list the title of the ships’s representative</p> <div style="display: flex; align-items: center; margin-top: 20px;">  <div style="background-color: #e0f2f1; padding: 10px; border: 1px solid #ccc;"> <p><b>The following checks in <i>Block 23</i> and <i>Block 24</i> constitute a violation of MARPOL Annex V:</b></p> <p><b>23) No</b></p> <p><b>24) No</b></p> </div> </div>

**TABLE A-1-27: Instructions for Completing PPQ Form 288, Ship Inspection Report**

Block	Instructions
25	<p>LIST any additional information or supplemental data as appropriate, such as the following:</p> <ul style="list-style-type: none"> <li>◆ If a crew member informs you that plastics were dumped at sea, then write the crew member's statement and have the crew member sign</li> <li>◆ Reference if fumigation was voluntary i.e., carrier choice as alternate to waiting for pest identity confirmation</li> <li>◆ Reference to cargo that PPQ at next port of call should know about</li> <li>◆ Reference to giving a copy to Master or other officer</li> <li>◆ Warning notice</li> <li>◆ Dry stores fumigated</li> <li>◆ Enter seal number and types of seals applied, serial numbers, and exact locations of seals: e.g., "USDA Tyden seal #4967 on cage locker inside the vegetable reefer"</li> <li>◆ Enter a dollar sign (\$) if you have assessed and collected a spot settlement for a garbage violation, and state the nature of the violation and amount of the penalty</li> <li>◆ If a pet bird is aboard the vessel, write the following statement and get the Captain's signature: "I agree to keep the bird(s) caged or tethered and kept in a ship's cabin while in U.S. territorial waters." <i>[Captain's Signature]</i></li> <li>◆ If the vessel arrived from or transited a country known to have Africanized honeybees, write the following statement: "If live bees are sighted on the ship or a container, then call a PPQ Officer at <i>[Port telephone number]</i>."</li> </ul>
26	List subsequent ports of call notified and number of passengers
27	Officer signs

### Distribution

Distribute PPQ Form 288 as follows:

- ◆ Keep the original for the port file
- ◆ Give one copy to Master or other ship officer
- ◆ Send one copy to the PPQ office at subsequent port when any of the following conditions apply:
  - ❖ Stores are sealed
  - ❖ Pest risk is significant
  - ❖ Vessel has a garbage violation

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

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

**FIGURE A-1-36: Example of PPQ Form 301-R, Remedial Measures Billing (Statement of Services)**

## Purpose

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

## Instructions

**TABLE A-1-28: Instructions for Completing PPQ Form 301-R**

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

## **Distribution**

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

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

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

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

- ◆ Keep a copy for the port file



## PPQ 309, Pest Interception Record

<b>Interception Number</b>	APSCA090612928006		
<b>Port Reference Number</b>			
<b>Pathway</b>	Airport		
<b>Mode of Transportation</b>	Aircraft		
<b>Location</b>	CA San Francisco PIS PPQ	<b>CBP Port Code</b>	
<b>Interception Date</b>	02/27/2009	<b>Priority</b> Urgent	
<b>Forward To</b>	None		
<b>Inspector(s)</b>	Shannon Jarman		
<b>Overtime?</b>	N		
<b>Origin of Host</b>	China	<b>Origin Unsure?</b> N	
<b>Destination (City/State)</b>	Kilgore	Texas	
<b>Destination Zip Code</b>	75662-		
<b>Inspected Host</b>	Citrus sp.		
<b>Host Part</b>	Leaf		
<b>Biological or Pest Host</b>			
<b>Quantity of Host/Unit</b>	15.00	Plant Unit	
<b>Host Proximity</b>	On		
<b>Imported As</b>			
<b>Where Intercepted</b>	Mail		
<b>Material For</b>	Propagation		
<b>National Agriculture Release Program?</b>	No		

Stages	Immature	Pupae	Adults	Eggs	Cysts
Alive			1		
Dead					

**Disease Stage**

**Airline**

**Ship Name**

**Flight #/ Ship #**

**Shipment Identification Number** EE047381562CN

**Shipment Type** Other

**UDF1**

**NIS REVIEW** N

**Remarks** Package intercepted by CBP, sent to PIS for processing

Final?	Incon- clusive?	Pest	Rpt?	Determined By	Date Determined	Lab Confirmation #	Method
N	N	Pseudococcus sp. (Pseudococcidae)	Y	Smith-Pardo, Allan H.	03/02/2009		Morphologica I
<b>Remarks</b>		Poss. P. longispinus					
Y	N	Pseudococcus cryptus Hempel (Pseudococcidae)	Y	Evans, Gregory A	03/03/2009		
<b>Remarks</b>							

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FIGURE A-1-37: Example of PPQ 309, Pest Interception Record

## Purpose

PPQ 309 is a record that provides information pertaining to organisms intercepted from materials of foreign origin and serves as documented evidence of the value of plant quarantine activities. The interception records are used to support risk assessments, international phytosanitary decisions, local program analyses, answering customer inquiries, and other types of analyses.



If you intercept more than one pest in a shipment, compare all specimens. **Never** create multiple forms for the same pest. Submit all life stages of the same pest in a single interception form. For detailed information, see [Multiple Interceptions](#) on [page 7-1-3](#).

## Instructions

1. Log onto [AQAS](#).
2. Enter your User Name and Password.
3. Open the [Pest ID v1.4 Policy Guide](#). Follow the instructions on how to enter a record into the database.

Enter all interception information directly into the AQAS (Agriculture Quarantine Activity System) Pest Identification Database (Pest ID) to create an official record of the interception. Generate a printed copy of the record to attach with specimens.

**Never** submit multiple forms for the same pest species in the same shipment (see [Multiple Interceptions](#) on [page 7-1-3](#)).

## Distribution

Send the printed form, attached with specimens, to the appropriate identifier or specialist for identification. See [Sending Specimens for Identification](#) on [page 7-1-11](#).

## PPQ Form 309A, Pest Interception Record Worksheet

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

PPQ Form 309A (September 2008)

FIGURE A-1-38: Example of PPQ Form 309A, Pest Interception Record Worksheet

## Purpose

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

## Instructions

A [fillable pdf version of PPQ Form 309A](#) is available from the APHIS Forms Library to facilitate data collection if you need to enter data from a different location. Refer to [Figure A-1-39](#) on [page A-1-103](#) and [Figure A-1-40](#) on [page A-1-104](#) for guidance on completing the form.



**Important**

For multiple interceptions on a shipment, continue to hold the cargo until all interceptions have been identified and the action(s) decided. Cross-reference multiple interceptions in the remarks section of PPQ Form 309A. Include identifying references, such as a port reference number and/or an interception number and how many other interceptions were found on the same shipment. For more information, see [Multiple Interceptions](#) on [page 7-1-3](#).

## Distribution

Distribute this internal worksheet according to local port policy.

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

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

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

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

**3. Priority** – Indicate the priority of the interception:

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

**Prompt** – Identification desired within two weeks.

**Routine** – Identification desired within 30 days.

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

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

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

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

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

**Airport** – All interceptions made at airports

**Maritime** – All interceptions made at seaports

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

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

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

**Rail** – All interceptions made from rail freight of foreign origin

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

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

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

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

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

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

**FIGURE A-1-39: Instructions for Completing PPQ Form 309A, Pest Interception Record Worksheet (page 1)**

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

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

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

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

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

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

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

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

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

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

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

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

**Baggage** – Passenger baggage.

**Mail** – Mail packing and mail bags.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**FIGURE A-1-40: Instructions for Completing PPQ Form 309A, Pest Interception Record Worksheet (page 2)**

## PPQ Form 391, Specimens for Determination

This report is authorized by law (7 U.S.C. 147a). While you are not required to respond your cooperation is needed to make an accurate record of plant pest conditions. See reverse for additional OMB information. **FORM APPROVED OMB NO. 0579-0010**

<b>U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE</b>  <b>SPECIMENS FOR DETERMINATION</b>		Instructions: Type or print information requested. Press hard and print legibly when handwritten. Item 1 - assign number for each collection beginning with year, followed by collector's initials and collector's number. Example (collector, John J. Dingle): 83-JJD-001. Pest Data Section - Complete Items 14, 15 and 16 or 19 or 20 and 21 as applicable. Complete Items 17 and 18 if a trap was used.		<b>FOR IIBIII USE</b> LOT NO. _____ PRIORITY _____							
1. COLLECTION NUMBER		2. DATE MO    DA    YR		3. SUBMITTING AGENCY <input type="checkbox"/> State Cooperator <input type="checkbox"/> PPQ <input type="checkbox"/> Other _____							
SENDER AND ORIGIN	4. NAME OF SENDER		INTERCEPTION SITE	5. TYPE OF PROPERTY (Farm, Feedmill, Nursery, etc.)							
	6. ADDRESS OF SENDER			7. NAME AND ADDRESS OF PROPERTY OR OWNER							
	ZIP			COUNTRY/ COUNTY							
PURPOSE	8. REASON FOR IDENTIFICATION (* ALL Applicable Items)										
	A. <input type="checkbox"/> Biological Control (Target Pest Name _____)		E. <input type="checkbox"/> Livestock, Domestic Animal Pest								
	B. <input type="checkbox"/> Damaging Crops/Plants		F. <input type="checkbox"/> Possible Immigrant (Explain in REMARKS)								
	C. <input type="checkbox"/> Suspected Pest of Regulatory Concern (Explain in REMARKS)		G. <input type="checkbox"/> Survey (Explain in REMARKS)								
D. <input type="checkbox"/> Stored Product Pest		H. <input type="checkbox"/> Other (Explain in REMARKS)									
9. IF PROMPT OR URGENT IDENTIFICATION IS REQUESTED, PLEASE PROVIDE A BRIEF EXPLANATION UNDER "REMARKS".											
HOST DATA	10. HOST INFORMATION			11. QUANTITY OF HOST							
	NAME OF HOST (Scientific name when possible)			NUMBER OF ACRES/PLANTS	PLANTS AFFECTED (Insert figure and indicate <input type="checkbox"/> Number <input type="checkbox"/> Percent):						
	12. PLANT DISTRIBUTION		13. PLANT PARTS AFFECTED								
<input type="checkbox"/> LIMITED		<input type="checkbox"/> Leaves, Upper Surface	<input type="checkbox"/> Trunk/Bark	<input type="checkbox"/> Bulbs, Tubers, Corms <input type="checkbox"/> Seeds							
<input type="checkbox"/> SCATTERED		<input type="checkbox"/> Leaves, Lower Surface	<input type="checkbox"/> Branches	<input type="checkbox"/> Buds							
<input type="checkbox"/> WIDESPREAD		<input type="checkbox"/> Petiole	<input type="checkbox"/> Growing Tips	<input type="checkbox"/> Flowers							
		<input type="checkbox"/> Stem	<input type="checkbox"/> Roots	<input type="checkbox"/> Fruits or Nuts							
PEST DATA	14. PEST DISTRIBUTION		15. <input type="checkbox"/> INSECTS		<input type="checkbox"/> NEMATODES	<input type="checkbox"/> MOLLUSKS					
	<input type="checkbox"/> FEW		NUMBER SUBMITTED	LARVAE	PUPAE	ADULTS	CAST SKINS	EGGS	NYMPHS	JUVS.	CYSTS
	<input type="checkbox"/> COMMON		ALIVE								
	<input type="checkbox"/> ABUNDANT		DEAD								
<input type="checkbox"/> EXTREME											
16. SAMPLING METHOD			17. TYPE OF TRAP AND LURE			18. TRAP NUMBER					
19. PLANT PATHOLOGY - PLANT SYMPTOMS (* one and describe symptoms)											
<input type="checkbox"/> ISOLATED <input type="checkbox"/> GENERAL											
20. WEED DENSITY			21. WEED GROWTH STAGE								
<input type="checkbox"/> FEW <input type="checkbox"/> SPOTTY <input type="checkbox"/> GENERAL			<input type="checkbox"/> SEEDLING <input type="checkbox"/> VEGETATIVE <input type="checkbox"/> FLOWERING/FRUITING <input type="checkbox"/> MATURE								
22. REMARKS											
23. TENTATIVE DETERMINATION											
24. DETERMINATION AND NOTES (Not for Field Use)											
SIGNATURE _____ DATE _____  <b>PPQ FORM 391 (AUG 02)</b> Previous editions are obsolete.						<b>FOR IIBIII USE</b>					
						DATE RECEIVED					
						NO. LABEL SORTED PREPARED					
						DATE ACCEPTED					
RR											

This is a 6-Part form. Copies must be disseminated as follows:

PART 1 - PPQ     PART 2 - RETURN TO SUBMITTER AFTER IDENTIFICATION     PART 3 - IIBIII OR FINAL IDENTIFIER

PART 4 - INTERMEDIATE IDENTIFIER     PART 5 - INTERMEDIATE IDENTIFIER     PART 6 - RETAINED BY SUBMITTER

FIGURE A-1-41: PPQ Form 391, Specimens for Determination

### **Purpose**

PPQ Form 391 is used by PPQ and State cooperators to submit specimens for determination from domestic collections (warehouse inspections, local and individual collecting, special survey programs, export certification).

### **Instructions and Distribution**

Refer to **Figure A-1-42** on **page A-1-107**. A [fillable version of PPQ Form 391](#) is available from the APHIS Forms, Issuances and Records Library.



**Important**

Include your email address and phone number in Block 1 (Collection Number).



**OMB Information**

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 0579-0010. The time required to complete this information collection is estimated to average .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.

**Instructions**

Use PPQ Form 391, Specimens for Determination, for domestic collections (warehouse inspections, local and individual collecting, special survey programs, export certification).

BLOCK	INSTRUCTIONS
1	<p>1. Assign a number for each collection beginning the year, followed by the collector's initials and collector's number</p> <p><b>EXAMPLE</b> In 2001, Brian K. Long collected his first specimen for determination of the year. His first collection number is 01-BLK-001</p> <p>2. Enter the collection number</p>
2	Enter date
3	Check block to indicate Agency submitting specimens for identification
4	Enter name of sender
5	Enter type of property specimen obtained from (farm, nursery, feedmill, etc.)
6	Enter address
7	Enter name and address of property owner
8A-8L	Check all appropriate blocks
9	Leave Blank
10	Enter scientific name of host, if possible
11	Enter quantity of host and plants affected
12	Check block to indicate distribution of plant
13	Check appropriate blocks to indicate plant parts affected
14	Check block to indicate pest distribution
15	<ul style="list-style-type: none"> <li>• Check appropriate block to indicate type of specimen</li> <li>• Enter number specimens submitted under appropriate column</li> </ul>
16	Enter sampling method
17	Enter type of trap and lure
18	Enter trap number
19	Enter X in block to indicate isolated or general plant symptoms
20	Enter X in appropriate block for weed density
21	Enter X in appropriate block for weed growth stage
22	Provide a brief explanation if Prompt or URGENT identification is requested
23	Enter a tentative determination if you made one
24	Leave blank

**Distribution of PPQ Form 391**

Distribute PPQ Form 391 as follows:

1. Send Original along with the sample to your Area Identifier.
2. Retain and file a copy for your records.

**FIGURE A-1-42: Instructions and Distribution of PPQ Form 391**

## PPQ Form 508, Green and Yellow Permit Label



This Package Contains  
**PLANT QUARANTINE MATERIAL**

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

230-59 International Airport Centers Blvd  
Jamaica, NY 11413

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

FIGURE A-1-43: Example of PPQ Form 508, Green and Yellow Label without Bar Code



This Package Contains  
**QUARANTINE MATERIAL**

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

Label # 30      Exp 04/12/2008

PPQ Plant Inspection Station  
230-59 International Airport  
Centers Blvd  
Building C-Suite 100-Room 109  
Jamaica, NY 11413 USA

PPQ FORM 508 (SEP 2006)      PERMIT NO. P37CAN-07-38482

FIGURE A-1-44: Example of PPQ Form 508, Green and Yellow Label with Bar Code

## Purpose

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

The permitted material falls into one of the following categories:

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

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

## Instructions

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



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


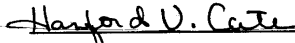


**For Express Courier packages**, if the courier delivery label on the outside of the package bears an address that is different from the address on the PPQ Form 508 shipping label, explain the problem to the courier agent. The courier may choose to return the package to origin, or, if the location has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

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

## PPQ Form 518, Report of Violation

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

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLAN PROTECTION AND QUARANTINE  <b>REPORT OF VIOLATION</b>		<b>SERIAL NO.</b> A3998345	
<b>3. WHERE INTERCEPTED (City or port, and State; also county if domestic)</b> San Francisco, CA		<b>1. DATE VIOLATION DISCOVERED</b> 10/5/02	<b>2. VIOLATED - REG/COMPL. AGREEMENT</b> 7CFR 330.400 & 9CFR 94.5 *
<b>5. ARTICLE MOVED IN VIOLATION OF REGULATIONS</b> Regulated garbage		<b>4. ORIGIN OF ARTICLE (Include county if domestic)</b> China, People's Republic of	
<b>7. NAME AND BUSINESS ADDRESS OF VIOLATOR (Shipper, caterer, cleaner, garbage handler, servicing agent, broker, ship's agent, etc. Identify which)</b>  Sky Chefs (caterer) 9600 Camino Road San Mateo, CA 96472		<b>6. IDENTITY OF ARTICLE (Serial No., Waybill No., description, etc.)</b> Milk cartons listed China as the country of origin	
<b>10. NAME AND BUSINESS ADDRESS OF CARRIER</b>  China Air PO Box 9700 San Francisco, CA 95731		<b>8. VIOLATOR HAD Compliance agreement?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Permit? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <b>9. IF NO, VIOLATOR WAS AWARE OF REGULATION?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown If "Yes," how informed and when? Sky Chefs' manager Doug Ho was informed orally of the garbage regulation and signed, **	
<b>12. IDENTITY OF CARRIER</b> PLANE Acft. No. RG 1123 Flight No. 1250  SHIP Flag Name  ROAD VEHICLE License No.		<b>11. CARRIER WAS AWARE OF REGULATION?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown If "Yes," how informed and when? Carrier signed compliance agreement SF 15 on April 1, 2002.	
<b>14. DISPOSITION OF PEST RISK (i.e., articles named in item 5 were fumigated, destroyed, etc)</b> Foreign garbage was picked up, taken to the US Air incinerator, and incinerated.			
<b>15. REMARKS (Attach additional sheet, if needed)</b>  (Block 2) * Compliance agreement number SF 7. (Block 9) ** and was given a copy of compliance agreement number SF 7 on 4/1/02. The compliance agreement specified the requirements for handling regulated garbage.			
<b>16. VIOLATOR OR CARRIER'S STATEMENT OF VIOLATION (Attach additional sheet, if needed. Identify who gave statement)</b>  See the attached "Violator's Statement."			
<b>17. OFFICER'S STATEMENT: Must attach a detailed, signed, and dated statement. State how the action violated the regulations or compliance agreement cited in item 2. Describe fully the facts of the violation from discovery through disposition of pest risk including when, who, what, and where.</b>			
<b>18. SIGNATURE OF INITIATING OFFICER</b> 		<b>19. PRINTED NAME OF OFFICER AND WORK UNIT</b> Heather Gross San Francisco	
<b>21. OFFICER IN CHARGE COMMENTS (Attach additional sheet, if needed)</b>  List Previous Violations RSS-CP-62-01 (given warning letter), RSS-CP 95-01 (assessed \$750 fine)  Recommendations Assess \$2,000 fine		<b>20. DATE REPORT COMPLETED</b> 10/5/02	
<b>22. SIGNATURE OF OFFICER IN CHARGE</b> 		<b>23. PRINTED NAME OF OFFICER IN CHARGE AND WORK UNIT</b> Hanford V. Cate San Francisco	
<b>24. DATE SIGNED</b> 10/5/02			

PPQ FORM 518 AUG 2002 Previous editions are obsolete

FIGURE A-1-45: Example of PPQ Form 518, Report of Violation

## Purpose

The purpose of PPQ Form 518 is to refer violations of APHIS regulations to IES. Use this form to request a field investigation or to submit information regarding a violation to IES Headquarters for an enforcement action. Do **not** submit PPQ Form 518 to IES in conjunction with a spot settlement form (CBP Form AI-591 or 592). Spot settlements are intended to settle the violation without an investigation. On limited occasions when the alleged violator fails to pay the spot settlement penalty and an investigation is warranted to collect the penalty, IES HQ will initiate investigations.



Refer all agricultural cargo violations and unpaid baggage violations to IES.

## Instructions

Use the instructions in [Table A-1-29](#) for guidance in completing PPQ Form 518. The CBP Agriculture Specialist who detects the violation initiates the PPQ Form 518 and gathers all documentation associated with the subject shipment. This employee is responsible for creating their “Officer's Statement” and collecting and safeguarding the physical evidence (i.e., imported product or sample thereof, seals, shipping boxes, etc.). Provide copies of relevant data from queries in the CBP data systems (as per direction in the letter to OFO from the Chief, Privacy Act, Policy and Procedures Branch on October 3, 2007). Photograph or photocopy any applicable evidence that **cannot** be secured and may **not** be available for IES to examine at a later date. Examples of this may be a photograph of the conveyance, if significant to the case, or a photocopy of correspondence between the shipper and consignee if the original document is not relinquished to CBP.

Provide all documentary and physical evidence to your local IES investigator, along with the Officer's Statement and the PPQ Form 518, when requesting the investigation. In limited situations (for example, some international mail violations and all regulated garbage violations), forward the PPQ Form 518 directly to IES HQ with all of the supporting evidence (documents, screen-prints, photographs, Officer's statement, etc.).



Funds received from civil penalties assessed for violation of the Plant Protection Act and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are not controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. If you have any questions, contact QPAS ( Monday-Friday, 8:00 a.m - 4:30 p.m.) at 301-851-2321.


**TABLE A-1-29: Instructions for Completing PPQ Form 518, Report of Violation**

Block	Instructions								
1	<ul style="list-style-type: none"> <li>◆ Enter date violation was discovered</li> <li>◆ If violation was discovered after it occurred, EXPLAIN in <i>Block 15</i></li> </ul>								
2	Specify as follows:								
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">If:</th> <th style="width: 50%;">Then:</th> </tr> </thead> <tbody> <tr> <td>Violation of compliance agreement</td> <td>Enter C.A.</td> </tr> <tr> <td>Cargo violation</td> <td>Enter the regulation(s) violated; for example, if the violation involved fresh fruit, you would enter 319.56</td> </tr> <tr> <td>Animal regulation that has been violated is unknown (you don't know the regulation)</td> <td>Contact PPQ, VRS in Riverdale at 301/851-2295</td> </tr> </tbody> </table>	If:	Then:	Violation of compliance agreement	Enter C.A.	Cargo violation	Enter the regulation(s) violated; for example, if the violation involved fresh fruit, you would enter 319.56	Animal regulation that has been violated is unknown (you don't know the regulation)	Contact PPQ, VRS in Riverdale at 301/851-2295
	If:	Then:							
	Violation of compliance agreement	Enter C.A.							
Cargo violation	Enter the regulation(s) violated; for example, if the violation involved fresh fruit, you would enter 319.56								
Animal regulation that has been violated is unknown (you don't know the regulation)	Contact PPQ, VRS in Riverdale at 301/851-2295								
3	Fill in the name of the port where the cargo that was moved in violation of the regulation was discovered or where the garbage violation was observed								
4	Cargo—fill in the name of the country where the cargo originated or was grown								
5	Fill in the name of the cargo moved, e.g., “5 cases of yams”								
6	Enter the air waybill number, bill of lading, etc.								
7	<ol style="list-style-type: none"> <li>1. Fill in the violator's name</li> <li>2. Indicate the person's position in parentheses after the violator's name (such as caterer, shipper, cleaner, etc.)</li> <li>3. List the violator's business address</li> </ol>								
8, 9	Check and fill in as appropriate								
10	Fill in the name and the business address of the carrier								
11	Check and fill in as appropriate								
12	Fill in as appropriate								
13	Fill in the name and the business address of the consignee								
14	List the action(s) taken to eliminate the pest risk, e.g., foreign garbage was picked up and incinerated; area where garbage was lying on the ground was cleaned and disinfected with sodium hypochlorite								
15	Fill in any pertinent remarks								

**TABLE A-1-29: Instructions for Completing PPQ Form 518, Report of Violation (continued)**

Block	Instructions
16	<ul style="list-style-type: none"> <li>◆ Ask the violator to provide an explanation of the incident</li> <li>◆ Get a written statement if possible</li> <li>◆ Get statements from the carrier agent, importer, caterer, or any other involved party, as follows:               <ul style="list-style-type: none"> <li>❖ The statement may be written on a separate sheet of paper or you may use the sample format in <a href="#">Appendix C</a></li> <li>❖ Title the statement using a description of the person's designation, e.g., "Violator's Statement," "Agent's Statement," etc.</li> <li>❖ Give the statement an exhibit number</li> </ul> </li> <li>◆ If a person refuses to write a statement               <ul style="list-style-type: none"> <li>❖ Ask that person to tell you what happened relative to the violation</li> <li>❖ Write down exactly what the person tells you</li> <li>❖ Indicate that the statement was transcribed by you, the officer</li> <li>❖ Use your transcription as the statement</li> <li>❖ If the person gives you only a few brief remarks, enter these directly in <i>Block 16</i></li> </ul> </li> <li>◆ If you got a written statement, enter "See attached [<u>Violator/Carrier Agent/Importer, Caterer, etc.'s</u>] Statement."</li> </ul>
17	<p>An Officer's Statement must be written and accompany each PPQ Form 518 submitted.</p> <ul style="list-style-type: none"> <li>◆ Write your explanation of the violation on a separate sheet of paper titled "Officer's Statement"</li> <li>◆ Give this statement an exhibit number</li> <li>◆ Describe all the facts that resulted in the article listed in <i>Block 5</i> being in violation of the regulation listed in <i>Block 2</i></li> <li>◆ State all facts including who, what, when, where, and how</li> <li>◆ Include the following information where appropriate:               <ul style="list-style-type: none"> <li>❖ State when and where the violation occurred</li> <li>❖ Describe how the violation occurred</li> <li>❖ Identify the carrier from which the garbage was removed and where the garbage came from</li> <li>❖ Identify the owner of the cargo</li> <li>❖ Identify the employer of the violator</li> <li>❖ Refer to your exhibits and explain their relevance to the case</li> <li>❖ State if you witnessed the violation</li> </ul> </li> <li>◆ Sign and date the Officer's Statement (<b>only the officer signs</b>); if more than one officer was involved in the violation, each officer must write a separate statement</li> </ul>
18-20	Fill in

**TABLE A-1-29: Instructions for Completing PPQ Form 518, Report of Violation (continued)**

Block	Instructions
 <b>Important</b>	<p><i>Blocks 21, 22, 23, and 24 are to be completed by the Port Director.</i></p>
21	<ul style="list-style-type: none"> <li>◆ Fill in any additional information<sup>1</sup> that may help to substantiate the case such as previous warning letters and the dates sent, signed compliance agreements, any known previous civil penalties, case numbers, dates, and amounts of penalties assessed; such as, Case #RSS-CP-62-01 fined \$1,000 on 9/11/01</li> <li>◆ Enter your recommendation for <b>one</b> of the following:               <ul style="list-style-type: none"> <li>❖ Warning letter</li> <li>❖ Civil penalty</li> <li>❖ Criminal penalty</li> </ul> </li> </ul>
22-24	Fill in

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

## Distribution

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

**TABLE A-1-30: Distribution of PPQ Form 518, Report of Violation**

<ul style="list-style-type: none"> <li>◆ FORWARD Part 1 and all supporting documents (such as CBP Form AI-288 and the Violator's and Officer's Statements) to Investigative and Enforcement Services (IES) at the following address:             USDA-APHIS-IES            4700 River Road, Unit 85            Riverdale, MD 20737            Phone 301/851-2948</li> <li>◆ KEEP Parts 2 and 3 for the port files (also keep copies of other evidence and documents for your files)</li> </ul>
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## Purpose

PPQ Form 519, Compliance Agreement, provides a signed, written, legal agreement with shippers, dealers, carriers, garbage handlers and processors to indicate their understanding of methods, conditions, and procedures necessary for compliance with regulations. PPQ Form 519 has a variety of uses in both domestic and foreign quarantine programs. This form is also used to formalize agreements with establishments handling regulated garbage such as airline caterers, garbage haulers, processors, and all other types of garbage handlers. The PPQ Form 519 and addenda are also used to submit as evidence for a violation case.

## Instructions

Review compliance agreements at least annually, but preferably twice a year. For compliance agreements associated with regulated garbage, see [Compliance Agreement Annual Review](#) on **page B-1-13**. Amend compliance agreements as appropriate. The instructions below are primarily for compliance agreements covering regulated garbage. See [Integrated Plant Health Information System \(IPHIS\)](#) for completing compliance agreements other than those for regulated garbage. Any compliance agreement may be cancelled, either orally or in writing, by an inspector whenever the inspector finds that the person who has entered into the compliance agreement has failed to comply with the conditions of the agreement. However, **never** cancel an agreement made with an establishment that handles regulated garbage without consultation with the State Plant Health Director or the CBP Port Director and the QPAS Regulated Garbage Program at APHIS HQ. These compliance agreements may be cancelled **only** by the APHIS Administrator. See [Appendix B, Completing Regulated Garbage Compliance Agreements](#), for additional information.

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

Complete PPQ Form 519 as instructed in [Table A-1-31](#). See also [Appendix B, Completing Regulated Garbage Compliance Agreements](#) on **page B-1-1**.

**TABLE A-1-31: Instructions for Completing PPQ Form 519, Compliance Agreement**

Block	Instructions
1	Fill in (include phone number and fax number); if facility contact is not signing the compliance agreement, include the phone number and email address of the signatory
2	Fill in the location of the specific property(s) for which the Agreement is signed. Fill in name of contact at the facility, the contact's phone number, and email address. The contact in this block should be the person responsible for day-to-day issues.

**TABLE A-1-31: Instructions for Completing PPQ Form 519, Compliance Agreement**

Block	Instructions
3	Fill in the specific regulated articles to which the Agreement applies, e.g. “Regulated garbage”
4	List the titles, parts, and subparts, e.g. for regulated garbage — “7 CFR 330.400 – 330.403 and 9 CFR 94.5”
5	<p>If completing a Compliance Agreement for regulated garbage:</p> <ul style="list-style-type: none"> <li>◆ Write “See attached Compliance Agreement and Addendum (or Addenda) to Compliance Agreement (# pages).” List all Addenda. If there is already a previously existing compliance agreement also write “This Compliance Agreement supersedes Compliance Agreement # _____ (insert Compliance Agreement number) dated _____ (insert agreement date of previous Compliance Agreement).”</li> <li>◆ Print the name of the person representing the establishment above his/her signature in Block #6</li> <li>◆ See <a href="#">Completing Regulated Garbage Compliance Agreements</a> on <b>page B-1-1</b></li> </ul> <p>If completing a Compliance Agreement for <b>other than</b> regulated garbage:</p> <ul style="list-style-type: none"> <li>◆ See <a href="#">Completing Regulated Garbage Compliance Agreements</a> on <b>page B-1-1</b></li> <li>◆ Outline stipulations which apply to the establishment for each quarantine or regulation affecting the establishment</li> <li>◆ Make clear to the establishment that stipulations in the Compliance Agreement <b>do not</b> preclude compliance with other sections of a quarantine or regulation</li> <li>◆ If space in <i>Block 5</i> is inadequate for listing the stipulations, then write “See Attached Sheets”</li> </ul>
6	Have a responsible official of the establishment sign. Have the official write his/her name and title in block letters on the line above Block #6.
7	Fill in
8	Fill in
9	Assign a compliance agreement number
10	Fill in the date that the last signature was affixed to the document
11	Fill in name of PPQ or CBP Official of location primarily responsible for monitoring the compliance agreement
12	Fill in (include phone number)
13	Have the PPQ or CBP Official sign
14	Fill in name of the U.S. Government or State Agency Official. If a regulated garbage compliance agreement and PPQ is responsible for calibrating or monitoring processing equipment at a location where CBP has primary responsibility, list the PPQ official here.
15	Fill in (include phone number)
16	Have the U.S. Government or State Agency Official sign

## Distribution

Use **Table A-1-32** when distributing PPQ Form 519.

**TABLE A-1-32: Distribution of PPQ Form 519, Compliance Agreement**

<b>If the Compliance Agreement:</b>	<b>And:</b>	<b>Then:</b>
Affects <b>one</b> work unit	Covers regulated garbage	<ul style="list-style-type: none"> <li>◆ KEEP the original in the port files in the area where the establishment is located (CBP)</li> <li>◆ GIVE the original to the SPHD and KEEP a copy for the PPQ work unit responsible for the establishment if different (PPQ)</li> <li>◆ GIVE a copy to the establishment</li> </ul>
	Does <b>not</b> cover regulated garbage	<ul style="list-style-type: none"> <li>◆ KEEP a copy for the originating office where the establishment is located</li> <li>◆ GIVE the original to the establishment</li> </ul>
Affects <b>more</b> than one work unit	Covers regulated garbage	<ul style="list-style-type: none"> <li>◆ KEEP the original in the port files in the area where the establishment is located (CBP)</li> <li>◆ GIVE the original to the SPHD and KEEP a copy for the PPQ work unit responsible for the establishment if different (PPQ)</li> <li>◆ GIVE a copy to the establishment</li> <li>◆ GIVE copies to all CBP and PPQ work units affected by the compliance agreement</li> </ul>
	Does <b>not</b> cover regulated garbage	<ul style="list-style-type: none"> <li>◆ KEEP a copy for the originating office where the establishment is located</li> <li>◆ GIVE the original to the establishment</li> <li>◆ GIVE copies to all CBP and PPQ work units affected by the compliance agreement</li> </ul>

## PPQ Form 523, Emergency Action Notification

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information is 0579-0102. The time required to complete this information collection is estimated to average 1 hour per response, including the time 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. 0579-0102**

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE  <b>EMERGENCY ACTION NOTIFICATION</b>	SERIAL NO. <hr/> 1. PPQ LOCATION <hr/> 2. DATE ISSUED <hr/> 4. LOCATION OF ARTICLES <hr/> 5. DESTINATION OF ARTICLES <hr/> 7. NAME OF CARRIER <hr/> 8. SHIPMENT ID NO.(S) <hr/> 10. PORT OF LADING <hr/> 11. DATE OF ARRIVAL <hr/> 12. ID OF PEST(S), NOXIOUS WEEDS, OR ARTICLE(S) <hr/> 12a. PEST ID NO. <hr/> 12b. DATE INTERCEPTED <hr/> 13. COUNTRY OF ORIGIN <hr/> 14. GROWER NO. <hr/> 15. FOREIGN CERTIFICATE NO. <hr/> 15a. PLACE ISSUED <hr/> 15b. DATE <hr/>
3. NAME AND QUANTITY OF ARTICLE(S)          6. SHIPPER          9. OWNER/CONSIGNEE OF ARTICLES  Name: _____  Address: _____  _____  _____  PHONE NO. _____ FAX NO. _____  SS NO. _____ TAX ID NO. _____	

Under Sections 411, 412, and 414 of the Plant Protection Act (7 USC 7711, 7712, and 7714) and Sections 10404 through 10407 of the Animal Health Protection Act (7 USC 8303 through 8306), you are hereby notified, as owner or agent of the owner of said carrier, premises, and/or articles, to apply remedial measures for the pest(s), noxious weeds, and or article(s) specified in Item 12, in a manner satisfactory to and under the supervision of an Agriculture Officer. Remedial measures shall be in accordance with the action specified in Item 16 and shall be completed within the time specified in Item 17.

