United States Department of Agriculture

Export Program Manual

Some processes, equipment, and materials described in this manual may be patented. Inclusion in this manual does not constitute permission for use from the patent owner. The use of any patented invention in the performance of the processes described in this manual is solely the responsibility of the user. APHIS does not indemnify the user against liability for patent infringement and will not be liable to the user or to any third party for patent infringement.

The U.S. Department of Agriculture (USDA) prohibits discrimination in all its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, genetic information, political beliefs, reprisal, or because all or part of any individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs). Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write to USDA, Director, Office of Civil Rights, 1400 Independence Avenue, SW., Washington, DC 20250-9410, or call (800) 795-3272 (voice) or (202) 720-6382 (TDD). USDA is an equal opportunity provider and employer.

When using pesticides, read and follow all label instructions.

Second Edition Issued March 2010

Export Program Manual

Contents

Figures *LOF-1*
Tables *LOT-1*
Introduction *1-1-1*
Policy *2-1-1*
General Procedures *3-1-1*
The Process of Export Certification *3-1-1*
Completing Application for Export Certification (PPQ Form 572) *3-2-1*
Determining Eligibility and Import Requirements for Certification *3-3-1*
Verifying Import Requirements *3-4-1*
Completing PPQ Forms 577 and 579 *3-5-1*
Completing PPQ Form 578 *3-6-1*
User Fees *3-7-1*
Special Procedures *4-1-1*
Commodity • Lumber *4-1-1*
Commodity • Cotton *4-2-1*
Commodity • Grain (Federal Grain Inspection Service (FGIS)) *4-3-1*
Commodity • Seed *4-4-1*
Commodity • Seed Potatoes *4-5-1*
Special Procedures *5-1-1*
Special Programs • Federal-State Cooperative Export Program *5-1-1*
Special Programs • Lumber Certification *5-2-1*
Appendix A
Internal Communication *A-1-1*
Appendix B
Phytosanitary Export Database (PExD) *B-1-1*
Appendix C
Phytosanitary Certificate Issuance & Tracking (PCIT) *C-1-1*
Appendix D
Responsibilities *D-1-1*
Appendix E
Collecting State and County Export Certificate Fees *E-1-1*
Appendix F
Supplemental Forms *F-1-1*
Glossary *Glossary-1*
Index *Index-1*

Export Program Manual

Figures

Figure 3-1-1 Schematic of the Process of Export Certification *3-1-2*
Figure 3-2-1 Example of PPQ Form 572, Application for Inspection and Certification of Plants and Plant Products for Exports *3-2-2*
Figure 3-5-1 Examples of Lining Out Unused Space *3-5-5*
Figure 3-5-2 Example of PPQ Form 577, Phytosanitary Certificate (blank) *3-5-7*
Figure 3-5-3 Example of PPQ Form 579, Phytosanitary Certificate for Reexport (blank) *3-5-11*
Figure 3-6-1 Example of PPQ Form 578, Export Certificate, Processed Plant Products (blank) *3-6-4*
Figure 3-7-1 Certificates Issued Worksheet *3-7-22*
Figure 3-7-2 Checks Collected Worksheet *3-7-24*
Figure 3-7-3 Refund Request Worksheet *3-7-27*
Figure 4-2-1 PPQ Form 519, Compliance Agreement *4-2-2*
Figure 5-1-1 Model Letter for Documenting Major Errors Found on an Export Certificate *5-1-5*
Figure 5-2-1 Example of treatment section on the phytosanitary certificate certifying kiln drying *5-2-4*
Figure 5-2-2 Example of treatment section on the phytosanitary certificate certifying heat treatment *5-2-4*
Figure 5-2-3 Kiln Dried Treatment Certificate Example *5-2-8*
Figure 5-2-4 Heat Treatment Certificate Example *5-2-14*
Figure 5-2-5 PPQ Kiln Treatment Certificate Example *5-2-15*
Figure 5-2-6 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 1) *5-2-17*
Figure 5-2-7 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 2) *5-2-18*
Figure 5-2-8 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 3) *5-2-19*
Figure 5-2-9 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 4) *5-2-20*
Figure 5-2-10 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 5) *5-2-21*
Figure 5-2-11 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 6) *5-2-22*
Figure 5-2-12 Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States (front) *5-2-27*
Figure 5-2-13 Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union

Member States (back) *5-2-28*
Figure 5-2-14 Example of MOU for Kiln Dried Coniferous Sawn Wood (front) *5-2-32*
Figure 5-2-15 Example of MOU for Kiln Dried Coniferous Sawn Wood (back) *5-2-33*
Figure 5-2-16 Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (front) *5-2-38*
Figure 5-2-17 Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (back) *5-2-39*
Figure 5-2-18 Example of Certificate of Debarking and Grub Hole Control *5-2-41*
Figure 5-2-19 Example of Biannual Audit Checklist for Mill Certification Programs *5-2-44*
Figure E-1-1 Initial Setup for State and County Fee Remittance Worksheet *E-1-3*
Figure F-1-1 Example of AMS Form FV 146CS (11-01), Certificate of Quality and Condition (Processed Foods) (blank) *F-1-2*
Figure F-1-2 Example of AMS Form FV 147CS (9-92), Certificate of Quality and Condition (Processed Foods) Quality Assurance (blank) *F-1-3*
Figure F-1-3 Example of AMS Form FV 149CS (9-92), Certificate of Quality and Condition (Processed Foods) Continuous Inspection (blank) *F-1-4*
Figure F-1-4 Example of AMS Form FV 294 (5-84), Report on Sanitary Inspection (blank) *F-1-5*
Figure F-1-5 Example of APHIS Form 47, Transmittal and Receipt for Accountable Items (blank) *F-1-6*
Figure F-1-6 Example of APHIS Form 94, Record of Public Funds Received (blank) *F-1-7*
Figure F-1-7 APHIS Form 94 (Reverse) *F-1-8*
Figure F-1-8 Example of FGIS Form 921-2, Inspection Report–Insects in Grain *F-1-9*
Figure F-1-9 Example of Form FGIS-921-2, Inspection Report–Insects in Grain (Reverse) *F-1-10*
Figure F-1-10 Instructions for Completing Form FGIS-921-2 (Page 1) *F-1-11*
Figure F-1-11 Instructions for Completing Form FGIS-921-2 (Page 2) *F-1-12*
Figure F-1-12 Instructions for Completing Form FGIS-921-2 (Page 3) *F-1-13*
Figure F-1-13 Example of Form FV-66, Report of Inspection *F-1-14*
Figure F-1-14 Held Shipment Worksheet *F-1-15*
Figure F-1-15 Example of PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport *F-1-17*

Export Program Manual

Tables

Table 1-1-1 How to Use Decision Tables *1-1-7*
Table 1-1-2 How to Report Problems With the XPM *1-1-10*
Table 3-2-1 Instructions for Applicants to Complete PPQ Form 572 *3-2-3*
Table 3-2-2 Instructions for ACOs to Complete PPQ Form 572 *3-2-4*
Table 3-3-1 Determine Eligibility for Certification Based on Commodity *3-3-2*
Table 3-3-2 Determine Action to Take on Mushroom Spawn *3-3-3*
Table 3-3-3 Determine Eligibility for Certification Based on Origin and Destination *3-3-4*
Table 3-3-4 Determine Eligibility for Certification Based on CITES and ESA Status *3-3-5*
Table 3-3-5 Common Import Requirements *3-3-6*
Table 3-4-1 Documentation Presented *3-4-2*
Table 3-4-2 Acceptable Inspection Certificates and Documents *3-4-3*
Table 3-4-3 Hypergeometric Table for Random Sampling *3-4-5*
Table 3-4-4 : Determine Pest Freedom *3-4-6*
Table 3-4-5 Action to Take When a Commodity Must be Free from Pests *3-4-7*
Table 3-4-6 Action to Take When Commodity May Require Treatment *3-4-9*
Table 3-4-7 Action to Take When Commodities May Enter Only During Specific Periods *3-4-10*
Table 3-4-8 Action to Take When a Commodity May Enter Only Specified Ports *3-4-11*
Table 3-4-9 Recording Inspection Results on Multi-part Paper Forms *3-4-12*
Table 3-4-10 Deciding When to Issue PPQ Form 577 or 579 *3-4-13*
Table 3-5-1 Instructions to Complete PPQ Form 577 *3-5-8*
Table 3-5-2 Instructions to Complete PPQ Form 579 *3-5-12*
Table 3-5-3 Distribution of PCIT Generated Copies of PPQ Forms 577 and 579 *3-5-14*
Table 3-5-4 Distribution of PPQ Form 577, Phytosanitary Certificate *3-5-15*
Table 3-5-5 Distribution of PPQ Form 579, Phytosanitary Certificate for Reexport *3-5-15*
Table 3-5-6 Decide Whether to Replace a PCIT issued PPQ Form 577 or 579 Based on Original Issuance *3-5-16*
Table 3-5-7 Decide Whether to Replace a Non PCIT, 4–part PPQ Form 577 or 579 Based on Original Issuance *3-5-17*
Table 3-6-1 Instructions to Complete PPQ Form 578, Export Certificate, Pro-