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

16. ACTION REQUIRED

TREATMENT: \_\_\_\_\_

RE-EXPORTATION: \_\_\_\_\_

DESTRUCTION: \_\_\_\_\_

OTHER: \_\_\_\_\_

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

17. AFTER RECEIPT OF THIS NOTIFICATION COMPLETE SPECIFIED ACTION WITHIN (Specify No. Hours or No. Days):  <hr/>	18. SIGNATURE OF OFFICER:  <hr/>
---	--

**ACKNOWLEDGMENT OF RECEIPT OF EMERGENCY ACTION NOTIFICATION**  
*I hereby acknowledge receipt of the foregoing notification.*

SIGNATURE AND TITLE:  <hr/>	DATE AND TIME:  <hr/>
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19. REVOCATION OF NOTIFICATION

ACTION TAKEN:  
  
 \_\_\_\_\_

SIGNATURE OF OFFICER:  <hr/>	DATE:  <hr/>
------------------------------------	--------------------

PPQ FORM 523 (JULY 2002) Previous editions are obsolete.

FIGURE A-1-47: Example of PPQ Form 523, Emergency Action Notification

## Purpose and Scope

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

In the case of shipments of animal products or by-products, the EAN should only be issued to refuse entry. Do **not** use the EAN to place a hold on these shipments to request documents. Follow the instructions for handling animal products or by-products under [\*Holding Cargo of Agricultural Interest\*](#) on **page 2-1-4**.

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

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



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

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

Issue an EAN when:

- ◆ The Agriculture Specialist finds an actionable pest, potential quarantine pest (e.g., suspect Asian gypsy moth or khapra beetle), a contaminant, or prohibited product
- ◆ The Agriculture Specialist needs to record a commercial seizure
- ◆ The Agriculture Specialist refuses entry of an animal product or by-product
- ◆ The shipment of plants or plant products lacks proper documentation
- ◆ The shipment contains non-compliant WPM
- ◆ The shipment is in the express courier environment (i.e. FedEx, UPS, DHL, etc.).

Do **not** issue an EAN for the following reasons:

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

Refer to **Table A-1-33** below, **Table A-1-34** on **page A-1-123**, and **Table A-1-35** on **page A-1-124** for further guidance.

**TABLE A-1-33: Determining if an EAN is the Correct Form to Issue**

<b>If the shipment is presented in:</b>	<b>And the shipment includes:</b>	<b>Then:</b>
Air Cargo, Maritime Cargo, Rail Cargo, Truck/Vehicle Cargo	Animal products or by-products	ISSUE PPQ Form 523 (EAN) GO to <b>Table A-1-34</b> on <b>page A-1-123</b>
	Plant products	ISSUE PPQ Form 523 (EAN) GO to <b>Table A-1-35</b> on <b>page A-1-124</b>
United States Postal Service Mail	—————→	ISSUE PPQ 287 (Mail Interception Notification) GO to <b>Table A-1-24</b> on <b>page A-1-88</b>
Express Courier (ex: FedEx, DHL, UPS, etc.)	—————→	ISSUE PPQ 523 (EAN) GO to <b>Table A-1-35</b> on <b>page A-1-124</b>



**TABLE A-1-34: Determining Documents to Issue When Taking Action on a Shipment of Animal Products or By-Products**

If:	And:	And:	Then:	
The animal product or by-product shipment needs a paperwork inspection only	The shipment <b>lacks</b> the required documentation	The shipment is eligible to be forwarded to an APHIS approved establishment	PLACE A HOLD Refer to the <a href="#">Animal Product Manual</a> for procedures	
		The shipment is <b>not</b> eligible to be forwarded to an APHIS approved establishment	ISSUE PPQ 523 (EAN) to REFUSE ENTRY	
	The shipment has all the required documentation	→	Continue clearing/inspecting the shipment as needed. No documents need to be issued at this time.	
A physical inspection is performed in addition to a paperwork inspection	A contaminant or pest is found with the shipment <sup>1</sup>	→	PLACE A HOLD Refer to the <a href="#">Animal Product Manual</a> for procedures	
	The shipment is manifested, but contains a prohibited animal product	→	REFUSE ENTRY ISSUE PPQ 523 (EAN)	
	The shipment contains smuggled merchandise	→	◆ ISSUE PPQ 523 (EAN) and PPQ 518 (Report of Violation) ◆ INITIATE seizure case in SEACATS ◆ SEE Important box below	
	The WPM with the shipment is not properly marked with the accepted ISPM 15 symbol	→	ISSUE PPQ 523 (EAN) for the WPM	
	Contaminant seeds are found with the shipment	The shipment will be transferred from CBP-AI Custody to PPQ custody		ISSUE PPQ 523 (EAN), CBP-AI 523A (Chain of Custody), and PPQ 309A (Interception Record)
		The shipment will <b>not</b> change custody. The inspecting agency will complete final action.		Issue PPQ 523 (EAN) and PPQ 309A (Interception Record)
	Actionable plant pests are found with the shipment	The shipment will be transferred from CBP-AI Custody to PPQ custody		ISSUE PPQ 523 (EAN), CBP-AI 523A (Chain of Custody), and PPQ 309A (Interception Record)
The shipment will <b>not</b> change custody. The inspecting agency will complete final action.			ISSUE PPQ 523 (EAN) and PPQ 309A (Interception Record)	

1 Including commodities infested with animal pests such as hunting trophies with ticks.



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

**TABLE A-1-35: Determining Documents to Issue When Taking Action on a Shipment of Plant Products**

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



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

### Instructions

The instructions in [Table A-1-36](#) on [page A-1-125](#) are for initiating an EAN. The electronic version of PPQ Form 523, located in [Agricultural Quarantine Activity System \(AQAS\)](#), is the only method by which an Emergency Action Notification may be initiated. **Emergency Action Notifications MAY NOT be issued in any other format, either manual or electronic.**

**TABLE A-1-36: Instructions for Initiating an EAN**

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

**TABLE A-1-36: Instructions for Initiating an EAN**

Block Number	Field Name	Instructions
3 Name and Quantity of Manifested Article	Article Category* Article Name*	<p>This block is to determine the commodity of the shipment. <b>Only one commodity is allowed to be listed per EAN.</b> Do <b>NOT</b> list pallets, crates, dunnage, etc. as the Name of Article unless they are the actual <b>commodity</b> being shipped.</p> <p><b>Article Category</b> - Select a category (Animal Product, Plant Product, or Miscellaneous). The user must select the appropriate category as the other fields in this block are dependent upon it.</p> <p><b>Animal Products</b></p> <p>Animal Classification - Select the classification of the shipment. The classification selected will determine the drop down list for the classification category in the next field. See the <a href="#">Animal Product Manual</a> (APM) contents page for further clarification.</p> <p>Classification Category - Select the classification category. The classification category will determine if a classification subcategory is required. To decide on a classification category see the APM classification selected in the previous field.</p> <p>Classification Subcategory - Select the classification subcategory. This information can be found in shipment documentation.</p> <p>* The drop down lists in this category have come directly from the <a href="#">Animal Product Manual</a>. If you need assistance with this menu, see the APM.</p> <p><b>Plant Products</b></p> <p>This selection is for fresh cut flowers, fresh fruits and vegetables, logs, lumber, and propagative materials only. Any processed plant products (mulch, handicrafts, potpourri, Chinese Teas, etc.) will be found in the Miscellaneous Category.</p> <p><b>Miscellaneous Products</b></p> <p>This category is for all products that do not fit into either Animal Products or Plant products as defined above. Select the category that best fits the commodity. If there is not a category that fits your item please contact the help desk, National Coordinator, or Regional Coordinators before continuing. If the user selects miscellaneous, a description of the article must be entered. The description should be as accurate as the information available. For example, brake pads, bolt screws, linen fabric, stuffed toys, etc. If the product is agricultural but processed, the user must give an exact description of the article. For example, wooden birdhouses with grass roofs, dried whole apricots, wood carvings with bark edging, etc.</p> <p><b>Article Name</b> - This drop down list has been determined by the user's previous selections. If the user does not find the article name in the drop down list please contact the help desk.</p>
	Quantity* Unit of Measure*	Enter the numerical quantity of the shipment. When determining the article quantity, use the most specific number. For example, kilograms is a better selection than box count when dealing with most produce or meat products, but square meter is a better selection for veneer. <b>“Boxes/Crates” may not be used if another option is available.</b>
	APHIS Permit Number	<b>APHIS Permit Number</b> - If the shipment has any kind of APHIS permit, enter the number here.
	Wood Packing Material*	Check the appropriate boxes. If the user selects none or non-compliant only one box may be selected, but if the wood is non-compliant the user may chose both non-compliant for timber pest and no markings. <b>If wood is not marked with an acceptable symbol, then it is considered unmarked.</b>

**TABLE A-1-36: Instructions for Initiating an EAN**

Block Number	Field Name	Instructions
<b>4</b>	Location of Articles*	The location of articles is the place where the shipment is located when it is inspected. For example, US Air Warehouse, 123 Airplane Way, Butte, MT 12345. Each port will have a local drop down list so that users will not have to type addresses that have already been added to the system. If using the drop down list, ensure that the correct location has been selected. If the location that the user needs to select is not on the default list, it may be added by port users and supervisors by selecting "Set Defaults". All locations must contain the name of the facility, the physical address, city, state, and zip code.
<b>5</b> Delivery Address of Articles	Name*	Enter the name of the company/individual accepting the goods as destination of the articles (delivery address). Do <b>not</b> use the broker as destination. Do <b>not</b> automatically assume that the consignee address and delivery address is the same.
	Address where the articles will be delivered*	Enter the address where the goods are intended to be delivered including street address, city, state (within the US), country, and zip/postal code.  If the shipment has multiple destinations, the officer should include the destination to which the majority of the shipment is being delivered. If the shipments will be distributed evenly then choose the location to which the product could potentially cause the greatest risk. When determining the address to select the officer should use his/her best judgment. Additional delivery addresses should be entered into the "Comments" field on page 4 of the data entry screens. Questions regarding this should be directed to the officer's first line supervisor.
<b>6</b> Shipper	Name*	Enter the name of the shipper.
	Address of Shipper*	Enter the address of the shipper including street address, city, and country. Enter state/province and postal code if known. <b>This must be a foreign address.</b>
<b>7</b> Name of Carrier	Name*	Enter the name of the carrier company. For example, Northwest Airlines, M/V Panama, Canadian Pacific, Yellow Freight. On the land borders independent trucks frequently cross. If the truck is independent use the name of the owner of the tractor. Do <b>not</b> enter vehicle numbers in this field. <b>Do NOT enter abbreviations for the name of carrier including airline codes.</b>
	Flight/Voyage/Trip Number*	Enter the appropriate number based on pathway. For trucks use the trailer license number.

**TABLE A-1-36: Instructions for Initiating an EAN**

Block Number	Field Name	Instructions
<b>8</b> Shipment Identification Numbers	Airway Bill, Bill of Lading, PAPS Code*	Enter the bill of lading number. If the cargo is border cargo and does not have a bill number, use the PAPS code. <b>This is a mandatory field. Every shipment will have this number at the time that shipment is presented for inspection.</b>
	Tariff Number*	Enter the 10 character tariff number as provided in ACS or ATS. This is indicated in ATS as the HTS number. Do not add any punctuation, numbers only. If the user cannot find the tariff number in ATS or ACS then use this link to look up the number:  <a href="http://dataweb.usitc.gov/scripts/tariff_current.asp">http://dataweb.usitc.gov/scripts/tariff_current.asp</a>
	Customs Entry Number*	Enter the Customs Entry Number. Do not add any punctuation, numbers only.  *If the entry has not yet been filed at the time of inspection, enter "Not Yet Filed"  *If the shipment is of low value (under \$2000 as of 09/2006) it is considered informal and no entry number will ever be processed, enter "Informal"  <b>Do not enter N/A or Not Available. If the user doesn't have an entry number other than listed above, describe why.</b>
	Container Number	Enter the complete container number. This is usually a 4-letter code followed by 5 or 6 numbers. Include the check digit.
	ISPM Markings	Enter the complete information from the ISPM Marking (IPPC wood marking). If the officer finds a pest in <b>marked</b> wood, this is a required field.
	Other Identifying Number	This field is available to include another number that there is either not a field for or can be used for a number collected for port policy. Examples include invoice number, shipment number, etc. <b>If the pathway is air cargo, the House Airway Bill must be entered here.</b>
	Other Identifying Number Description	If the user enters an "Other Identifying Number" then this field must be completed. The entry should clearly identify what the "Other Identifying Number" is. Do not use abbreviations in the description other than HAWB for "House Airway Bill."
<b>9</b> Consignee of Articles	Name*	Enter the name of the Consignee. This will be a company name most of the time. If the shipment owner is an individual, enter the name of the individual.  The Consignee is the owner of the shipment. The broker is usually not the consignee.
	Address of Consignee*	Enter the street address of the consignee. Street address, city, and country must be entered. Enter the state/province and postal code if known.
	Phone and Fax Numbers	Enter the phone and fax numbers of consignee if known
<b>10</b> Port of Lading	City*	Enter the foreign city where the shipment was last loaded onto a vessel, plane, railcar, or vehicle.
	Country*	Enter the foreign country where the shipment was last loaded onto a vessel, plane, railcar, or vehicle.
<b>11</b>	Date of Arrival*	Enter the date that the shipment entered the port.

**TABLE A-1-36: Instructions for Initiating an EAN**

Block Number	Field Name	Instructions
<b>12</b>	Reason for EAN*	<p>Select the reason(s) that the EAN is being issued. The following is a guideline to help determine the reason.</p> <p><b>Pest</b> - If a pest or disease is found on, in, or with a shipment. Do <b>not</b> to enter a tentative ID. A national AQAS Pest ID number will be required.</p> <p><b>Lacks Documentation or Certification</b> - Shipment is missing documentation or the documentation is not acceptable. Documents may include but are not limited to permits, phytosanitary certificates, etc. Do <b>not</b> use this reason for animal products or by-products.</p> <p><b>Contaminant- Seed</b> - Shipment is found to have seed or seed heads that are contaminants, but not part of the manifested commodity. A national AQAS Pest ID number is required.</p> <p><b>Contaminant-Other</b> - Shipment is found to have any contaminant that does not need to be sent to an identifier. Examples include blood, soil, manure, etc.</p> <p><b>Lacking ISPM15 Marking</b> - Shipment was found to have unmarked or improperly marked WPM.</p> <p><b>Prohibited Animal Product</b> - Shipment was found to be prohibited by a 9 CFR. This is the <b>only</b> reason to be selected for all EANs written for animal products and by-products.</p> <p><b>Prohibited Product</b> - Shipment was found to be prohibited by 7 CFR regulation.</p>
<b>12a</b>	Pest ID Number*	Enter the Pest ID number generated by the Pest ID system. If pest or seed contaminant is selected as the reason for the EAN then the user will have to enter the 17 digit Pest ID number. If the user does not have the Pest ID number the EAN may be saved and printed, however the EAN can not be closed in the system until this information has been added. The system will not accept local pest ID numbers in any form.
<b>12b</b>	Date Intercepted*	Enter the date that the reason for writing the EAN was found. This date must match the date that is entered on the Pest ID record (309A).
<b>13</b>	Country of Origin	Enter country of origin. The country of origin is not necessarily the country from which it is being shipped. The country of origin is the location where the commodity was grown, manufactured, or produced. For example, a shipment of handicrafts might be shipped from Canada, but were made in China. China is the country of origin. Canada is the country of lading.
<b>14</b>	Grower/Facility Number	Enter the number of the foreign facility in which the product was processed or the foreign grower number. This number is frequently found on the invoice. It may also be available in ATS.
<b>15</b>	Foreign Sanitary Certificate Status*	Select the status of the certificate. If a certificate is not required continue to Block 16.
<b>15a</b>	Foreign Sanitary Certificate Number	Enter the certificate number.
<b>15b</b>	Place Issued	Enter City/Country where the certificate was issued. This will be a foreign address.
	Date Issued	Enter the date on which the certificate was issued.

**TABLE A-1-36: Instructions for Initiating an EAN**

Block Number	Field Name	Instructions
<b>Contact Number</b>	Phone Number*	Enter the phone number at which the user issuing the EAN can be reached.
<b>16</b>	Treatment Schedule	Using the drop down menu, <b>if treatment is available</b> , select the appropriate treatment schedule. The treatment schedule <b>MUST</b> be provided by a PPQ Identifier or PPQ Employee acting on behalf of an Identifier. CBP AI should <b>not</b> select a treatment schedule that has not been approved by a PPQ Identifier or PPQ Employee acting on behalf of an Identifier.
	Explanation Text*	Select the explanation text that best matches the scenario for this EAN. This explanation tells the acceptor of the EAN two things: 1) what the problem is and 2) how to correct the situation. <b>This is where the options are given. DO NOT use the “check boxes” printed on the form.</b>
	Phyto-Fumigation Disclaimer	If fumigation is an option, the phyto disclaimer must be selected.
	CFR Regulation*	Select the CFR under which the shipment is being regulated. More than one CFR can be selected. To look up a CFR use this link: <a href="http://ecfr.gpoaccess.gov">http://ecfr.gpoaccess.gov</a>
	Seal Text	If the shipment must be transferred to another location under seal, select the text that is appropriate to scenario. If the shipment is being sent for treatment by PPQ the quantity of the shipment being transferred (preferably in box count) <b>must</b> be included.  <b>NOTE:</b> If the PPQ Officer supervising the treatment does not know the quantity to be treated the shipment will not be treated until that information is provided from CBP.
	Comments	If the user has any additional comments to make, they should be recorded in the Comment field. Do not repeat information that has previously been provided. Do not enter any pest name in this location.  It may be helpful on a local level to enter a local ID number or broker information here.  <b>NOTE:</b> These comments will print on the paper EAN.
<b>17</b>	After Receipt of Notification Complete Specified Action Within:	The user should select the amount of time allowed before treatment begins. For example, if the shipment is to be re-exported then the user should select the amount of time before the shipment must be on the conveyance back to country of origin. The maximum time allowed for animal products and by-products is 72 hours.
<b>18</b>	Name of Inspecting Officer	Enter the name of the officer that inspected the shipment.  <b>DO NOT</b> enter the name of the data enterer unless it is the same individual.
Acknowledgement of Receipt of Notification	Name of Recipient	Enter the first and last name of the person accepting the EAN. The user <b>MUST</b> have this person print their name next to the signature. The only acceptable entry in this field is the first and last name of the person accepting the EAN. <b>DO NOT</b> enter “On File.”
	Title of Recipient	Enter the title of the person accepting and signing the EAN. Preferably enter name of their company as well. Example: Dispatcher, American Shipping
	Date Signed	Enter the date the EAN was signed and accepted.
<b>19</b> Revocation Notification	Reason for Action Taken*	Enter the reason that the EAN was written. <b>This should match the data entered in block 12.</b>



**TABLE A-1-36: Instructions for Initiating an EAN**

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

**Special Instructions for Infested Vessels Sailing Foreign Without Treatment**

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

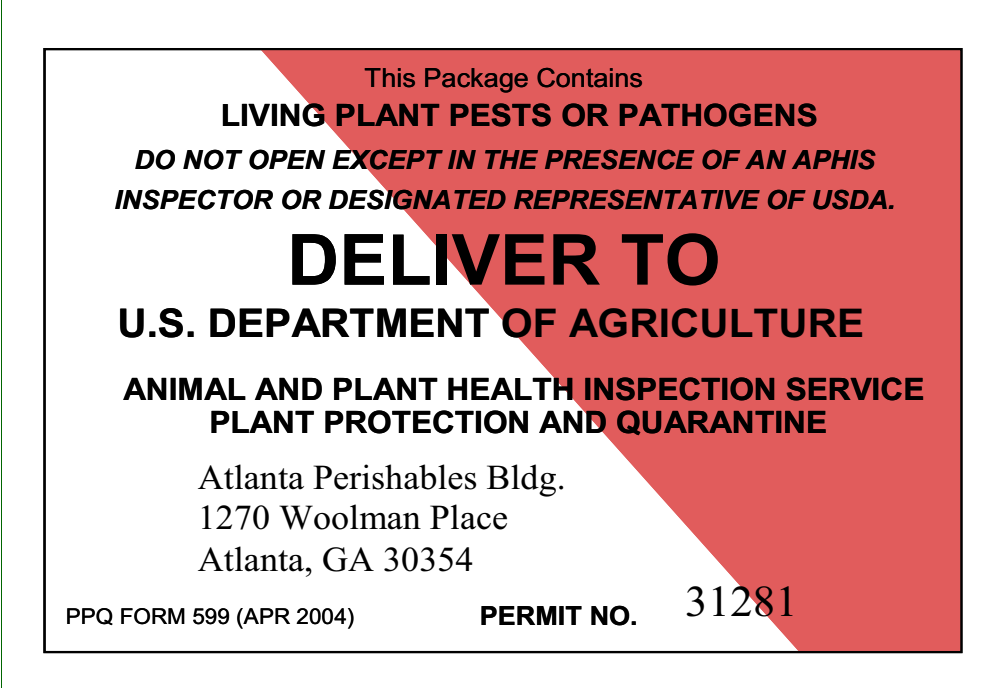
The requirements of the Emergency Action Notification are suspended upon condition that this vessel shall leave the territorial limits of the United States within *[list number]* of hours after receipt of this notice. This vessel shall **not** re-enter any port in the United States unless it has been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

### **Distribution**

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

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

**PPQ Form 599, Red and White Permit Label**




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

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

Atlanta Perishables Bldg.  
1270 Woolman Place  
Atlanta, GA 30354

PPQ FORM 599 (APR 2004)      **PERMIT NO. 31281**

**FIGURE A-1-48: Example of PPQ Form 599, Red and White Label without Bar Code**



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

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

Label # 9      Exp 05/11/2009

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

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

**FIGURE A-1-49: Example of PPQ Form 599, Red and White Label with Bar Code**

## Purpose

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

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

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

## Instructions

Expedite containers with these labels to the APHIS PIS listed on the label (see [Appendix M](#)). No other delivery addresses can appear on the package's exterior unless it matches the address on the PPQ Form 599 label. These packages should only be opened and examined under a Class II biosafety cabinet. If the PPQ Form 599 is addressed to other than an APHIS PIS, contact APHIS Permit Services at 301-851-2046 with the addressing details during business hours, Monday–Friday, 8:00 a.m.–4:30 p.m. ET, or at 301-768-1346 outside business hours.

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

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

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

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



Express Courier companies **must not** conceal PPQ permit labels by placing pouches, stickers, tape, or other material over the permit labels. If this practice is evident, contact APHIS Permit Services at 301-851-2046 with the addressing details during business hours, Monday–Friday, 8:00 a.m.–4:30 p.m. ET, or at 301-768-1346 outside business hours.

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

## VS Form 1-86A, Cleaned, Washed, and Disinfected Tag

<b>U.S. DEPARTMENT OF AGRICULTURE</b> <b>ANIMAL AND PLANT HEALTH INSPECTION SERVICE</b> <b>VETERINARY SERVICES</b> <b>CLEANED, WASHED AND DISINFECTED</b>	
DISINFECTANT	
AT	
DATE	SIGNATURE (VS INSPECTOR)

VS FORM 1—86A (SEP 74) ★ U.S. GPO: 1990-257-814

FIGURE A-1-50: Example of VS Form 1-86A, Cleaned, Washed, and Disinfected Tag

### Purpose

VS Form 1-86A is a tag that is placed on empty semen containers after they are disinfected. The form testifies to the disinfection.

### Instructions

Enter the following information on each tag and attach one tag to each container:

- ◆ Disinfectant used
- ◆ Port where the empty semen containers were disinfected
- ◆ Date of the disinfection
- ◆ Your signature



**Appendix A: Completing and Distributing Forms**  
**VS Form 10-4, Specimen Submission**

**ITEM 12 - Definitions of Diagnostic Case Categories**

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

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

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

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

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

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

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

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

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

**Item 20 - Identification**

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

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

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

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information is 0579-0090. The time required to complete this information collection is estimated to average .5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Agriculture, Clearance Officer, Stop 7602, 1400 Independence Ave., S.W., Washington, DC 20250-7602.

VS 10-4 (Reverse)

**FIGURE A-1-52: Example of VS Form 10-4, Specimen Submission (back) (continued)**



## Purpose

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

## Instructions

See [Table A-1-37](#) to complete the form.

**TABLE A-1-37: Instructions for Completing VS Form 10-4, Specimen Submission**

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



**TABLE A-1-37: Instructions for Completing VS Form 10-4, Specimen Submission**

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

### Distribution

Distribute VS Form 10-4 as directed in [Table A-1-38](#).

**TABLE A-1-38: Distribution of VS Form 10-4, Specimen Submission**

If:	And it:	Then:
Parts 1–3	Includes a specimen sample for identification of disinfectant percentages	SEND using overnight mail to: USDA–APHIS National Veterinary Services Laboratories Chemistry Section PO Box 844 Ames, IA 50010
	Specimen sample is for other than disinfectant percentages	CONSULT with PPQ, VRS at 301/851-2295
Part 4		USDA–APHIS–PPQ–VRS 4700 River Road, Unit 129 Riverdale, MD 20737-1236
Part 5		File

### Results of Tests

The test results will be telephoned or faxed to PPQ, VRS. PPQ, VRS will inform the origination office. Exception: Test results of disinfectant samples will be mailed directly to the port. If test results **other than** for disinfectant are **not** received within 4 working days of submission, contact PPQ, VRS by telephone at 301/851-2295.

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

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

**FIGURE A-1-53: Example of VS Form 16-78, Report of Entry, Shipment of Restricted Imported Animal Products and Animal By-Products, and Other Material**

## Purpose

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



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

## Instructions

Complete VS Form 16-78 (FEB 2002) using the instructions in **Table A-1-39**. Previous editions of the form are obsolete.

**TABLE A-1-39: Instructions for Completing VS Form 16-78, Report of Entry, Shipment, of Restricted Imported Animal Products and Animal By-Products, and Other Material**

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


**TABLE A-1-39: Instructions for Completing VS Form 16-78, Report of Entry, Shipment, of Restricted Imported Animal Products and Animal By-Products, and Other Material (continued)**

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

### Distribution

Distribute VS Form 16-78 as directed in [Table A-1-40](#).

**TABLE A-1-40: Distribution of VS Form 16-78, Report of Entry, Shipment of Restricted Imported Animal Products and Animal Products, and Other Material**

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

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

## VS Form 17-8, Agreement of Pet Bird Owner

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

FIGURE A-1-54: Example of VS Form 17-8, Agreement of Pet Bird Owner

## Purpose

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

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

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

## Instructions

If VS personnel are not readily available to obtain applicable information while the owner is present, then the CBP Agriculture Specialist or CBP Officer will obtain the information and fill in the appropriate blocks on VS Form 17-8 (before the owner has to depart the area). Complete VS Form 17-8 using the instructions in **Table A-1-41** on **page A-1-146**.

**TABLE A-1-41: Instructions for Completing VS Form 17-8, Agreement of Pet Bird Owner**

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

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

## Distribution

Distribute VS Form 17-8 as instructed in [Table A-1-42](#).

**TABLE A-1-42: Distribution of VS Form 17-8, Agreement of Pet Bird Owner**

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





# Appendix B

## *Completing Regulated Garbage Compliance Agreements*

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## Introduction

PPQ Form 519 is used to formalize agreements with caterers, garbage haulers, garbage processors, and other entities responsible for handling or processing regulated garbage. PPQ Form 519 is also used as evidence for violation cases.

A compliance agreement is a signed, written, legal agreement issued by CBP or PPQ to facilities that have been approved by APHIS to handle regulated garbage. The compliance agreement indicates the facility's understanding of methods, conditions, and procedures necessary for compliance with APHIS regulations. Compliance agreements covering regulated garbage handling are in effect indefinitely unless administrative or other changes occur; they **must** be reviewed at least once annually with the establishment. Exceptions are compliance agreements for personnel of cruise ships supervising the offloading of regulated garbage, which are valid for one (1) year from the date of signature, and **must** be renewed yearly. See [Regulated Garbage Approval Process and Compliance Agreements](#) for additional information.

All compliance agreements drafted by CBP for regulated garbage handling **must** be reviewed by PPQ before being presented to the facility for signature, initialing and dating.

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## Regulated Garbage Approval Process and Compliance Agreements

Anyone wishing to handle, haul, or dispose of regulated garbage **must** send a **signed** letter requesting approval to handle regulated garbage to the APHIS Administrator. See [Procedures for New Facilities Requesting Approval to Handle Regulated Garbage](#) for additional information.

### New Technology and Storage

Anyone wishing to use technology other than incineration, sterilization, or grinding into an approved sewage system **must** first receive approval from the APHIS Administrator to use the new technology prior to applying the new technology on regulated garbage. Anyone wishing to use new technology in the handling of regulated garbage **must** send a signed letter requesting approval of the new technology to the APHIS Administrator at the following address:

Administrator  
Animal and Plant Health Inspection Service  
c/o Director, PPQ Quarantine Policy, Analysis and Support  
4700 River Road, Unit 60  
Riverdale, MD 20737

Alternatively, a **signed** letter requesting approval to use new technology on regulated garbage may be sent to the APHIS Administrator by email at the following address:

[PPQ\\_VRS.Regulated.Garbage@aphis.usda.gov](mailto:PPQ_VRS.Regulated.Garbage@aphis.usda.gov)

In the letter, in addition to the actual request, include the following information:

1. A complete and accurate description of the new technology
2. A detailed description of the equipment including information regarding the equipment's ability to generate recording data to support the effectiveness of the equipment in mitigating for foreign plant and animal pests and diseases
3. Scientific evidence that the equipment is capable of preventing the introduction and dissemination of foreign animal and plant pests and diseases via regulated garbage
4. Scientific literature supporting the new technology as capable of eliminating foreign animal disease agents and plant pests in regulated garbage and preventing the introduction and dissemination of foreign animal and plant pests and diseases via regulated garbage

Similarly, any entity wishing to store regulated garbage for more than 72 hours must first receive approval from the APHIS Administrator. Send a signed letter requesting approval to the APHIS Administrator at the following address:

Administrator  
Animal and Plant Health Inspection Service  
c/o Director, PPQ Quarantine Policy, Analysis and Support  
4700 River Road, Unit 60  
Riverdale, MD 20737

Alternatively, a **signed** letter requesting approval to store regulated garbage longer than 72 hours may be sent to the APHIS Administrator by email at the following address:

[PPQ\\_VRS.Regulated.Garbage@aphis.usda.gov](mailto:PPQ_VRS.Regulated.Garbage@aphis.usda.gov)

Include the following information in the request:

1. Name and address of company currently under compliance agreement to handle regulated garbage
2. Length of time that the company above is currently storing regulated garbage
3. Length of time that the company above is requesting to store regulated garbage

4. Justification to support the company's request to store regulated garbage for longer than 72 hours. Please attach supporting documentation (i.e., schedule of the hauling/cartage firm's pick up dates, times and hours of operation; proof that the hauling/cartage firm currently used by the company is the only approved hauling/cartage firm available to haul the regulated garbage).
5. A detailed and accurate description of the type of equipment to be used in the storage of regulated garbage
6. A copy of your existing compliance agreement

### Pre-approval Inspection

After the Administrator has received and reviewed the letter requesting approval to handle regulated garbage (including requests for new technology), representatives from APHIS and/or CBP will be selected to evaluate the applicant's establishment and equipment to determine if the establishment and equipment meets all APHIS requirements. The agency representative responsible for monitoring the compliance agreement **must** physically visit the establishment. The final pre-approval evaluation **must** include:

- ◆ Visiting the applicant's establishment to conduct an evaluation of the establishment and equipment. CBP and PPQ will work together to evaluate airports, caterers, cleaners, cruise ships, fixed base operators, hauling/cartage firms, marinas, military facilities (as appropriate), storage facilities, rail yards, and transfer stations. PPQ has the sole responsibility for stand alone processors **not** located at the ports of entry, such as those associated with caterers, cleaners, fixed base operators, airports, and rail yards. CBP is **not** required to participate in inspections of stand-alone facilities **not** located at the ports of entry.
- ◆ Providing the applicant with a copy of the compliance agreement (PPQ Form 519 and associated relevant Uniform Standards for Compliance Agreements for Regulated Garbage).
- ◆ Reviewing the compliance agreement step-by-step with the applicant to ensure that the establishment understands its obligations and to make sure that the applicant understands the conditions for handling and disposing of regulated garbage specified in the compliance agreement and that the company's procedures are accurately documented. The company's standard operating procedures (SOP) covering regulated garbage handling activities will be included as an addendum to the compliance agreement. As such, the SOP will be legally enforceable.

- ◆ Observing the operation of all equipment for adequacy in handling regulated garbage, including but **not** limited to processing equipment, trucks or other conveyances, garbage containers. New technology **must** be approved by the APHIS Administrator (see [New Technology and Storage](#) on [page B-1-2](#)). All wood surfaces **must** be treated to make them impermeable to liquids.
- ◆ Requiring that cleaning equipment and APHIS authorized disinfectants be carried on all vehicles associated with the moving of regulated garbage and are available in all areas where regulated garbage handling activities occur.
- ◆ For processors, PPQ **must** verify that the sterilizing equipment is capable of heating regulated garbage to an internal temperature of 212 °F for at least 30 minutes, that the incinerator is capable of burning regulated garbage to ash (except glass and metal by policy), or that the grinder is connected directly to an approved sewage system and chops regulated garbage into pieces small enough to easily go down the drain. Sterilizers **must** be calibrated. Incinerators and grinders **must** be observed for compliance. **Note:** Companies or facilities with equipment that does **not** achieve the results required by regulation for processing regulated garbage **cannot** be approved.
- ◆ Confirming that the regulated garbage will be properly handled by reviewing the company SOP and observation of any garbage handling procedures already in place.
- ◆ Reviewing the proposed regulated garbage handling training for company employees. Ensuring the training includes the subject matter required by the compliance agreement template and covers all aspects of the company's garbage handling procedures. Reviewing the proposed training log or record for completeness.
- ◆ Ensuring that the establishment has adequate record keeping procedures for all required records.
- ◆ Advising the applicant that there will be quarterly compliance enforcement visits during the hours of the company's operation. Advising the applicant that some of the quarterly compliance enforcement visits will be unannounced and may take place at any or all of the areas where the company handles regulated garbage.
- ◆ Ensuring that any subcontractors and the designated emergency backup system have been selected. They **must** also be evaluated and listed on the compliance agreement before signing to ensure a subcontractor is **not** on the list of entities suspended or prohibited from handling regulated garbage. The establishment(s) serving as the emergency backup(s) **must** also have a compliance agreement prior to inclusion on the compliance agreement. The backup(s) **must** be capable of handling the company's average regulated garbage workload.