cessed Plant Products *3-6-3*
Table 3-6-2 Instructions to Distribute PPQ Form 578, Export Certificate, Processed Plant Products *3-6-6*
Table 3-7-1 : Administrative Fees for Export Certificates *3-7-2*
Table 3-7-2 User Fees for Export Certificates *3-7-5*
Table 4-2-1 Hypergeometric Table for Random Sampling *4-2-6*
Table 4-3-1 Species that FGIS Can Inspect *4-3-4*
Table 4-3-2 Determine Action to Take on Grain Inspected by FGIS *4-3-5*
Table 4-3-3 Determine Whether to Issue PPQ Form 577 or 579 *4-3-6*
Table 4-3-4 Completion of PPQ Forms 577 or 579 for Grain Products *4-3-7*
Table 4-3-5 Determine if You Can Use the FGIS Certificate to Issue a PPQ Form 577 or 579 *4-3-8*
Table 4-4-1 Amount of Seed to Collect from Each Lot *4-4-2*
Table 4-4-2 Computing Number of Subsamples Based on Seed Packaging *4-4-2*
Table 4-4-3 Determining How Many Subsamples to Draw from Seed in Bags *4-4-3*
Table 4-4-4 Inspecting the Sample *4-4-5*
Table 4-5-1 Tolerances for Generation 2—U.S. Export Seed Potatoes *4-5-10*
Table 4-5-2 Tolerances for Generation 3—U.S. Export Seed Potatoes *4-5-10*
Table 4-5-3 Tolerances for Generation 4—U.S. Export Seed Potatoes *4-5-11*
Table 4-5-4 Tolerances for Generation 5—U.S. Export Seed Potatoes *4-5-11*
Table 5-1-1 List of Active Federal-State MOUs *5-1-13*
Table 5-2-1 KD Inspection Company Marks *5-2-5*
Table 5-2-2 Lumber Grading Agencies Participating in Mill Certification Programs for Heat Treatment of Coniferous Sawn Wood *5-2-9*
Table 5-2-3 Heat Treatment Inspection Company Marks *5-2-10*
Table 5-2-4 Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying of Coniferous Sawn Wood *5-2-34*
Table 5-2-5 List of Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying, Debarking, and Grub Hole Control *5-2-40*
Table F-1-1 Instructions to Complete PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport *F-1-19*

Chapter

1

Introduction

Contents

Purpose **1-1-2**
Scope **1-1-3**
Users **1-1-4**
Enabling Legislation **1-1-4**
- Plant Protection Act **1-1-4**
- 7CFR Part 353—Export Certification **1-1-4**

Program Standards **1-1-5**
- IPPC Standards **1-1-5**
- NAPPO Standards **1-1-5**

Conventions **1-1-6**
- Advisories **1-1-6**
- Boldfacing **1-1-6**
- Bulleted Lists **1-1-6**
- Chapters **1-1-6**
- Contents **1-1-6**
- Control Data **1-1-7**
- Decision Tables **1-1-7**
- Examples **1-1-7**
- Footnotes **1-1-7**
- Heading Levels **1-1-8**
- Hypertext Links (Highlighting) to Tables, Figures, and Headings **1-1-8**
- Indentions **1-1-8**
- Italicized Brackets **1-1-8**
- Numbered Lists **1-1-8**
- Numbering Scheme **1-1-8**
- Section **1-1-9**

Revisions to Manuals **1-1-9**
- Immediate Updates **1-1-9**
- New Editions **1-1-9**
- Supersede Statements **1-1-9**
- Transmittals **1-1-9**

How to Report Problems With the Export Program Manual (XPM) **1-1-10**

Purpose

The Export Program Manual (XPM) is a reference to use when inspecting commodities and issuing export certificates.

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

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

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

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

NOTICE

USDA–APHIS–PPQ **does not** regulate the exportation of commodities.

U.S. applicants may request that PPQ provide this service for commodities that are eligible for certification. PPQ will assist U.S. applicants with commodities that are eligible for certification to meet the plant quarantine import requirements of foreign countries.

Scope

The information in the XPM is based on international standards, PPQ policy, and regulations providing procedures for certifying commodities offered for export. The XPM also covers information about PPQ's Phytosanitary Export Database (PExD), an electronic database that provides current information on the plant import requirements of foreign countries. The Phytosanitary Certificate Issuance and Tracking System (PCIT) automates the issuance of a phytosanitary certificate, including the collection and tracking of its related information.

This manual is divided into the following chapters:

- Introduction
- Policy
- General Procedures
- Special Procedures

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

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

The General Procedures chapter explains the operational processes required to implement program policy and how Authorized Certification Officials (ACOs) carry out their responsibilities.

The Special Procedures chapter is subdivided into two groups:

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

The Appendixes contain the following topics:

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

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

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

Although the XPM does mention and give some direction for using PExD as related to the procedures, the XPM **does not** comprehensively cover the use of databases related to export certification. Related databases include PExD and Phytosanitary Certificate Issuance and Tracking (PCIT).

Users

Federal, State, and County ACOs and officials use the XPM as a reference for inspecting commodities and issuing export certificates.

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

- PPQ policy
- PCIT
- PExD

Enabling Legislation

Plant Protection Act

To enable PPQ to help applicants meet the plant quarantine import requirements of foreign countries, Section 418, CERTIFICATION FOR EXPORTS, of the Plant Protection Act provides the authority for issuing export certificates for the export of commodities. The regulation for enforcing the Plant Protection Act is 7 CFR Part 353.

7CFR Part 353—Export Certification

7 CFR Part 353 provides export certification authorities.

Program Standards

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

IPPC Standards

The IPPC Standards consist of International Standards for Phytosanitary Measures (ISPMs).

NAPPO Standards

The NAPPO Standards consist of Regional Standards for Phytosanitary Measures (RSPMs).

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

The primary roles related to export certification and their responsibilities are outlined in Appendix D.

Conventions

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

Advisories

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

DANGER

DANGER indicates imminent risk of death or serious injury.

WARNING

WARNING indicates possible risk of serious injury.

CAUTION

CAUTION indicates minor to moderate risk of injury.

NOTICE

NOTICE alerts readers of important information or Agency policy.

SAFETY

SAFETY indicates general instructions or reminders related to safety.

Boldfacing

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

Bulleted Lists

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

Chapters

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

Contents

Most chapters and sections of a chapter have a table of contents that lists the heading titles, and is located at the beginning to help find information.

Control Data

Control data are the numbers located at the bottom of most pages, opposite the page number, which can be used to track revisions. At the top of the page is the chapter, section, and first-level heading. At the bottom of the page is the month, year, manual transmittal number, manual title, and page number.

EXAMPLE The numbers at the bottom of the page are 11/2011-13.

- 11/2011 is the month and year when the manual page was issued
- -13 is the transmittal number

Decision Tables

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

Table 1-1-1 How to Use Decision Tables

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

Examples

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

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

Footnotes

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

- General text footnotes located at the bottom of the page, which are consecutively numbered throughout the manual

- Table or figure footnotes located directly below the associated table or figure (if a table or figure continues beyond one page, the associated footnotes will appear on the last page)

Heading Levels

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

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

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

EXAMPLE See Table 1-1-2 on page 1-1-10 to determine how to report problems with the XPM.

Indentions

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

Italicized Brackets

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

Numbered Lists

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

Numbering Scheme

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

Section

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

Revisions to Manuals

Export Services (ES) issues transmittals for advance notices, immediate updates, and new editions of manuals.

Immediate Updates

Immediate updates are issued when the revisions are urgently needed and cover 6 pages or less.

Transmittals for immediate updates usually contain the following information:

- List of the updated pages
- Purpose of the immediate update
- Supersede statement
- Transmittal number (used to track revisions)

New Editions

For new editions to online manuals, transmittal e-mails are issued.