- ◆ Informing the applicant of the consequences of failing to abide by the conditions of the compliance agreement. The company may be required to suspend its garbage handling activities temporarily or permanently and/or the compliance agreement can be cancelled for non-compliance with the terms of the compliance agreement. In addition, a company or person can also be permanently prohibited from handling regulated garbage under any circumstance.
- ◆ Ensuring that the necessary CBP or PPQ resources are available to appropriately monitor the compliance agreement holder. If there are insufficient CBP or PPQ resources available, the facility may **not** be approved. Contact CBP APTL and the APHIS PPQ QPAS Regulated Garbage Program Manager for additional information.

The evaluation process may require multiple visits to the establishment or multiple conference calls between CBP and/or PPQ and the establishment representative to make sure the establishment is ready. After the final pre-approval evaluation is completed, APHIS and/or CBP will prepare a formal report using the Pre-Approval Inspection Worksheet, and make a recommendation for or against USDA approval. The report **must** include all of the required information, calibration records (if sterilizer) and the company's SOP for handling regulated garbage, cleaning and disinfection. Include **only** procedures related to regulated garbage handling. Scan and forward the signed report electronically to the Director, PPQ Quarantine Policy, Analysis and Support at [PPQ\\_VRS.Regulated.Garbage@aphis.usda.gov](mailto:PPQ_VRS.Regulated.Garbage@aphis.usda.gov). Final approval/denial will be communicated in writing by USDA to all parties via an official letter.

If approval to handle regulated garbage is granted by USDA, representatives from APHIS and/or CBP will re-visit the applicant to discuss and sign a compliance agreement (PPQ Form 519, the appropriate Uniform Standards for Compliance Agreements for Regulated Garbage, and all other addenda). All addenda outlining the establishment's procedures including the establishment's SOP **must** also be initialed, dated, and attached to the compliance agreement. The PPQ Form 519 and the appropriate Uniform Standards for Compliance Agreements for Regulated Garbage with addenda issued by CBP **must** be reviewed and approved by APHIS. The applicant will be authorized to handle regulated garbage **only** after receiving the official approval letter from USDA and entering into a compliance agreement (PPQ Form 519 and the appropriate Uniform Standards for Compliance Agreements for Regulated Garbage with addenda) approved by APHIS.



**Do not** issue a compliance agreement until **after** receiving written confirmation that approval to handle regulated garbage has been granted.

## Regulated Garbage Program and Compliance Agreement Roles and Responsibilities

### USDA-APHIS-PPQ-Quarantine Policy, Analysis and Support Regulated Garbage Program

The USDA-APHIS-PPQ-Quarantine Policy, Analysis and Support Regulated Garbage Program is responsible for:

- ◆ Monitoring all requests for approval to handle regulated garbage
- ◆ Reviewing all requests for approval to handle regulated garbage and recommending approval or denial on behalf of the APHIS Administrator
- ◆ Maintaining the Regulated Garbage program under [7 CFR 330.400-403](#) and [9 CFR 94.5](#), including developing national policy and all procedural documents
- ◆ Issuing the official approval or denial letter to all entities handling regulated garbage, including airports, caterers, cleaners, cruise ships, fixed base operators, hauling/cartage firms, marinas, military facilities, processors, storage facilities, rail yards, and transfer stations
- ◆ Developing and maintaining all Uniform Standards for Compliance Agreements templates for use by CBP and PPQ
- ◆ Negotiating regulated garbage issues at the national level or corporate level



APHIS **must** grant official approval **before** a compliance agreement can be issued.

### USDA-APHIS-PPQ Field Operations Personnel

USDA-APHIS-PPQ field operations personnel (including PPQ AQI VMOs) are responsible for:

- ◆ Issuing, monitoring, and maintaining compliance agreements **only** for stand-alone processing facilities **not** located at the port of entry, excluding all caterers, cleaners, FBOs, marinas, rail yards, airports, and military facilities that process regulated garbage, to confirm these facilities are in compliance. These stand alone processors **must** be monitored at least quarterly. All locations are subject to spot inspections.

- ◆ Performing calibrations and assisting with monitoring on a semiannual basis at all processing facilities, including caterers, cleaners, FBOs, marinas, rail yard and airports with sterilizers. Performing evaluations and assisting with monitoring on an annual basis at any of these processing facilities with incinerators or grinders as the primary method of disposal. All locations are subject to spot inspections to ensure that the facilities abide by the conditions stated in the compliance agreement.
- ◆ Working with local CBP to conduct the initial evaluation of airports, caterers, cleaners, cruise ships, fixed base operators, hauling/cartage firms, marinas, military facilities, storage facilities, rail yards, and transfer stations for approval to handle regulated garbage as well as CBP owned and operated equipment
- ◆ Reviewing and approving all hauling/cartage firm interstate routes
- ◆ Reviewing and approving all compliance agreements (PPQ Form 519 and the appropriate Uniform Standards for Compliance Agreements for Regulated Garbage and addenda) prepared by CBP before the compliance agreements are issued. PPQ may also require any documents included or mentioned in the compliance agreement as part of the review.
- ◆ Negotiating with CBP on a local level, as needed, issuing compliance agreements and follow-up monitoring at various facilities under compliance (agreement between CBP and PPQ **must** be documented)
- ◆ Monitoring of garbage handling aboard ocean vessels during boarding **except** those arriving from Hawaii and Puerto Rico<sup>1</sup>

### CBP Field Personnel

CBP field personnel are responsible for:

- ◆ Issuing, monitoring, and maintaining the compliance agreements (PPQ Form 519 and Uniform Standards for Compliance Agreements for Regulated Garbage and addenda) approved by APHIS for airports, caterers, cleaners, cruise ships, fixed base operators, hauling/cartage firms, marinas, military facilities, storage facilities, rail yards, and transfer stations. These facilities **must** be monitored at least quarterly to ensure that the facilities abide by the conditions stated in the compliance agreement. All locations are subject to spot checks. CBP will monitor processing equipment, including record checks, at these facilities to confirm equipment is functioning as required.

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1 Boarding ocean vessels from Hawaii and Puerto Rico may be negotiated between PPQ and CBP at the local level.



- ◆ Working with local PPQ to conduct the initial evaluation of airports, caterers, cleaners, cruise ships, fixed base operators, hauling/cartage firms, marinas, military facilities, storage facilities, rail yards, and transfer stations for approval to handle regulated garbage as well as CBP owned and operated equipment
- ◆ Monitoring military facilities operating under compliance agreements, including conducting the initial evaluation with PPQ, quarterly facility monitoring checks, and semi-annual sterilizer calibrations and annual grinder/incinerator evaluations
- ◆ Monitoring CBP owned and operated incinerators at least annually and calibrating CBP owned and operated sterilizers at least semi-annually to ensure that the incinerator burns to ash and that the sterilizer cooks regulated garbage to an internal temperature of 212 °F for at least 30 minutes. Maintaining records for distribution to APHIS upon request.
- ◆ Providing a copy of all drafted compliance agreements to PPQ for review and working with PPQ to ensure the compliance agreement is properly completed **before** the compliance agreement is signed by the facility
- ◆ Monitoring facilities operating under compliance agreements, excluding the stand-alone processors not associated with a port, to ensure that the facilities abide by the conditions stated in the compliance agreement. These facilities **must** be monitored at least quarterly.
- ◆ Monitoring of garbage handling aboard ocean vessels during boarding, **except** those arriving from Hawaii and Puerto Rico<sup>2</sup>
- ◆ Monitoring entities under compliance agreements for the off loading of garbage for movement to an APHIS-approved facility for sterilization or incineration
- ◆ Monitoring APHIS-approved cartage firms at least quarterly to ensure that those cartage firms deliver the regulated garbage to an APHIS-approved processing facility as stipulated in the APHIS-approved compliance agreement
- ◆ Negotiating with PPQ on a local level, as needed, issuing compliance agreements and follow-up monitoring at various facilities under compliance (agreement between CBP and PPQ **must** be documented)



APHIS **must** grant official approval before a compliance agreement can be issued.

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2 Boarding ocean vessels from Hawaii and Puerto Rico may be negotiated between PPQ and CBP at the local level.

## Emergency Backup Systems

It is essential that provisions exist for an alternative method to process or handle regulated garbage in case the primary processing equipment or facility fails or if the compliance agreement holder is otherwise unable to perform their regulated garbage handling duties. Backup systems are **not** for routine use but are initiated in cases of emergency or other non-routine situations. These systems **must** provide for each facet of the establishment's regulated garbage handling activities as appropriate.

Alternative sources for processors may include hospitals, city-owned facilities, and any other locations that have the capability to sterilize or incinerate regulated garbage. Backup systems for caterers or cleaners may include the use of other catering or cleaning companies located at the same or nearby airports. Cartage firms **must** provide information on companies that will be available to pick up and transport regulated garbage in case the primary firm is unable to do so. Companies may use other facilities within their own company network as the backup provider.

### EXAMPLE

Company A's Facility #152 may serve as emergency back-up for Company A's Facility #167.

For example, airline cleaners **must** have a back-up entity that can meet and clean the plane in the event that they cannot, and a back-up hauler or caterer that can pick up the regulated garbage from them, in the event that their primary caterer is unavailable. Caterers **must** have a back-up plan for what entity will meet and de-cater the plane in the event that they cannot, and a back-up plan for processing regulated garbage in the event that their on-site processor or primary processing company is unavailable to. This includes an APHIS approved hauler that can pick up the regulated garbage at the catering establishment and transport it to the back-up processor. Regulated garbage haulers **must** have a back-up entity that can haul the regulated garbage in the event that they cannot, and a back-up processor that they can haul the regulated garbage to in the event that the primary processor is unable to accept or process their regulated garbage. Fixed Base Operators if unwilling to refuse the aircraft, **must** have a back-up plan for who will meet the plane and safeguard the regulated garbage in the event that their trained ground crew is unavailable to, and a back-up hauler and/or processor that can haul and/or process the regulated garbage collected by them, in the event that their primary hauler/processor cannot.

All emergency backup facilities **must** be approved by APHIS and operate under a compliance agreement approved by APHIS prior to being included as a backup system. All necessary contracts and agreements between participating establishments **must** be in place prior to inclusion in compliance agreements as emergency backup systems. The backup facilities **must** be capable of handling the average load of the primary facility. Disposal facilities also provide information on how unprocessed regulated garbage will be removed and transported from the primary facility to the backup facility.

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### Completing a Compliance Agreement (PPQ Form 519)

The compliance agreement indicates the facility's understanding of methods, conditions, and procedures necessary for compliance with APHIS regulations. It provides instruction to the establishment management and staff regarding the requirements under APHIS regulations and policies.

Before a compliance agreement can be issued to an establishment, the establishment **must** be approved to handle regulated garbage by the APHIS Administrator.

After the establishment has received the official letter from USDA granting the establishment APHIS approval to handle regulated garbage, CBP or PPQ will re-visit the establishment to sign, initial and date the compliance agreement (PPQ Form 519 and the appropriate Uniform Standards for Compliance Agreements for Regulated Garbage and all associated addenda) that has been previously reviewed and approved by APHIS. At this time, the official calibration or observation of the processing equipment is done to start the clock on the biannual calibrations of sterilizers or verifications of grinders and incinerators, if necessary. The compliance agreement is valid from the Date of Agreement (PPQ Form 519, Box 10). The Date of Agreement **must** be the same date as the date of the last signature signed on the agreement.

**EXAMPLE**

If the CBP Port Director or designee signs on January 5, 2011 and the compliance agreement holder signs on January 9, 2011, then January 9, 2011 is the date of the agreement.

After the APHIS approved compliance agreement has been signed, initialed, and dated, then the original compliance agreement and all associated addenda must be maintained in the files of the originating office. See the [CBP-APHIS National SOP for Regulated Garbage](#).

## Compliance Agreement Distribution

After USDA-APHIS-PPQ has approved the compliance agreement (PPQ Form 519 and appropriate Uniform Standards for Compliance Agreements for Regulated Garbage with addenda), after PPQ Form 519 has been signed and dated, and after all pages of the appropriate Uniform Standards for Compliance Agreements for Regulated Garbage addenda have been initialed and dated, the original compliance agreement (PPQ Form 519 and appropriate Uniform Standards for Compliance Agreements for Regulated Garbage) is retained by CBP or PPQ.

The company **must** provide a copy of the signed compliance agreement to APHIS-PPQ-QPAS headquarters within 45 days of receipt of the approval letter by email at:

[PPQ\\_VRS.Regulated.Garbage@aphis.usda.gov](mailto:PPQ_VRS.Regulated.Garbage@aphis.usda.gov)

**or** by fax at: (301) 734-8538.

Companies that **do not** provide a copy of the signed compliance agreement to the APHIS Regulated Garbage Program within the required time frame are subject to having their approval cancelled.

If the compliance agreement is issued, monitored, and maintained by CBP, then CBP **must** retain the original compliance agreement for filing in the originating office. A copy of the entire compliance agreement (PPQ Form 519 and appropriate Uniform Standards for Compliance Agreements for Regulated Garbage and addenda) **must** be posted on the CBP SharePoint site for compliance agreements/regulated garbage. CBP **must** also provide the appropriate State Plant Health Director and other CBP offices serviced by the compliance agreement holder with a copy of the compliance agreement.

If the compliance agreement is issued, monitored, and maintained by PPQ, then PPQ **must** retain the original compliance agreement for filing. PPQ **must** also provide the appropriate State Plant Health Director and the office of the CBP Director of Field Operations in which the compliance agreement holder is located with a copy of the compliance agreement.

The responsible agency **must** maintain the original signed compliance agreement and all associated documents (including enforcement visit reports, checklists changes to the compliance addenda, etc.) in the local office files for five years. These records may be required for use in future violations. See the [CBP-APHIS National Standard Operating Procedure – Regulated Garbage](#) for additional information.

## Compliance Agreement Annual Review

There are **no** inactive compliance agreements covering regulated garbage. Companies with compliance agreements **must** be monitored at least quarterly unless exempted by APHIS headquarters.



You should ensure that there are **no** changes at the company that would result in the compliance agreement being voided. If an establishment has a compliance agreement (i.e. the compliance agreement has **not** been relinquished voluntarily or cancelled), then review compliance agreement(s) with the establishment management during an enforcement visit at least once annually. Complete the **Checklist for the Annual Review of Compliance Agreement**. In addition, make a notation of the annual review in Block #5 of the existing PPQ Form 519, including the date. Also note the review in the Comments section of the **Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage**. The original **Checklist for the Annual Review of Compliance Agreement** **must** be completed, signed and attached to the existing compliance agreement to document all reviews regardless if a new compliance agreement or a new approval is required. All addenda **must** be initialed and dated with the newer date. Provide copies to the establishment management. Amend compliance agreements as appropriate.

The compliance agreement **must** also include the most current Uniform Standards for Compliance Agreements covering the establishment's regulated garbage handling activities. Other management changes in the local signatory on the compliance agreement such as a new plant manager or a minor change in procedures, may **only** require a new PPQ Form 519 Uniform Standards for Compliance Agreements or a new addendum (see **Table B-1-1** on **page B-1-14**).

The following situations or events may invalidate the compliance agreement and result in cancellation of USDA APHIS approval and/or may require re-application for USDA APHIS approval: new company ownership, new location, new type of equipment, new name, new subcontracting companies, significant procedural changes, etc. The facility **must** notify QPAS Headquarters at (301) 851-2295 or by email at [PPQ\\_VRS.Regulated.Garbage@aphis.usda.gov](mailto:PPQ_VRS.Regulated.Garbage@aphis.usda.gov) in addition to notifying the local CBP or PPQ office.

The facility may be required to suspend regulated garbage handling activities, until the company has asked for and received new approval from APHIS, unless under the direct supervision of agency personnel (CBP or PPQ) responsible for monitoring the facility and to initiate a new request for approval to handle regulated garbage. The approval to handle regulated garbage **must** be granted by USDA APHIS prior to resuming garbage handling operations under the new conditions at the facility.

**TABLE B-1-1: Determine if a New Approval or a New Compliance Agreement is Required**

If:	And:	Then:
Any of the following events have taken place: ♦ Change in company ownership ♦ New name ♦ New location ♦ New subcontractor ♦ New type of equipment ♦ Significant procedural changes	You determine these changes are sufficient to require a new approval	1. REQUIRE the company to cease regulated garbage handling activities 2. HAVE establishment initiate the back-up system and inform its customers at all impacted locations 3. REQUIRE the company to contact QPAS to request new approval
	You determine these changes <b>do not</b> require a new approval	CONTACT your local AQI VMO or QPAS at (301) 851-2295 for guidance before proceeding
The local establishment signing official changes (i.e. a new plant manager)	You determine these changes are sufficient to void the current compliance agreement but <b>do not</b> require a new approval	COMPLETE a new PPQ Form 519 and have the new contact initial and date the existing Uniform Standards for Compliance Agreements and all addenda
The Uniform Standard has been updated since the original Compliance Agreement or last review		COMPLETE a new PPQ Form 519 and a new Uniform Standards for Compliance Agreements for the appropriate regulated garbage handling activity
Any minor changes have taken place at the establishment such as minor procedural changes, new manager for the site, etc.	You determine these changes are sufficient to void the current compliance agreement but <b>do not</b> require a new approval	1. COMPLETE a new Uniform Standards for Compliance Agreements or a new addendum detailing the minor change(s) 2. COMPLETE a new PPQ Form 519 if necessary
	You cannot determine if the changes void the compliance agreement and/or require a new approval	CONTACT your local AQI VMO or QPAS at (301) 851-2295
<b>No</b> changes have taken place at the establishment		The current PPQ Form 519, Uniform Standards for Compliance Agreements and addenda remain in effect until the next annual review

## Voluntary Relinquishment of a Compliance Agreement

Any establishment may voluntarily relinquish their Compliance agreement(s) for any reason. If an establishment wishes to cease regulated garbage handling activities and relinquish their compliance agreement(s), the establishment **must** advise the United States Department of Agriculture, Animal and Plant Health Inspection Service (USDA-APHIS). An authorized representative of the establishment **must** write a letter to the APHIS Administrator indicating that the establishment is voluntarily relinquishing the compliance agreement(s) for handling regulated garbage.

The establishment **must** also contact the local USDA-APHIS-PPQ or CBP personnel responsible for maintaining and monitoring the current compliance agreement(s) for handling regulated garbage that the establishment holds, and notify them of the establishment's intent to relinquish their compliance agreement(s). PPQ and CBP should notify all impacted agency locations per the [CBP-APHIS National Standard Operating Procedure – Regulated Garbage](#).

In addition, the establishment **must** notify all of their customers affected by the voluntary relinquishment of the compliance agreement(s) of the establishment's change in status.

The establishment should email the relinquishment letter and any attachments to [PPQ\\_VRS.Regulated.Garbage@aphis.usda.gov](mailto:PPQ_VRS.Regulated.Garbage@aphis.usda.gov). Include "Relinquishment of Compliance agreement" in the subject line of the email.

Alternatively, the establishment can send the relinquishment letter and any attachments by mail to:

Administrator  
Animal and Plant Health Inspection Service  
c/o Director, PPQ Quarantine Policy, Analysis and Support  
4700 River Road, Unit 60  
Riverdale, MD 20737

The following information should be included in the letter:

1. Establishment name
2. Establishment address and phone number
3. Compliance agreement number of the most recent compliance agreement being relinquished
4. Date on the most recent compliance agreement being relinquished

5. Name and title of signatory (this person **must** be an authorized representative for the establishment wishing to relinquish the compliance agreement, and be vested with the authority to make decisions on behalf of the establishment).
6. A statement indicating that the signatory is an authorized representative of the establishment, and is vested with the authority to make decisions on behalf of the establishment, and that the establishment wishes to relinquish their compliance agreement to handle regulated garbage.

The statement should also indicate that the signatory understands that upon relinquishment of the compliance agreement, the establishment is no longer authorized to handle regulated garbage, to include collecting, transporting, or processing regulated garbage, as defined in Title 7 Code of Federal Regulations 330.400 - 330.403 and Title 9 Code of Federal Regulations 94.5.

The statement should indicate that the signatory understands that any person who knowingly violates the Plant Protection Act (PPA) (7 U.S.C. §§ 7701 et. seq.) and/or the Animal Health Protection Act (AHPA) (7 U.S.C. §§ 8301 et. seq.) may be criminally prosecuted and found guilty of a misdemeanor which can result in penalties, a one-year prison term, or both. Additionally, any person violating the PPA and/or the AHPA may be assessed civil penalties of up to \$250,000 per violation or twice the gross gain or gross loss for any violation that results in the person deriving pecuniary gain or causing pecuniary loss to another, whichever is greater.

The statement **must** indicate that the signatory understands that in the future, if the establishment is interested in handling regulated garbage, the establishment **must** contact USDA-APHIS headquarters to re-apply for USDA-APHIS approval to handle regulated garbage and complete USDA APHIS's 3-Step Approval Process.

7. Authorized Representative's signature
8. Date of signature

A copy of the most recent compliance agreement **must** be attached to the relinquishment letter.

If sending the establishment is sending the relinquishment letter by electronically to the Administrator, the original signed letter **must** be provided to the local PPQ or CBP office responsible for maintaining and monitoring the compliance agreement for their files.



## Suspending Regulated Garbage Handling Activities Covered by a Compliance Agreement

The action of suspending regulated garbage handling activities may be taken whenever CBP or PPQ finds that the establishment who has entered into a compliance agreement has failed to comply with the terms of the compliance agreement. Suspension is the temporary withdrawal of authorization to conduct regulated garbage handling activities as outlined in a CA, unless such regulated garbage activities are carried out under direct supervision by CBP or PPQ personnel, pending corrective action and written authorization to resume activities. A suspension may be a precursor to the cancellation of the compliance agreement or, depending on the severity of the violation, a suspension may last **only** the length of time needed to correct the violation. Consult the local AQI VMO for guidance. The establishment may continue business practices **not** related to regulated garbage.

The suspension can be delivered orally but **must** be followed by a written letter of suspension. If required to do so, the establishment **must** immediately cease their regulated handling activities and activate their back-up system. In addition, the establishment **must** also contact its customers to alert them to the change in status and procedures. The establishment may be required to safeguard or arrange for removal any regulated garbage in their possession depending on possible length of the suspension. See the [CBP-APHIS National Standard Operating Procedure – Regulated Garbage](#).

If the compliance agreement is **not** going to be canceled, in order to resume activities, the establishment **must** remedy the violation and be inspected for compliance, unless all regulated garbage handling activities are conducted under the direct supervision of CBP or PPQ. If a recommendation has been made to cancel a compliance agreement, **only** QPAS may authorize the resumption of regulated garbage handling activities.

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## Compliance Agreement Cancellation Procedures

If the violation is serious enough or is repeated multiple times, CBP or PPQ may recommend cancellation of the compliance agreement. Although the regulations provide authority for CBP or PPQ officers to orally cancel any compliance agreement, CBP and PPQ have established a protocol for canceling of all compliance agreements. See the [CBP-APHIS National Standard Operating Procedure – Regulated Garbage](#) for additional information.

Immediately suspend the regulated garbage handling activities, verify the regulated garbage is safeguarded, and ensure the emergency back-up system has been initiated. Document the violation for IES and QPAS (see **Violations**). The establishment **must** immediately inform its regulated garbage customers of the change in their status.

Upon notification of the recommendation for cancellation, QPAS will consult the USDA Office of General Council (OGC) for review and approval. After approval, QPAS, on behalf of the APHIS Administrator, will issue an official compliance agreement cancellation letter to the establishment. Depending on the severity of noncompliance, all compliance agreements held by the establishment at the identified location may be cancelled.

The establishment whose compliance agreement has been canceled may appeal the decision, in writing, within 10 days after receiving written notification of the cancellation. The appeal **must** state all of the facts and reasons upon which the establishment relies to show that the compliance agreement was wrongfully cancelled. As promptly as circumstances allow, APHIS Headquarters will grant or deny the appeal in writing, stating the reasons for the decision.

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## Prohibiting the Handling of Regulated Garbage

Where a compliance agreement is denied or canceled, an establishment or person who entered into or applied for the compliance agreement may be prohibited, at the discretion of the Administrator, from handling or disposing of regulated garbage. Companies that have committed very serious violations or multiple violations may be permanently prohibited from handling regulated garbage. Once prohibited, the establishment or person cannot handle regulated garbage for any reason under any circumstances.



Establishments with compliance agreements that have been cancelled and establishments or persons that have been prohibited from handling regulated garbage will be listed on the APHIS website. Establishments with compliance agreements that have been suspended will be listed on the APHIS website for the duration of their suspension.

## Determining Which Standards to Use

Use **Table B-1-2** on **page B-1-21** to determine which Uniform Standard for Compliance Agreements to use for the compliance agreement. Use **Table B-1-3** on **page B-1-22** to determine which which agency should issue the compliance agreements and how many compliance agreements/addenda are required. All compliance agreements **must** be filled out completely. All pages of the compliance agreement and all pages of the appropriate Uniform Standard for Compliance Agreements for Regulated Garbage **must** be signed or initialed, as appropriate, and dated.

Use the most current approved version of PPQ Form 519. Fillable [pdf](#) and [Word](#) versions of this form are available. **Do not** create your own PPQ Form 519. **Do not** delete any information in the Uniform Standards for Compliance Agreements for Regulated Garbage. Instead, cross out or line through information **not** applicable to the specific facility. Use an addendum if major additions to the Uniform Standards for Compliance Agreements are needed. The company/facility SOP **must** be attached to the compliance agreement as an addendum.

If one company/facility provides multiple services and/or provides services to multiple entities within one Area Port, then consolidate all appropriate Uniform Standards templates under one single PPQ Form 519, and make the appropriate notation of the types of services in box #5 of PPQ Form 519. There **must** be **only** one PPQ Form 519 per company/facility even if it services more than one port.

### EXAMPLE 1

If a company/facility has been approved by USDA as a cartage firm and as a caterer, then the Compliance Agreement packet **must** include one PPQ Form 519, the Uniform Standards for Compliance Agreements for Cartage Firms/Establishments, and the Uniform Standards for Compliance Agreements for Catering Establishments.

### EXAMPLE 2

If a company/facility has multiple locations within a Field Office/Area Port and if each location has been approved by USDA as a cartage firm and as a caterer, then each location **must** have a PPQ Form 519, the Uniform Standards for Compliance Agreements for Cartage Firms/Establishments, and the Uniform Standards for Compliance Agreements for Catering Establishments.

If any cartage firm transports regulated garbage through multiple Field Offices, the Compliance Agreement packet is prepared by the Field Office where the cartage firm is located. The packet will **only** include one Compliance Agreement. The Compliance Agreement attachment will include all sites and routes, including routes through all Field Offices areas/territories that have been approved by PPQ. The Field Office's office where the cartage firm is located retains the original documents. A copy of the cartage firm's Compliance Agreement packet **must** be sent to each DFO designee and PPQ designee where the cartage firm will operate.

Review compliance agreements with the facility management during an enforcement visit at least once annually. Complete the Checklist for the Annual Review of Compliance Agreement and note the review in the remarks section of the ***Checklist for Monitoring Compliance Agreement Holders Handling Regulated Garbage***. Note all parties that were present at the review. Attach the original checklist to the original compliance agreement in your files. Provide a copy to the PPQ State Plant Health Director (and the CBP Director of Field Operations office) per the distribution of the original compliance agreement. Amend compliance agreements as appropriate.<sup>3</sup> A new compliance agreement **must** be issued no later than the anniversary of the Date of Agreement (Box #10 of PPQ Form 519) using the most recent version of the appropriate Uniform Standards for Compliance Agreements template if the template was revised after the compliance agreement was signed.

Revisions to the compliance agreement **must** be made if there are any administrative or operational changes at the facility that would invalidate the compliance agreement.<sup>3</sup> The required revisions to the compliance agreement and/or associated addenda **must** be made just prior to or as soon as the facility's changes occur.

The following situations or events may void the compliance agreement and result in cancellation of APHIS approval and/or may require re-application for APHIS approval: new company ownership, new name, new location, new type of processing equipment, new subcontracting companies, significant procedural changes, etc. If there are changes at the company or facility that could possibly void the compliance agreement, see **Table B-1-1** on **page B-1-14**. The company is responsible for immediately notifying the local PPQ or CBP office responsible for monitoring their activities of any of the above changes. The company **must** also notify QPAS at (301) 851-2295 or by email at [PPQ\\_VRS.Regulated.Garbage@aphis.usda.gov](mailto:PPQ_VRS.Regulated.Garbage@aphis.usda.gov) of any of the above changes. In addition, the company **must** notify its customers of the change in status.

The facility may be required to suspend regulated garbage handling activities and initiate their emergency back-up system unless working under the direct supervision of CBP or PPQ. The facility **must** initiate a new request for approval to handle regulated garbage. The approval to handle regulated garbage **must** be granted by APHIS prior to resuming garbage handling operations under the new conditions at the facility.

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- <sup>3</sup> Change the compliance agreement when any of the following events take place:
- ◆ The local company management changes and the original signatory is replaced
  - ◆ The sterilizer is recalibrated/new standards for settings are developed (can be accomplished with an addendum to the compliance agreement)
  - ◆ Other minor procedural changes occur

**TABLE B-1-2: Determine Which Standards to Use for Compliance Agreement**

If the compliance agreement is with a:	Then:
Caterer	See <a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Catering Establishments</a> on <a href="#">page B-1-23</a>
Garbage hauler or cartage firm	See <a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Cartage Firms/Establishments</a> on <a href="#">page B-1-24</a>
Processing establishment	See <a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Processing Establishments</a> on <a href="#">page B-1-25</a>
Aircraft cleaning establishment	See <a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Aircraft Cleaning Establishments</a> on <a href="#">page B-1-26</a>
Cruise ship with Caribbean, Mexico or Bermuda itinerary supervising the off-loading of regulated garbage	<a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries that are Supervising the Landing of Garbage</a> on <a href="#">page B-1-27</a>
Cruise ship with Caribbean, Mexico or Bermuda itinerary <b>not</b> supervising the off-loading of regulated garbage	See <a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries — Passenger Education</a> on <a href="#">page B-1-29</a>
Military base/facility	See <a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Military Base/Installation</a> on <a href="#">page B-1-31</a>
Fixed base operator	See <a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Fixed Base Operators (FBO)</a> on <a href="#">page B-1-32</a>
Storage facility	See <a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Storage Establishments</a> on <a href="#">page B-1-33</a>
Rail yard on U.S./Mexico Border	See <a href="#">Uniform Standards for Compliance Agreements for Regulated Garbage — Freight Trains that Transit the Border between the United States and Mexico</a> on <a href="#">page B-1-34</a> <sup>1</sup>

1 Uniform Standards are currently under development.

**TABLE B-1-3: Compliance Agreement Requirements for Regulated Garbage**

COMPLIANCE AGREEMENT REQUIREMENTS FOR REGULATED GARBAGE (Rev. 11/13/12)										
Type of CA Holder	Required Number of CAs	US for Aircraft Cleaning Firms	US for Caterers	US for Cartage Firms	US for Cruise Ships	US for Fixed Base Operators	US for Military Bases	US for Rail (Freight/Southern Border)	US for Regulated Garbage Processing	US for Storage Facilities
AIRCRAFT CLEANING FIRMS	1	CBP								
	2	CBP		CBP						
	3	CBP		CBP					CBP <sup>1</sup>	
CARTAGE FIRMS	1			CBP						
	2			CBP					PPQ	
CATERERS	1		CBP							
	1		CBP <sup>1</sup>							
	2		CBP <sup>1</sup>	CBP						
PROCESSORS OTHER THAN MILITARY BASES	1								CBP or PPQ <sup>2</sup>	
	2			CBP					PPQ	
CRUISE SHIPS (Passenger Education or Landing Regulated Garbage)	1				CBP					
	1					CBP				
FIXED BASE OPERATORS	1					CBP				
	2					CBP			CBP <sup>1</sup>	
MILITARY BASES	1 or 2 <sup>3</sup>						CBP		CBP <sup>3</sup>	
	1							CBP <sup>4</sup>		
STORAGE FACILITIES	1									CBP

<sup>1</sup>PPQ is responsible for calibrating sterilizers biannually and evaluating grinders/incinerators annually for effectiveness at these facilities; the processing requirements will be incorporated in an addendum under the compliance agreement with CBP as needed. PPQ must be a signatory on these CAs as the other federal government official.

<sup>2</sup>PPQ is responsible for calibrating sterilizers and evaluating grinders/incinerators at all facilities. CBP is responsible for issuing and monitoring compliance agreements for on-port and port associated facilities. PPQ must also sign these compliance agreements. PPQ issues and monitors the compliance agreements for facilities not associated with the port.

<sup>3</sup>CBP is responsible for calibrating sterilizers and evaluating grinders/incinerators on military bases for effectiveness at these locations after initial calibration/evaluation by PPQ; the processing requirements will be incorporated in an addendum under the compliance agreement with CBP.

<sup>4</sup>If rail company performs other regulated garbage handling activities, those activities must be covered in an addendum to the compliance agreement. Consult your local AQI VMO for assistance.

NOTE: No compliance agreement is required for CBP owned and operated equipment. CBP is still subject to the regulatory requirement of being approved by the APHIS Administrator. In addition, when all CAs for one location are issued by one Agency, any additional Uniform Standards for CAs may be combined with the primary Uniform Standards for CAs under one PPQ Form 519. Consult the local AQI VMO for assistance.

IMPORTANT: Consult the local AQI VMO if requirements for a CA are not noted above.

CA - Compliance Agreement US - Uniform Standards for CAs Issued By: Customs and Border Protection (CBP) or Plant Protection and Quarantine (PPQ)

## Uniform Standards for Compliance Agreements for Regulated Garbage — Catering Establishments

Use the Uniform Standards for Compliance Agreements for Garbage—Caterers with a catering establishment. The uniform standards for compliance agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in [7 CFR 330.400–330.403](#) or [9 CFR 94.5](#)) and serve as an attachment to [PPQ Form 519](#). Attach these uniform standards to any compliance agreement ([PPQ Form 519](#)) you execute with any catering establishment.

Fill in appropriate information where required. Cross out or line through information **not** applicable to the specific establishment. **Never** line through any information prior to Section I. Regulated Garbage Handling Procedures. **Do not** delete any part of the uniform standards. Attach as an addendum the establishment's standard operating procedures (SOP) covering all procedures for handling regulated garbage.

Attach other addenda to the compliance agreement ([PPQ Form 519](#)) to document any additional information that is **not** already included elsewhere. For example, if the establishment also transports regulated garbage outside of port property also attach an addendum including the appropriate operational and back-up system sections of the [Uniform Standards for Compliance Agreements for Regulated Garbage — Cartage Firms/Establishments](#). Local APHIS **must** also sign the compliance agreements ([PPQ Form 519](#)) for catering establishments that process regulated garbage.



CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).

## Uniform Standards for Compliance Agreements for Regulated Garbage — Cartage Firms/Establishments

Use the Uniform Standards for Compliance Agreements for Compliance Agreements for Regulated Garbage — Cartage Firms/ Establishments with any establishment that transports regulated garbage outside of port property. The Uniform Standards for compliance agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in [7 CFR 330.400–330.403](#) or [9 CFR 94.5](#)) and serve as an attachment to [PPQ Form 519](#). Attach these Uniform Standards to any compliance agreement ([PPQ Form 519](#)) you execute with any establishment transporting regulated garbage outside of port property.

For establishments transporting regulated garbage within port property, use the appropriate Uniform Standards for Compliance Agreements for the primary regulated garbage handling activity.

Fill in appropriate information where required. Cross out or line through information **not** applicable to the specific establishment. **Never** line through any information prior to Section I, Regulated Garbage Handling Procedures. **Do not** delete any part of the uniform standards. (Note: the deletion of instructions in *italics* is allowed). Attach as an addendum the establishment's standard operating procedures (SOP) covering all procedures for handling regulated garbage.

Attach other addenda to the compliance agreement ([PPQ Form 519](#)) to document any additional information that is **not** already included elsewhere. If the cartage firm/establishment hauls regulated garbage from maritime vessels, seized cargo or other similar materials and these materials are **not** easily contained in a routine manner (i.e. 3 mil plastic bags), then procedures for hauling these materials and the manner of containment **must** be approved by APHIS and included in an addendum.

If the establishment is associated with the port (for example, a caterer or an aircraft cleaner) and conducts other regulated garbage activities, be sure to attach as an addendum, the appropriate operational and back-up system sections of the applicable Uniform Standards for Compliance Agreements to the compliance agreement ([PPQ Form 519](#)).

Compliance agreements for cartage firms/establishments **not** associated with the port, that also process regulated garbage, will have two separate compliance agreements: one issued by APHIS covering the processing activities related to regulated garbage and one issued by CBP covering the hauling activities related to regulated garbage.



Cartage firms/establishments that will be providing continual direct oversight of the off-loading of regulated garbage by non company personnel such as stevedores, long shore men and/cruise ship personnel, **must** acknowledge that they are accepting responsibility for all activities related to the off-loading of regulated garbage in an addendum to their compliance agreement.

**NOTICE**

CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).

## Uniform Standards for Compliance Agreements for Regulated Garbage — Processing Establishments

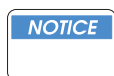
Use the Uniform Standards for Compliance Agreements for Compliance Agreements for Regulated Garbage — Processing Establishments as an attachment to any compliance agreement ([PPQ Form 519](#)) you complete with an establishment that processes regulated garbage. The **only** approved methods for processing regulated garbage include sterilization at an internal temperature of 212 °F for 30 minutes, incineration to an ash (except glass and metal, by policy), and grinding into an APHIS approved sewage system as the primary processing method. The Uniform Standards for Compliance Agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in [7 CFR 330.400 – 330.403](#) or [9 CFR 94.5](#)) and serve as an attachment to [PPQ Form 519](#). Attach these Uniform Standards to any compliance agreement ([PPQ Form 519](#)) you execute with a processing establishment.

Fill in appropriate information where required. Cross out or line through information **not** applicable to the specific establishment. **Never** line through any information prior to Section I, Regulated Garbage Handling Procedures. **Do not** delete any part of the Uniform Standards. (Note: the deletion of instructions in *italics* is allowed). Attach as an addendum the establishment's standard operating procedures (SOP) covering all procedures for handling regulated garbage.

Attach other addenda to the compliance agreement (PPQ Form 519) to document any additional information that is **not** already included elsewhere. If the processing establishment is associated with the port (for example, an airport with a sterilizer or maritime port with an incinerator) also hauls regulated garbage, attach as an addendum, the appropriate operational and back-up system sections of the applicable Uniform Standards for Compliance Agreements. If the processor is receiving regulated garbage from maritime vessels, seized cargo or other similar materials and these materials are **not** easily contained in a routine manner (i.e. 3 mil plastic bags), then procedures for handling these materials and the manner of containment **must** be approved by APHIS and included the SOP or another addendum.

The local PPQ office that is responsible for calibrating the processing equipment at any establishment associated with a port of entry, **must** also sign the compliance agreement (PPQ Form 519) for the establishment with CBP. The exceptions are compliance agreements issued for military bases/installations processing regulated garbage.

Compliance agreements for processing establishments **not** associated with a port of entry, that also haul regulated garbage, will have two separate compliance agreements: one issued by APHIS covering the processing activities related to regulated garbage, and one issued by CBP covering the hauling activities related to regulated garbage.



CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).

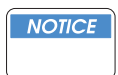
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## Uniform Standards for Compliance Agreements for Regulated Garbage — Aircraft Cleaning Establishments

Use the Uniform Standards for Compliance Agreements for Regulated Garbage — Aircraft Cleaning Establishments as an attachment to any compliance agreement (PPQ Form 519) you complete with an aircraft cleaning establishment. The Uniform Standards for compliance agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in [7 CFR 330.400 – 330.403](#) or [9 CFR 94.5](#)) and serve as an attachment to [PPQ Form 519](#). Attach these Uniform Standards to any compliance agreement (PPQ Form 519) you execute with an aircraft cleaning establishment.

Fill in appropriate information where required. Cross out or line through information **not** applicable to the specific establishment. **Never** line through any information prior to Section I, Regulated Garbage Handling Procedures. **Do not** delete any part of the Uniform Standards. (Note: the deletion of instructions in *italics* is allowed). Attach as an addendum the establishment's standard operating procedures (SOP) covering all procedures for handling regulated garbage.

Attach other addenda to the compliance agreement ([PPQ Form 519](#)) if any additional information that is **not** already included is required. If the aircraft cleaning establishment is also processing or hauling regulated garbage, attach as an addendum, the appropriate operational and back-up system sections of the applicable Uniform Standards for Compliance Agreements.



CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).

## Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries that are Supervising the Landing of Garbage

Use the Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries that are Supervising the Landing of Garbage as an attachment to any compliance agreement ([PPQ Form 519](#)) you execute with cruise ships with Bermuda, Caribbean, or Mexico itineraries that are going to provide continual direct oversight of the landing of regulated garbage as required by APHIS. The landing of regulated garbage is overseen by cruise ship personnel without direct supervision by CBP or by an employee of a company (such as a hauler) holding a valid compliance agreement to do so. The cruise ship accepts responsibility for all activities related to the off-loading of regulated garbage by cruise ship personnel and/or non-cruise ship personnel such as stevedores or long shore men.

The Uniform Standards for compliance agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in [7CFR 330.400 – 330.403](#) or [9CFR 94.5](#)) and serve as an attachment to [PPQ Form 519](#). Attach these Uniform Standards to any compliance agreement ([PPQ Form 519](#)) you execute with an a cruise ship with Bermuda, Caribbean, or Mexico itineraries that will directly oversee the landing of regulated garbage as required by APHIS. **Do not** issue a compliance agreement for any cruise ships that **do not** have Bermuda, Caribbean, or Mexico itineraries or for any other type of maritime vessel.

**Only one** compliance agreement ([PPQ Form 519](#)) should be issued for each cruise ship with Bermuda, Caribbean, or Mexico itineraries that will directly oversee of the landing of regulated garbage without supervision by CBP or an employee of another company holding a valid compliance agreement to do so. The compliance agreement will be issued by CBP located at the home U.S. port of entry.

Fill in appropriate information where required. Cross out or line through information **not** applicable to the specific cruise ship. **Never** line through any information prior to Section I, Regulated Garbage Handling Procedures. **Do not** delete any part of the Uniform Standards. (Note: the deletion of instructions in *italics* is allowed).

Attach other addenda to the Uniform Standards to document any additional information that is **not** already included elsewhere. Mandatory addenda include the cruise ship's standard operating procedures (SOP) for handling regulated garbage, a list of the U.S. ports of entry visited by the cruise ship, the CBP contact information for the U.S. ports of entry visited and any regulated garbage handling procedures **not** listed in the cruise ship's SOP. If the cruise ship off-loads regulated garbage in a non-routine manner (i.e. **not** in 3 mil plastic bags or tight covered leak-proof garbage containers), then the method of containment **must** be approved by APHIS and included in the cruise ship's SOP or another addendum.

CBP at the home port **must** ensure that CBP, located at each U.S. port of entry visited by the cruise ship, has a current copy of the compliance agreement and all addenda.

On cruise ships under compliance, passengers and baggage will **not** be routinely inspected. Board cruise ships with itineraries from other countries according to the guidance provided in this manual. Cruise lines that **do not** comply with the requirements of the compliance agreement will revert to normal passenger clearance.

Periodically monitor the clearance of passengers and baggage to evaluate the risk of prohibited agricultural articles that may be associated with passengers and baggage. Inspect, unannounced, the passengers and baggage on up to 10 percent of the cruise ships with Bermuda, Caribbean, or Mexico itineraries. If possible, use x-ray or canine teams. Clearance of vessels (garbage and stores) will continue to be done according to current ship boarding guidelines.



The compliance agreement for cruise ships with Bermuda, Caribbean, or Mexico itineraries that are landing garbage is valid for one year and **must** be renewed annually.



CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).

See the [Cruise Ships Status Categories](#) for additional information.

## Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries — Passenger Education

Use the Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries — Passenger Education. as an attachment to any compliance agreement ([PPQ Form 519](#)) you execute with cruise ships with Caribbean, Mexico or Bermuda itineraries that are **not** going to provide direct oversight of the landing of regulated garbage as required by APHIS.

The Uniform Standards for compliance agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in [7CFR 330.400 – 330.403](#) or [9CFR 94.5](#)) and serve as an attachment to [PPQ Form 519](#). Attach these Uniform Standards to any compliance agreement ([PPQ Form 519](#)) you execute with a cruise ship with Bermuda, Caribbean, or Mexico itineraries that will **not** directly oversee the landing of regulated garbage as required by APHIS. **Do not** issue a compliance agreement for any cruise ships that **do not** have Bermuda, Caribbean, or Mexico itineraries or for any other type of maritime vessel.

This compliance agreement may be executed at the cruise line's corporate level, with an addendum that includes the names of all cruise ships covered by these Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries — Passenger Education. Consult the local AQI VMO for assistance.

The cruise ship company **must** ensure that CBP at each U.S. port of entry has a current copy of the compliance agreement and addenda.

Fill in appropriate information where required. Cross out or line through information **not** applicable to the specific cruise ship. **Never** line through any information prior to Section I, Regulated Garbage Handling Procedures. **Do not** delete any part of the Uniform Standards. (Note: the deletion of instructions in *italics* is allowed). Attach other addenda to the compliance agreement ([PPQ Form 519](#)) to document any additional information that is **not** already included elsewhere. Mandatory addenda include a list of the U.S. ports of entry visited by the cruise ship(s) and the CBP contact information for the U.S. ports of entry visited.

On cruise ships under compliance, passengers and baggage will **not** be routinely inspected. Board cruise ships with itineraries from other countries according to the guidance provided in this manual. Cruise lines that **do not** comply with the requirements of the compliance agreement will revert to normal passenger clearance.

Periodically monitor the clearance of passengers and baggage to evaluate the risk of prohibited agricultural articles that may be associated with passengers and baggage. Inspect, unannounced, the passengers and baggage on up to 10 percent of the cruise ships with Caribbean, Mexico, or Bermuda itineraries. If possible, use x-ray or canine teams. Clearance of vessels (garbage and stores) will continue to be done according to current ship boarding guidelines.

If the cruise ship will provide direct oversight of the landing of regulated garbage as required by APHIS, without CBP or an employee of a company holding a valid compliance agreement, execute the Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries that are Supervising the Landing of Garbage.



If the cruise ship will provide direct oversight of the landing of regulated garbage as required by APHIS, without CBP or an employee of a company holding a valid compliance agreement, execute the ***Uniform Standards for Compliance Agreements for Regulated Garbage — Cruise Ships with Bermuda, Caribbean, or Mexico Itineraries that are Supervising the Landing of Garbage.***



CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).

See the [Cruise Ships Status Categories](#) for additional information.

## Uniform Standards for Compliance Agreements for Regulated Garbage — Military Base/Installation

Use the Uniform Standards for Compliance Agreements for Compliance Agreements for Regulated Garbage — Military Base/Installation as an attachment to any compliance agreement ([PPQ Form 519](#)) you complete with a military base or installation. The Uniform Standards for compliance agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in [7CFR 330.400 – 330.403](#) or [9CFR 94.5](#)) and serve as an attachment to [PPQ Form 519](#). Attach these Uniform Standards to any compliance agreement ([PPQ Form 519](#)) you execute with a military base or installation.

Fill in appropriate information where required. Cross out or line through information **not** applicable to the specific establishment. **Never** line through any information prior to Section I, Regulated Garbage Handling Procedures. **Do not** delete any part of the Uniform Standards. (Note: the deletion of instructions in *italics* is allowed). Attach as an addendum the establishment's standard operating procedures (SOP) covering all procedures for handling regulated garbage. Attach other addenda to the compliance agreement ([PPQ Form 519](#)) to document any additional information that is **not** already included elsewhere.

If the military base or installation is also processing or hauling regulated garbage, attach as an addendum, the appropriate operational and back-up system sections of the applicable Uniform Standards for Compliance Agreements. (Note: APHIS **does not** sign compliance agreements with a processing component issued for military bases or installations.)



CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).

## Uniform Standards for Compliance Agreements for Regulated Garbage — Fixed Base Operators (FBO)

Use the Uniform Standards for Compliance Agreements for Compliance Agreements for Regulated Garbage — Fixed Base Operators as an attachment to any compliance agreement (PPQ Form 519) you complete with a fixed base operator. The Uniform Standards for compliance agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in 7CFR 330.400 - 330.403 and 9CFR 94.5) and serve as an attachment to PPQ Form 519. Attach these Uniform Standards to any compliance agreement (PPQ Form 519) you execute with a fixed base operator.

Fill in appropriate information where required. Cross out or line through information **not** applicable to the specific establishment. **Never** line through any information prior to Section I, Regulated Garbage Handling Procedures. **Do not** delete any part of the Uniform Standards. (Note: the deletion of instructions in italics is allowed). Attach as an addendum the establishment's standard operating procedures (SOP) covering all procedures for handling regulated garbage. Attach other addenda to the compliance agreement (PPQ Form 519) to document any additional information that is **not** already included elsewhere.

If the fixed base operator is also processing or hauling regulated garbage, attach as an addendum, the appropriate operational and back-up system sections of the applicable Uniform Standards for Compliance Agreements. Local PPQ **must** sign the compliance agreement (PPQ Form 519) if the fixed base operator is processing regulated garbage.



CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).



## Uniform Standards for Compliance Agreements for Regulated Garbage — Storage Establishments

Use the Uniform Standards for Compliance Agreements for Compliance Agreements for Regulated Garbage — Storage Establishments as an attachment to any compliance agreement (PPQ Form 519) you complete with an establishment that **only** stores regulated garbage, including marinas and transfer stations. The Uniform Standards for compliance agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in 7CFR 330.400 – 7CFR 330.403 or 9CFR 94.5) and serve as an attachment to PPQ Form 519. Attach these Uniform Standards to any compliance agreement (PPQ Form 519) you execute with a storage establishment.

Fill in appropriate information where required. Cross out or line through information **not** applicable to the specific establishment. **Never** line through any information prior to Section I, Regulated Garbage Handling Procedures. **Do not** delete any part of the Uniform Standards. (Note: the deletion of instructions in *italics* is allowed). The establishment's standard operating procedures (SOP) covering all procedures for handling regulated garbage **must** be attached as an addendum. Attach other addenda to the compliance agreement (PPQ Form 519) to document any additional information that is **not** already included elsewhere.

If the storage establishment is also processing or hauling regulated garbage, then execute the applicable Uniform Standards for Compliance Agreements instead of the Uniform Standards for Compliance Agreements for Regulated Garbage — Storage Establishments as these Standards contain provisions for storage.

**NOTICE**

CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

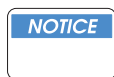
Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).

## Uniform Standards for Compliance Agreements for Regulated Garbage — Freight Trains that Transit the Border between the United States and Mexico

Use the Uniform Standards for Compliance Agreements for Compliance Agreements for Regulated Garbage — Freight Trains that Transit the Border between the United States and Mexico as an attachment to any compliance agreement (PPQ Form 519) you complete with a rail company or establishment that handles freight trains transiting the border between the U.S. and Mexico. **Do not** issue this Uniform Standards for passenger trains transiting between Canada or Mexico and the U.S. or for freight trains transiting between the U.S. and Canada. The Uniform Standards for compliance agreements outline the requirements and procedures for the handling and disposal of regulated garbage (regulated garbage as defined in [7CFR 330.400 – 7CFR 330.403](#) or [9CFR 94.5](#)) and serve as an attachment to [PPQ Form 519](#). Attach these Uniform Standards to any compliance agreement ([PPQ Form 519](#)) you execute with a rail company or establishment.

Fill in appropriate information where required. Cross out or line through information not applicable to the specific rail company or establishment. **Never** line through any information prior to Section I, Regulated Garbage Handling Procedures. **Do not** delete any part of the Uniform Standards. (Note: the deletion of instructions in *italics* is allowed). Attach other addenda to the compliance agreement ([PPQ Form 519](#)) if any additional information, that is **not** already included elsewhere, is required.

If the rail company or establishment is also processing or hauling regulated garbage, then attach as an addendum, the appropriate operational and back-up system sections of the applicable Uniform Standards for Compliance Agreements along with the company's standard operating procedures (SOP) covering these activities.



The Uniform Standards for Compliance Agreements for Regulated Garbage — Freight Trains that Transit the Border between the United States and Mexico is currently under review.



CBP and APHIS personnel can find additional information, including the Uniform Standards for Compliance Agreements templates, on the [APHIS Intranet](#).

Stakeholders can find additional information regarding attachments to compliance agreements for regulated garbage on the [APHIS Regulated Garbage Page](#).

## Addenda to Compliance Agreements

The Uniform Standards for Compliance Agreements are addenda to the PPQ Form 519, Compliance Agreement. Additional addenda are needed if the relevant Uniform Standards for Compliance Agreements or the company SOP does **not** address specific procedures or activities that **must** be undertaken to mitigate the risk of spread of agricultural pests and diseases. These procedures should be detailed in an addendum to PPQ Form 519 in addition to the appropriate Uniform Standards for Compliance Agreements for Regulated Garbage.

### Required Addenda to PPQ Form 519

1. Uniform Standards for Compliance Agreements for Regulated Garbage for the primary activity
2. Uniform Standards for Compliance Agreements for Regulated Garbage covering additional activities (may be abbreviated)
3. Company SOP covering regulated garbage handling activities only
4. Changes related to calibrations conducted on sterilizers
5. Additional procedures required to mitigate spread of agricultural pests **not** covered in other addenda

CBP or PPQ personnel may include as an addendum secondary regulated garbage handling activities to a primary Uniformed Standards for Compliance Agreements template if they are responsible for issuing the primary compliance agreement and have primary responsible for monitoring the secondary regulated garbage activities unless otherwise noted (see [Table B-1-3](#) on [page B-1-22](#)). Use [Table B-1-3](#) on [page B-1-22](#) to determine how many compliance agreements (or addenda) should be issued for each type of compliance agreement holder. For example, instead of issuing a second compliance agreement for hauling, all of the requirements for cartage firms/haulers may be added as an addendum to a caterer's Uniformed Standards for Compliance Agreements. This "dual" compliance agreement information **must** be noted on the PPQ Form 519 in Block #5.

The local CBP or PPQ office **must** maintain a list or other record so information on which establishments perform each category of regulated garbage handling activities can be shared with the public or other agencies. So, if a company performs multiple regulated garbage handling activities, such as catering and hauling, then instead of issuing another separate complete compliance agreement, you should create an addendum or addenda to document the additional activities using the appropriate Uniform Standards for Compliance Agreements.

Read through the Uniform Standards for Compliance Agreements to handling activities. After determining which standards to use, then determine which standard to use as the primary addendum based on the establishment's primary activity. If the activities have equal weight, then use either as the primary template.



The [Uniform Standards for Compliance Agreements for Regulated Garbage — Catering Establishments](#) has a processing section already included.

Most of the Uniform Standards for Compliance Agreements are structured so that the section on regulated garbage handling procedures and the section on the emergency back-up system can be extracted and used in their entirety as an addendum. Consult your local AQI VMO for assistance in developing addenda.

You may need to use two or more standards to document all of the company's regulated garbage handling activities.

**EXAMPLE 1**

A caterer that hauls intrastate would require a primary [Uniform Standards for Compliance Agreements for Regulated Garbage — Catering Establishments](#) with an addendum for hauling.

**EXAMPLE 2**

A military base that has onsite sterilization of regulated garbage needs the [Uniform Standards for Compliance Agreements for Regulated Garbage — Military Base/Installation](#) with an addendum for processing.

**EXAMPLE 3**

A transfer station that hauls regulated garbage interstate would require either the [Uniform Standards for Compliance Agreements for Regulated Garbage — Storage Establishments](#) and a hauler addendum or a [Uniform Standards for Compliance Agreements for Regulated Garbage — Cartage Firms/ Establishments](#) and a storage establishment addendum.



If two different agencies are responsible for the same facility, such as a stand-alone processor **not** located at a port of entry that also hauls regulated garbage, then each agency **must** maintain its own compliance agreement. PPQ will maintain a compliance agreement covering the processing activities and CBP will maintain a compliance agreement covering the hauling function.

**Standard  
Operating  
Procedures  
(SOP)**

The approved SOP that is attached to the compliance agreement **must only** include those procedures and activities related to regulated garbage handling specific to their establishment. The SOP **must** cover all regulated garbage handling activities. See the [Guidelines for Developing Standard Operating Procedures for APHIS Regulated Garbage](#).

## Fillable PPQ Form 519

Fillable versions of this form are available in [pdf](#) and [Word](#).

## Checklist for the Annual Review of Compliance Agreement

Complete this checklist during the annual review. Refer to [Figure B-1-1 on page B-1-38](#), [Figure B-1-2 on page B-1-39](#), and [Figure B-1-3 on page B-1-40](#) for an example of the checklist.

**Checklist for the Annual Review of Compliance Agreement**  
(Attach completed **original** Checklist to the current **original** Compliance Agreement)  
Complete the Annual Review of Compliance Agreement during a Quarterly Enforcement Visit

Date of Annual Review: \_\_\_\_\_

Current Compliance Agreement Number (if applicable) : \_\_\_\_\_

Establishment Name, Address, and Phone Number: \_\_\_\_\_

Establishment Representative(s) Present: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

PPQ/CBP Representative(s) Present: \_\_\_\_\_  
\_\_\_\_\_

1. Has the authorized establishment experienced a change in majority ownership since the signing of the current compliance agreement or the date of the most recent review?

Yes                      No

If yes, a new three-step approval is required. Explain the changes in the Comments section. The establishment must contact APHIS PPQ Veterinary Regulatory Support (VRS) at (301) 851-2295 to request a new three-step approval. Do not issue a new Compliance Agreement (PPQ Form 519, Attachments, or Addenda). The establishment must activate the backup system as described in the current Compliance Agreement. Do not continue the Compliance Agreement Review. Select 'Not Reviewed' for Questions #2 through #4 and proceed to the Summary section.

If no, proceed to Question #2.

2. Has the authorized establishment changed any regulated garbage handling procedure, including any change in establishment location, equipment, or subcontractor, from the procedures listed in the current Compliance Agreement?

Yes                      No                      Not Reviewed

If yes, a new three-step approval may be required. Explain the changes in the Comments section. Contact the local APHIS PPQ VRS Agricultural Quarantine Inspection Veterinary Medical Officer (AQI VMO) to discuss whether the changes represent a violation of 7CFR 330.400 – 7CFR 330.403/9CFR 94.5 and to confirm if a new three-step approval is required.

If APHIS PPQ VRS determines that a new three-step approval is required, the establishment must contact APHIS PPQ VRS at (301) 851-2295 to request a new three-step approval. Do not issue a new Compliance Agreement (PPQ Form 519, Attachments, or Addenda). The establishment must activate the backup system as described in the current Compliance Agreement. Do not continue the Compliance Agreement Review. Select 'Not Reviewed' for Questions #3 and #4 and proceed to the Summary section.

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**FIGURE B-1-1: Checklist for the Annual Review of Compliance Agreement (page 1)**

**Checklist for the Annual Review of Compliance Agreement**  
(Attach completed **original** checklist to the current Compliance Agreement)

If APHIS PPQ VRS determines that a new three-step approval is not required, a new compliance agreement should be issued. The new compliance agreement should reflect the operating procedures and equipment currently used by the establishment. An establishment representative must sign the new PPQ Form 519 and date/initial all pages of the new Attachments and Addenda supporting the new Compliance Agreement. A representative from CBP and/or APHIS must sign the new PPQ Form 519. Do not continue the Compliance Agreement Review. Select 'Not Reviewed' for Questions #3 and #4 and proceed to the Summary section.

If no, proceed to Question #3.

3. Has the authorized establishment changed any local contact information, including changes in contact numbers or personnel, from the local contact information listed in the current Compliance Agreement?

Yes                      No                      Not Reviewed

If yes and the personnel change involves the individual that signed the current compliance agreement, issue a new compliance agreement. Explain the changes in the Comments section. An establishment representative must sign the new PPQ Form 519 and date/initial all pages of the new Attachments and Addenda supporting the new Compliance Agreement. A representative from CBP and/or APHIS must sign the new PPQ Form 519. Do not continue the Compliance Agreement Review. Select 'Not Reviewed' for Question #4 and proceed to Summary section.

If yes and the change in local contact information involves changes only in local contact phone/fax numbers, email addresses, or personnel listed on the current PPQ Form 519 other than the signer of the current compliance agreement, apply pen-and-ink changes to the current PPQ Form 519. Explain the changes in the Comments section. All pen-and-ink changes must be initiated by an establishment representative and by a CBP Agriculture Specialist, a PPQ Plant Health Safeguarding Specialist, or an AQL VMO. After all pen-and-ink changes have been completed, proceed to Question #4.

If no, proceed to Question #4.

4. Has the current compliance agreement been issued on an obsolete PPQ Form 519 or outdated Attachment templates?

Yes                      No                      Not Reviewed

If yes, issue a new compliance agreement with a current PPQ Form 519 template and/or current Attachment template(s) as necessary. An establishment representative must sign the new PPQ Form 519 and date/initial all pages of the new Attachments and Addenda supporting the new Compliance Agreement. A representative from CBP and/or APHIS must sign the new PPQ Form 519. Proceed to the Summary section.

If no, proceed to the Summary section.

08/2012

2 of 3

**FIGURE B-1-2: Checklist for the Annual Review of Compliance Agreement (page 2)**

**Checklist for the Annual Review of Compliance Agreement**  
(Attach completed **original** checklist to the current Compliance Agreement)

**Summary:**

If Questions #1 through #4 have been answered as 'no', complete the current review by obtaining ink signatures from establishment and CBP/APHIS representatives. Attach the original Checklist for the Annual Review of Compliance Agreement to the current original compliance agreement filed in the local office of the issuing federal agency. Faxed documents and other copies are not acceptable.

Provide a copy of the completed Checklist for the Annual Review of Compliance Agreement to the establishment's representative.

If any of the questions have been answered as 'yes' and/or require additional time or documentation to satisfy requirements, such as a new three-step approval process, a new PPQ Form 519, or a new Attachment template, complete the current review by obtaining ink signatures from establishment and CBP/APHIS representatives. Attach the original Checklist for the Annual Review of Compliance Agreement to the current original compliance agreement filed in the local office of the issuing federal agency. Faxed documents and other copies are not acceptable.

Provide a copy of the completed Checklist for the Annual Review of Compliance Agreement to the establishment's representative.

Once the incorrect or outdated information identified in the current review has been corrected, an additional review of the compliance agreement may be required to complete questions not answered during the current review.

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Printed Name and Title of Responsible Establishment Representative

\_\_\_\_\_  
Signature of Responsible Establishment Representative

\_\_\_\_\_  
Printed Name and Title of CBP/APHIS Representative

\_\_\_\_\_  
Signature of CBP/APHIS Representative

**FIGURE B-1-3: Checklist for the Annual Review of Compliance Agreement (page 3)**





# Appendix C

## Sample Letters and Statements

### Contents

Sample Letter to Notify a Firm that a Garbage Violation Has Occurred	page C-1-1
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### Sample Letter to Notify a Firm that a Garbage Violation Has Occurred

Use the format in **Figure C-1-1** to notify a firm or company that a garbage violation has occurred.

*[Date]*

Dear *[Fill in]*:

It has been reported by a U.S. Department of Agriculture officer that on *[Date]*, *[Name of Firm or Company]* did *[Describe violation]*.

This is in violation of Federal Regulations 7CFR 330.400 and 9CFR 94.5 which require that regulated garbage be disposed of by incinerating, sterilizing, or grinding into an approved sewage system.

Any person who knowingly violates the Plant Protection Act (PPA) (7 U.S.C. §§ 8301 et. seq.) may be criminally prosecuted and found guilty of a misdemeanor which can result in penalties, a one-year prison term, or both. Additionally any person violating the PPA and/or the AHPA may be assessed civil penalties of up to \$250,000 per violation or twice the gross gain or gross loss for any violation that results in the person deriving pecuniary gain or causing pecuniary loss to another, whichever is greater. This puts you on notice that approval of your facility to handle regulated garbage may be withdrawn as a result of noncompliance with regulations.

To prevent the entry into the United States of unwanted plant and animal pests and diseases, disposal of regulated garbage must be in accordance with the requirements of Federal Regulations (7CFR 330.400 and 9CFR 94.5). If you have any questions, please contact *[Local PPQ Officer and PD of CBP]* at *[Phone Number]*.

*[Signature of Port Director]*

Port Director

Plant Protection and Quarantine

**FIGURE C-1-1: Sample Letter to Notify a Firm that a Garbage Violation Has Occurred**

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## Sample Letter to Notify a Firm or Company that a Violation was Issued to an Employee or Crew Member



Do **not** forward a letter to notify a firm or company that a violation was issued to an employee or crew member, prior to final adjudication of the violation.

The purpose of the violation letter is to let the company know that violations are occurring.

An employee or crew member may wish to settle a violation immediately. Once payment is made and the violator's signature is affixed to the violation form, then the matter is considered adjudicated.

An employee or crew member may exercise the right to dispute the violation and seek to resolve the matter through approved channels. **Only** after the violation has been properly adjudicated may the notification letter be forwarded.

Contact IES if you have any concerns or questions as to the adjudication status of a violation. After final adjudication of the violation, the location port where the violation occurred will issue the violation letter to the firm or company. All violation letters will be printed at the port where the violation occurred and forwarded to the U.S. Postal Service for mailing. A return receipt may be utilized to validate that the letter was delivered and who received the letter.

Do **not** communicate to the firm or company that a violation has occurred, by electronic mail (e-mail), express mail, voice mail, fax, answering machine, etc. **Only** use the U.S. Postal Service for mailing the letter.

In the violation letter, you may disclose the following:

- ◆ Date the violation occurred
- ◆ Description of the violation
- ◆ Violator is an employee of the firm or company
- ◆ Total number of violations that have occurred by employees or crew members of the firm or company

In the violation letter, do **not** disclose to the firm or company the name of the violator or the name of other employees or crew members who were present at the time. The key here is to let the company know that violations are occurring.

The sample letter in **Figure C-1-2** is to notify a firm or company that a violation was issued to an employee or crew member. Complete the italicized items and omit brackets and italics in your letter of notification.

*[Date]*

Dear *[Fill in]:*

On *[Date]*, an employee of *[Name of firm or company]* did *[Describe violation]*.

This letter serves as your notice that your employee violated the [Plant Protection Act (7 USC 7734)] *and/or* the [Animal Health Protection Act (7 USC 8313)] and associated regulations. The Act allows for the assessment of civil penalties up to \$300,000 per violation and possibly higher penalties depending on the circumstances of the violation. Violations of the Act and regulations may also be criminally prosecuted.

Your company employees are recognized as having knowledge of the animal and plant regulations through training and/or knowledge gained from their employment and frequent travel. Please take the opportunity to consult with your employees and conduct additional training if needed.

To prevent the entry into the United States of unwanted plant and animal pests and diseases, the traveling public and company employees are asked to help. By complying with all Federal regulations, we all contribute to the protection of America's agriculture. Your assistance in this effort is appreciated.

If you have any questions, please contact *[Local PPQ Officer and PD of CBP]* at *[Phone number]*.

*[Signature]*

*[Name and position]*

Plant Protection and Quarantine  
or Customs and Border Protection Agriculture Specialist

**FIGURE C-1-2: Sample Letter to Notify a Firm or Company that a Violation Was Issued to an Employee or Crew Member**

## Sample of Witness Statement

### STATEMENT

Date \_\_\_\_\_

I, [witness' name] voluntarily make the following statement to [CBP Inspector's name] who has identified himself/herself to me as a Federal Officer of Customs and Border Protection, Department of Homeland Security, knowing that it may be used as evidence.

*[Statement—use as many pages as necessary.]*

**(NOTE:** Do **not** use the following paragraph if the statement is handwritten, only use if the statement is typed.)

I have read the foregoing statement and vouch that the information contained therein is true to the best of my knowledge. I have been offered an opportunity to add to, delete from, or change anything herein that I feel is erroneous or incorrect. I have been offered no remuneration for making this statement and make it of my own free will.

\_\_\_\_\_  
Signature of CBP Inspector

\_\_\_\_\_  
Signature of Person Making Statement

\_\_\_\_\_  
Address

\_\_\_\_\_  
City, State, Zip Code

## Sample of CBP Agriculture Specialist's Statement

Agriculture Specialist *[Specialist's Name]*  
CBP Form AI-591# *[Fill in]* Date *[Fill in]*

Violator *[Violator's Name]* Date of Violation *[Fill in]* Port *[Fill in]*

### Declaration

**TABLE C-1-1: Locator for Agriculture Question 11 on Customs Form 6059B**

If Agriculture Question 11 was marked:	Then:
Yes	1. Go to 1., below 2. Continue to 2., below
No	Go to 2., below, then continue to 3
Not Marked	Go to 2., below, then continue to 3

1. The agricultural items declared on Customs Form 6059B are as follows: *[list agricultural items]*.
2. There was no written declaration. I/other officer *[list name]* asked the agriculture question. The violator answered *[list answer]*.
3. I/other officer *[list name]* asked the question again. The violator answered *[list answer]*.

### Prohibited Material

Complete the following:

Quantity \_\_\_\_\_ Plant/animal/other material (plant part; kind of meat) \_\_\_\_\_

Origin: *[list origin]*

Prohibited material found in: *[suitcase/handbag/other]*.