Supersede Statements

Supersede statements identify existing official documents that are no longer valid or accurate because they have been incorporated into the manual. Supersede statements are included in transmittals.

ES is obligated to identify all existing official documents that are superseded. If manual users accessed outdated information that was not formally superseded, the agency may be liable. Therefore, supersede statements are critical from a legal standpoint.

Transmittals

Transmittals are the correspondence accompanying immediate updates and new editions. Transmittals explain the manual revision. Each transmittal has a unique number usually identified in the subject line, which can be used to track revisions. New editions always start with the transmittal number of -01 and the number increases by one for each revision made during the life of the edition.

How to Report Problems With the Export Program Manual (XPM)

Use Table 1-1-2 to report export certification problems, situations, and disagreements or to offer suggestions that directly affect the contents of the XPM.

Table 1-1-2 How to Report Problems With the XPM

If you:	Then:
Are unable to access the online manual	CONTACT Export Services' Manuals Unit Liaison. Call 301-851-2279 or e-mail michael.j.perry@aphis.usda.gov.
Have a suggestion for improving the formatting (design, layout, composition), grammar, or spelling	
Need help with an export issue, policy, or procedure	CONTACT someone for assistance (see Appendix A for the established contact protocol)
Disagree with policy or procedures	

Chapter 2

Policy

Contents

Accreditation **2-1-2**
- ACO Accreditation **2-1-2**
- Seed Health Accreditation **2-1-2**

Additional Declarations (ADs) **2-1-3**
- Authority for Entering Additional Declarations **2-1-3**

Additional Official Phytosanitary Information **2-1-3**
Certification Eligibility Review **2-1-4**
Commercial Information **2-1-4**
Confidentiality **2-1-5**
Export Certificates **2-1-5**
- Phytosanitary Certificate (PPQ Form 577) and Phytosanitary Certificate for Reexport (PPQ Form 579) **2-1-5**
- Export Certificate for Processed Plant Products (PPQ Form 578) **2-1-6**

Export Certification Violations **2-1-6**
Export Treatments **2-1-7**
- Certifying Seed Treatments **2-1-7**

Field Inspections **2-1-8**
Genetically Modified Organisms **2-1-8**
Grain **2-1-8**
- Federal Grain Inspection Service (FGIS) Inspection Authority **2-1-9**

Official Samples, Inspection, and Testing **2-1-9**
- Seed Sampling and Testing **2-1-11**

Pest Free Area (PFA) or Pest Free Place of Production (PFPP) **2-1-11**
- Establishing a PFA **2-1-11**
- Establishing a PFPP **2-1-12**
- Resources for Determining PFAs or PFPPs **2-1-13**

Phytosanitary Certificate Issuance & Tracking (PCIT) **2-1-13**
- Federal ACOs **2-1-14**
- State and County ACOs **2-1-14**

Prohibited Information on an Export Certificate **2-1-15**
Record Keeping **2-1-16**
Replacement **2-1-16**
- PPQ Forms 577 or 579 for Commodities in a Foreign Country **2-1-16**

Return of Foreign Origin Commodities to the Country of Origin **2-1-16**
Safeguarding **2-1-16**
Safety **2-1-17**
- Safety Guidelines **2-1-17**
- Safety Forms and Directives **2-1-17**
- PPQ Field Operations Safety & Health Managers **2-1-17**

Time Limits **2-1-18**
Time Limits for Field Inspections and Laboratory Testing **2-1-18**
Replacing PPQ Forms 577 and 579 Outside PPQ's Time Limit Policy **2-1-19**
USDA Letterhead Statements **2-1-19**
User Fees **2-1-19**

Accreditation

ACO Accreditation

Authorized Certification Official (ACO) accreditation is in accordance with 7 CFR 353 and the Regional Standards for Phytosanitary Measures No. 8. See also Reaccreditation of ACOs on page 5-1-4 and PPQ's Accreditation Systems and Programs Web site.

Seed Health Accreditation

PPQ's National Seed Health System provides accreditation to non government entities to perform the following testing and inspections required for an ACO to issue a PPQ Form 577 or 579. Each non-government entity is audited and evaluated by the National Seed Health System under the direct supervision of the Accreditation Manager for PPQ.

- Laboratory testing for plant pathogens using the standardized methods approved by the National Seed Health System
- Growing season inspections of seed-producing fields, nurseries, or greenhouses for disease freedom using standardized methods approved by the National Seed Health System
- Sampling of seeds using standardized methods and procedures approved by the National Seed Health System
- Visual inspections of seeds for phytosanitary certification using PPQ-approved methods at the applicant's facility for insects, weed seeds, soil, and other contaminants

It is against PPQ policy to issue certificates for commodities:

- That underwent testing or inspection by a non-accredited entity
- Based on results of an activity conducted before the entity was accredited

ACOs may accept results from accredited entities for accredited phytosanitary procedures. These documented results serve to determine eligibility to issue PPQ Forms 577 or 579 for seeds intended for propagation.

The most current information about the accredited entities and the functions they are allowed to perform can be found on the PPQ Web page under Accreditation Systems and Programs.

Additional Declarations (ADs)

ADs are official government assurances regarding the phytosanitary status of a plant or plant product.

Authority for Entering Additional Declarations

ADs can be included **only** on PPQ Forms 577 or 579. ADs **must** be verified by an ACO and supported by documentation. If a required AD is prohibited by PPQ policy, certification **cannot** be provided.

If an applicant is an Authorized Entity (AE) and is authorized by the local State or County duty station to enter ADs, then the ACO should provide the necessary AD(s) to the applicant and the ACO **must** verify that the information on the phytosanitary certificate is correct before signing.

Additional Official Phytosanitary Information

Additional official phytosanitary information can be included on a phytosanitary certificate at the request of exporters to facilitate future re-exports from a foreign country. This information is separated from the first country import requirements, and is listed in the AD block, under a heading titled: Additional Official Phytosanitary Information.

Certification Eligibility Review

Occasionally applicants request review of a commodity deemed ineligible for certification. Export Services (ES) **cannot** consider any request until the applicant provides all necessary information to ES.

Listed below is the information that ES **must** have to review the request.

- Destination country
- Date the applicant wishes to ship
- Description of commodity and, if processed, a detailed description of the process. The description **must** include the following information: ingredients, origin of each ingredient, process applied to each ingredient and the botanical name of each ingredient. All information will be held in strict confidence. The process **must** be described in detail.
- How the commodity is packaged
- Intended use
- Name of applicant with contact information
- Official communication from the foreign NPPO, if available
- If necessary, the applicant may have to supply ES with a sample of the commodity

The ability to make a decision will depend on the quality of the information. ES will make every effort to provide a decision once all necessary information has been provided.

NOTICE

If the import requirements are available and you **cannot** verify that the requirements have been met, the remaining phytosanitary conditions **must** occur in the U.S. under the supervision of an ACO.

Commercial Information

Based on ISPM 12, phytosanitary certificates are **not** commercial documents. Commercial information **cannot** be referenced on phytosanitary certificates and is **not** to be used as the basis for phytosanitary certification. The most common forms of commercial information requested are the following:

- Letters of credit
- Trade names, sizes, or other commercial terms
- Tariff numbers
- Purchase contract numbers
- Tax ID numbers

Confidentiality

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

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

Legislative and Public Affairs Staff, APHIS, USDA
4700 River Road, Unit 50
Riverdale, Maryland 20737-1232
Phone: 301-851-4102

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

Export Certificates

Phytosanitary Certificate (PPQ Form 577) and Phytosanitary Certificate for Reexport (PPQ Form 579)

Phytosanitary certification for exports is **not** a requirement of the USDA. Phytosanitary certification is provided as a service to U.S. applicants based on the phytosanitary requirements of foreign countries. After assessing the phytosanitary condition of the commodities intended for export, an ACO issues these internationally recognized phytosanitary certificates:

- PPQ Form 577, Phytosanitary Certificate
- PPQ Form 579, Phytosanitary Certificate for Reexport

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

PPQ Forms 577 and 579 conform with the model certificates in ISPM 12 of the International Plant Protection Convention (IPPC), and are used to document the phytosanitary condition of exported commodities. Before issuing PPQ Form 577 or 579, the Authorized Certification Official (ACO) signing the form **must** officially verify that the consignment has been inspected and that all the phytosanitary requirements of the importing country have been met. Anytime a PPQ Form 577 or 579 is issued, the preprinted certification statement assures the importing country that the shipment conforms to its requirements regarding freedom from regulated pests. In addition, it is PPQ policy that all shipments certified are practically free from all non regulated pests. This policy allows for no more than a two percent infestation level of any non regulated pest.

NOTICE

For re-exports, if the importing country requirements are available and you **cannot** verify that the requirements have been met in the country of origin, then any required phytosanitary conditions of the importing country must occur in the U.S. according to PPQ Policy.

Export Certificate for Processed Plant Products (PPQ Form 578)

PPQ Form 578 was created to assist U.S. exporters of processed products whose shipments may be placed in jeopardy if an official document is **not** issued. PPQ Form 578 can **only** be issued for items listed in Phytosanitary Export Database (PExD) Processed Products (PPQ Form 578). Some commodities found in the Processed Products (PPQ Form 578) list are designated as eligible for either a PPQ Form 577 or 578. Items listed **only** for a PPQ Form 578 may **not** be issued a PPQ Form 577 even at the exporters request.

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

Export Certification Violations

Unauthorized changes to an export certificate are in violation of 7 CFR 353 and may be prosecuted under the Plant Protection Act (7 USC 7701) and other applicable laws. Any unauthorized changes can result in a foreign government rejecting a shipment. If a violation is discovered, the State Plant Health Director (SPHD) should consider the circumstances surrounding the violation and determine the next course of action, which may entail an Investigative and Enforcement Services (IES) investigation.

Export Treatments

PPQ **does not** have the authority to require more restrictive phytosanitary measures than the importing country. When certifying an export treatment, ensure that the basic components of the treatment are met. Importing countries' treatment requirements are provided through published regulations, import permits, and/or other official communication. Quality assurance should be maintained at the local level to ensure that all treatments are conducted according to the importing country's requirements. PPQ accepts treatments by cooperators for inclusion on phytosanitary certificates. All treatments used as the basis for issuing PPQ Forms 577 and 579 **must** be based on the following:

1. The foreign country's import requirements
2. The registered pesticide label
3. The safety of employees

Verify and record details of the treatment in the appropriate section of the certificate. Examples of the verification of treatments **not** witnessed by the ACO follow:

EXAMPLE

- Evidence of seed treatment, such as the presence of a powder coating on seeds
- Evidence of kiln drying by "KD" marks on lumber, checking moisture content, and inspecting kiln charge chart
- Evidence of compression of cotton bales, such as presence of Permanent Bale Identification (PBI) tags and bale weight(s)

Treatments conducted by a licensed pest control operator under compliance are acceptable as long as they provide documentation proving the foreign country's requirements were met.

NOTICE

Do not list treatments recorded on foreign phytosanitary certificates in the treatment section of PPQ Form 579 since these treatments were **not** monitored by a Federal, State, or County plant quarantine official or conducted by FGIS.

Certifying Seed Treatments

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

NOTICE

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

Field Inspections

States, Counties, and entities accredited under the National Seed Health System (NSHS) conduct field inspections to meet foreign import requirements for various U.S. commodities. Often, foreign countries require a growing season inspection by an official certifying agency in the country of origin, and the results of the inspection may need to be recorded on a phytosanitary certificate as an additional declaration. For the purpose of export certification, USDA-APHIS-PPQ recognizes all State and County field inspection reports as well as those issued by entities accredited under the NSHS. Those with a question pertaining to a field inspection report should contact the issuing State or County for clarification.

Genetically Modified Organisms

Export certificates **cannot** be used to certify the Genetically Modified Organism (GMO) status of a commodity. If a country requires that an export certificate attest to GMO status, then the export certificate **cannot** be issued.

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

The Grain Inspection, Packers and Stockyards Administration (GIPSA) is a source for GMO certification or letterhead statements for grain. These letterhead statements may or may **not** meet an importing country's requirements. ACOs can refer applicants to the GIPSA Office of Departmental Initiatives and International Affairs (202-720-0226) for assistance on GMO inquiries for grain. Refer to GIPSA Directive 9180.67 for more information.

Grain

When certifying grain, it is PPQ policy to only attest to the freedom of insects and weed seeds when required by an additional declaration. By definition grain is intended for processing or consumption and is generally recognized as low risk for the introduction of weeds. This policy applies, whether the requirement is stated in an export summary or official communication.

The reason for this policy is that it is impractical to:

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

NOTICE

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

Laboratory testing **cannot** be used as a basis for certification because a methodology for representative sampling and testing for disease causing organisms in grain has **never** been developed.

Exceptions to this policy are the following:

- When the pathogen is **not** known to occur in the U.S.
- When there is an ongoing national survey for the pathogen (currently **only** karnal bunt of wheat, *Tilletia indica*)
- Special programs approved by ES
- Unique exceptions for special crops with unique handling and marketing (pulses and rice) as documented in PExD

Federal Grain Inspection Service (FGIS) Inspection Authority

APHIS and FGIS have entered into a Memorandum of Understanding (MOU) that sets forth the policies and procedures by which GIPSA and APHIS will collaborate on the issuance of phytosanitary certificates. If FGIS conducts the phytosanitary inspection for grain, then an FGIS Form 921-2, Inspection Report–Insects in Grain, is required for certification.

In addition to inspecting grain (milled or not), FGIS is authorized to provide phytosanitary inspections for the commodities listed under the heading Species that FGIS Can Inspect on page 4-3-4 if they are derived from grain.

Official Samples, Inspection, and Testing

It is PPQ policy that all sampling, inspection, and testing for export certification purposes be officially conducted by government officials or accredited entities. Adhering to this policy further ensures shipment integrity and program credibility. Under **no** circumstances can an applicant provide his or her own sample for inspectional purposes.

NOTICE

Inspections should be conducted on the entire shipment. The preferred method of certifying a commodity for export is to inspect the commodity before it is containerized.

NOTICE

There is **no** method for inspecting or obtaining representative samples for retail packaging.

The shipment **must** remain unadulterated after sampling has taken place. **No** additions can be made to the total count or weight of the shipment after sampling.

If a PPQ Form 577 or 579 is issued based on laboratory testing, keep documentation supporting the decision.

The above policy **does not**:

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

NOTICE

ACOs **must** caution applicants that shipments **cannot** be certified until all inspection results have been finalized. The applicant is responsible for maintaining the identity and integrity of the consignment and for safeguarding the commodity after inspection from infestation or infection from harmful organisms.

Official sampling and inspecting may be conducted by:

- Federal, State, or County officials
- Cooperating agencies such as Federal Grain Inspection Service (FGIS) for grain and grain products (see Commodity • Grain (Federal Grain Inspection Service (FGIS)) on page 4-3-1) or Agricultural Marketing Service (AMS) for specific commodities
- Non government entities accredited for seed sampling and inspection (see Seed Health Accreditation on page 2-1-2)
- Personnel at cotton compliant warehouses

NOTICE

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

Seed Sampling and Testing

Federal laboratories, State laboratories, university laboratories, and companies accredited under the USDA-APHIS-PPQ Accreditation Program may test and sample seed.

- Seed **must** be sampled and inspected prior to encapsulation (pelletized seed) or embedding into other media (e.g., seed mats).
- Should the seed be treated with a fungicide or pelletized after the laboratory analysis or test, the increase in weight **must** match the amount of product applied to the seed.
- Some laboratory analyses **cannot** be conducted on treated seeds. The ACO **must** check with the laboratory first before submitting a sample(s).
- The lot number **cannot** change after the laboratory analysis or test has taken place.
- Accredited entities are authorized **only** to perform those specific phytosanitary functions for which accreditation is held and listed.

Pest Free Area (PFA) or Pest Free Place of Production (PFPP)

A country may require that a commodity originate from a PFA or a PFPP. In order to qualify for this requirement, PFAs and PFPPs **must** be demonstrated by scientific evidence as described below.

Establishing a PFA

1. A written plan outlining how the proposed PFA would satisfy the requirements found in ISPM 4 and ISPM 8 **must** be developed. The requirements for establishing and maintaining the PFA will vary according to the biology of the pest, the size and nature of the area, and the available information pertaining to the pest. The methods used to achieve the PFA may include:
   A. General surveillance supported by data (historical records)
   B. Surveys (include survey type and proposed methods)—All survey data **must** be entered into an appropriate record keeping system (e.g. National Agricultural Pest information System (NAPIS), Integrated Plant Health Information System (IPHIS), etc.)
   C. Regulatory controls (buffer zones, restrictions on movement of regulated articles, routine monitoring, etc.)
   D. Auditing of records (review and evaluation)
   E. Documentation (reports and work plans)
2. If a survey was conducted, the negative survey data **must** be entered into the appropriate record keeping system.