### Attempt to Conceal

The prohibited material was concealed in/by/under/inside *[list location]*.

### Permit/Certificate

Did you ask if there was a permit or certificate? Yes \_\_\_ No \_\_\_ (check)

The prohibited material was or was not (circle one) accompanied by a valid APHIS permit/certificate.

Remarks: Describe any unusual actions taken by the violator.

#### EXAMPLE

*[Describe any unusual actions taken by the violator.]* "Mr. Gamtha grabbed the mango out of my hand and threw it against the wall," or "Mrs. Wallace grabbed my arm and yelled an obscenity at me."

*[Signature of CBP Inspector]*

Badge # \_\_\_\_\_

## **AGM Boarding Card**

Refer to **Figure C-1-3** on **page-C-1-7** and **Figure C-1-4** on **page-C-1-8** for sides one and two of the AGM Boarding Card. Carry this card with you for a quick reference when inspecting ships for AGM.

AGM Boarding Pocket Card		
Step 1:	Prepare material	Tools, camera, data collection notepad, and CBP AI-288
Step 2:	Look for egg masses	All around vessel, including hatches. Note the cargo type.
Step 3:	Find suspect AGM and collect specimen Interceptions	Use a putty knife, paint scraper to remove, place all specimens in zip lock sealable bags to prepare for interception processing.
Step 4:	Apply treatment where interceptions were removed	50% Golden Pest Spray Oil with 50% water mixture, shake often, and apply area with sprayer until saturated. Utilize fresh blended mixture daily and do not re-use any mixture after 24 hrs
Step 5:	Finalize inspection	<ol style="list-style-type: none"> <li>1. Inspect the entire vessel</li> <li>2. Notify Captain: excessive viable masses found - action required; if manageable viable masses are found, the vessel may proceed, but if CBP finds additional egg masses action will likely be required.</li> <li>3. *See the reverse side of the boarding card for a sample statement to the vessel's captain or representative.</li> </ol>
Step 6:	Prepare interception specimens	Take all specimens to the laboratory, prepare samples, and forward for final determination.
Step 7:	Record AGM results	Capture the details of the events of the vessel inspection by providing details of the scientific discoveries on the AGM Scientific Report.
Step 8:	Report and notify	<p>Prepare the AGM Scientific Report and summarize the Report in an email to PPQ and APTL (email addresses at the bottom of the fillable AGM Scientific Report, distributed by, and found on intranet).</p> <p>Reminder: If no interceptions are found, only PPQ should be notified. Fax the CBP AI-288, and the AGM certificate.</p>
Step 9:	Monitor ship and break bulk cargo	<ol style="list-style-type: none"> <li>1. Track vessel while in port, monitor AGM activity, and note the cargo type which may harbor additional AGM.</li> <li>2. If vessel sails, ensure the next ports are notified, PPQ and APTL.</li> </ol>
Step 10:	Order a ship to leave	<ol style="list-style-type: none"> <li>1. If CBP detects excessive viable egg masses (depending on weather, and situational conditions), issue an EAN and order the vessel to leave U.S. territorial waters for cleaning by the vessel's crew.</li> <li>2. Inform the vessel to contact CBP through the agent when all egg masses have been removed.</li> <li>3. CBP will meet the vessel upon re-entry alongside the wharf to re-inspect for suspect AGM egg masses.</li> <li>4. If additional egg masses are discovered, issue an EAN requiring the vessel to employ a commercial company to clean and certify the vessel free of AGM life stages from the vessel prior to arrival at the next U.S. port.</li> <li>5. If vessel elects to sail foreign, inform the captain the vessel must produce a cleaning certificate upon entry into the U.S. and that CBP will inspect the vessel for AGM presence.</li> </ol>

FIGURE C-1-3: AGM Boarding Card (Side 1)

<b>AGM Boarding Pocket Card:            Scientific Method (Inspecting, Detecting, Collecting, Evaluating and Concluding)</b>		
Mission 1:	Plan the AGM inspection	Prepare material, propose a question or hypothesis surrounding the ensuing inspection process.
Mission 2:	Observe	Note the various places AGM may be, and conduct investigative inquiry.
Mission 3:	Conduct scientific experiment: look for AGM	Record the details of the findings on a notecard, practice safety and collect specimens in ziplock bags.
Mission 4:	Collect data, evidence, and conclusive facts	As the scientist performing the inspection, attempt to complete the story, locate the information needed, and think about risk associated with the future movement for the vessel and possibly the cargo.
Mission 5:	Conclude the operation  *Meet with vessel's captain or representative  *Sample statement on the CBP AI-288 if 1 or 2 viable specimens are detected	1. Inspect the entire vessel. 2. Meet with the Captain or vessel representative providing guidance if interceptions were collected.  Ensure the Captain or the vessel's representative understands the potential risk associated with any specimens.  "AGM, a serious plant pest, is suspected and has been found on your vessel. The vessel may proceed, and may be reboarded, and may be ordered to leave the port depending on additional risk assessments."
Final Mission	Conclude and evaluate the situation	1. Prepare the AGM Scientific Report, communicating the risk (if any) associated with the vessel currently in port 2. IF the vessel is an AGM threat: Complete the Scientific Report, package the interception, then communicate the entire scientific discovery/fact-finding mission to PPQ and APTL through email contacts (24 hrs /day). 3. IF AGM is not detected, fax the CBP AI-288 and any AGM certificates to PPQ's attention.
		<b>Summarize the AGM Scientific Report in an email format</b>
		Date CBP location / and dock facility Vessel name / and IMO number CBP critical phone number on location Egg mass quantity detected Adult quantity detected Was risk treated/mitigated (method used) Interpretation: is specimen viable Was entire vessel inspected Are other egg masses out of reach on ship Digital images captured as evidence (attach copies with email) Captain warned, notified of AGM risk Foreign AGM ports visited AGM Certificate(s) presented (keep copies) Previous U.S. ports visited on current voyage Cargo type on this vessel (specific) How long vessel remains in current port Departure date vessel leaves current port Next U.S. (or foreign) Port, (specify) Date arrival next U.S. port (or re-enter U.S.) Pest ID number (combine all specimens) Provide additional risk assessment of situation

FIGURE C-1-4: AGM Boarding Card (Side 2)





# Appendix D

## *Cooperation with Other Federal Agencies*

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AMS	<b>page D-1-3</b>
FSIS	<b>page D-1-3</b>
Department of Defense (DOD)	<b>page D-1-4</b>
Food and Drug Administration of the Department of Health and Human Services (FDA)	<b>page D-1-5</b>
Fish and Wildlife Service of the Department of the Interior (FWS)	<b>page D-1-5</b>
Public Health Service of the Department of Health and Human Services (PHS)	<b>page D-1-5</b>

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### Introduction

Sometimes regulations of different Federal agencies govern the same importations. Products presented at ports of entry may be regulated by more than one federal regulatory agency. When a product is regulated by more than one agency, all entry requirements of each agency must be met.

---

### Federal Agencies Cooperating with Customs and Border Protection (CBP)

The cooperation CBP receives from other Federal Agencies helps accomplish the mission of preventing the introduction of agricultural pests and diseases. All personnel from other Federal Agencies must have a clear understanding of the requirements and arrangements for safeguarding and disposing of seized agricultural contraband. Procedures for CBP cooperation with other Federal Agencies follow.

#### Department of Agriculture (USDA)

CBP cooperates with USDA to accomplish the agriculture mission. Listed below are several important agencies within USDA.

#### APHIS

The Animal and Plant Health inspection Service (APHIS) is responsible for protecting and promoting U.S. agricultural health, administering the Animal Welfare Act, and carrying out wildlife damage management activities. For more information, see the [APHIS Web site](#).

**Plant Protection and Quarantine (PPQ)** safeguards agriculture and natural resources from the risks associated with the entry, establishment, or spread of animal and plant pests and noxious weeds. Fulfillment of its safeguarding role ensures an abundant, high-quality, and varied food supply, strengthens the marketability of U.S. agriculture in domestic and international commerce, and contributes to the preservation of the global environment. For more information on PPQ, see [Plant Health](#) at the [APHIS Web site](#).

**Veterinary Services (VS)** protects and improves the health, quality, and marketability of our nation's animals, animal products and veterinary biologics by preventing, controlling and/or eliminating animal diseases, and monitoring and promoting animal health and productivity.

VS regulations control domestic and foreign commerce of live animals, live poultry, and their products. Since 1971, VS and PPQ have shared the responsibility for implementing, enforcing, and administering animal product and foreign garbage regulations and policies to prevent the introduction of foreign animal diseases.

Refer the following to the local VS office:

- ◆ Animal semen, ova, or embryo shipments (empty containers are handled by PPQ)
- ◆ Dogs imported to handle livestock, **except** dogs from Canada, Mexico, Central America, and the West Indies; require freedom from tapeworm (*Taenia eoenurus*)



For all dogs, require freedom from tapeworm, *Taenia eoenurus*.

- ◆ Live animals, live birds, and hatching eggs
- ◆ Abandoned pet birds (also contact FWS)

When receiving a question relating to animal disease exclusions, consult your [Animal Product Manual](#). If you cannot answer the question, use [Table D-1-1](#) on [page-D-1-3](#) to determine where to refer questions in VS.

**TABLE D-1-1: Determine Where to Refer Questions in Veterinary Services (VS) and Veterinary Regulatory Support (VRS)**

If the question relates to:	And the APM does not answer the question, then refer the question to:
<ul style="list-style-type: none"> <li>◆ Live animals including birds</li> <li>◆ Hatching eggs</li> <li>◆ Animal semen, ova, and embryos</li> </ul>	<ol style="list-style-type: none"> <li>1. The appropriate VS Field Office</li> <li>2. If the question cannot be answered locally, then refer the question through normal channels to VS Import-Export Animals Staff at 301-851-2295</li> </ol>
<ul style="list-style-type: none"> <li>◆ Organisms and vectors</li> </ul>	<ul style="list-style-type: none"> <li>◆ PPQ, VRS at 301-851-2295</li> <li>◆ VS Technical Trade Services Products Staff (TTSPS) at 301-851-3300</li> </ul>
<ul style="list-style-type: none"> <li>◆ Permit renewals for veterinary biological products</li> </ul>	The Center for Veterinary Biologics (VS, CVB) at 301-851-3609
<ul style="list-style-type: none"> <li>◆ VS permit renewals</li> </ul>	VS, TTSPS at 301-851-3300
<ul style="list-style-type: none"> <li>◆ Meat</li> <li>◆ Animal products</li> <li>◆ Animal by-products</li> <li>◆ Associated materials</li> </ul>	<ol style="list-style-type: none"> <li>1. Your supervisor</li> <li>2. If the question cannot be answered locally, then refer the question to PPQ, VRS at 301-851-2295 or your local AQI, VMO listed in <a href="#">Appendix H</a> of the <a href="#">Animal Product Manual</a> (APM)</li> </ol>

For more information on VS, see [Animal Health](#) at the [APHIS Web site](#).

### AMS

The Agricultural Marketing Service (AMS) includes six commodity programs—Cotton, Dairy, Fruit and Vegetable, Livestock and Seed, Poultry, and Tobacco. The programs employ specialists who provide standardization, grading, and market news services for those commodities. They enforce such Federal Laws as the Perishable Agricultural Commodities Act and the Federal Seed Act. For more information, see the [AMS Web site](#).

### FSIS

The Food Safety and Inspection Service (FSIS) is the public health agency in the U.S. Department of Agriculture responsible for ensuring that the nation’s commercial supply of meat, poultry, and egg products is safe, wholesome, and correctly labeled and packaged. Refer all imported meat and meat products, and shell eggs for breaking to FSIS.<sup>1</sup> Refer importations of shell eggs for breaking to FSIS to issue FSIS Form 5200-8, Import Request Egg Products.

<sup>1</sup> For commercial shipments only, FDA and FSIS require that the food product’s label show the container’s ingredients and weight of the product in English. If a commercial shipment lacks this information, contact the appropriate agency. This might save you time determining enterability since the product may be rejected by another agency.

FSIS makes sure that the meat and meat products are safe, wholesome, and pure products for human consumption (**except** wild ruminant and wild fowl—see FDA). Foreign countries must have FSIS approval that their foreign inspection service is the equivalent of FSIS. The foreign country is then allowed to issue certificates for the commercial importation of meat and meat products. In addition, FSIS inspects and samples imported meat and meat products for meeting APHIS requirements and regulations designed to prevent the spread of animal diseases.

For more information, see the [FSIS Web site](#).

### **Department of Defense (DOD)**

The Department of Defense (DOD), Army, Navy, Air Force, and Marine Corps, works with APHIS to prevent the introduction of foreign agricultural and public health threats into the continental United States (CONUS). This cooperation includes the following:

- ◆ Removing or cleaning all soil and other debris from military equipment and vehicles from outside CONUS
- ◆ Preventing the possible military importation of unwanted animals, such as snakes, insects, snails, and various crustaceans that are present in most of the world-wide areas frequented by DOD
- ◆ Preclearing (before they return to the United States) military personnel, baggage, and equipment used overseas (done with the cooperation of APHIS employees and military Customs inspectors)
- ◆ Informing military personnel of clearance procedures, exemptions, restrictions, and prohibitions before arriving in CONUS
- ◆ Providing advance notification for military aircraft and vessel arrivals at the point of entry
- ◆ Ensuring that household goods, personnel effects, and outdoor equipment are carefully examined and cleaned prior to packing and shipping to CONUS
- ◆ Dissuading personnel from mailing or shipping restricted or prohibited agricultural items
- ◆ Notifying PPQ of large-scale movement of military personnel and equipment to the United States

### **Food and Drug Administration of the Department of Health and Human Services (FDA)**

Refer the following importations to Customs for referral to an FDA inspector:

- ◆ Any drug, medication, or food intended for animals that FDA has indicated an interest in; consult your local FDA inspector for specific items of interest
- ◆ Betel nuts
- ◆ Canned ackees
- ◆ Catha edulis (khat)
- ◆ Commercial importations of food products
- ◆ Crude papain
- ◆ Mung beans from Thailand
- ◆ Various herbs
- ◆ Wild fowl meat
- ◆ Wild ruminant meat

### **Fish and Wildlife Service of the Department of the Interior (FWS)**

Refer the following to an FWS officer:

- ◆ Nonfarm animals, including birds, but excepting cats, cattle, dogs, goats, horses, pet birds, sheep, and swine
- ◆ Animal by-products such as coats, game trophies, ivory products, pelts, skins, tortoise shell products, and egg importations if from an endangered or threatened bird
- ◆ Abandoned pet birds (also contact VS who is the first concern)

### **Public Health Service of the Department of Health and Human Services (PHS)**

Refer the following importations to the local Public Health Service (PHS) inspector:

- ◆ Dogs, cats, and monkeys (non-human primates)
- ◆ Lather brushes made from hair and bristles
- ◆ Human disease agents and their vectors
- ◆ Human vaccines and biologics, including human tissues, serum, blood, secretions, and excretions.

If you question whether an importation imported for biological use is of animal origin, ask your supervisor or a HQ, PPQ, VMO in PPQ, VRS.





# Appendix E

## *List of Airports Approved by USDA to Remove Regulated Garbage*

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### Contents

Introduction [page E-1-1](#)  
Contact Information [page E-1-1](#)  
List of Airports [page E-1-2](#)  
Procedures for Airports Seeking USDA-APHIS Approval [page E-1-2](#)

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### Introduction

The airports referenced from this appendix are all approved by the Animal and Plant Health Inspection Service (APHIS) to handle garbage removal. As of October 1, 2012, commercial airports receiving international passengers and/or international cargo are no longer required to have on site regulated garbage processing capability. If an airport is **not** listed, contact Quarantine, Policy, Analysis, and Support (QPAS) to determine if the airport has APHIS approved garbage handling capability.

---

### Contact Information

Use the following contact information for commercial and noncommercial airports and fixed base operators (FBO) with regulated garbage handling procedures approved by APHIS.

#### Duty Hours

For duty hours contact information, refer to the [Locate a Port Of Entry – Air, Land, or Sea](#) web page.

#### After Duty Hours

For after duty hours contact information, call **1-800-XSECTOR** (973-2867).



Do **not** call this phone number indiscriminately. Use only when you have a legitimate need for after-duty-hours contact information.

## List of Airports

For a list of commercial and noncommercial airports and FBOs with APHIS approved regulated garbage capability, see [List of US. Airports Eligible for the Arrival of Precleared Private Aircraft Flights](#).

For aircraft wishing to land at airports **other than** those listed, see [Locate a Port Of Entry – Air, Land, or Sea web page](#).

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## Procedures for Airports Seeking USDA-APHIS Approval

An airport or airport authority interested in receiving U.S. Department of Agriculture (USDA), APHIS approval to receive or service international commercial passenger aircraft or international cargo aircraft **must** contact the local State Plant Health Director, local Customs and Border Protection (CBP) and the local Agriculture Quarantine Inspection Veterinary Medical Officer to discuss intent. For additional information, refer to the [APHIS Regulated Garbage Program website](#).





# Appendix F

## *Lists of Codes for States, U.S. Affiliated Islands, and Other Countries*

### List of Two-Letter State Codes

**TABLE F-1-1: Two-letter State Codes**

State	Code	State	Code
Alabama	AL	Montana	MT
Alaska	AK	Nebraska	NE
Arizona	AZ	Nevada	NV
Arkansas	AR	New Hampshire	NH
California	CA	New Jersey	NJ
Colorado	CO	New Mexico	NM
Connecticut	CT	New York	NY
Delaware	DE	North Carolina	NC
District of Columbia	DC	North Dakota	ND
Florida	FL	Ohio	OH
Georgia	GA	Oklahoma	OK
Hawaii	HI	Oregon	OR
Idaho	ID	Pennsylvania	PA
Illinois	IL	Puerto Rico	PR
Indiana	IN	Rhode Island	RI
Iowa	IA	South Carolina	SC
Kansas	KS	South Dakota	SD
Kentucky	KY	Tennessee	TN
Louisiana	LA	Texas	TX
Maine	ME	Utah	UT
Maryland	MD	Vermont	VT
Massachusetts	MA	Virginia	VA
Michigan	MI	Washington	WA
Minnesota	MN	West Virginia	WV
Mississippi	MS	Wisconsin	WI
Missouri	MO	Wyoming	WY

## List of Country Codes (ISO 3166)

The [International Organization for Standardization \(ISO\)](#) maintains a [list of English country names and code elements](#). This list states the country names (official short names in English) in alphabetical order as given in ISO 3166-1 and the corresponding ISO 3166-1-alpha-2 code elements.

This list is updated whenever a change to the official code list in ISO 3166-1 is effected by the ISO 3166/MA.



# Appendix G

## *Lists of Military Bases and Approved Garbage Facilities*

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Establishment and Maintenance of the Military Cooperator Program	page G-1-1
Approval for Garbage and Refuse Disposal	page G-1-1
Clearance of Carriers Arriving from Foreign Points	page G-1-2

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### Introduction

This appendix contains a detailed list of military bases, stations, fields, etc., where clearance of carriers arriving from foreign points may be obtained. Most, but **not** all, locations have approved garbage facilities.

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### Establishment and Maintenance of the Military Cooperator Program

The Military Cooperator Program (MCP) was established for the military to provide clearance at military installations outside the normal agriculture work unit limits or where it would be beneficial to agriculture for other reasons.

Base Commanders wishing to establish MCPs should submit a request in writing to the local CBP Port Director (PD). The PD should ensure the Base Commander is provided the procedures necessary to clear arrivals and assist in the preparation of a Base Order which outlines the procedures, responsible parties, and training requirements. The PD should provide cooperators with the CBP office telephone number and an after-hours telephone number so contact may be made at any hour. The PD should establish an accurate and timely reporting system which will reflect the work accomplished on a monthly basis to the CBP office. Contact APTL for further details or suggestions. Inform APTL immediately of any changes in approving bases or removing them from approval.

---

### Approval for Garbage and Refuse Disposal

The facilities approved to handle and dispose of refuse from international flights are listed in **Table G-1-1**, under the column “Name of Approved Garbage Facility.”

At airbases or airfields **not** identified as approved for garbage and refuse disposal, permission to land will **not** be refused. However, garbage and other meal remnants or scraps will **not** be allowed to be removed and **must** remain aboard the incoming aircraft, and then taken to one of the airbases listed as approved or taken out of the country.

As other bases comply and upon notification from Riverdale, the list of other military air bases or fields with acceptable facilities will be expanded. Changes in status should be submitted as quickly as possible so that all ports can be alerted.

### Clearance of Carriers Arriving from Foreign Points

**Table G-1-1** lists locations for clearance of carriers arriving from foreign points. Notify the CBP office listed under the column “CBP Contact” and inform CBP of the flight’s arrival and for further information on arrangements.



**Important**

In **Table G-1-1** under the column “Cleared By” the notation “Military” means that clearance is normally given by military cooperators.

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
AK	Anchorage	Elmendorf AFB Command Center 907-552-3120 U.S. Air Force [PAED]	Anchorage	CBP	Elmendorf TRO 132 Airlift Dr Elmendorf AFB 907-552-3480	24 hours (travel time)	Anchorage CBPAS Compliance Officer 907-271-1236
AK	Fairbanks	Eielson AFB Mission Support 907-377-3258 U.S. Air Force [PAEI]	Fairbanks	Military MCI	Eielson 354th MSG and B&P Waste	24 hours (travel time)	Fairbanks CBP PD Anchorage Compliance 907-271-1236

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
AK	Kodiak	USCG Air Station Kodiak Operations 907-487-5888 U.S. Coast Guard [PADQ]	Anchorage	CBP	City of Kodiak 710 Mill Bay Rd Kodiak AK Lon White 907-486-8080	72 hours (travel time)	Anchorage CBPAS Compliance Officer 907-271-1236
AL	Birmingham	Birmingham-Shuttlesworth International Airport/ Alabama ANG 117th Air Refueling Wing Command Post 205-714-2441 Air Nat'l Guard [KBHM]	Birmingham	CBP/ Military MCI	Birmingham International Airport Incinerator	48 hours	Ag Specialists CBP Officer 205-731-1464
AL	Huntsville	Redstone AAF Airfields Flight Operations 256-876-1916 256-876-4290 Tower 256-842-6283 U.S. Army [KHUA]	Huntsville	CBP	Port of Huntsville	24 hours	CBP Office 256-772-3404 or 800-973-2867
AL	Montgomery	Maxwell Airforce Base Base Ops Officer 334-953-6961 U.S. Air Force [KMXF]	Birmingham	CBP/ Military MCI	Maxwell AFB/ CBP	12 hours	CBP Officer 205-731-1464
AR	Jacksonville	Little Rock AFB NCOIC of Installation Security 501-987-6210 U.S. Air Force [KLRG]	Little Rock	Military MCI	Waste Services/ Universal Transport	12 hours	CBP Officer 501-324-5269 901-544-0290

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
AZ	Glendale	Luke AFB Base Commander 623-856-5601 US Air Force [KLUF]	Phoenix	CBP	Stericycle, Inc.	12 hours	PD 602-914-1400 602-392-4440
AZ	Phoenix	Sky Harbor International Airport/ Arizona ANG 161st Air Refueling Wing Base Comm 602-302-9201 Air Nat'l Guard [KPHX]	Phoenix	CBP	LSG Sky Chef	24 hours	PD 602-914-1400 602-392-4440
AZ	San Luis	Yuma MCAS Port Ops Gunnery SGT 928-269-2325 U.S. Marine Corps [KYUM]	San Luis	CBP	None	24 hours	PD 928-627-8855
AZ	Sierra Vista	Ft. Huachuca Dept. Public Safety Lt. 520-533-3000 U.S. Army [KFHU]	Douglas	CBP	None	Not listed	PD 520-432-5349
AZ	Tucson	Davis-Monthan AFB Base Comm 520-228-3551 U.S. Air Force [KDMA]	Tucson	CBP	Stericycle, Inc.	6 hours	PD 520-799-8348
CA	Coronado	North Island NAS North Island Air Ops ODO 619-545-8233 619-545-8234 U.S. Navy [KNZY]	San Diego	CBP	Integrated Solid Waste Management Program	24 hours	CBP Watch Commander's Office Port of San Diego 619-685-4304 619-685-4305

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
CA	Fairfield	Travis AFB ATOC 707-424-3705 U.S. Air Force [KSUU]	Sacramento	CBP	On base autoclave; backup Marine Express, Alameda	12 hours	CBP Supervisor 916-649-3671
CA	Long Beach	Seal Beach Naval Weapons St. U.S. Navy	Los Angeles	CBP	Not listed	12 hours	CBP Compliance 310-763-0601
CA	Marysville/ Yuba City	Beale AFB Base Commander 530-634-2002 U.S. Air Force [KBAB]	Sacramento	CBP	Hospital autoclave on base	24 hours	CBP Supervisor 916-649-3671
CA	Miramar	USMC Air Station Miramar  Air Ops 858-577-4277  Terminal Dispatch 858-577-4284 858-577-4285  PAX Terminal 858-577-4283  U.S. Marine Corps [KNKX]	San Diego	CBP	None	24 hours	CBP Watch Commander's Office Port of San Diego 619-685-4304 619-685-4305
CA	Mojave	Edwards AFB Duty Officer Base Ops 661-277-1110 U.S. Air Force [KEDW]	Los Angeles	CBP	Not listed	24 hours	CBP Compliance 310-215-2685

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
CA	Oceanside	USMC Base Camp Pendleton  Flight Clearance Base Operation 760-725-8016  Air Station Operation Office 760-725-8386  U.S. Marine Corps [KNFG]	San Diego	CBP	None	24 hours	CBP Watch Commander's Office Port of San Diego 619-685-4304 619-685-4305
CA	Riverside	March Air Reserve Base  Base Ops 909-655-4402  Air Force Reserve [KRIV]	Los Angeles	CBP	Stericycle	0800 to 2230 seven days a week	LAX Agriculture Operations Phone: 310-215-1305 Fax: 310-215-2611
CA	Sacramento	McClellan Airfield Station  Duty Officer Base Ops 916-561-7411  U.S. Coast Guard [KMCC]	Sacramento	CBP	Under USDA Compliance to haul to Beale AFB	24 hours	CBP Supervisor 916-649-3671
CA	San Diego	Imperial Beach NAS  North Island Air Ops ODO 619-545-8233 619-545-8234  U.S. Navy [KNRS]	San Diego	CBP	Sustainable Solid Waste Management Program	24 hours	CBP Watch Commander's Office Port of San Diego 619-685-4304 619-685-4305
CA	San Diego	US Coast Guard San Diego Sector  Command Center 619-278-7033  U.S. Coast Guard [KSAN]	San Diego	CBP	Sustainable Solid Waste Management Program	24 hours	CBP Watch Commander's Office Port of San Diego 619-685-4304 619-685-4305



**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
CO	Colorado Springs	Peterson AFB Base Contact 719-556-4000 U.S. Air Force [KCOS]	Colorado Springs	MCI	Stericycle, Inc., Dacono, CO	24 hours	CBP Compliance Officer 303-435-0979
CT	East Granby	Bradley International Airport/ Bradley Air National Guard Base/ Connecticut ANG 103rd Airlift Wing Wing Readiness Office 860-292-2352 Air Nat'l Guard [KBDL]	CBP Hartford	CBP/Ag Spec	BDL Incinerator	24 hours	CBP Hartford 860-627-8767
CT	Groton	Submarine Base New London Base Ops 860-694-2663 U.S. Navy [KGON]	CBP New Haven	CBPAS	Covanta SC Wheelabrator Lisbon, INC	24 hours	CBP New Haven 203-773-2040
DE	Dover	Dover AFB Command Post Inbound Controller 302-667-4214 U.S. Air Force [KDOV]	Dover	CBP	Air Fleet Services	0-6 hours	CBP Agriculture Specialist 302-677-4094 302-677-4098

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
DE	New Castle	New Castle County Airport  Air National Guard Station/ Delaware ANG  166th Airlift Wing  Base Ops 302-323-3258  Air Nat'l Guard [KILG]	Wilmington	CBP	Dolphin Ship Services	24 hours	Supervisory CBP Agriculture Specialist Entry & Clearance Desk 215-863-4271 215-863-4272
FL	Cape Canaveral	Cape Canaveral Air Force Station  Skid Strip Base Ops 321-853-4242  U.S. Air Force [KXMR]	Port Canaveral	CBP	Stericycle, Inc.	12 hours	CBP 321-783-2066
FL	Cape Canaveral	Kennedy Space Center/ NASA  Base Ops 321-867-2100  U.S. Air Force [KTTS]	Port Canaveral	CBP	Stericycle, Inc.	12 hours	CBP 321-783-2066
FL	Cape Canaveral	Patrick Air Force Base  Base Ops 321-494-2222  U.S. Air Force [KCOF]	Port Canaveral	CBP	Stericycle, Inc.	12 hours	CBP 321-783-2066
FL	Ft. Walton Beach	Duke Field (Eglin AFB Auxiliary Field #3)  Airfield Ops 850-883-6701  U.S. Air Force [KEGI]	Pensacola	CBP	Eglin AFB/ Enviromed	12 hours	CBP Officer 850-476-0117

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
FL	Ft. Walton Beach	Eglin AFB Airfield Ops 850-882-5313 U.S. Air Force [KVPS]	Pensacola	CBP	Eglin AFB/ Enviromed	12 hours	CBP Officer 850-476-0117
FL	Ft. Walton Beach	Hurlburt Field Airfield Ops 850-884-7806 U.S. Air Force [KHRT]	Pensacola	CBP	Stericycle, Inc.	12 hours	CBP Officer 850-476-0117
FL	Jacksonville	Blount Island Command MC Port Ops 904-696-5140 U.S. Marine Corps (Heli pad for emergency only)	Jacksonville	CBP	Stericycle, Inc.	12 hours	CBP Ops 904-751-2827
FL	Jacksonville	Cecil Field Ops Duty Officer 904-594-6850 U.S. Coast Guard [KVQQ]	Jacksonville	CBP	International Waste Control	12 hours	CBP Ops 904-751-2827
FL	Jacksonville	Jacksonville International Airport/ Jacksonville Air National Guard Base/ Florida ANG 125th Fighter Wing Command Post 904-741-7121 Air Nat'l Guard [KJAX]	Jacksonville	CBP	Gate Gourmet for transport to Stericycle, Inc. for processing	12 hours	CBP Ops 904-396-2363

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
FL	Jacksonville	Jacksonville NAS Air Ops 904-542-2511 U.S. Navy [KNIP]	Jacksonville	CBP	Stericycle, Inc.	12 hours	CBP Ops 904-751-2827
FL	Jacksonville	Mayport NS Air Facility Air Ops 904-270-7126 Surface Ops 5266 U.S. Navy [KNRB]	Jacksonville	CBP	NAVSTA Mayport	12 hours	CBP Ops 904-751-2827
FL	Key West	Boca Chica NAF Navy Air Ops 305-293-2770 U.S. Navy [KNQX]	Key West	CBP	Waste Management 305-296-8297	1 hour	CBPAS 305-797-1893
FL	Key West	Navy Mole Port Ops 305-360-3679 U.S. Navy	Key West	CBP	Waste Management 305-296-8297	12 hours	CBPAS 305-797-1893
FL	Key West	U.S.Coast Guard Station Key West 305-797-3352 U.S.Coast Guard	Key West	CBP	Waste Management 305-296-8297	12 hours	CBPAS 305-797-1893
FL	Miami	Homestead Joint Air Reserve Base 482 Fighter Wing 305-224-6621 Air Force Reserve [KHST]	Miami International Airport	CBP	CBP (Homestead Joint Reserve Base does <b>not</b> have an approved waste container)	3 hours	MIA Compliance Team 305-526-7111

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
FL	Opa Locka	Opa Locka Coast Guard Air Station  Base Ops 305-953-2172  U.S. Coast Guard [KOPF]	Miami International Airport	Military Coopera- tor	Waste Services Inc. Container located at CBP General Aviation Facility (GAF), carted to Stericycle	3 hours	MIA Compliance Team 305-526-7111
FL	Panama City	Tyndall AFB  Airfield Ops 850-283-4244  U.S. Air Force [KPAM]	Panama City	CBP	Enviromed of Bay County	12 hours	CBP Officer 850-785-4688
FL	Pensacola	Pensacola NAS  Environmental 850-452-3131  U.S. Navy [KNPA]	Pensacola	CBP	NAS Pensacola Stericycle, Inc.	12 hours	CBP Officer 850-476-0117
FL	Pensacola	Pensacola NAS Harbor  Port Ops 850-452-2624  U.S. Navy [KNPA]	Pensacola	CBP	NAS Pensacola Stericycle, Inc.	12 hours	CBP Officer 850-476-0117
FL	Tampa	Clearwater CGAS  Base Contact 727-535-1437 Ext 1210  U.S. Coast Guard [KPIE]	Tampa	Coast Guard/ CBP	USCG	4 hours	CBP Officer 813-348-1713 Ext 2319
FL	Tampa	MacDill AFB  Base Ops 813-828-2350  U.S. Air Force [KMCF]	Tampa	CBP	MacDill AFB	1-4 hours	CBP 813-348-1700 Ext 2400

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
GA	Columbus	Lawson AAF Fort Benning Intern'l Flight Arrivals Manager (Robert Bennett) 706-545-5300 U.S. Army [KLSF]	Atlanta	Military MCI	Atlanta International Waste	12 hours	CBP Ops 404-765-2240
GA	Kings Bay	Naval Submarine Base Kings Bay Base Ops 912-573-9281 U.S. Navy [KNBQ]	Brunswick	CBP	International Waste Control	12 hours	CBP Ops Daytime 912-262-6692
GA	Marietta	Dobbins JARB Airport Manager 770-919-4903 Air Force Reserve [KMGE]	Atlanta	CBP	Atlanta Intern'l Waste	12 hours	CBP Ops 404-765-2240
GA	Savannah	Savannah-Hilton Head International Airport Air National Guard Station/ Georgia ANG 165th Airlift Wing Base Contact 912-966-8232 Air Nat'l Guard [KSAV]	Savannah	CBP	Stericycle Inc.	12 hours	CBP Ops 912-232-7507

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
GA	Savannah	Hunter AAF Ft. Stewart Base Ops 912-315-5110 U.S. Army [KSVN]	Savannah	CBP	Stericycle Inc., Jacksonville, FL	12 hours	CBP Ops 24hr number 912-232-7507
GA	Valdosta	Moody AFB Public Health 229-257-4347 Terminal OPS 229-257-3305 U.S. Air Force [KVAD]	Brunswick	Military MCI	Stericycle Inc., Jacksonville, FL (processor)  Stericycle Inc., Lake City, GA (hauler)	12 hours	CBP Ops Daytime 912-262-6692
GA	Warner Robins	Robins AFB Director (Foreman) of Pest Management 478-926-2082 U.S. Air Force [KWRB]	Atlanta	Military MCI	Stericycle, Inc., Macon GA, (hauler); Stericycle, Inc., Jacksonville, FL (processor)	12 hours	CBP Domestic Officer 478-752-1734
GU	Santa Rita	Apra Harbor Naval Station  Commander 671-339-5252	Tamuning	PPQ	NAVFAC Marianas	24 hours	CBP Ops 671-642-7617  PPQ - garbage 07:00 - 15:00 671-475-3212 After hours: 671-642-8071 671-642-8072
GU	Yigo	Anderson AFB Wing Commander 671-366-3600 U.S. Air Force [PGUA]	Tamuning	PPQ	Pacific Environmental Resources, Inc	24 hours	CBP Ops 671-642-7617 PPQ - garbage 671-366-3212