3. Periodic checks to verify that pest freedom has been maintained **must** be carried out and entered into the record keeping system as outlined in the accepted PFA plan.

Establishing a PFPP

1. A written plan outlining how the purposed PFPP would satisfy the requirements found in ISPM 10 and ISPM 8 **must** be developed. The requirements for establishing and maintaining the PFPP will vary according to the biology of the pest, the size and nature of the area, and the available information pertaining to the pest. The methods used to achieve the PFPP may include:
   A. A system to establish pest freedom including official surveys for one or more years as appropriate
   B. A system to maintain pest freedom
      a. Preventive measures (e.g. elimination of other host material)
      b. Exclusion measures (e.g. physical barriers, screens, controls)
      c. Pest control measures (e.g. cultural methods, treatments and resistant cultivars)
   C. Verification that pest freedom has been attained or maintained (e.g. growing season inspections, compliance agreements, sampling, etc.)
   D. A system to maintain product identity, consignment integrity and phytosanitary security (labeling)
   E. The establishment and maintenance of an appropriate buffer zone
2. Surveys and/or growing season inspections can be conducted.
3. Periodic checks to verify freedom has been maintained **must** be carried out and entered into a record keeping system. These records **must** be maintained at the PFPP and be available for review.

   A country may state that a commodity is prohibited from:

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

   Conversely, some countries may specify the areas in the U.S. that they recognize as free from a specific pest, but not always. If PExD **does not** specify which areas of the U.S. are considered free of a pest, the ACO **must** make that determination before deciding whether a commodity is prohibited. For guidance and clarification on this topic, follow the approved contact protocol listed in Appendix A.

Resources for Determining PFAs or PFPPs

Use the following resources for additional information:

- Area identifiers, PPQ
- Biological and Technical Services, PPQ Riverdale through your Export Certification Specialist (ECS)
- Cooperative extension services
- Crop Protection Compendium (CABI) (available by subscription)

NOTICE

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

- Plant Pest Home Page
- State or County officials
- Universities

Phytosanitary Export Database (PExD)

The Phytosanitary Export Database (PExD) is the repository of foreign countries phytosanitary import requirements for U.S. origin commodities. PExD enhances the Animal and Plant Health Inspection Service (APHIS), Plant Protection and Quarantine (PPQ) ability to maintain the export program for United States exporters. PExD supports Export Services (ES) with the task of entering export summaries for foreign countries. PExD provides reusable text to facilitate uniform and consistent entry of export summaries. PExD also provides PPQ, State and County cooperators, and industry user's easy access to export summaries via direct user queries. PExD interfaces with the Phytosanitary Certificate Issuance & Tracking System (PCIT) application processing. During application processing users are provided with pertinent export summaries based on the importing country, commodity, and other data contained in PExD. This information may be retrieved by users with access to PCIT or for those without access to PCIT, via the PExD link at the bottom of the PCIT home page.

Phytosanitary Certificate Issuance & Tracking (PCIT)

PCIT tracks the inspection of agricultural products and certifies compliance with plant health standards of importing countries. This capability provides USDA/APHIS/PPQ with greater fraud prevention, reporting functions, and monitoring capabilities for exported commodities.

PCIT was first released in December 2005. PCIT use is mandatory for all Federal ACOs. Use and acceptance of PCIT continues to increase among State and County ACOs as well as industry. PPQ employees involved with the export program are required to support and facilitate the use of PCIT by industry and cooperators.

Federal ACOs

- All PPQ employees involved with the export program should know how to log in and use PCIT
- All PPQ Forms 577, 578, and 579 **must** be issued through PCIT
- Paper PPQ Forms 577, 578, and 579 should be retained for back-up in case PCIT is down for more than 4 hours
- All applications for certification should either be entered by the applicant through PCIT or be entered by the PPQ duty station. Ideally, industry will enter these applications; therefore, PPQ employees should encourage industry to use PCIT to submit applications.
- PPQ employees should work with industry contacts by educating them about PCIT and its advantages

Industry or cooperators may access PCIT directly. Industry users can register their own organizations and submit applications to any duty station. Cooperators should contact their local Export Certification Specialist (ECS) for a PIN.

PCIT currently allows users to generate the following forms:

- PPQ Form 572, Application for Inspection and Certification of Plants and Plant Products for Export
- PPQ Form 577, Phytosanitary Certificate[1]
- PPQ Form 578, Export Certificate, Processed Plant Products
- PPQ Form 579, Phytosanitary Certificate for Reexport[1]

PCIT enables PPQ managers to obtain real-time information in order to respond to foreign notices of non-compliance and generate reports concerning certified commodities. A copy can be printed by an applicant, while the original can be printed **only** by Authorized Entities, Original Certificate Print Authorization users, and ACOs.

State and County ACOs

PCIT use by State and County ACOs is strongly recommended.

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

Prohibited Information on an Export Certificate

ACOs **must never** enter or authenticate the following information on an export certificate:

- Advice number
- Aflatoxins or other mycotoxins
- Authorization number (not same as letter of authorization for European Union (EU))
- Fitness for human consumption
- Freedom from animal diseases and statements about animal health concerns
- Freedom from plant disease-causing organisms for any grain, when the disease occurs in the U.S.
- Genetic composition and/or disease resistance
- Grade and/or quality
- Import reference number
- Import tariff item number
- Intended use (such as for scientific purposes)
- Letter of commitment number
- Letter of credit number or requirements
- Levels of radioactivity, nuclear radiation, or radionuclides associated with a commodity
- Official verification listed in an export summary or an import permit
- Pesticides or other chemical residues
- Purchase contract number
- References pertaining to a permit or a permit number issued by the Division of Management Authority (DMA) for protected plant species
- References to genetically modified organism (GMO) status
- References to trade names, sizes, or other commercial terms
- References to wild collected plants
- Requested statements that are **not** of a phytosanitary nature, such as economic permits, quantity or quality restrictions, or methods of packaging
- Tax identification numbers
- Unofficial requests from applicants and consignees

Record Keeping

PPQ policy on retention of documents is as follows:

- PCIT generated certificates and documentation attached in PCIT are automatically archived
- PPQ Forms 577, 578, and 579 and all supporting documentation: retain for 3 years
- All CITES/ESA and supporting documentation: retain for 5 years
- Any documents associated with USDA user fees: retain for 3 years

Replacement

PPQ Forms 577 or 579 for Commodities in a Foreign Country

If a consignment has been exported from the United States, has **not** officially entered the commerce of the importing country, and is being stored in a foreign country, you can replace a PPQ Form 577 or 579 to change the country name to a different country.

NOTICE

The storage or repackaging of a consignment in another country may result in a change of the phytosanitary status of the consignment and the exporter will need to request a reexport certificate from the country in which the commodity is being stored or repackaged.

Return of Foreign Origin Commodities to the Country of Origin

Foreign origin commodities that have entered United States commerce, been safeguarded, or remain sealed in original packaging, which are being returned to the country of origin, can be certified without official communication from the country of origin. Exporters should verify if there are additional phytosanitary requirements from the country of origin prior to exportation.

Safeguarding

Regulated pests of concern **cannot** infest or infect the shipment after official sampling, inspection, testing, or treatment has taken place. Exporters **must** ensure that the shipment is safeguarded. ACOs should confer with an entomologist, pathologist, nematologist, etc. if they have concerns about safeguarding.

Safety

Safety Guidelines

Refer to PPQ Field Operations Safety and Health Information.

Safety Forms and Directives

Refer to PPQ Safety Reference Material.

PPQ Field Operations Safety & Health Managers

Debra A. Shambaugh (Fort Collins, Colorado)
Occupational Safety and Health Manager
Office: 970-494-7560
Cell: 970-218-8228
(Alt): 307-649-2461 (alternate phone)
Email: Debra.A.Shambaugh@aphis.usda.gov

Gerald L. Campbell (Raleigh, North Carolina)
Occupational Safety and Health Manager
Office: 919-855-7308
Cell: 919-637-2210
Email: Gerald.L.Campbell@aphis.usda.gov

Time Limits

"Time limits" refer to the amount of time that is allowed between inspections and certificate issuance. PPQ's policy on time limits is that an export certificate **must** be issued within 30 days of the phytosanitary inspection.

NOTICE

If a consignment leaves the country within the PPQ 30 day time limit, then a phytosanitary certificate may still be issued upon request up to 60 days post inspection, unless the importing country time limit is more restrictive.[1]

1 Documentation such as a bill of lading or airway bill **must** be provided for verification.

It is preferred that exporters request certificates before the shipment leaves the country. Once the product leaves the U.S., options such as re-inspection and treatment are no longer available. In addition to PPQ's policy on time limits, each importing country may specify its own time limit requirements. PPQ policy **must** be met even if a country's time limits refers to the time period between certificate issuance and exportation. Exporters **must** meet the importing country's time limits. If an importing country's time limit is more restrictive than PPQ's policy, the importing country's time limit requirement will take precedence.

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

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

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

Time Limits for Field Inspections and Laboratory Testing

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

1. The commodity was harvested and was put into storage;
2. The commodity has remained unadulterated since the laboratory test was conducted.

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

NOTICE

There is **no** time limit or expiration on the validity of commodity testing if a shipment's integrity (for example, a hermetically sealed container) has been maintained and verified.

If a PPQ Form 577 or 579 is issued based on laboratory testing, keep documentation supporting the decision. This policy **does not**:

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

Replacing PPQ Forms 577 and 579 Outside PPQ's Time Limit Policy

Replacing PPQ Forms 577 and 579 is acceptable outside the 30 day time limit. The quantity previously certified **cannot** increase.

USDA Letterhead Statements

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

User Fees

It is PPQ policy to collect user fees for export certificates. PPQ has the authority to collect user fees through 7 CFR 354.3. State or County cooperators can establish their own fees for issuing Federal export certificates, based on 7 CFR 354.3.

Chapter

3

General Procedures

The Process of Export Certification

Contents

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

Introduction

Export certification is a service provided to assist U.S. applicants in meeting the import requirements of foreign countries. See Figure 3-1-1 on page 3-1-2 for an overview of the steps for certifying commodities offered for export. The overview is followed by a brief summary of each step.

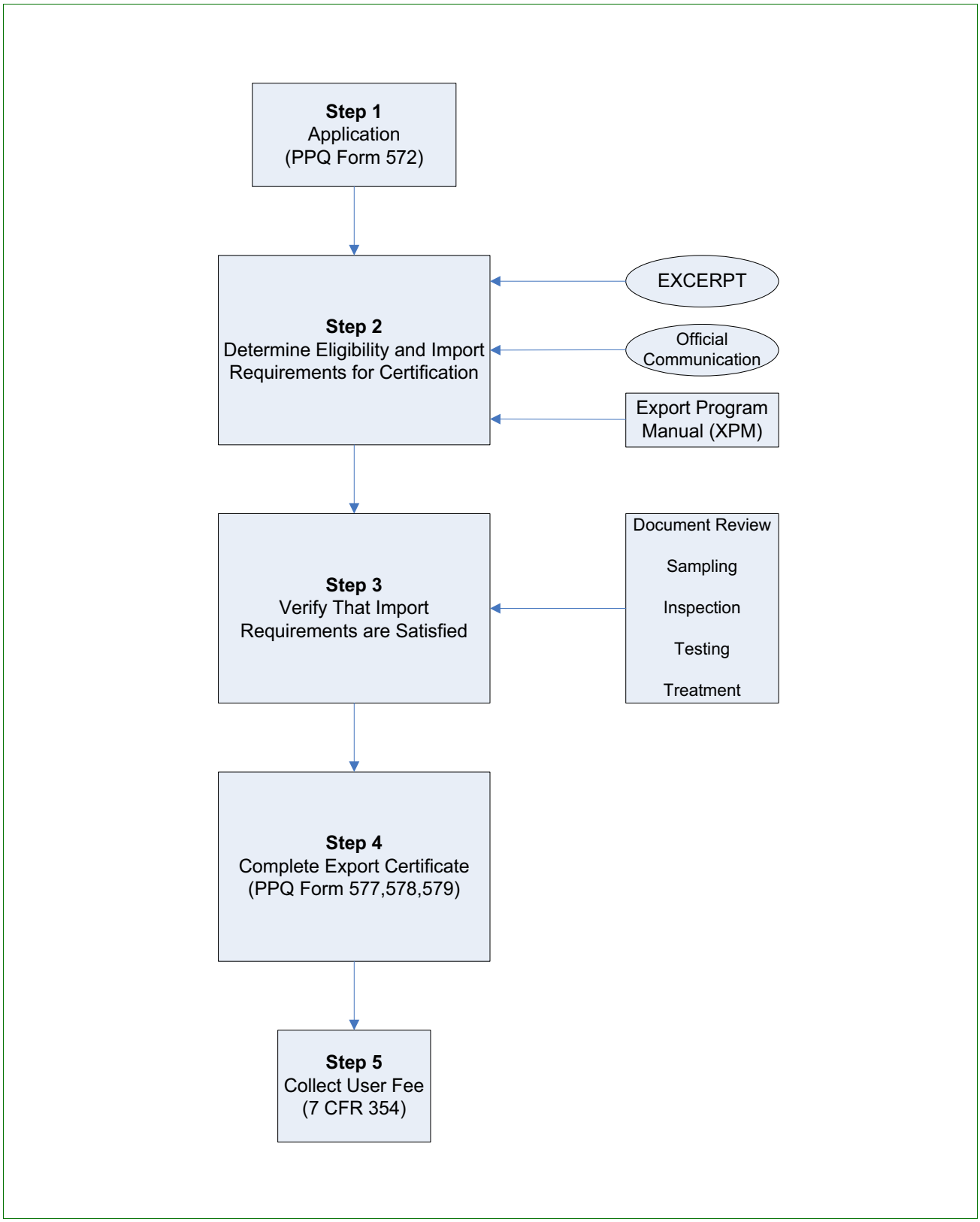


Figure 3-1-1 Schematic of the Process of Export Certification

Steps for Certifying a Commodity

Step 1: Review Application for Certification

The application may be a PCIT application (PPQ Form 572), Paper PPQ Form 572, or other application (see Completing Application for Export Certification (PPQ Form 572) on page 3-2-1).

Step 2: Determine Eligibility and Import Requirements for Certification

ACOs **must** determine whether the commodity is eligible for an export certificate. Their assessment is based on the commodity type, the commodity's origin and destination, and the commodity's protected status.

After determining eligibility, ACOs then determine the importing country's phytosanitary requirements before conducting an inspection or issuing a certificate. The import requirements of a country may be provided by either the Phytosanitary Export Database (PExD) or official communication from the National Plant Protection Organization (NPPO) of the importing country.

If a third party country will **not** provide an import permit or other official communication, but has published import requirements, the exporter **must** provide a highlighted copy of those requirements that pertain to the commodity being certified.

NOTICE

Official communication from a foreign country's NPPO supersedes information found in the country's summary in PExD.

Based on whether the commodity can meet the import requirements, ACOs then determine whether they can issue a certificate (see Determining Eligibility and Import Requirements for Certification on page 3-3-1).

Step 3: Verify That Import Requirements Are Satisfied

Once the eligibility and import requirements have been identified, the import requirements must be verified (see Verifying Import Requirements on page 3-4-1).

Step 4: Complete Export Certificate

ACOs **must** prepare the appropriate export certificate as listed and described below. See Completing PPQ Forms 577 and 579 on page 3-5-1 and Completing PPQ Form 578 on page 3-6-1 for further information.

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

Step 5: Collect User Fee

PPQ has established user fees that applicants **must** pay for export certificates. Refer to User Fees on page 3-7-1 for further information.

Chapter

3

General Procedures

Completing Application for Export Certification (PPQ Form 572)

Contents

Introduction **3-2-1**
Creating an Application (PPQ Form 572) in PCIT **3-2-3**
Completion of a Paper PPQ Form 572 **3-2-3**
- Application Data (to be completed by applicants) **3-2-3**
- Export Inspection Data (to be completed by ACOs) **3-2-4**

Distribution **3-2-5**
- PCIT Generated PPQ Form 572 **3-2-5**
- Non PCIT Generated PPQ Form 572 **3-2-5**

Introduction

PPQ Form 572, Application for Inspection and Certification of Plants and Plant Products for Export, provides the information needed to determine a commodity's eligibility and import requirements.

It is the applicant's responsibility to submit a request for an export certificate in a timely manner. The preferred method for applying is with Phytosanitary Certificate Issuance and Tracking (PCIT). For further information on PCIT, see Appendix C. Applicants can download PPQ Form 572 from the APHIS Forms Library. See Figure 3-2-1 on page 3-2-2 for an example of PPQ Form 572.

NOTICE

ACOs are responsible for holding in strict confidence any information provided by industry.

This section provides instructions for completing PPQ Form 572 using PCIT or the paper equivalent.