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
HI	Barbers Point	USCG Air Station Barbers Point  Operations Center 808-682-2750  U.S. Coast Guard [PHJR]	Honolulu	CBP	USCGAS, Barbers Point	2 Hours minimum	CBPAS Compliance Officer 808-237-4659 (0700-1500)  CBP Airport Service Center 808-237-4601 (after hours)
HI	Honolulu	Hickam AFB  ATOC 808-449-6981  Command Post 808-448-6900  U.S. Air Force [PHIK]	Honolulu	CBP	Fleet Service Hickam AFB	2 Hours minimum	CBPAS Compliance Officer 808-237-4659 (0700-1500)  CBP Airport Service Center 808-237-4601 (after hours)
HI	Kaneohe	Marine Corps Base, Hawaii  Base Commander 808-257-2121 808-257-2122  U.S. Marine Corps [PHNG]	Honolulu	CBP	MCBH Flight Operations	2 Hours minimum	CBPAS Compliance Officer 808-237-4659 (0700-1500)  CBP Airport Service Center 808-237-4601 (after hours)
IA	Sioux City	Sioux Gateway Airport/ Colonel Bud Day Field/Iowa ANG  185th Air Refueling Wing  Security Forces MSgt Corey Ewing 712-233-0780 Air Nat'l Guard [KSUX]	Omaha	Military MCI/ CBP	Stericycle		CBP Port Director 402-341-0240 or 402-306-6577 after hours



**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
ID	Mountain Home	Mountain Home AFB James F. Battenfelder 208-828-2583 U.S. Air Force [KMUO]	Boise	Military MCI	Larson Miller Medical Waste Disposal Service, Boise, ID	24 hours	Port Director, Boise 208-334-9062
IL	Mascoutah	Scott AFB Base Operations 618-256-1861 U.S. Air Force [KBLV]	St. Louis, MO	Military MCI	Stericycle, St Louis	12 hours	CBP Officer 314-428-2662
IN	Peru	Grissom Air Reserve Base 434th Air Refueling Wing Air Force Reserves [KGUS]	Indianapolis	Military MCI	Covanta Energy, Indianapolis, IN		CBP Agriculture Specialist 317-248-4060 Ext 103
KS	Topeka	Forbes Field Air National Guard Base/ Kansas ANG 190th Air Refueling Wing Mas Edward Holm 785-861-4221 Air Nat'l Guard [KFOE]	Kansas City	Military MCI	Stericycle	24 hours	CBP Officer Robart 816-243-3676
KS	Wichita	McConnel AFB M SGT Haney 316-759-3253 U.S. Air Force [KIAB]	Wichita	Military MCI	Stericycle	24 hours	CBP Office 316-613-4192 316-613-4194

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
KY	Ft. Campbell	Campbell AAF Fort Campbell MCI Security 270-956-4345 U.S. Army [KHOP]	Nashville	Military MCI	Stericycle Beaver Dam, KY	24 hours	CBP Officer 615-736-2173
LA	New Orleans	New Orleans Naval Air Station Joint Reserve Base  Belle Chase NAS/Alvin Callender Field  Base Comm 504-678-3201 U.S. Navy [KNBG]	New Orleans	CBP	None	24 hours	CBP Ops 504-623-6600
LA	Shreveport	Barksdale AFB  NCOIC of Military Customs 318-456-3560 U.S. Air Force [KBAD]	Shreveport	CBP Military MCI	Base	24 hours	CBP Officer 318-635-7873
MA	Bedford	Hanscom AFB  Transit Alert 781-377-2549 U.S. Air Force [KBED]	CBP-Beverly	CBP	Signature Flight Support  Wheelabrator Saugus, MA	24 hours	CBP Hanscom Field 781-869-8031
MA	Bourne	Cape Cod Coast Guard Airfield  Coast Guard OPS USCG 508-968-4386 U.S. Coast Guard [KFMH]	CBP Providence	CBPAS	(Base compliance agreement) Wheelabrator N. Andover, MA Wheelabrator Saugus, MA	24 hours	CBP Providence 401-941-6326

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
MA	Chicopee	Westover Joint Air Reserve Base  Base Ops Phone: 413-557-2917 Fax: 413-557-2156  Air Terminal Ops Center Phone: 413-557-3229 Fax: 413-557-3147  Air Force Reserve [KCEF]	CBP Hartford/ Springfield	CBPAS	(Base compliance agreement) Covanta Springfield	2-6 hours	CBP Hartford Phone: 860-292-1314 Fax: 860-292-1289
MA	Westfield	Barnes Air National Guard Base/Mass. ANG  Logistics Readiness Flight Phone: 413-568-9151 Ext 1316/ 1325/1461 Fax: 413-572-1581  Air Nat'l Guard [KBAF]	CBP Hartford/ Springfield	CBPAS	(Base compliance agreement) Covanta Springfield	24 hours	CBP Hartford Phone: 860-292-1314 Fax: 860-292-1289
MD	Baltimore	Martin State Airport/ Maryland ANG  175th Wing  Base Ops 410-918-6210  Air Nat'l Guard [KMTN]	Baltimore	Military/ CBP	Wheelabrator Baltimore L.P.	24 hours	CBP Office 410-865-2100 410-288-3344

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
MD	Lexington Park	Naval Air Test Center/NAS Patuxent River  Base Ops 301-342-3837  U.S. Navy [KNHK]	Baltimore	Military/ CBP	Wheelabrator Baltimore L.P.	24 hours	CBP Office 410-865-2100 410-288-3344
MD	Morningside	Andrews AFB  Air Traffic Control 301-981-7405 301-981-3558  U.S. Air Force [KADW]	Andrews AFB	CBP	Jenn Kans Inc.	48 hours	CBP Office 301-981-2791 301-981-4145
ME	Bangor	Bangor International Airport/Bangor Air National Guard Base/ Maine ANG  101st Refueling Wing 207-990-7225  Air Nat'l Guard [KBGR]	Bangor	CBP	BASF Inc. Sterilizer	0-2 hours	CBP Officer 207-947-7861
ME	Portland	Brunswick NAS  Brian Sawitski 207-921-1743  U.S. Navy [KNHZ]	Portland	Military MCI/ CBP	Incinerator Regional Waste Systems	0-2 hours	Portland 207-771-3630
MI	Mt. Clemens	Selfridge Air National Guard Base/ Michigan ANG  127th Wing  127th Security Control Center Staff Sergeant 586-239-5081 586-239-6151  Air Nat'l Guard [KMTC]	Port Huron	CBP	Kolob Inc	24 hours	CBP Officer 810-985-9541 Ext 235

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
MO	Knob Noster	Whiteman AFB Base Commander 660-687-1110 U.S. Air Force [KSZL]	Kansas City	Military MCI	Stericycle	24 hours	CBP Officer Robart 816-243-3676
MO	St Joseph	Rosecrans Air National Guard Base/Missouri ANG  139th Airlift Wing  Base Commander Col. Davenport 816-236-3201  Air Nat'l Guard [KSTJ]	Kansas City	Military MCI	Airport Kansas City, MO	24 hours	CBP Officer Robart 816-243-3676
MS	Biloxi	Keesler AFB Base Ops 228-377-2120 U.S. Air Force [KBIX]	Gulfport	CBP	Stericycle Dockside Services	24 hours	CBP Officer 228-863-6350
MS	Gulfport	Gulfport-Biloxi International Airport Air National Guard Base/ Mississippi ANG  Combat Readiness Training Center Gulfport  ANG Ops Desk 228-214-6025 228-214-6027  Air Nat'l Guard [KGPT]	Gulfport	CBP	Dockside Services	24 hours	Ag Specialists CBP Officer 228-863-6350

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
MS	Jackson	Jackson-Evers International Airport/Allen C. Thompson Field/ Mississippi ANG 172nd Airlift Wing Base Ops 601-405-8350 Air Nat'l Guard [KJAN]	Jackson	CBP	Stericycle	24 hours	CBP Officer 601-932-3324
MS	Meridian	Meridian Regional Airport/Key Field Air National Guard Base/ Mississippi ANG 186th Air Refueling Wing Base Ops 601-484-9522 601-484-9714 Air Nat'l Guard [KMEI]	Jackson	CBP	Stericycle	24 hours	CBP Officer 601-932-3324
NC	Charlotte	Charlotte-Douglas International Airport/ Charlotte Air National Guard Base/North Carolina ANG 145th Airlift Wing David Kurtz 704-391-4145 Air Nat'l Guard [KCLT]	Charlotte	CBP	LSG Skychef Steam Sterilizer	12 hours	Supervisory Ag. Specialist 980-235-1642 or 980-235-1779

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
NC	Elizabeth City	Coast Guard Air Station Elizabeth City  CGAS Engineering Dept. 252-334-5057  Coast Guard [KECG]	Morehead	Military MCI CBP	(approved base garbage cooker)	2 hours	Port Director 252-726-5845
NC	Fayetteville	Pope Air Force Base  LE Desk 910-394-2800  U.S. Air Force [KPOB]	Wilmington	Military MCI CBP	Stericycle at Haw River (contact: J.W. Hill at 336-578-8900)	12 hours	Supervisory Ag. Specialist 910-772-5900
NC	Goldsboro	Seymour Johnson AFB  Security Forces 919-722-4097  U.S. Air Force [KGSB]	Raleigh Durham	Military MCI CBP	Stericycle at Haw River & Occasionally Sky Chefs at RDU-Durham International	2 hours	Port Director 919-467-3487
NC	Havelock	Cherry Point, MCAS  Facility Maint. Off. 252-466-4363  U.S. Marine Corps [KNKT]	Morehead	CBP Military MCI	On base steam sterilizer for military flights  Sky Chefs at RDU-Durham International for commercial flights	2 hours	Port Director 252-726-5845
NC	Jacksonville	New River MCAS  Flight Operations 910-449-6316  U.S. Marine Corps [KNCA]	Wilmington	CBP	None	2 hours	Supervisory Ag. Specialist 910-772-5900
NC	Onslow Beach	Camp Lejeune  Navy Port Control 252-726-5167  U.S. Navy	Wilmington	CBP	None	12 hours	Supervisory Ag. Specialist 910-772-5900

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
NC	Southport	Sunny Point Marine Ocean  Military Sealift Command 910-457-8210  U.S. Army	Wilmington	CBP	Stericycle at Haw River	2 hours	Port Director 910-772-5908
ND	Fargo	Hector Int'l Airport/North Dakota ANG  119th Wing  Commander 119th Security Forces Squadron 701-451-2290  Air Nat'l Guard [KFAR]	Pembina	Military MCI	Healthcare Environmental Services, Inc	None	CBPAS 701-825-6511 Ext 324
ND	Grand Forks	Grand Forks AFB  Base Commander  319th Security Forces Squadron 701-747-5452  U.S. Air Force [KRDR]	Pembina	Military MCI	Environmental Transport Services	None	CBPAS 701-825-6511 Ext 324
ND	Minot	Minot AFB  Commander 5th Security 701-723-3115  U.S. Air Force [KRDR]	Portal	Military MCI	Healthcare Environmental Services, Inc	None	CBPAS 701-926-4221 (Option 1, Option 4)
NE	Bellevue	Offutt AFB  Security Forces 402-294-6110  U.S. Air Force [KOFF]	Omaha	Military MCI/ CBP	Stericycle		CBP Port Director 402-341-0240 or 402-306-6577 after hours



**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
NE	Lincoln	Nebraska Air National Guard Base/ Nebraska ANG  155th Air Refueling Wing  CMSgt Matt Swetland Security Forces 402-309-1552  Air Nat'l Guard [KNIB]	Omaha	Military MCI/ CBP	Stericycle		CBP Port Director 402-341-0240 or 402-306-6577 after hours
NH	Portsmouth	Pease Air National Guard Base/New Hampshire ANG  157th Air Refueling Wing  M.S. Sullivan 603-430-2614  Air Nat'l Guard [KPSM]	Portsmouth, ME & Portsmouth, NH	Military MCI/ CBP	Pease ANG Base Incinerator Regional Waste Systems	0-2 hours	Portland 207-771-3630
NJ	Colts Neck	Naval Weapons Station Earl  Anthony C. Costello, U.S. Navy 732-866-7319  U.S. Navy	Bridge Disposal Inc.	AQI	Covanta Union Inc.		Mark Hardy 201-443-0236  Keith Williamson 201-443-0263  Ryan Terrado 201-443-0276
NJ	Wrightstown	McGuire AFB  ATOC 609-754-2231 609-754-4917  U.S. Air Force [KWRI]	McGuire	CBP	Wheelabrator Gloucester	0-4 hours	CBP Agriculture Specialist 609-723-3949 Entry & Clearance Desk 215-863-4271 215-863-4272

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
NM	Alamogordo	Holloman AFB Base Public Health 505-572-3304 U.S. Air Force [KHMN]	Port of Santa Teresa, NM	CBP	None (CBP collects and transports to El Paso for incineration in CBP incinerator)	72 hours	CBP Port Director Guillermo Rivas or CBP Agriculture Specialists William Cocke or Daniel Villalobos 575-589-9354
NM	Albuquerque	Kirtland AFB Security Forces Flight-line Constable 505-846-7706 U.S. Air Force [KABQ]	Port of Albuquerque, NM	CBP	Albuquerque Int'l Airport (Incinerator)	72 hours	CBP Port Director Tracy Thorpe or CBP Agriculture Specialists Elaine Tourjee or Kreshanna Rhodes 505-346-6992
NM	Albuquerque	105th Fighter Wing/Kirtland AFB/New Mexico ANG Security Forces Flight-line Constable 505-846-7706 Air Nat'l Guard [KABQ]	Port of Albuquerque, NM	CBP	Albuquerque Int'l Airport (Incinerator)	72 hours	CBP Port Director Tracy Thorpe or CBP Agriculture Specialists Elaine Tourjee or Kreshanna Rhodes 505-346-6992
NM	Clovis	Cannon AFB Public Health Commander 505-784-4582 U.S. Air Force [KCVS]	Port of Albuquerque, NM	CBP	None (CBP collects/ transports to Albuquerque for incineration in CBP approved incinerator)	72 hours	CBP Port Director Tracy Thorpe or CBP Agriculture Specialists Elaine Tourjee or Kreshanna Rhodes 505-346-6992
NV	Las Vegas	Nellis Air Force Base Base Commander 702-652-4600 U.S. Air Force [KLSV]	Las Vegas	Military MCI	McCarran Int'l Airport	24 hours	CBP Agriculture Specialist 702-261-5593

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
NY	Newburgh	Stewart Air National Guard Base/New York ANG 105th Airlift Wing Base Ops 845-563-2286 Air Nat'l Guard [KSWF]	Newburg	CBP	Dutchess County Resource Recovery Agency	24 hours	CBP Officer Steven Hammerstone 845-567-1691 or 973-565-8000 Ext 8173
NY	Niagara Falls	Niagara Falls Joint Air Reserve Station 914th Airlift Wing 107th Air National Guard Flight Operations 716-236-2174 716-236-6383 Air Force Reserve Air Nat'l Guard [KIAG]	Buffalo	Military CBP	Covanta Energy	24 hours	CBP Ag Specialist 716-881-4447 opt. 6
NY	Scotia	Stratton Air National Guard Base/New York ANG 109th Airlift Wing Base Ops 518-341-2420 Air Nat'l Guard [KSCH]	Albany	CBP	Wheelabrator Hudson Falls LLC	24 hours	CBP Officer 518-431-0200

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
NY	Syracuse	Hancock Field Air National Guard Base/ New York ANG  174th Fighter Wing  Ops Desk 315-454-6217  Air Nat'l Guard [KSYR]	Syracuse	Military	Oswego County Energy Recovery Facility Incinerator	48 hours	CBP Officer 315-455-8446
NY	Watertown	Wheeler-Sack AAF  Fort Drum  Base Ops 315-772-5681  U.S. Army [KGTB]	Alexandria Bay	CBP Military	Oswego County Energy Recovery Facility Incinerator	24 hours	CBP Officer 315-482-2261 Ext 294 or 239
NY	West Hampton Beach	Francis Gabreski Air National Guard Base/New York ANG  106th Air Rescue Wing  631-723-7362  Air Nat'l Guard [KFOK]	JFK	CBP	Covanta Energy, Westbury, N.Y.	48 hours	Trade Operations 718-487-5281  OR  Compliance Enforcement Team 718-487-5277
OH	Columbus	Rickenbacker Air National Guard Base/ Ohio ANG  121st Air Refueling Wing  Security Desk 614-492-4321  Air Nat'l Guard [KLCK]	Columbus	CBP	CMH Airport Authority ininnerator at KLCK	12 hours	CBP Officer 614-497-1865

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
OH	Fairborn	Wright Patterson AFB  Sergeant 937-257-2195  U.S. Air Force [KFFO]	Dayton	Military MCI	Stericycle	24 hours	CBP Officer Addison 937-890-7633 Ext 127
OH	Swanton	Toledo Express Airport Air National Guard Station/Ohio ANG  180th Fighter Wing  Logistics Office 419-868-4136  Air Nat'l Guard [KTOL]	Toledo	Military MCI/ CBP	Stericycle	48 hours	CBP Port Director 419-259-6424 Ext 11
OK	Oklahoma City	Tinker AFB U.S. Air Force [KTIK]	Oklahoma City	MCI/ CBP	Stericycle, Inc. 15 NE 47th St. Oklahoma City, OK 73105 405-813-3100	12 hours (2 hour minimum)	405-942-3405
OR	Portland	Portland Oregon Air National Guard Base/Oregon ANG  142nd Fighter Wing  Command Post 503-335-4421  Air Nat'l Guard [KPDX]	Portland	CBP	Skychefs	24 hours	CBPAS 503-326-2721

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
PA	Corapolis	Pennsylvania ANG  171st Air Refueling Wing  Command Controller 412-776-7536  Air Nat'l Guard [KPIT]	Pittsburgh	CBP	Stericycle, Inc.	24 hours	CBPAS 412-472-0804 412-472-0805
PA	Harrisburg	Harrisburg International Airport Air National Guard Station/ Pennsylvania ANG  193rd Special Operations Wing  Base Ops 717-948-2249  Air Nat'l Guard [KMDT]	Carlisle	CBP	Stericycle, Inc.	12 hours	CBP Officer 717-782-4510
PA	Horsham	Naval Air Station Joint Reserve Base Willow Grove  Military Customs and Border Protect. 215-443-6186  U.S. Navy [KNXX]	McGuire	CBP	Stericycle, Inc.	4-12 hours	CBP Agriculture Specialist 609-723-3949 Entry & Clearance Desk 215-863-4271 215-863-4272

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
PR	Aguadilla (not a military base)	Rafael Hernandez International Airport (formerly Ramey Air Force Base)/ Coast Guard Technical Support Station Air Station Borinquen/ Puerto Rico ANG  Plans Ops Tng Office 787-289-1538  U.S. Coast Guard and Air Nat'l Guard [TJBQ]	Aguadilla	CBP	COPECA Western Aviation Services	24 hours	Monday – Saturday 0800-1700  Desk Ops 787-831-3342 787-882-3556
PR	Ponce (not a military base)	Mercedita Airport  Plans Ops Tng Office 787-843-5950  PRPA Agent South P. R. Aero Service: 787-844-5323  President Wallas Santos: 787-396-3783 787-567-1564  Army Nat'l Guard [TJPS]	Ponce	CBP	Western Medical Waste (Mayaguez)  Aqua Clean Caribe Inc.	24 hours	Monday – Saturday 0800-1700  Desk Ops 787-841-3130 787-841-3131

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
PR	San Juan	PR ANG and Coronet Oak/ Muñiz Air Base Military Base  PR ANG 787-253-7477 787-253-5204 787-791-0210 Coronet Oaks Ops 787-253-5561 787-253-5562  Air Nat'l Guard	San Juan	CBP	BFI/Stericycle	12 hours	7 Days/Week 24 Hours Desk Ops 787-253-4510 787-253-4505
RI	Newport	Newport Naval Station  Seaport Ops Office 401-841-2277  U.S. Navy Quonset	CBP Providence	CBPAS	Wheelabrator Lisbon, CT Covata Preston, CT	24 hrs	CBP Providence 401-941-6326
RI	N. Kingstown	Quonset Air National Guard Base/Rhode Island ANG  143rd Airlift Wing  OPS 401-886-1405  Air Nat'l Guard [KOQU]	CBP Providence	CBPAS	Wheelabrator Lisbon, CT Covata Preston, CT	24 hrs	CBP Providence 401-941-6326
SC	Beaufort	Beaufort Marine Corps Air Station  Deputy Provost Marshall 843-228-2486 843-228-6774  U.S. Marine Corps [KNBC]	Charleston	MCI	Stericycle Haw River, NC	24 hours	CBP OPS 843-579-6513



**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
SC	Charleston	Charleston AFB  Dirty Fleet (Sgt Page)/Legal Dept. (Mr. Stanley)  Dirty Fleet 843-963-3159  Legal Dept. 843-963-5502  U.S. Air Force [KCHS]	Charleston	CBP	Stericycle Haw River, NC	2 hours	CBP OPS 843-579-6513
SC	Eastover	McEntire Air National Guard Base/South Carolina ANG  169th Fighter Wing  Robert Davis 803-647-8500  Air Nat'l Guard [KMMT]	Columbia, SC	MCI	Stericycle Haw River, NC	2 hours	CBP Office 803-822-5251
SC	Sumter	Shaw AFB  Security Forces Squadron Bob Healy 803-895-3600  Civil Engineering Squadron Dewayne Crawford 803-895-9711  U.S. Air Force [KSSC]	Columbia, SC	MCI	Stericycle Haw River, NC	2 hours	CBP Office 803-822-5251
SD	Rapid City	Ellsworth AFB  Security Forces 605-385-4015  U.S. Air Force [KRCA]	Sioux Falls/ Omaha	Military MCI/ CBP	Smart Ash incinerator on base	24 hours	CBP Officer 605-338-4384

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
SD	Sioux Falls	Joe Foss Field Air National Guard Station/ South Dakota ANG  114th Fighter Wing  Air Nat'l Guard [KFSD]	Sioux Falls/ Omaha	Military MCI/ CBP	Stericycle, Minneapolis, MN	24 hours	CBP Officer 605-338-4384
TN	Alcoa	McGhee Tyson Air National Guard Base/ Tennessee ANG  134th Air Refueling Wing  Chief Master Sergeant 865-985-3278  Air Nat'l Guard [KTYS]	Knoxville	Military MCI	Stericycle Inc., Knoxville, TN (hauler); Stericycle, Inc., Beaver Dam, KY (processor)	24 hours	CBP Office 865-545-4771
TN	Ft. Knox	Godman AAF Fort Knox  Cheryl Cantrel 502-624-2976  U.S. Army [KFTK]	Louisville	CBP	Stericycle, Beaver Dam, KY	24 hours	CBP Officer Camarata 502-366-3398 Ext. 106
TN	Memphis	Memphis Air National Guard Base/ Tennessee ANG  164th Airlift Wing  Chief Master Sergeant 901-291-7101  Air Nat'l Guard [KMEM]	Memphis	Military MCI	Gate Gourmet	12 hours	CBP Officer 901-544-0290

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
TX	Abilene	Dyess AFB MCI Program 7th Security Services Squadron 309 4th Ave., Suite 118, Dyess AFB, TX 79607-1490 325-696-2720  U.S. Air Force [KDYS]	Midland	MCI	Stericycle, Inc. Garland, TX 972-262-6000	48 hours	806-762-5739
TX	Beaumont	U.S. Army 842nd Transportation Battalion  Ken Pendergraft 409-784-3820	Port Arthur	CBP	National Bio-care Overseas Marine, Inc.	24-48 hours	409-727-2895 Ext. 233 409-727-2895 Ext. 224
TX	Corpus Christi	Strategic Military Port of Corpus Christi  A. Speight 361-882-6330	Corpus Christi CBP	CBP	Global Environmental Marine Waste Houston based	12 hours	CBPAS 361-888-3324
TX	Dallas/Fort Worth	NAS Joint Reserve Base Fort Worth  Base Commander 817-782-7600  U.S. Navy [KNFW]	Dallas/Ft. Worth CBP	MCI/ CBP	Serviced by Gate Gourmet	12 Hours (2 hour Minimum)	972-973-9827
TX	El Paso	Biggs AAF DPTMS- Garrison Command, IMA  Ft. Bliss  Edward P. Manning 915-744-9289  U.S. Army [KBIF]	El Paso	MCI	Biggs AAF  Airfield Operations, Building 11208  Fort Bliss, TX  915-892-3923	N/A - on site processing	915-872-4735

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Served By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
TX	Houston	Ellington Field Air National Guard Station/ Texas ANG  Base Ops 281-929-2142  Air Nat'l Guard [KEFD]	Houston Galveston Seaport	MCI/ CBP	Southwest Airport Services	1 hour	713-454-8000
TX	Killeen	Robert Gray AAF  Ft. Hood  U.S. Army [KGRK]	Austin	MCI/ CBP	Stericycle Inc. 2607 Hwy 21 West Dale, TX 78616 512-243-0031	48 hours	512-530-3053
TX	San Antonio	Lackland/Kelly AFB  U.S. Air Force [KSKF]	San Antonio	MCI/ CBP	Gate Gourmet 919 Isom Rd. San Antonio, TX 78216 210-824-9577	48 hours	210-821-6965
UT	Ogden	Hill AFB  Base Ops 801-245-2276  U.S. Air Force [KHIF]	Salt Lake City	CBP	Stericycle Incinerator	24 hours	CBP 801-524-3445 Ext. 247
UT	West Valley City	Utah Air National Guard Base/Utah ANG  151st Air Refueling Wing  Base Commander 801-245-2276  Air Nat'l Guard [KSLC]	Salt Lake City	CBP	SLC Incinerator	24 hours	CBP 801-524-3445 Ext. 247

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
VA	Newport News	Felker AAF Fort Eustis Port Ops 757-878-4687 U.S. Army [KFAF]	Norfolk	CBP	All foreign arriving aircrafts are issued a Permit to Proceed and the waste handled by the subsequent authorized base.	24 hours	Port Director 757-441-3211
VA	Newport News	Langley AFB Phyllis Duffy 757-574-2749 U.S. Air Force [KLFJ]	Norfolk	CBP	American Environmental Group (AEG)	24 hours	CBP OPS 757-441-6242
VA	Norfolk	Little Creek Amphibious Base Base Ops 757-462-7791 U.S. Navy	Norfolk	CBP	Stericycle	24 hours	CBP OPS 757-441-6242
VA	Norfolk	Naval Station Norfolk/NOB Port Ops 757-445-1633 U.S. Navy	Norfolk	CBP	Base Public Works, Stericycle	24 hours	CBP OPS 757-441-6242
VA	Norfolk	Naval Station Norfolk/ Chambers Field Air Ops 757-444-3922 U.S. Navy [KNGU]	Norfolk	CBP	Base Public Works, Stericycle	24 hours	CBP OPS 757-441-6242
VA	Portsmouth	USCG ISC Portsmouth Randy Peters 757-483-8695 U.S. Coast Guard	Norfolk	CBP	American Environmental Group (AEG)	24 hours	CBP OPS 757-441-6242

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
VA	Quantico	Quantico MCAS Quantico Marine Base  N/A Contacted through Customs  U.S. Marine Corps 703-784-2121 [KNYG]	Richmond	Customs Military MCI	None	24 hours	Port Director 804-226-9675 Ext. 201
VA	Yorktown	Naval Weapons Station  Port Ops Bldg 757-444-1121  U.S. Navy	Norfolk	CBP	Base Public Works, Stericycle	24 hours	CBP OPS 757-441-6242
VT	Burlington	Burlington International Airport Air Guard Station/ Vermont ANG  158th Fighter Wing  802-660-5328  Air Nat'l Guard [KBTV]	Highgate Springs	CBP	Atlantic Aviation  All Cycle Waste	72 hours	Highgate 802-868-9936
WA	Bremerton	Naval Base Kitsap (formerly Naval Station Bremerton)  Commanding Officer 360-476-3467  U.S. Navy	Tacoma	CBP	Allied Waste, Inc./Emerald Services	12 hours	CBPAS 206-396-7227 206-553-1581

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
WA	Everett	Puget Sound Naval Station  Commanding Officer 425-304-3429 (0800-1600) 425-304-3487 425-304-3587 (after 1600) U.S. Navy	Seattle	CBP	Allied Waste, Inc/Emerald Services	12 hours	CBPAS 206-396-7227 206-553-1581
WA	Hadlock	Naval Magazine, Indian Island  Commander 360-396-4973 U.S. Navy	Seattle	CBP	Allied Waste, Inc/Emerald Services	12 hours	CBPAS 206-396-7227 206-553-1581
WA	Oak Harbor	Naval Air Station Whidbey Island  ODO 360-257-2681 U.S. Navy [KNUW]	Blaine	CBP	Pacific Warehouse	24 hours	CBP Agriculture Cargo 360-332-1640
WA	Spokane	Fairchild AFB  Base Commander 509-247-2124 US Air Force [KSKA]	Spokane	CBP	Spokane Incinerator	24 hours	Port Director 509-353-2950
WA	Tacoma	McChord AFB  Wing Commander 253-982-2621 U.S. Air Force [KTCM]	Tacoma	CBP	McChord AFB	24 hours	CBP Boarding Desk 206-553-1589 M-F 0700 – 1530 206-553-4406 all other times
WI	Camp Douglas	Volk Field ANG Base/ Wisconsin ANG  Base Ops 608-427-1205 Air Nat'l Guard [KVOK]	Milwaukee	CBP	Not listed	24-48 hours	Port Director 414-486-7790

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
WI	Madison	Truax Field ANGB/Dane County Regional Airport/ Winconsin ANG  115th Fighter Wing  Command Post 608-245-4580  Air Nat'l Guard [KMSN]	Milwaukee	CBP	Not listed	24-48 hours	Port Director 414-486-7790
WI	Milwaukee	General Mitchell International Airport/ Wisconsin ANG  128th Air Refueling Wing  Contact for 128th: Base Ops.: 414-944-8470	Milwaukee	CBP	Not listed	2 hours	Port Director 414-486-7790
WV	Charleston	Yeager Airport/West Virginia ANG  130th Airlift Wing  Sgt. Ackins 304-341-6240  Air Nat'l Guard [KCRW]	Charleston	CBP	NONE	24 hours	CBP OPS 304-347-5204



**TABLE G-1-1: Military Locations for Clearance of Carriers Arriving from Foreign Points (continued)**

State	City	Base Name, Base Contact, Branch of Service, [ICAO Airport Code]	Serviced By	Cleared By	Name of Approved Garbage Facility	Notification Time	CBP Contact
WY	Cheyenne	Cheyenne Regional Airport/ Wyoming ANG  153rd Airlift Wing  Base Contact 307-772-6309  Air Nat'l Guard [KCYS]	Cheyenne	MCI	Stericycle, Inc. Dacono, CO	24 hours	CBP Compliance Officer 303-342-7400

**Appendix G:** Lists of Military Bases and Approved Garbage Facilities  
Clearance of Carriers Arriving from Foreign Points

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Agricultural  
Clearance

# Appendix H

## *Sources of Supply for Cleaning and Disinfecting Materials*

Item:	Source of supply:
Bags, leakproof	GSA (National Stock Number 8105-01-221-3236)
Bags, leakproof, 3 mil (for regulated garbage)	Contact HQ VRS at phone 301-851-2295
Bottle, spray	GSA (National Stock Number 8125-00-488-7952)
Broom, whisk	GSA (National Stock Number 7920-00-240-6350)
Brush, scrub upright	GSA (National Stock Number 7920-00-240-7171)
Brush, scrub, hand held	GSA (National Stock Number 7920-00-061-0038)
Dustpan, upright	GSA (National Stock Number 7290-00-634-1996)
Dustpan hand held	GSA (National Stock Number 7290-00-224-8308)
Goggles, safety	GSA (National Stock Number 4240-00-052-3776)
Handle, wooden utility (for upright scrub brush)	GSA (National Stock Number 7920-00-141-5452)
Sodium carbonate, 100-pound drum	GSA (National Stock Number 6810-00-233-1715)
Sodium hypochlorite (household bleach)	Purchase locally at grocery, hardware store, etc.
Virkon® S	National Distributor: Dupont Company Products Information Center Wilmington, DE 800/441-7515 <a href="http://www.dupont.com">www.dupont.com</a>





# Appendix I

## *Conferred and Cargo Release Authority for CBP Agriculture Specialists*

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---

### Introduction

The purpose of the Cargo Release Authority (CRA) program is to facilitate release of cargo found infested with potential plant pest organisms. The program authorizes Customs and Border Protection Agriculture Specialists (CBP AS) to recognize some distinctive organisms intercepted from cargo shipments that are **not** quarantine pests and release cargo held for those organisms.

CRA may be issued for organisms including:

- ◆ Insects
- ◆ Mollusks
- ◆ Plant diseases
- ◆ Weed seeds

---

### Conferred Authority, Miscellaneous Taxa

CBP AS earn authority to recognize these groups of organisms when they graduate from the CBP training academy. Maintaining authority to recognize these organisms requires refresher training administered by CBP.

#### Arthropods

Identify to order or family as applicable, release commodity, and discard specimens<sup>1</sup>. See **Table I-1-1** on **page I-1-2** for a list of nonreportable arthropods.

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<sup>1</sup> Track the number of pests identified and shipments for recording in the Work Accomplishment Data System (WADS).

**TABLE I-1-1: Nonreportable Arthropods**

Phylum Arthropoda
Class Arachnida
Order Araneae (spiders)
Order Opiliones (harvestment or daddy long-legs)
Order Pseudoscorpiones (pseudoscorpions)
Order Scorpiones (scorpions)
Order Uropygi (whip scorpions)
Class Chilopoda (centipedes)
Class Crustacea
Order Isopoda (sowbugs)
Class Diplopoda (millipedes)
Class Insecta
Order Thysanura/Microcoryphia (bristletails)
Order Blattaria (roaches)
Order Dermaptera (earwigs)
Order Ephemeroptera (mayflies)
Order Odonata (dragonflies and damselflies)
Order Plecoptera (stoneflies)
Order Trichoptera (caddisflies)

### Plant Pathology

Identify as applicable, release commodity, and discard specimens<sup>2</sup>.  
See [Table I-1-2](#) below for a list of nonreportable fungi.

**TABLE I-1-2: Plant Pathology List, Nonreportable Interceptions**

Deuteromycetes
<i>Aspergillus</i> spp.
<i>Penicillium</i> spp.
Zygomycetes
<i>Rhizopus</i> spp.

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## Cargo Release Authority (CRA), Nonreportable Interceptions

CBP AS may earn CRA for [taxa on the CRA National List](#) according to procedures under the [Cargo Release Authority Policy](#).

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<sup>2</sup> Track the number of pests identified and shipments for recording in WADS.

# J

Agricultural  
Clearance

## Appendix J

### *Investigative and Enforcement Services*

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#### Introduction

The *Investigative and Enforcement Services* appendix lists Headquarters and Regional Office contacts. APHIS has subpoena authority and experience, through Investigative and Enforcement Services (IES), in the correct procedures to request subpoenas, serve them, and enforce them.

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#### IES Offices

##### **IES Headquarters Office (includes all baggage inquiries)**

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234  
Phone: 301-851-2948  
Fax: 301-734-4328

##### **IES Eastern Regional Director's Office**

USDA, APHIS, IES  
920 Main Campus Drive, Suite 200  
Raleigh, NC 27606  
Phone: 919-855-7080  
Fax: 919-855-7090

##### **IES Western Regional Director's Office**

USDA, APHIS, IES  
2150 Centre Ave. Bldg. B 3W10  
Ft. Collins, CO 80526-8117  
Phone: 970-494-7485  
Fax: 970-494-7487





# K

Agricultural  
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## Appendix K

### *Reasons for Sealing or Not Sealing Fruit Fly Host Material in Vessels' Stores*

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#### Reasons for Not Sealing in Hawaii, Puerto Rico, and the U.S. Virgin Islands

##### Hawaii

In Hawaii, you **do not** need to seal any fruit fly host material from Mediterranean (West) countries because *Ceratitidis capitata* (Mediterranean fruit fly) and *Rhagoletis cerasi* (European cherry fruit fly) are the only major pest fruit flies from Mediterranean (West) countries. Since *Ceratitidis capitata* occurs in Hawaii and there are few host materials for *Rhagoletis cerasi* in Hawaii, there is no need to seal host material from Mediterranean (West) countries.

##### Puerto Rico and the U.S. Virgin Islands

In Puerto Rico and the U.S. Virgin Islands, you **do not** need to seal any fruit fly host material from the West Indies because the only fruit flies of economic importance, *Anastrepha obliqua* and *A. suspensa*, both occur in Puerto Rico. If *Anastrepha suspensa* could potentially become established in the U.S. Virgin Islands, it would have occurred through natural movement or through the movement of people from Puerto Rico to the U.S. Virgin Islands.

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## Reasons for Sealing and Not Sealing Fruits from Other Areas

### Central America

*Ceratitis capitata* (Mediterranean fruit fly) and various species of *Anastrepha* such as *A. ludens* occur in Central America. These fruit flies **do not** use cucurbits, eggplant, legumes, lemons, limes (sour), okra, pineapples, or strawberries as hosts. Cucurbits **do not** need to be sealed because *Anastrepha grandis* does **not** occur in Central America and is the only New World species that is a pest of cucurbits. Bananas, for example, **do not** have to be sealed because the Medfly uses only ripe bananas as a host.

### Mediterranean (West)

*Ceratitis capitata* (Mediterranean fruit fly) and *Rhagoletis cerasi* (European cherry fruit fly) are the only fruit flies that occur in Mediterranean (West) countries. These fruit flies **do not** use cucurbits, eggplant, legumes, lemons, limes (sour), okra, pineapples, or strawberries as hosts.

### Chile

*Rhagoletis tomatis* is a fruit fly which occurs in Chile and attacks tomatoes.

### Hawaii

*Ceratitis capitata*, *Dacus cucurbitae*, *D. dorsalis*, and *D. latifrons* occur in Hawaii. The varieties of pineapples grown in Hawaii are **not** attacked by these four species of fruit flies. Papayas that are treated and are certified **do not** present a pest risk.

### Japan and Korea

The only fruit fly likely to be found in commercial shipments of fruit is *Bactrocera depressa*.

### Mexico or Belize

The only fruit flies of economic importance found in Mexico or Belize are various *Anastrepha* spp. such as *A. ludens* (but **not** *A. grandis*). These fruit flies **do not** use banana (*Musa* spp.), breadfruit, cactus fruit, cucurbits, dates, grapes, legumes, lemons, limes (sour), litchi, mangosteens, okra, papaya, pineapples, strawberries, or Solanaceous fruits as hosts.

### South America (except Chile)

*Ceratitis capitata* (Mediterranean fruit fly), *Anastrepha grandis*, other *Anastrepha* species, *Rhagoletis* spp. that are of economic importance, and *Dacus* spp. (from Suriname) occur in South America. These fruit flies are **not** known to use eggplant, legumes, lemons, limes (sour), okra, pineapples, or strawberries as hosts. Bananas, for example, **do not** have to be sealed because the Medfly uses only ripe bananas as a host.

### West Indies

*Anastrepha obliqua* and *A. suspensa* are the only fruit flies of economic importance that occur in the West Indies. These fruit flies **do not** use avocado, banana, breadfruit, cactus fruit, citrus, cucurbits, dates, genip, grapes, legumes, litchi, mangosteens, okra, papaya, pineapples, Solanaceae, or strawberries as hosts.

**Appendix K:** Reasons for Sealing or Not Sealing Fruit Fly Host Material in Vessels' Stores  
Reasons for Sealing and Not Sealing Fruits from Other Areas

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# Appendix L

## *Subpoenas Under the Plant Protection Act*

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### Introduction

The Plant Protection Act (Title IV., Pub. L. 106-224, 114 stat. 438.7 U.S.C. 7701-7772), gives PPQ, for the first time, statutory authority to request issuance of a subpoena for documents and other records that can be used in PPQ investigative cases. PPQ can subpoena witnesses to appear at hearings to support our cases.

APHIS has had subpoena authority under other statutes, and therefore, has experience, through Investigative and Enforcement Services (IES) in the correct procedures to request subpoenas, serve subpoenas, and enforce subpoenas.

---

### What a Subpoena Is

A subpoena is a written document requested from and signed by the APHIS Administrator that commands a person, company, etc., to produce documents described in the subpoena. The documents must be described specifically (as exactly as possible), and must be in the control or possession of the person who receives the subpoena. The subpoena includes a date and time when the documents must be produced.

---

## What a Subpoena Is Not

A subpoena is **not** the same as a court order from a judge. If a subpoena is ignored, then APHIS can request an order from the appropriate court of competent jurisdiction to require the person to comply. It is mandatory to follow the court order, which is enforced by the Department of Justice (usually U.S. Marshals).

---

## Definitions

**Document**—Includes writings, drawings, charts, graphs, tables, correspondence, records, notes, film, photographs, audio or videotapes, and any representation of documents stored on a computer, disk, diskette, CD-ROM, magnetic or electronic tape or any other means of electronic storage.

**IES Investigator**—APHIS investigators investigate violations of all APHIS regulations (PPQ, VS, and AC), prepare cases for prosecution and enforce compliance with the regulations. IES Staff investigate violations and coordinate with Headquarters Program staffs and with the Office of the General Counsel.

**OGC**—Office of the General Counsel. OGC attorneys prosecute violation cases for APHIS and give legal advice to the programs (PPQ, VS, and AC).

**Service**—When a legal document is delivered by an authorized person to a person or party who is then officially notified of an action or step that they are commanded to take (in this case, to produce documents).

**SITC**—Safeguarding, Intervention and Trade Compliance Officers are PPQ Officers who concentrate on smuggling and related issues. They work closely with IES Investigators.

**Subpoena duces tecum**—A command to a witness to produce documents.

## Subpoena Application or Request

Applications or requests for a subpoena require the following information before a subpoena can be issued:

- ◆ Written application or request
- ◆ Name, address, and telephone number of the person (or persons) who has the documents in his possession or control
- ◆ Statutory authority for the subpoena must be cited (Plant Protection Act of 2000)
- ◆ Description of documents to be produced (as specific and exact as possible); you must state the following information:
  - ❖ Location of the documents
  - ❖ Beginning and end dates of the documents
  - ❖ Documents are relative to the investigation
  - ❖ Legitimate purpose (legitimate investigation)
  - ❖ Grounds for a subpoena
  - ❖ Reasons why a subpoena is necessary (e.g., previous attempts to obtain documents have been refused, the custodian (of the documents) is reluctant, etc.)
  - ❖ Scope of the request for documents is not overly large or unreasonable for the custodian to meet
  - ❖ Documents are material to the investigation (the content of the documents is the subject of the investigation and the documents have a bearing in the alleged violation)
  - ❖ Date, time, and method for the exchange of the documents

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## Procedures

### Field Operations

A PPQ Officer or a Safeguarding, Intervention and Trade Compliance Officer (SITC) inspects a facility (market, warehouse, business location, distribution center, nursery carrier office, etc.), and finds possibly prohibited material or evidence. The Officer may need business documents to show the distribution of items that need to be recalled because of prohibited contents (fruits, vegetables, meat).

### Step 1

The Officer should call an IES Investigator to initiate the investigation.

### Step 2

The IES Investigator will collect evidence and affidavits to obtain the documents related to the case. The IES Investigators consult their Regional Directors to be sure that a subpoena is warranted and that there is valid basis for a subpoena to be issued.

### Step 3

If the IES Investigator has reason to believe that records or other document information exists and is being withheld, then the investigator writes a justification to request that a subpoena be issued. The justification contains the information listed in **Subpoena Application or Request** on **page L-1-3**. The Investigator includes evidence which shows the documents have reasonable relevance to a violation of the statute. A good justification must accompany the application or request for a subpoena.

### Step 4

The IES Investigator faxes the application/request for subpoena to either IES Staff in Riverdale or the IES Regional Office, who refers it to Riverdale.

### Step 5

IES Staff review the application/request, and then writes the subpoena, using a template. The subpoena contains the following information:

- ◆ Authority for issuance (Plant Protection Act: Title lv., Pub. L. 106-224, 114 stat. 438, 7 U.S.C. 7701-7772)
- ◆ General description of the scope of the investigation
- ◆ Reasonably specific description of the material to be produced
- ◆ Reasonable manner in which the documents can be produced (includes mailing the documents to an IES Office)

The subpoena indicates a date and time (usually 10 days), for the person subpoenaed to produce the documents.

IES Staff faxes the subpoena and supporting document to the Office of the General Counsel (OGC) for legal review.

### Step 6

OGC reviews the subpoena, recommends changes if necessary, and approves it. The subpoena is faxed back and forth between the IES Staff and OGC offices until the subpoena is approved.

### Step 7

Once the subpoena original is approved, IES Staff hand carries or sends the subpoena to the Administrator for signature. The subpoena is returned by courier (Special Attention envelope) back to IES Staff in Riverdale.



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## Serving of the Subpoena

Service, or delivery of the subpoena, will be by hand from an IES Investigator. Some subpoenas are served by Certified Mail.

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## Proof of Service

The investigator signs an affidavit certifying that the document was served, to whom, when, and where. Subpoenas sent by Certified Mail have the green card as proof of service. Proof of service and a copy of the subpoena are returned to the IES Staff.

---

## Noncompliance by Recipient of Subpoena

APHIS has not yet had an instance where a subpoena was ignored or not followed by the recipient served. If this were to happen, APHIS would request an order from the appropriate court to enforce the subpoena.

---

## Quashing a Subpoena

Subpoenas can be modified or canceled if the person who received the subpoena believes it to be unreasonable, overly burdensome, or otherwise objects to it.

To quash a subpoena, the person served needs to write justification. The justification is written to the Administrator within a specified amount of time (usually 7 days), and includes the reason for the person's objection. The recipient may include whatever reason they believe is the basis for an objection.

### EXAMPLE

Some examples of possible reasons recipients may believe is the basis for an objection to a subpoena include the following:

- ◆ Believe it is unduly burdensome to produce these records  
Need more time than is stated on the subpoena
- ◆ Believe the scope of the request is too broad (outside the scope of the Plant Protection Act)
- ◆ Think too many documents he been requested
- ◆ Think the investigation is **not** legitimate
- ◆ Believe the documents are **not** relevant to a violation
- ◆ Believe it will disrupt their business

If the person who was subpoenaed proves that the subpoena is oppressive, unreasonable, unduly burdensome, or has too great a scope, the subpoena may be quashed or modified.

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## **Subpoenas for Witnesses at Administrative Hearings**

The Plant Protection Act also gives PPQ the authority to subpoena witnesses to provide testimony at the hearing to prosecute a violator. The Plant Protection Act allows witnesses to be paid fees and reimbursed for their appearance at Administrative Hearings. These subpoenas are usually issued by the attorney handling a particular case in OGC.

Subpoenas are issued to non-government witnesses, either to allow experts to testify in support of a case, or to compel testimony of people who have information about the violation.



# Appendix M

## *Plant Inspection Stations and CITES Ports*

---

### Background

Federal regulations require that most imported plants and seeds enter the United States through certain ports of entry where the U.S. Department of Agriculture (USDA) has special facilities for the inspection and clearance of those items. These are known as Plant Inspection Stations and are operated by the USDA, Animal and Plant Health Inspection Service, Plant Protection and Quarantine (PPQ) program. Currently, PPQ has 14 such Plant Inspection Stations located at or near many major ports of entry.

At the Plant Inspection Stations, PPQ officers inspect imported plants and seeds to insure that they are free from plants pests and diseases that are not known to occur in the United States and that they otherwise comply with Federal regulations. When such pests or diseases are detected, PPQ may require that the planting material be treated, exported or destroyed.

At the Plant Inspection Stations, PPQ also enforces the rules and regulations that apply to the import, export and re-export of live plant species protected by the [Endangered Species Act](#) and the [Convention on International Trade in Endangered Species of Wild Fauna and Flora \(CITES\)](#).

Many of the Plant Inspection Stations also issue phytosanitary certificates for the export of plants, seeds, and other propagative materials.

PPQ also has a specialized Plant Germplasm Inspection Station located in Beltsville, Maryland, as part of the National Plant Germplasm Quarantine Center. This facility is uniquely designed for handling germplasm and other propagative materials that are very valuable for plant breeding and research programs but which are normally prohibited entry into the United States. These items must enter the United States under what is known as a “Departmental Permit” and are sent to the inspection station in Beltsville where they are inspected, and if necessary, treated before allowing them to move forward to a an approved facility identified on the Departmental Permit.

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## List of Plant Inspection Stations and CITES Ports

### Arizona

USDA, APHIS, PPQ  
Plant Inspection Station  
9 North Grand Avenue, Room 120  
Nogales, AZ 85621  
Phone (520) 287-6463 - Fax (520) 397-0138

### California

USDA, APHIS, PPQ  
Los Angeles Inspection Station  
11840 S. La Cienega Blvd.  
Hawthorne, CA 90250  
Phone (310) 725-1910 - Fax (310) 725-1947

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

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

### Florida

USDA, APHIS, PPQ  
Plant Inspection Station  
6302 NW 36 Street  
Miami, FL 33122  
Phone (305) 492-1800 - Fax (305) 492-1740/1741

USDA, APHIS, PPQ  
Plant Inspection Station  
3951 Centerport Street  
Orlando, FL 32827  
Phone (407) 825-4237 - Fax (407) 825-4235

### Georgia

USDA, APHIS, PPQ  
Plant Inspection Station  
Hartsfield Perishable Complex

1270 Woolman Pl.  
Atlanta, GA 30354  
Phone (404) 765-3821 - Fax (404) 763-7644

### **Guam**

USDA, APHIS, PPQ  
P. O. Box 8769  
Tamuning, GU 96931-6030  
Phone (671) 647-6030 - Fax (671) 647 6029

### **Hawaii**

USDA, APHIS, PPQ  
Honolulu Inspection Station  
Honolulu International Airport  
300 Rodgers Blvd., #58  
Honolulu, HI 96819  
Phone (808) 861-8494 - Fax (808) 861-8500

### **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

### **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)

### **New York**

USDA, APHIS, PPQ  
Plant Inspection Station  
230-59 International Airport Centers Boulevard  
Building C-Suite 100-Room 109  
Jamaica, NY 11413  
Phone (718) 553-3502 - Fax (718) 553-3510

### **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

### **Texas**

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

USDA, APHIS, PPQ  
Plant Inspection Station  
19581 Lee Road  
Humble, TX 77338  
Phone (281) 443-2063 - Fax (281) 443-7643

### **Washington**

USDA, APHIS, PPQ  
Plant Inspection Station  
835 South 192nd St., Suite 1600  
SeaTac, WA 98148  
Phone (206) 878-6600 - Fax (206) 870-8043

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## **Specialized Plant Germplasm Inspection Station**

### **Maryland**

USDA, APHIS, PPQ  
National Plant Germplasm Inspection Station  
Building 580, BARC-East  
Beltsville, MD 20705  
Phone (301) 504-8141 Ext. 1 - Fax (301) 504-8539

# N

Agricultural  
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## Appendix N

### *APHIS Prepared Letters of Instruction for Mail-in Payment of Civil Penalty*

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## Purpose

APHIS prepared letters of instruction for mail-in payment of civil penalty are issued to violators who **do not** have the currency on hand to pay the spot settlement, but elect to pay the settlement by money order or check drawn on a U.S. bank within 3 days. See [Collecting the Spot Settlement on page 8-1-23](#) for more information.

## Instructions

If the violator elects this method of payment, then follow port policy and give the letter of instruction to the violator. Select the appropriate letter of instruction from those on the following pages.

Before giving the letter to the violator, be sure to enter on the letter the amount of the assessed civil penalty, the PPQ violation number, and the date the violation occurred.



Funds received from civil penalties assessed for violation of the Plant Protection Act and/or the Animal Health Protection Act are deposited into the account of the Treasury of the United States. These funds are not controlled by any part of the CBP fines and forfeitures collection process. Therefore it is critical that civil penalty funds received for violations of agricultural laws and regulations be properly coded and deposited into the appropriate account. If you have any questions, contact QPAS at 301-851-2321.

## Usage Note

Notice that in this appendix only the first two pages are numbered and have headers and footers. The following pages containing the prepared letters of instruction are not numbered and have no headers or footers, so you can print/photocopy and distribute as needed. To quickly locate the letter in the language you are looking for, simply click on the appropriate title in the [Contents](#).



**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**الولايات المتحدة، إدارة الزراعة**  
برامج التسويق و التنظيم  
خدمة تفقد الصحة الحيوانية و النباتية  
حماية النبات و الحجر الصحي

**Guidelines for Payment of Civil Penalties****خطوط إرشادية لدفع الجزاءات المدنية**

You have been assessed a civil penalty in the following amount: \$

تم تقييمك لجزاء مدني في المبلد التالي: رقم

Make out a cashier's check, or a money order payable to: **Treasury of the United States**

قم بإصدار شيك الصراف، أو حوالة نقدية قابلة الدفع إلى: **Treasury of the United States**

Mail the check or money order to the following address:

أرسل الشيك أو الحوالة النقدية على العنوان التالي:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check, or money order must be drawn on a U.S. bank.

يجب أن يكون شيك الصراف، أو الحوالة النقدية مسحوبا على أي بنك في الولايات المتحدة.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

يجب إرسال الدفعات على العنوان المذكور أعلاه أو إعادتها شخصيا في غضون 3 أيام من تاريخ تقييم المخالفة.

Please return this notice with your payment. Thank you.

يرجى إعادة هذا الإخطار مع دفعاتكم. شكرا لكم.

PPQ Violation #

مخالفة حماية النبات والحجر الصحي #

Date of Violation:

تاريخ المخالفة:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Ministarstvo poljoprivrede SAD-a**  
Programi marketinga i propisa  
Zdravstvena služba za inspekciju životinja i biljaka  
Zaštita biljaka i karantena

### Guidelines for Payment of Civil Penalties

You have been assessed a civil penalty in the following amount: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Please return this notice with your payment. Thank you.

PPQ Violation #

Date of Violation:

### Smjernice za plaćanje građanskih globa

Globljeni ste građanskom globom u sljedećem iznosu: \$

Napišite blagajnički ček ili novčani nalog plativ: **Treasury of the United States**

Pošaljite ček ili novčani nalog poštom na sljedeću adresu:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

Blagajnički ček ili novčani nalog mora biti trasiran na banku SAD-a.

Globu trebate poslati poštom na gornju adresu ili donesti osobno u roku od 3 dana od datuma kad ste globljeni za prijestup.

Molimo vratite ovu obavijest s vašim čekom. Hvala.

PPQ Prijestup #

Datum prijestupa:

**APHIS** **Travelers Aid**

**United States Department of Agriculture**  
 Marketing and Regulatory Programs  
 Animal and Plant Health Inspection Service  
 Plant Protection and Quarantine

**ក្រសួងកសិកម្ម នៃសហរដ្ឋអាមេរិក**  
 កម្មវិធីត្រួតពិនិត្យរៀបចំ និងទីផ្សារ  
 សេវាកម្មពិនិត្យតាមដានសុខភាពសត្វពាហនៈ និងរុក្ខជាតិ  
 រយៈពេលត្រួតពិនិត្យ និងការការពារដាំណាំ

**Guidelines for Payment of Civil Penalties**

**សេចក្តីណែនាំ ចំពោះអ្នកចំណាយ សំរាប់ការពិន័យរដ្ឋប្បវេណី**

You have been assessed a civil penalty in the following amount: \$

លោកអ្នកបានធ្វើការប៉ាន់ប្រមាណ នៃការពិន័យរដ្ឋប្បវេណី តាមចំនួន : \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

បង្កើតបេឡាមូលប្បទានប័ត្រ រឺប័ណ្ណធ្វើប្រាក់ ដែលអាចប្រើប្រាស់បាន នៅក្នុង : **Treasury of the United States**

Mail the cashier's check or money order to the following address:

ផ្ញើរ បេឡាមូលប្បទានប័ត្រ រឺប័ណ្ណធ្វើប្រាក់ ទៅតាមអាសយដ្ឋាន :

USDA, APHIS, IES  
 4700 River Road, Unit 85  
 Riverdale, MD 20737-1234

USDA, APHIS, IES  
 4700 River Road, Unit 85  
 Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

បេឡាមូលប្បទានប័ត្រ រឺប័ណ្ណធ្វើប្រាក់ ត្រូវតែបានបើកនៅធានាគារសហរដ្ឋអាមេរិក ។

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

អ្នកចំណាយត្រូវតែបានផ្ញើរទៅអាសយដ្ឋានខាងលើ រឺបានផ្ញើរត្រឡប់ទៅបុគ្គលក្នុងរយៈពេល ៣ថ្ងៃ ចាប់ពីថ្ងៃមានការប៉ាន់ ដែលបានកើតមាន ។

Please return this notice with your payment. Thank you.

សូមផ្ញើរសេចក្តីប្រកាសនេះត្រឡប់ទៅវិញ ជាមួយប័ណ្ណចំណាយរបស់លោកអ្នក ។ សូមអរគុណ ។

PPQ Violation #

ការបំពាន PPQ #

Date of Violation:

កាលបរិច្ឆេទ នៃការបំពាន :

**FIGURE N-1-3 Prepared English/Cambodian Letter of Instruction**

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

美国农业部  
销售和调整计划  
动植物卫生检疫局  
植物防疫检疫

**Guidelines for Payment of Civil Penalties****民事罚款支付指导**

You have been assessed a civil penalty in the following amount: \$

经确定您需缴纳以下数额的民事罚款: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

请开一张银行支票或汇票支付给:  
**Treasury of the United States**

Mail the cashier's check or money order to the following address:

将银行支票或汇票邮寄到以下地址:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

银行支票或汇票必须能够在美国银行提取。

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

将付款邮寄到上述地址, 或于罚单开出日起 3 日内亲自到上述地址交款。

Please return this notice with your payment. Thank you.

请将此通知单和付款一起交回。谢谢。

PPQ Violation #

PPQ 罚单编号

Date of Violation:

罚单开出日期:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

美國農業部  
農產運銷及動植物檢疫  
動植物防疫檢疫局  
植物防疫檢疫處

**Guidelines for Payment of Civil Penalties****民事罰款繳納說明**

You have been assessed a civil penalty in the following amount: \$

您的民事罰款金額裁定如下：\$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

請以銀行本票或匯票將罰款繳納至：  
**Treasury of the United States**

Mail the cashier's check or money order to the following address:

請將銀行本票或匯票寄到以下地址：

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

銀行本票或匯票必須由美國的銀行開出。

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

罰款必須在自裁定違規日起三日之內寄到上述的地址或親自繳納。

Please return this notice with your payment. Thank you.

請隨罰款歸還本通知。  
謝謝。

PPQ Violation #

植物防疫檢疫處罰字第

號

Date of Violation:

違規日：

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Depatman Agrikilti Ozetazini**  
Pwogram Maketing ak Kontwòl  
S vis Enspeksyon Lasante Bèt ak Plant  
Pwoteksyon Plant ak Karantèn

### Guidelines for Payment of Civil Penalties

You have been assessed a civil penalty in the following amount: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Please return this notice with your payment. Thank you.

PPQ Violation #

Date of Violation:

### Direktiv pou Pèman Amann

Yo enpoze w yon amann pou kantite lajan sa a: \$

Fè yon chèk labank (cashier's check), oswa yon manda postal (money order) sou non: **Treasury of the United States**

Poste chèk la oswa manda postal la nan adrès sa a:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

Chèk labank la oswa manda postal la dwe soti nan yon bank ki Ozetazini.

Ou dwe poste pèman an nan adrès ki anwo a oswa pote li pèsònèlman nan yon delè 3 jou apati dat yo te etabli vyolasyon an.

Tanpri retounen avi sa a ansanm ak pèman w lan. Mèsi.

# Vyolasyon PPQ

Dat vyolasyon an:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

وزارت کشاورزی ایالات متحده آمریکا  
برنامه های فروشات و منظم سازی  
خدمات تفتیش بهداشت حیوانات و گیاه ها  
حفاظت و قرنطین گیاه ها

### Guidelines for Payment of Civil Penalties

راهنمایی ها در مورد پرداخت جریمه های مدنی

You have been assessed a civil penalty in the following amount: \$

شما به جریمه نقدی مبد آتی مکلف شده اید:  
دالر امیرکایی (\$)

Make out a cashier's check, or a money order payable to: **Treasury of the United States**

یک چک (برات) تحویلدار یا دستور پرداخت  
**Treasury of the United States** قابل تادیه (money order)  
را ترتیب نمائید.

Mail the check or money order to the following address:

این چک یا دستور پرداخت را به نشانی ذیل  
بست کنید:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check, or money order must be drawn on a U.S. bank.

چک تحویلدار یا دستور پرداخت باید به نام یک  
بانک ایالات متحده کشیده شود.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

پرداخت باید به نشانی فوق بست گردد یا از تاریخ  
ارزیابی تخلف طی سه روز شخصاً اعاده گردد.

Please return this notice with your payment. Thank you.

لطفاً این اکھی را با پرداخت تان مسترد کنید.  
تشکر

PPQ Violation #

تخلف PPQ شماره:

Date of Violation:

تاریخ تخلف:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

### Guidelines for Payment of Civil Penalties

You have been assessed a civil penalty in the following amount: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Please return this notice with your payment. Thank you.

PPQ Violation #

Date of Violation:

Yhdysvaltain maatalousministeriö (USDA)  
Markkinointi- ja valvontaohjelmat  
Eläin- ja kasviterveyden tarkastusyksikkö  
Kasviensuojelu ja karanteeni

### Siviilisakkojen maksamista koskevat ohjeet

Teidät on määrätty maksamaan seuraava siviilisakko: \$

Kirjoittakaa pankkisetelli tai maksumääräys nimelle **Treasury of the United States**

Lähetäkää shekki tai maksumääräys seuraavaan osoitteeseen:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

Shekin tai maksumääräyksen maksajan täytyy olla yhdysvaltalainen pankki.

Maksu on lähetettävä yllä olevaan osoitteeseen tai tuotava henkilökohtaisesti kolmen päivän sisällä sakon määräämisestä.

Palauttakaa tämä ilmoitus maksun mukana. Kiitos.

Kasviensuojelu- ja karanteenirikkomuksen numero (PPQ Violation #)

Rikkomuspäivä:



# APHIS

# Travelers Aid

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Ministère américain de l'agriculture**  
Programmes de promotion et de réglementation  
Service d'inspection sanitaire des animaux et végétaux  
Quarantaine et protection des végétaux

Guidelines for Payment of Civil Penalties

Directives pour le paiement des amendes civiles

You have been assessed a civil penalty in the following amount: \$

Vous avez été condamné à payer une amende civile d'un montant de : \$

Make out a cashier's check, or a money order payable to: Treasury of the United States

Vous devez payer soit par chèque, soit par mandat établi à l'ordre de : Treasury of the United States

Mail the cashier's check or money order to the following address:

Adressez le chèque ou le mandat par courrier à l'adresse suivante :

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check, or money order must be drawn on a U.S. bank.

Le chèque ou le mandat doit être émis par une banque américaine (États-Unis).

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Vous pouvez effectuer le paiement par courrier à l'adresse indiquée ci-dessus ou vous présenter en personne dans un délai de 3 (trois) jours à compter de la date de l'infraction.

Please return this notice with your payment. Thank you.

Veillez accompagner votre règlement du présent avis. Nous vous remercions.

PPQ Violation #

N° d'infraction PPQ

Date of Violation:

Date d'infraction :

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Agrarministerium der Vereinigten Staaten  
von Amerika**  
Marketing- und Ordnungsprogramme  
Inspektionsservice für Tier- und Pflanzengesundheit  
Pflanzenschutz und Quarantäne

Guidelines for Payment of Civil Penalties

Richtlinien zur Zahlung von Zivilstrafen

You have been assessed a civil penalty in  
the following amount: \$

Ihnen wurde eine Strafe in der folgenden  
Höhe auferlegt: \$

Make out a cashier's check, or a a money  
order payable to: Treasury of the United  
States

Stellen Sie bitte einen Bankscheck oder  
eine Zahlungsanweisung aus, zahlbar an:  
Treasury of the United States

Mail the cashier's check or money order to  
following address:

Senden Sie den Bankscheck oder die  
Zahlungsanweisung an die folgende  
Adresse:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check, or money order must  
be drawn on a U.S. bank.

Der Bankscheck oder die  
Zahlungsanweisung muss über eine  
amerikanische Bank ausgestellt sein.

Payment must be mailed to the address  
above or returned in person within 3 days  
from the date the violation was assessed.

Ihre Zahlung muss an die obige Adresse  
gesandt oder innerhalb von 3 Tagen ab  
Datum der Ausstellung der Strafanzeige  
persönlich bezahlt werden.

Please return this notice with your payment.  
Thank you.

Bitte reichen Sie diesen Hinweis zusammen  
mit Ihrer Zahlung ein.  
Herzlichen Dank.

PPQ Violation #

PPQ Strafanzeigennr.:

Date of Violation:

Datum der Strafanzeige:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Υπουργείο Γεωργίας των Ηνωμένων Πολιτειών**  
Προγράμματα Μάρκετινγκ και Κανονιστικών Ρυθμίσεων  
Υπηρεσία Υγειονομικής Επιθεώρησης Ζώων και Φυτών  
Προστασία και Καραντίνα Φυτών

### Guidelines for Payment of Civil Penalties

### Οδηγίες για την Πληρωμή Αστικών Προστίμων

You have been assessed a civil penalty in the following amount: \$

Σας έχει επιβληθεί ένα αστικό πρόστιμο που ανέρχεται στο ακόλουθο ποσό: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

Συμπληρώστε μία τραπεζική επιταγή ή εντολή πληρωμής πληρωτέα στο: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

Ταχυδρομήστε την επιταγή ή την εντολή πληρωμής στην ακόλουθη διεύθυνση:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Η τραπεζική επιταγή και η εντολή πληρωμής πρέπει να εκδοθούν σε τράπεζα των Η.Π.Α.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Το οφειλόμενο ποσό πρέπει να ταχυδρομηθεί στην παραπάνω διεύθυνση ή να πληρωθεί αυτοπροσώπως μέσα σε διάστημα 3 ημερών από την ημέρα που διαπιστώθηκε η παράβαση.

Please return this notice with your payment. Thank you.

Παρακαλούμε επιστρέψτε αυτήν την ειδοποίηση μαζί με το οφειλόμενο ποσό. Ευχαριστούμε.

PPQ Violation #

Αρ. παράβασης PPQ:

Date of Violation:

Ημερομηνία παράβασης:

**United States Department of Agriculture**  
 Marketing and Regulatory Programs  
 Animal and Plant Health Inspection Service  
 Plant Protection and Quarantine

משרד החקלאות של ארצות הברית  
 תוכניות שיווק ותקנות  
 שירות הפיקוח על בריאות בעלי חיים והצמחים  
 הגנת הצומח והסגרים

**Guidelines for Payment of Civil Penalties**

הנחיות לתשלומי קנסות אזרחיים

You have been assessed a civil penalty in the following amount: \$

הוטל עליך קנס בסך \$.....

Make out a cashier's check or a money order payable to: **Treasury of the United States**

אנא הכן שק בנקאי או המחאת תשלום לפקודת **Treasury of the United States**.

Mail the cashier's check or money order to the following address:

שלח את השק או את המחאת התשלום לכתובת הבאה:

USDA, APHIS, IES  
 4700 River Road, Unit 85  
 Riverdale, MD 20737-1234

USDA, APHIS, IES  
 4700 River Road, Unit 85  
 Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

השק הבנקאי או המחאת התשלום חייבים להיות משוכים על בנק אמריקאי.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

על התשלום להישלח לכתובת הנ"ל או להיפרע אישית תוך שלושה ימים מהיום שנקבעה ההפרה.

Please return this notice with your payment. Thank you.

אנא החזר הודעה זו יחד עם התשלום. בתודה,

PPQ Violation #

הפרה לפי חוק הגנת הצומח והסגרים מס'

Date of Violation:

מועד ההפרה

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

संयुक्त राज्य कृषि विभाग (यू एस डी ए)  
विपणन एवं नियामक कार्यक्रम  
जंतु एवं पादप (पौधा) स्वास्थ्य निरीक्षण कार्यक्रम  
पादप रक्षा एवं संक्रामक रोग से बचाव हेतु  
पृथक्करण

**Guidelines for Payment of Civil Penalties**

जन संबंधी जुर्माना के भुगतान हेतु निर्देश

You have been assessed a civil penalty in the following amount: \$

आप पर निम्न राशि का जुर्माना निर्धारित किया गया है: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

कैशियर (खुजांची) चेक या मनी आर्डर भेजें जो निम्न को देय हो: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

अपना कैशियर चेक या मनी आर्डर निम्न पते पर डाक द्वारा भेजें:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

कैशियर चेक या मनी आर्डर का भुगतान यु. एस. बैंक से किया जाना चाहिए।

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

भुगतान की राशि उपरोक्त पते पर डाक की जानी चाहिए या उल्लंघन के मूल्यांकन की तिथि के 3 दिनों के भीतर व्यक्तिगत रूप से वापस की जानी चाहिए।

Please return this notice with your payment. Thank you.