No Phytosanitary Export Certificate can be issued until an application is completed (7 CFR 353).

FORM APPROVED OMB NO. 0579-0052

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0052. The time required to complete this information collection is estimated to average .25 minutes/hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

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

APPLICATION FOR INSPECTION AND CERTIFICATION OF DOMESTIC PLANTS AND PLANT PRODUCTS FOR EXPORT

INSTRUCTIONS: **APPLICANT -** Forward original to the Officer in Charge where inspections, treatment, and certification will be given (Item 4). Complete items 1 thru 11. **OFFICER -** Complete items 12 thru 17.

1. NAME AND ADDRESS OF EXPORTER	3. NAME AND ADDRESS OF APPLICANT *(or exporters agent)* AREA CODE AND PHONE NO.
2. NAME AND ADDRESS OF FOREIGN CONSIGNEE	4. PLACE WHERE ARTICLES WILL BE MADE AVAILABLE FOR INSPECTION AND/OR TREATMENT AND CERTIFICATION*(Port and location)* 5. APPROX. DATE OF DEPARTURE / 6. PORT OF EXPORT

7. DESCRIPTION OF ARTICLES TO BE CERTIFIED

a. QUANTITY AND NAME OF PRODUCE AND BOTANICAL NAME	
b. NUMBER AND DESCRIPTION OF PACKAGES	
c. DISTINGUISHING MARKS	
d. CERTIFIED ORIGIN	

8. DECLARED MEANS OF CONVEYANCE	*I certify that the origin (place where grown) of the articles listed is as represented.*	
9. DECLARED POINT OF ENTRY	10. SIGNATURE *(applicant or exporters agents)*	11. DATE

EXPORT INSPECTION DATA - *(To be filled in by Plant Protection and Quarantine Officer)*		
12. LOCATION OF ARTICLES	13. % OF MATERIALS EXAMINED	14. % OF MATERIALS INFESTED
15. FINDINGS AND/OR TREATMENT GIVEN *(Use reverse if necessary)*		
16. SIGNATURE		17. DATE AND TIME INSPECTED

PPQ FORM 572
(APR 2005)

Figure 3-2-1 Example of PPQ Form 572, Application for Inspection and Certification of Plants and Plant Products for Exports

Creating an Application (PPQ Form 572) in PCIT

To create an application in PCIT, visit the PCIT User Guide for Creating an Application.

Completion of a Paper PPQ Form 572

Application Data (to be completed by applicants)

See Table 3-2-1 for instructions on completing blocks 1 through 11 of PPQ Form 572.

Table 3-2-1 Instructions for Applicants to Complete PPQ Form 572

If the block is:	Then:
1. NAME and ADDRESS of EXPORTER	Enter the complete name and mailing address of the applicant of record. The applicant's address must be in the United States or affiliated islands.
2. NAME and ADDRESS of FOREIGN CONSIGNEE	Enter the complete name and physical address of the ultimate consignee of record. The country listed in this block must be the same country as that listed in Block 9: Declared Point of Entry.
3. NAME and ADDRESS of APPLICANT (or EXPORTER'S AGENT)	Enter the complete name, mailing address, and phone number of the applicant. **Only** U.S. addresses will be accepted. If this is the same as Block 1 state "same as Block 1".
4. PLACE WHERE ARTICLES WILL BE MADE AVAILABLE for INSPECTION and/or TREATMENT and CERTIFICATION (Port and Location)	Enter the complete address where the shipment will be available for inspection and/or treatment.
5. APPROX. DATE of DEPARTURE	Enter the expected date of departure from the United States.
6. PORT of DEPARTURE	Enter the port or location the shipment will be exported from.
7. DESCRIPTION of ARTICLES to BE CERTIFIED.	**a. Quantity and Name of Produce and Botanical Name:** Enter the quantity, common name and scientific name for each commodity. It is the applicant's responsibility to enter the scientific name for all commodities. Indicate the intended end use of the commodity, e.g. animal feed, consumption, processing, plants for planting, etc.
	b. Number and Description of Packages: Enter the number and types of shipping containers.
	c. Distinguishing Marks: Enter the markings exactly as they appear on the containers, cartons, bags, bales, boxes, products, truck licenses, or railway cars. If there are no distinguishing marks, enter "NONE".
	d. Certified Origin: Enter where the product was grown or cultivated by State, County, district, or other geographical or political subdivision as necessary by the phytosanitary regulations of the importing country. Documentation supporting origin of the commodity may be required.

Table 3-2-1 Instructions for Applicants to Complete PPQ Form 572 (continued)

If the block is:	Then:
8. DECLARED MEANS of CONVEYANCE	Enter the name of the airline or name of the vessel. If the means of conveyance is unknown, enter, as appropriate, “airfreight”, “ocean vessel”, “railroad”, or “truck line”. For rail or truck shipments to Canada or Mexico, enter the name of the railroad or truck line, if known. For mail shipments, enter “air mail”, “surface mail”, “express mail”, or the carrier name.
9. DECLARED POINT of ENTRY	Enter the point (s) of entry. Enter the approved country name if the specific point of entry is unknown.
10. SIGNATURE (applicant or exporter’s agent)	By signing the application the applicant attests that “I certify that the origin (place where grown) of the articles listed is as represented.”
11. DATE	Enter the date the application is signed.

Export Inspection Data (to be completed by ACOs)

See Table 3-2-2 for instructions on completing blocks 12 through 17 of PPQ Form 572.

Table 3-2-2 Instructions for ACOs to Complete PPQ Form 572

If the block is:	Then:
12. LOCATION OF ARTICLES	LIST the place where you inspected the commodities
13. % OF MATERIALS EXAMINED	LIST the percentage (how much) of commodities that were inspected
14. % OF MATERIALS INFESTED	LIST the percentage of commodities that were infested or infected
15. FINDINGS AND/OR TREATMENT GIVEN (use reverse if necessary)	LIST all findings and/or treatments given as a result of your inspection, which may include the following: 1. Pest or disease if infested or infected 2. Details of the treatment if treated 3. Applicant actions to meet the phytosanitary import requirements (e.g., repackaging, reconditioning, or debarking) 4. Unique or unusual situation about the shipment such as additional declarations to be entered on the export certificate 5. Supporting documents provided by the applicant such as an import permit, inspection certificate, State phytosanitary certificate, or treatment information 6. Intended use of commodity if needed to determine the phytosanitary requirements of the importing country (e.g., wheat grain or wheat seeds)
16. SIGNATURE	SIGN your name (ACO)
17. DATE AND TIME INSPECTED	ENTER the date and time the commodities were inspected

Distribution

PCIT Generated PPQ Form 572

No further distribution, submission, or filing is required, since distribution is automated within PCIT.

Non PCIT Generated PPQ Form 572

If the applicant uses a PPQ Form 572, attach it with the inspection results to the "Issuing Office Copy" of the multi-part form and file according to retention guidelines.

Chapter

3

General Procedures

Determining Eligibility and Import Requirements for Certification

Contents

Introduction **3-3-1**
Determining Eligibility **3-3-2**
- Eligibility Based on Commodity **3-3-2**
- Eligibility Based on Origin and Destination **3-3-4**
- Eligibility Based on Protected Status **3-3-5**

Determining Import Requirements **3-3-6**
- Official Communication **3-3-7**
- Phytosanitary Export Database (PExD) **3-3-7**

Introduction

Authorized Certification Officials (ACOs) use a variety of factors to determine if a commodity is eligible for export certification. This section enables an ACO to determine if a commodity is eligible for an export certificate and provides guidance on how to determine the phytosanitary requirements of the importing country.

Determining Eligibility

The following tables will help the ACO determine eligibility based on commodity type, degree of processing, origin, destination, and protected status.

Eligibility Based on Commodity

Use Table 3-3-1 to decide if you can certify the commodity.