कृपया अपने भुगतान के साथ यह सूचना (पत्र) वापस करें।

PPQ Violation #

पी पी क्यू उल्लंघन नंबर

Date of Violation:

उल्लंघन की तिथि:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Dipartimento di Agricoltura degli Stati Uniti  
D'America (USDA)**  
Marketing e Programmi Normativi  
Servizio di Ispezione Sanitaria di Animali e Piante  
Difesa Fitosanitaria e Quarantena

Guidelines for Payment of Civil Penalties

Direttive Generali per il Pagamento di  
Sanzioni Civili

You have been assessed a civil penalty in  
the following amount: \$

Avete ricevuto una sanzione civile per  
l'ammontare di: USD\$

Make out a cashier's check, or a money  
order payable to: Treasury of the United  
States

Il pagamento dovrà essere effettuato tramite  
assegno circolare o vaglia postale  
rilasciabile al: Ministero del Tesoro degli  
Stati Uniti d'America

Mail the cashier's check or money order to  
the following address:

Inviare l'assegno circolare o il vaglia postale  
al seguente indirizzo:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check, or money order must  
be drawn on a U.S. bank.

L'assegno circolare o il vaglia postale  
devono essere emessi da una banca  
statunitense.

Payment must be mailed to the address  
above or returned in person within 3 days  
from the date the violation was assessed.

Il pagamento deve essere effettuato per  
posta al suddetto indirizzo, o di persona,  
entro 3 giorni dalla data di emissione della  
contravvenzione stessa.

Please return this notice with your payment.  
Thank you.

Inviare questo avviso insieme al vostro  
pagamento.  
Grazie.

PPQ Violation #

Contravvenzione PPQ N°

Date of Violation:

Data della Contravvenzione:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

米国農務省  
マーケティングおよび規制プログラム  
動植物衛生検査サービス  
植物保護と検疫

**Guidelines for Payment of Civil Penalties****民事罰金支払のガイドライン**

You have been assessed a civil penalty in the following amount: \$

民事罰金額 : \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

支払指図書または郵便為替の支払先 :  
**Treasury of the United States**

Mail the cashier's check or money order to the following address:

支払指図書または郵便為替の郵送先 :

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

支払指図書または為替は米国銀行振出のものでなければなりません。

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

罰金は、罰金が課せられた日から3日以内に上記の住所に郵送、または直接届けられなければなりません。

Please return this notice with your payment. Thank you.

この書面を罰金と一緒に提出してください。ありがとうございます。

PPQ Violation #

PPQ 違反番号

Date of Violation:

違反日 :

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**미국 농무부**  
마케팅 및 규제 프로그램  
동식물 검역 서비스  
식물 방역 및 검역

**Guidelines for Payment of Civil Penalties****벌과금 부과 가이드라인**

You have been assessed a civil penalty in the following amount: \$

귀하에게는 다음과 같은 벌과금이 부과되었습니다. \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

은행 보증 수표 또는 우편환으로 납부. 수령인: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

은행 보증 수표나 우편환을 다음 주소로 우송하십시오.

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

은행 보증 수표 또는 우편환은 미국 은행에서 발행된 것이어야만 합니다.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

벌과금은 판정일로부터 3일 이내에 위의 주소로 우송하거나 직접 납부해야 합니다.

Please return this notice with your payment. Thank you.

벌과금과 함께 본 통지서도 제출하십시오. 감사합니다.

PPQ Violation #

PPQ 위반 번호

Date of Violation:

위반 일자



**APHIS** **Travelers Aid**

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

ກະຊວງກະສິກຳ ສະຫະລັດ  
ແຜນການ ການຕະຫຼາດ ແລະ ການຈັດແບ່ງ  
ບໍລິການ ກວດສຸກຂະໜາບ ຕົ້ນໄມ້ ແລະ ສັດລ້ຽງ  
ໄລຍະກວດ ແລະ ຮັກສາຕົ້ນໄມ້

**Guidelines for Payment of Civil Penalties**

**ບັນດາຄຳແນະນຳໃນການມອບເງິນປັບໃໝພົນລະເຮືອນ**

You have been assessed a civil penalty in the following amount: \$

ທ່ານຖືກປັບໃໝພົນລະເຮືອນເປັນຈຳນວນເງິນ: \$

Make out a cashier’s check or a money order payable to: **Treasury of the United States**

ເຮັດເປັນເຊັກເງິນສົດຫຼືເປັນຄຳສັ່ງການສຳລະໃຫ້: **Treasury of the United States**

Mail the cashier’s check or money order to the following address:

ສົ່ງ ເຊັກເງິນສົດ ຫຼື ຄຳສັ່ງການສຳລະເຖິງບ່ອນຢູ່ຕາມນີ້:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier’s check or money order must be drawn on a U.S. bank.

ເຊັກເງິນສົດຫຼືຄຳສັ່ງການສຳລະຕ້ອງໄດ້ຖອນອອກຈາກທະນາຄານ ອາເມລິກາ.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

ການສຳລະຕ້ອງໄດ້ສົ່ງເຖິງບ່ອນຢູ່ຂ້າງເທິງ ຫຼືມອບໂດຍກົງໃນໄລຍະ 3 ວັນນັບແຕ່ມີກະທຳຜິດ.

Please return this notice with your payment. Thank you.

ກະລຸນາສົ່ງແຈ້ງການດັ່ງກ່າວຄືນ ພ້ອມທັງເງິນສຳລະຂອບໃຈ.

PPQ Violation #

PPQ ກະທຳຜິດ #

Date of Violation:

ມີກະທຳຜິດ:

**FIGURE N-1-17 Prepared English/Laotian Letter of Instruction**

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Departament rolnictwa Stanów Zjednoczonych**  
Program kontroli i nadzoru rynku  
Służba kontroli fitosanitarnej i weterynaryjnej  
Ochrona i kwarantanna roślin

### Guidelines for Payment of Civil Penalties

### Sposób zapłaty grzywny

You have been assessed a civil penalty in the following amount: \$

Nalożono na Państwa grzywnę w wysokości: dolarów USA.

Make out a cashier's check or a money order payable to: **Treasury of the United States**

Należy wystawić czek bankierski lub polecenie zapłaty na rzecz: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

Następnie ten czek lub polecenie zapłaty należy przesłać na adres:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Czek bankierski lub polecenie zapłaty powinno być wystawione przez bank w Stanach Zjednoczonych.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Płatność powinna być przesłana na powyższy adres lub uiszczona osobiście w terminie trzech dni od nałożenia grzywny.

Please return this notice with your payment. Thank you.

Do zapłaty należy załączyć niniejszy mandat.

PPQ Violation #

Nr ref. naruszenia przepisów:

Date of Violation:

Data naruszenia przepisów:

# APHIS

# Travelers Aid

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Departamento de Agricultura dos Estados Unidos**  
Programas Fiscalizadores e de Marketing  
Serviço de Inspeção de Produtos de Origem Animal  
e Vegetal  
Quarentena e Proteção para Produtos de  
Origem Vegetal

Guidelines for Payment of Civil Penalties

Diretrizes para o Pagamento de Multas

You have been assessed a civil penalty in  
the following amount: \$

Você foi multado em: \$

Make out a cashier's check, or a money  
order payable to: Treasury of the United  
States

Preencha um cheque em seu nome ou  
envie uma ordem de pagamento para:  
Treasury of the United States

Mail the cashier's check or money order to  
the following address:

Envie o cheque ou a ordem de pagamento  
por correio para o seguinte endereço:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check, or money order must  
be drawn on a U.S. bank.

A ordem de pagamento ou o cheque deve  
ser sacado em um banco norte-americano.

Payment must be mailed to the address  
above or returned in person within 3 days  
from the date the violation was assessed.

O pagamento deve ser enviado por  
correio para o endereço acima ou pago  
pessoalmente dentro de 3 dias a partir  
da data da infração.

Please return this notice with your payment.  
Thank you.

Envie este aviso junto com o pagamento.  
Obrigado.

PPQ Violation #

Infração de Quarentena e Proteção para  
Produtos de Origem Vegetal nº:

Date of Violation:

Data da Infração:

**FIGURE N-1-19 Prepared English/Portuguese Letter of Instruction**

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Departamentul Agriculturii al Statelor Unite**  
Programe de Marketing și Reglementare  
Serviciul de Inspecție al Sănătății Animalelor și Plantelor  
Protecția Plantelor și Carantina

### **Guidelines for Payment of Civil Penalties**

You have been assessed a civil penalty in the following amount: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Please return this notice with your payment. Thank you.

PPQ Violation #

Date of Violation:

### **Instrucțiuni privind plata amenzilor civile**

Vi s-a emis o amendă civilă în valoare de: \$

Completați un cec bancar sau un ordin de plată plătitibil pentru: **Treasury of the United States**

Trimiteți cecul sau ordinul de plată prin poștă la următoarea adresă:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

Cecul bancar sau ordinul de plată trebuie adresat unei bănci din Statele Unite ale Americii.

Plata trebuie trimisă prin poștă la adresa mai sus-indicată sau depusă personal în decurs de 3 zile de la data stabilirii încălcării legii.

Vă rugăm să returnați această înștiințare împreună cu plata. Vă mulțumim.

Nr. încălcare lege PPC:

Data încălcării legii:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Министерство сельского хозяйства США**  
Программы маркетинга и регулирования  
Инспекция защиты животных и растений  
Защита растений и карантин

### Guidelines for Payment of Civil Penalties

### Указания по оплате административных штрафов

You have been assessed a civil penalty in the following amount: \$

Вам назначен административный штраф в следующем размере: \_\_\_\_\_ долларов США

Make out a cashier's check or a money order payable to: **Treasury of the United States**

Выпишите банковский чек или сделайте почтовый перевод на имя: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

Отправьте чек или почтовый перевод по следующему адресу:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Банковский чек или почтовый перевод должны быть выписаны на банк США.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Платежный документ должен быть отправлен почтой по указанному выше адресу или доставлен лично в течение 3-х дней с даты назначения штрафа за нарушение.

Please return this notice with your payment. Thank you.

Приложите к платежному документу настоящее извещение. Спасибо.

PPQ Violation #

№ нарушения по PPQ

Date of Violation:

Дата нарушения:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Departamento de Agricultura de Estados Unidos**  
Programas de Marketing y Reglamentación  
Servicio de inspección de sanidad vegetal y animal  
Protección y cuarentena vegetal

**Guidelines for Payment of Civil Penalties**

You have been assessed a civil penalty in the following amount: \$

Make out a cashier's check, or a money order payable to: **Treasury of the United States**

Mail the check or money order to the following address:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check, or money order must be drawn on a U.S. bank.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Please return this notice with your payment. Thank you.

PPQ Violation #

Date of Violation:

USDA is an equal opportunity provider and employer.

**Lineamientos generales para el pago de sanciones civiles**

Usted ha recibido una sanción civil por el monto de: US\$

Emita su cheque de caja, o giro postal a nombre de: **Treasury of the United States**

Envíe el cheque o giro postal a la siguiente dirección:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

El cheque de caja, o giro postal debe ser emitido contra un banco estadounidense.

El pago debe ser enviado a la dirección precedente o entregado en persona dentro de los 3 días a partir de la fecha en que se determinó la infracción.

Envíe esta notificación junto con el pago. Gracias.

Infracción PPQ N.º:

Fecha de la infracción:

USDA es un proveedor y empleador con oportunidades equitativas.

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Pangasiwaan sa Agrikultura ng Estados Unidos**  
Mga Programa para sa Regulasyon at  
Pagsasamerkado  
Serbisyo Para sa Pagsusuri ng Kalusugan ng Hayop  
at Halaman  
Pagpoprotekta ng Halaman at Kwarantina

**Guidelines for Payment of Civil Penalties****Mga Alituntunin para sa Pagbabayad ng mga Multang Sibil**

You have been assessed a civil penalty in the following amount: \$

Pinapatawan ka ng isang multang sibil (civil penalty) sa halagang: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

Magsulat ng isang cashier's check o isang money order na ibabayad sa pangalan ng: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

Ipadala ang cashier's tseke o money order sa pamamagitan ng koreo papunta sa sumusunod na address:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Ang cashier's check o money order ay kailangang manggagaling sa isang bangko sa Estados Unidos.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Ang kabayaran ay kailangang ipadala sa pamamagitan ng koreo papunta sa address sa itaas o ihatid nang personal sa loob ng 3 araw mula sa petsa nang mapagpasyahan ang paglabag.

Please return this notice with your payment. Thank you.

Pakibalik ang paunawa na ito kasama ang iyong kabayaran.

PPQ Violation #

PPQ Paglabag #

Date of Violation:

Petsa ng Paglabag:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

กรมการเกษตรแห่งสหรัฐ  
โครงการด้านการตลาดและการควบคุมจัดการ  
งานบริการตรวจสอบสุขภาพสัตว์และพืช  
การคุ้มครองและการกักกันพืช

**Guidelines for Payment of Civil Penalties****คำแนะนำในการชำระค่าปรับ**

You have been assessed a civil penalty in the following amount: \$

คุณถูกประเมินว่าจะต้องเสียค่าปรับเป็นจำนวนเงินทั้งสิ้น: ดอลลาร์

Make out a cashier's check or a money order payable to: **Treasury of the United States**

ส่งจ่ายเช็คเชียร์เช็ค หรือธนาคณัติถึง:  
**Treasury of the United States**

Mail the cashier's check or money order to the following address:

ส่งเช็คเชียร์เช็คหรือธนาคณัติไปยังที่อยู่ด้านล่างนี้ :

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

เช็คเชียร์เช็คหรือธนาคณัติต้องขึ้นเงินกับธนาคารในสหรัฐ

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

ต้องส่งเช็คเงินสด หรือธนาคณัติไปตามที่อยู่ข้างต้น หรือนำมาชำระด้วยตนเองภายใน 3 วัน นับแต่วันที่ประเมินการละเมิด

Please return this notice with your payment. Thank you.

กรุณาส่งคืนหนังสือฉบับนี้ด้วยเมื่อทำการชำระเงินขอขอบคุณ

PPQ Violation #

การละเมิดเลขที่

Date of Violation:

วันที่ละเมิด:



**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Amerika Birleşik Devletleri Tarım Bakanlığı**  
Pazarlama ve Mevzuat Programları  
Hayvan ve Bitki Sağlığı Muayene Servisi  
Bitki Koruma ve Karantina

### Guidelines for Payment of Civil Penalties

### Cezaları Ödenmesiyle İlgili İlkeler

You have been assessed a civil penalty in the following amount: \$

Aşağıdaki miktarda bir ceza aldınız: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

**Treasury of the United States**'ne bir kasa çeki veya havale yapın

Mail the cashier's check or money order to the following address:

Çek veya havaleyi aşağıdaki adrese gönderin:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Kasa çeki veya havale bir ABD bankasından yapılmalıdır.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Ödemenin, ihlalin değerlendirilmesinden sonraki 3 gün içinde yukarıdaki adrese postayla gönderilmesi veya elden ulaştırılması gerekir.

Please return this notice with your payment. Thank you.

Lütfen bu bildirimle birlikte ödemenizle birlikte iade edin. Teşekkür ederiz.

PPQ Violation #

BKK İhlal No.

Date of Violation:

İhlal Tarihi:

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

متحدہ ریاست محکمہ زراعت (یو ایس ڈی اے)  
مارکیٹنگ اور ریگولیشنری (ضبط و انضباط سے متعلق) پروگرام  
حیوانات اور نباتات کی صحت کے معائنہ کی خدمت  
تحفظ نباتات اور علیحدگی (قرنطینہ)

### Guidelines for Payment of Civil Penalties

شہری جرمانے کی ادائیگی کی ہدایات

You have been assessed a civil penalty in the following amount: \$

آپ پر مندرجہ ذیل رقم کا شہری جرمانہ مقرر کیا گیا ہے: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

کیشیئر (خزانچی) چیک یا منی آرڈر بھیجیں جو درج ذیل  
**Treasury of the United States** کو واجب الادا ہو:

Mail the cashier's check or money order to the following address:

کیشیئر (خزانچی) اپنا چیک یا منی آرڈر درج ذیل پتے پر  
بذریعہ ڈاک بھیجیں:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

کیشیئر چیک یا منی آرڈر کی ادائیگی یو ایس  
(متحدہ ریاست) بینک سے کی جانی چاہئے۔

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

ادائیگی کی رقم مذکورہ بالا پتے پر ڈاک کی جانی چاہئے یا  
خلاف ورزی کی تشخیص کے 3 دنوں کے اندر بذات  
خود واپس کی جانی چاہئے۔

Please return this notice with your payment.  
Thank you.

براہ کرم اپنی ادائیگی کی رقم کے ساتھ یہ نوٹس واپس بھیجیں۔  
آپ کا شکریہ

PPQ Violation #

پی پی کیو کی خلاف ورزی نمبر

Date of Violation:

خلاف ورزی کی تاریخ:

## APHIS

## Travelers Aid

**United States Department of Agriculture**  
Marketing and Regulatory Programs  
Animal and Plant Health Inspection Service  
Plant Protection and Quarantine

**Bộ Nông Nghiệp Hoa Kỳ**  
Chương Trình Tiếp Thị và Điều Phối  
Dịch Vụ Kiểm Tra Sức Khỏe Cây Trồng và  
Vật Nuôi  
Thời Gian Kiểm Dịch và Bảo Vệ Cây Trồng

### Guidelines for Payment of Civil Penalties

You have been assessed a civil penalty in the following amount: \$

Make out a cashier's check or a money order payable to: **Treasury of the United States**

Mail the cashier's check or money order to the following address:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

The cashier's check or money order must be drawn on a U.S. bank.

Payment must be mailed to the address above or returned in person within 3 days from the date the violation was assessed.

Please return this notice with your payment. Thank you.

PPQ Violation #

Date of Violation:

### Các Hướng Dẫn Nộp Tiền Phạt Dân Sự

Quý vị bị phạt dân sự với số tiền là: \$

Lập một séc tiền mặt hoặc lệnh thanh toán cho: **Treasury of the United States**

Gửi séc tiền mặt hoặc lệnh thanh toán đến địa chỉ sau đây:

USDA, APHIS, IES  
4700 River Road, Unit 85  
Riverdale, MD 20737-1234

Séc tiền mặt hoặc lệnh thanh toán phải được rút tại ngân hàng Mỹ.

Khoản thanh toán phải được gửi đến địa chỉ trên hoặc nộp trực tiếp trong vòng 3 ngày kể từ ngày vi phạm.

Vui lòng gửi lại thông báo này cùng với tiền thanh toán. Cảm ơn.

PPQ Vi phạm #

Ngày Vi phạm:



# Glossary

Agricultural  
Clearance

## Introduction

Use this glossary to find the meaning of specialized words, abbreviations, acronyms, and terms used in regulating plants, plant products, animal products, and animal by-products. When applicable, the meaning includes the plant or animal product or section with which the word is associated. To locate where in the manual a given plant product, plant by-product, animal product, or animal by-product is mentioned, use the index.

## Definitions—Terms and Abbreviations

**actual time of arrival (ATA).** For aircraft, the time wheel blocks are placed in front of and behind the front wheels. The time noted on the Customs General Declaration. Also known as block time.

**affiliated island.** Island associated with the United States but **not** fully integrated as a State; includes Freely Associated States (like the Federated States of Micronesia), Territories (like Guam), Commonwealths (like Puerto Rico), Trust Territories (like Palau), and uninhabited islands.

**air taxi.** Small aircraft that makes short, local flights to areas **not** serviced by regular airlines.

**anchorage.** Location generally within a protected area such as a bay, harbor, mole, or river where vessels are secured from movement by means of an anchor.

**animal contamination.** Something that comes in contact or association with animal secretion.

**APHIS.** The U.S. Department of Agriculture, Animal and Plant Health Inspection Service is a multi-faceted Agency with a broad mission area that includes protecting and promoting U.S. agricultural health. APHIS is responsible for developing regulations and policies governing the agricultural disease exclusion activities at the ports of entry to protect U.S. agricultural, environmental and natural resources.

**APHIS, PPQ.** APHIS, Plant Protection and Quarantine.

## Glossary

Definitions—Terms and Abbreviations

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**AQI VMO.** Agriculture Quarantine Inspection Veterinary Medical Officer with APHIS PPQ in the field. AQI VMOs provide guidance to CBP and PPQ field personnel regarding the importation of animal products, animal by-products and related materials and the handling of APHIS regulated garbage. They also provide oversight for animal disease exclusion activities at the ports of entry.

**block time.** For aircraft, the time wheel blocks are placed in front of and behind the front wheels. The time noted on Customs General Declaration. Also known as the actual time of arrival.

**cargo.** The load of commodities carried by a ship, airplane, truck, etc.; freight.

**carrier.** Airplane, barge, boat, bus, railroad car, ship, sea-land trailer, truck, or device that transports or conveys products, goods, or passengers. A carrier may also be a business, organization, or person that deals in the transport of passengers or goods.

**Caution: Shipment Authorized.** CBP safeguard applied to cargo shipments which enter at one port and are allowed to proceed to another port for CBP clearance.

**CBP-APTL.** Customs and Border Protection, Agriculture Programs and Trade Liaison.

**CBP-AS.** Customs and Border Protection, Agriculture Specialist.

**charter flight.** An unscheduled aircraft flight that is **not** listed in the *Official Airline Guide*, North American Edition or the *Official Airline Guide*, Worldwide Edition.

**civil penalty.** A monetary penalty assessed in all types of actions other than criminal proceedings.

**coastwise arrival.** Any vessel arriving from a foreign port via a U.S. port, including Hawaii, Puerto Rico, U.S. Virgin Islands, and Alaska. (Vessels in the St. Lawrence Seaway will be considered coastwise if they are arriving from another U.S. port direct or via a Canadian port. Vessels arriving from U.S. mainland ports via Canadian ports are considered coastwise.)

**commercial carrier.** Vessel or aircraft which carries cargo or passengers for a fee. For aircraft, the term “commercial” covers both scheduled and unscheduled (charter) aircraft.

**compliance agreement.** Written understanding in which a party agrees to follow PPQ procedures.

**consumption entry (CE).** Customs entry classification which allows immediate movement of the merchandise into the commerce of the United States, and is documented either on a Customs Form 3461 or a Customs Form 7501.

**contraband.** Goods prohibited by law from being imported.

**Customs transit air cargo manifest (TACM).** Customs special procedure which allows air cargo to move in-transit through or from the United States to another port without delay or special documentation.

**decatering.** Process of removing all regulated **garbage** from an aircraft including, but not limited to, all meats, eggs, fresh fruits and vegetables, meal scraps, leftover meals, galley refuse, and quarters refuse.

**deferred ship.** Category of vessel that does **not** require boarding on arrival.

**diplomatic immunity.** Freedom from arrest, taxation, payment of Customs charges, and submission to police regulations, usually accorded by international law to diplomatic agents, their families, and servants.

**direct exportation (DE).** Customs entry classification for prompt export at the port of arrival. Also referred to as Immediate Exportation (IE).

**document.** Includes writings, drawings, charts, graphs, tables, correspondence, records, notes, film, photographs, audio or videotapes, and any representation of documents stored on a computer, disk, diskette, CD-ROM, magnetic or electronic tape or any other means of electronic storage.

**domestic arrival.** Aircraft and ships traveling from U.S. possessions and Hawaii, Puerto Rico, St. Croix, and St. Thomas destined to the U.S. mainland and vice versa.

**dunnage.** Loose packing material, generally wood, protecting a ship's cargo from damage during transport.

**emergency/one-time action.** Regulatory action taken to eliminate or safeguard an infestation of agricultural pests.

## Glossary

Definitions—Terms and Abbreviations

---

**entry.** Presenting the information to Customs on imported goods as required by law.

**estimated time of arrival (ETA).** Anticipated arrival time for a carrier which is provided by the owner, operator, representative, agent, or airline.

**exhibit.** Document, signed statement, photograph, or physical object (like a broken seal or napkin printed with an airline's name) submitted with the Report of Violation for use as evidence.

**exhibition entry.** Plant material entered for exhibition only (such as a trade fair or horticultural gatherings).

**far east Russian port.** Range of maritime ports on the far east coast of the Commonwealth of Independent States (formerly U.S.S.R.) from Posyet to Nikolayevsk. Three ports from this area have been on itineraries of ships which were found infested with Asian gypsy moth in Canada. Canada has established that ships arriving from Vladivostok, Nakhodka, and Vostochnyy are high risk. The following is a listing compiled from the *National Geographic's Atlas of the World* and *Lloyd's Maritime Guide*: Amgu, Artem, Datta, De Kastri, Dunay, Grossevichi, Innokent'yevskiy, Kamenka, Kastri, Koppi, Kuznetsovo, Lazarev, Maksimovka, Nakhodka, Nel'ma, Nikolayevsk, Ol'ga, Plastun, Pos'yet, Rudnaya Pristan', Samarga, Slavyanka, Sovetskaya Gavan, Svetlaya, Terney, Valentin, Vanino, Velikaya Kema, Veselyy Yar, Vladivostok, and Vostochny.

**Federal Inspection Service (FIS).** Term which refers collectively to the inspections provided by PPQ, Customs, Immigration, and Public Health at U.S. ports of entry.

**Federally Recognized State Managed Phytosanitary Program (FRSMP).** A PPQ federal program that provides federal recognition of States' official control programs<sup>1</sup> to eradicate, control, and/or exclude plant pests within the U.S. that are **not** currently regulated through a PPQ federal domestic program.

**Fish and Wildlife Service (FWS).** Agency within the Department of the Interior which is responsible for promulgating endangered species regulations and has an interest in all imported flora and fauna and their products.

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<sup>1</sup> Nonfederal phytosanitary programs implemented by individual States.



**fleshy botanical fruit.** fruit with a succulent pericarp that would support fruit flies (such as berries, cactus fruits, citrus, cucurbits, durian, mangoes, papayas, pineapple, pomes, stone fruit, etc.)

**Food and Drug Administration (FDA).** Agency within the Department of Health and Human Services responsible for maintaining purity in both foods and drugs.

**Food Safety and Inspection Service (FSIS).** Agency within the Department of Agriculture which has the responsibility to provide safe, wholesome, unadulterated meat, meat products, and egg products for human consumption.

**foreign arrival.** Any carrier arriving direct from a foreign port. Vessels arriving from foreign ports via Canadian ports are considered foreign arrivals. Consider vessels passing through the Panama Canal as a foreign arrival.

**foreign trade zone (FTZ).** Customs duty-free zone where cargo may be stored, manipulated, manufactured, or altered without being entered into the commerce of the United States.

**foreign trade zone entry.** Type of Customs entry which allows merchandise to move to a foreign trade zone. (Remains under Customs custody until all requirements of Federal agencies have been met.)

**garbage.** All waste material that is derived in whole or in part from fruits, vegetables, meats, or other plant or animal (including poultry) material, and other refuse of any character whatsoever that has been associated with any such material. Garbage includes food scraps, table refuse, galley refuse, food wrappers or packaging materials, and other waste material from stores, food preparation areas, passengers' or crews' quarters, dining rooms, or any other areas on vessels, aircraft, or other means of conveyances. Garbage also includes meals and other food that were available for consumption by passengers and crew on an aircraft but were not consumed.

Garbage is regulated by APHIS per [7 CFR 330.401](#) and [9 CFR 94.5 \(c\)](#) when the garbage is on or removed from a means of conveyance, depending on the previous 1-year period if from Hawaii or U.S. territories or possessions, or the previous 2-year period if outside of the U.S. or Canada. See [Examining Carriers: Monitoring Garbage: Introduction](#) on [page 3-1-2](#).

Other animal origin materials handled as regulated garbage include but are not limited to rejected cargo, illegally imported agriculture commodities found in commerce, and quarantine materials seized during inspection.

## Glossary

Definitions—Terms and Abbreviations

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**garbage safeguarding violation.** Any infraction of the regulations restricting the handling, storage, and disposal of regulated garbage.

**IES investigator.** APHIS Investigative and Enforcement Services investigators investigate violations of all APHIS regulations (PPQ, VS, and AC), prepare cases for prosecution and enforce compliance with the regulations.

**IES staff headquarters.** The headquarters for investigators, which coordinates with Headquarters program staffs and with the Office of the General Counsel.

**immediate exportation (IE).** Customs entry classification for cargo that is intended for prompt export at the port of arrival. Also referred to as Direct Exportation, D.E.

**immediate transport entry (IT).** Customs entry category which allows authorized movement of cargo under bond from the port where such entry is made to another port where final entry is made (usually consumption entry).

**imminent risk.** As regards garbage, the violation of garbage regulations which pose a risk to the public health, interest, safety, or agriculture requiring immediate action.

**in-bond.** Transit of cargo under Customs bond and generally referred to as in-transit (IT) entry.

**inspected and released.** Term used within PPQ to confirm that the cargo was inspected, met all entry requirements, and was released.

**instream boarding.** Boarding of vessels at anchorage.

**Jacob's ladder.** Rope or chain ladder with rigid rungs.

**landfill.** An area approved for garbage disposal by deep burial, six feet or more.

**lay-up.** Vessels removed from active service until business conditions improve, usually for an unknown duration and retaining a skeleton crew.

**MARPOL.** An acronym for the International Convention for the Prevention of Pollution from Ships. The MARPOL agreement has been ratified by some 90 nations, including the U.S. and most other maritime nations of the world. MARPOL governs almost all aspects of potential marine pollution including oil, chemicals, garbage, and sewage, and mandates proper disposal and/or discharge. The conventions includes regulations aimed at preventing and minimizing pollution (both accidental and from routine operations) from ships.

**mole.** Massive stone wall used as a breakwater or to enclose an anchorage or harbor.

**monitoring.** Observation (aboard or from ashore) sufficient to assess a ship's compliance with garbage regulations, an establishment's compliance with regulations, or a compliance agreement.

**nonimminent risk.** Violation of garbage regulations which pose a risk to public health, interest, or safety, but **do not** require immediate action, e.g., holding garbage too long at a catering facility before disposal.

**OGC.** Office of the General Counsel attorneys prosecute violation cases for APHIS and give legal advice to the programs (PPQ, VS, and AC).

**partial clearance.** Status designating that all the clearance requirements have **not** been met at the first airport of arrival, allowing an aircraft to proceed to another airport for completion of clearance procedures.

**permit.** Oral or written permission to import regulated agricultural material.

**pet bird.** Any bird (**except** poultry) intended for the pleasure of its owner and **not** for resale. Poultry, even if kept as pets, are brought into the United States and quarantined under different rules. USDA defines poultry as including chickens, turkeys, pheasants, partridges, ducks, geese, swans, quail, peafowl, and similar avian species.

**preclearance.** Clearance **performed overseas** on cargo consignments by PPQ or CBP personnel, under an APHIS program. Includes cooperators (such as DoD) for certain military operations. Also can include clearance by CBP personnel of passengers in a foreign country.

**predeparture.** Clearance by PPQ or CBP personnel or cooperators of air passengers and/or conveyances prior to their departure from U.S. locations outside of the continental U.S. to CONUS.

## Glossary

Definitions—Terms and Abbreviations

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**private aircraft.** Any civilian aircraft **not** being used to transport persons or property for compensation or hire. (Travel club aircraft are **not** considered private aircraft.)

**progressive clearance.** Type of partial clearance where passengers are proceeding to another airport for clearance.

**purge.** To rid of garbage or stores that might introduce foreign animal diseases or plant pests.

**QPAS.** APHIS-PPQ Quarantine Policy, Analysis and Support. QPAS is responsible for all the policies in this manual, including the Regulated Garbage Program under Titles [7 CFR 330.400 – 330.403](#) and [9 CFR 94.5](#).

**refuse entry.** Term used for all prohibited products and products rejected because of infection or infestation which cannot be treated. Importers will be given the option to abandon or reexport.

**residue cargo.** Cargo to be left aboard the carrier to be unladen at another U.S. port or **not** unladen.

**safeguard.** Procedure for handling, maintaining, or disposing of prohibited or restricted products or articles subject to safeguard regulation, to eliminate the risk of agricultural pest dissemination or animal disease which the prohibited or restricted products and articles may present.

**safeguarding.** Preventative action for handling, maintaining, or disposing of prohibited or restricted products and articles to eliminate the risk of plant and animal pest disease dissemination.

**sanitizer.** Agent that frees from infection by destroying harmful microorganisms; especially for use in connection with food.

**scheduled flight.** Aircraft flight schedule that appears in the *Official Airline Guide*, North American Edition or the *Official Airline Guide*, Worldwide Edition.

**sealing.** Applying various closures or fastenings (as on a door, container, or railway car) that cannot be opened without rupture, and that serve as a check against tampering or unauthorized opening.

**service.** When a legal document is delivered by an authorized person to a person or party, who is then officially notified of an action or step that they are commanded to take (in this case, to produce documents).

**SITC.** Smuggling Interdiction and Trade Compliance Officers are PPQ Officers who concentrate on smuggling and related issues. They work closely with IES Investigators.

**special manifest.** Allows shipment to move to a CBP designated destination under a carrier's bond until received by the person or agency at destination. No diversion or change of entry can be made without PPQ concurrence.

**subpoena duces tecum.** A command to a witness to produce documents.

**territorial waters.** The waters, 12 nautical miles wide, adjacent to the coast of the United States and seaward from the territorial sea baseline. For agricultural purposes, this limit applies to the United States, as well as U.S. territories and possessions, except where there is encroachment on the territorial waters of another country.

**transit permit.** Written authorization to allow material that is either prohibited or requires treatment to transit the United States for export. The conditions and restrictions for movement in the United States are contained in the permit.

**transportation and exportation (T&E).** Category of Customs entry that authorizes the in-bond transport of material from the port of arrival to another port for export from the United States.

**treated and released.** Material that was treated (either as a condition of entry or as the result of pest findings), met all other import requirements, and was released.

**USDA approved airport.** Airport which has facilities and procedures approved by the U.S. Department of Agriculture, Plant Protection and Quarantine to handle and dispose of garbage and galley refuse from international flights.

**USDA approved military bases.** U.S. military base that has facilities and procedures approved by the U.S. Department of Agriculture, Plant Protection and Quarantine to handle and dispose of regulated garbage.

**U.S. Public Health Service (Public Health).** Agency within the Department of Health and Human Services which is responsible for preventing the entry of diseases which pose a threat to humans.

**vessel supplies immediate export (VSIE).** Supplies imported as cargo for transfer to another vessel for use as stores.

## Glossary

Definitions—Terms and Abbreviations

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**Veterinary Regulatory Support (VRS).** A headquarters staff within the U.S. Department of Agriculture, Animal and Plant Health Inspection Service, Plant Protection and Quarantine, Quarantine Policy, Analysis and Support, which oversees the importation of animal products, animal by-products and related materials and provides guidance to CBP and PPQ personnel regarding animal disease exclusion activities at the ports of entry. The APHIS Regulated Garbage Program falls under the VRS Staff.

**Veterinary Services (VS).** Part of the U.S. Department of Agriculture, Animal and Plant Health Inspection Service, which regulates the commerce of animals, poultry, and their by-products, both within the United States and for import/export.

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