Table 3-3-1 Determine Eligibility for Certification Based on Commodity

If the commodities are:	And they are:	And they are:	Then based on what the articles are:
Plants, parts of plants, or derived from plants (including edible mushrooms)	Processed products	Listed in the Phytosanitary Export Database (PExD) Processed Products (PPQ Form 578)	1. CONSIDER **eligible** for PPQ Form 578 2. GO to Eligibility Based on Origin and Destination on page 3-3-4
		Listed in PExD under *Ineligible Commodities*[1]	1. CONSIDER **ineligible** for a certificate 2. EXIT this manual
		Listed in PExD as eligible for certification **and** all conditions can be met	1. CONSIDER **eligible** for a PPQ Form 577 or 579 2. GO to Eligibility Based on Origin and Destination on page 3-3-4
	Unprocessed products	→	
Mushroom spawn	→		1. CONSIDER **eligible** for PPQ Form 577 **only** 2. GO to Table 3-3-2 on page 3-3-3
Neither plants **nor** anything derived from plants	→		1. CONSIDER **ineligible** for a certificate 2. EXIT this manual
Mixture or combination of plant and non-plant materials	→		FOLLOW the contact protocol in Internal Communication on page A-1-1

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

Table 3-3-2 Determine Action to Take on Mushroom Spawn

If:	Then:
The mushroom spawn facility is participating in the pilot Mushroom Spawn Facility Accreditation Program[1]	1. INSPECT the shipment 2. COMPLETE PPQ Form 577 (refer to Completing PPQ Forms 577 and 579 on page 3-5-1) ❖ In Block 9, Name of Produce, enter "Mushroom spawn" ❖ In Block 10, enter scientific name
The mushroom spawn facility is **not** participating in the pilot Mushroom Spawn Facility Accreditation Program[2]	1. CONSIDER ineligible for an export certificate 2. EXIT this manual

1 ACOs **must** contact their Export Certification Specialist (ECS) or National Operations Manager (NOM) using the approved contact protocol, **prior** to certification to determine which mushroom spawn facilities are participating in the pilot program.

2 If the facility wants to participate in the pilot Mushroom Spawn Facility Accreditation Program, contact the headquarters Accreditation Manager.

Eligibility Based on Origin and Destination

Use Table 3-3-3 to decide if you can certify a commodity based on its origin and destination.

Table 3-3-3 Determine Eligibility for Certification Based on Origin and Destination

If the commodities are from:	And are being exported:	Then:
The U.S. or affiliated islands[1]	To a foreign country	1. CONSIDER **eligible** for PPQ Form 577 or PPQ Form 578 2. GO to Eligibility Based on Protected Status on page 3-3-5
	Interstate via Canada	
	To the U.S. or affiliated islands	1. CONSIDER **ineligible** for a certificate 2. REFER applicant to the State or affiliated island's plant regulatory agency for certification using a State export certificate 3. EXIT this manual
A foreign country[2,3]	To a foreign country	1. CONSIDER **eligible** for PPQ Form 577, PPQ Form 578, or PPQ Form 579 2. GO to Eligibility Based on Protected Status on page 3-3-5
	Interstate via Canada	
	To the U.S. or affiliated islands	1. CONSIDER **ineligible** for a certificate 2. REFER applicant to the State, country, or affiliated island's plant regulatory agency for certification using a State export certificate 3. EXIT this manual

1 Islands associated with the United States but **not** fully integrated as a State (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands).

2 **Only** foreign origin commodities that have entered U.S. commerce are eligible for reexport certification. Commodities transiting the U.S. are ineligible.

3 If the commodity is of foreign origin but did **not** require a phytosanitary certificate to make entry into the U.S., if eligible for phytosanitary certification, and all foreign import requirements have been met, a PPQ 577 should be issued with country of origin listed in block 13, Place of Origin.

Eligibility Based on Protected Status

Commodities may be protected by either the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) or the Endangered Species Act (ESA). Visit the CITES web site or the ESA web site to determine if a commodity is protected.

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

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

If the commodities being exported are:	And you are:	Then:
Neither protected by CITES **nor** ESA	→	GO to Determining Import Requirements on page 3-3-6
Protected by CITES or ESA	Located at a CITES or ESA port	GO to Determining Import Requirements on page 3-3-6
	Not at a CITES or ESA port	1. CONTACT the nearest CITES port or PPQ regional botanist (through proper channels) or Export Certification Specialist (ECS) for guidance on moving the shipment to a designated port (at the owner's expense). Some CITES ports have established procedures for ACOs at interstate locations and non CITES ports to assist in inspecting and processing shipments of protected plants.[1] 2. EXIT this manual.

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

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

Refer to the designated CITES ports directory to determine the nearest location for CITES certification.

Determining Import Requirements

ACOs determine import requirements for eligible commodities from either PExD or official communication.

Import requirements vary by country, commodity, and plant part. Reviewing PExD or official communication allows the ACO to determine the import requirements and activities necessary for certification.

When an applicant presents import requirements differing from those in PExD, the information **must** be in the form of official communication, and will supersede PExD.

For reexport commodities, the applicant must provide the third country's import requirements from the country of destination by means of official communication. On occasion, the National Plant Protection Organization (NPPO) of an importing country may **not** issue an import permit (IP) to facilitate reexports. ACOs should allow the exporter to provide a copy of the import requirements and highlight the area of the requirements that pertains to the commodity being certified.

Table Table 3-3-5 lists the common types of import requirements. See Verifying Import Requirements on page 3-4-1 for further information on meeting those requirements.

Table 3-3-5 Common Import Requirements

If the import requirement is:	Then countries may require that commodities be:
Pest freedom	Free of specific pests. The method for determining pest freedom may be specified by the foreign country. If the country does **not** specify the procedure, the ACO **must** determine which method to use.
Treatment	Treated prior to importation, or treatments may be necessary based on the results of an inspection.
Miscellaneous	Imported into specified ports, during specified times, packaged in specific ways, or compliant with ISPM 15.

NOTICE

ACOs **must** refuse to issue an export certificate if either:
- The commodity **does not** meet the import requirements
- The import requirements violate PPQ policy (disease freedom statements for grain, quality related statements, fiduciary information, etc.)

Official Communication

Official communication[1] contains the phytosanitary requirements from an NPPO that **must** be met for importation of a commodity. Official communication in the form of an IP, Letter of Authorization, etc. replaces or supplements information contained in PExD. In most cases, ACOs will be dealing with IPs presented by an applicant. Since there are no international standards for official communication, ACOs need to carefully review any document to ensure that it is from the NPPO of the importing country.

The name and contact information for NPPOs can be found in PExD under Foreign Points of Contact. The following information pertains specifically to IPs but can be applied to any type of official communication.

NOTICE

Once official communication has been presented, the ACO **must** meet the requirements that were presented. If the requirements on official communication are **not** allowed by PPQ policy, refuse to certify and recommend that new official communication be obtained.

Phytosanitary Export Database (PExD)

PExD contains the published phytosanitary requirements for commodities from the United States. Each country has its own summary within PExD. ACOs should review all sections of PExD for any commodity to be certified.

Commodity Information within PExD

PExD presents information for commodities in the following ways:

1. Phytosanitary Certificate (PC) is required.
   - ❖ Follow all requirements listed in the export summary when issuing a PC.
   - ❖ If an IP is presented, all conditions of the IP **must** be met. Enter the AD: “Import permit number _____ was presented.”
2. Phytosanitary Certificate and Import Permit (IP) are required.
   - ❖ If an IP is presented, all conditions of the IP **must** be met. Enter the AD: “Import permit number _____ was presented.”
   - ❖ A PC may be issued without an IP. If no IP is presented, enter the additional declaration: “No import permit presented.” Then follow all requirements listed in the export summary when issuing a PC.

1 Applicants **must** present the original official communication and the English translation. Applicants are responsible for the accuracy of translations. If questionable, forward the official communication to your ECS using the contact protocol (see Internal Communication on page A-1-1).

3. Phytosanitary Certificate and Import Permit (IP) are required. **Do not** certify unless an IP is presented.
   - ❖ If an IP is presented, all conditions of the IP **must** be met. Enter the AD: “Import permit number _____ was presented.”
   - ❖ If no IP is presented, refuse to certify.
4. Commodity is Unrestricted.
   - ❖ No PC is required, but an ACO may issue a certificate if the commodity is eligible.
5. Commodity is Unrestricted. Import Permit is required.
   - ❖ .No PC is required, but an ACO may issue a certificate if the IP is presented.
6. Commodity is Prohibited. **Do not** certify unless an IP is presented.
   - ❖ If an IP is presented, all conditions of the IP **must** be met. Enter the AD: “Import permit number _____ was presented.”
   - ❖ If no IP is presented, refuse to certify.

Chapter

3

General Procedures

Verifying Import Requirements

Contents

Introduction **3-4-1**
How to Verify Import Requirements **3-4-2**
- Examine Acceptable Documentation **3-4-2**
- Determine the Sample Size **3-4-4**
- Inspect the Commodity **3-4-6**
- Verify Treatments **3-4-8**
- Verify Miscellaneous Requirements **3-4-10**
- Record Inspection Results **3-4-11**
- Decide Which Export Certificate to Issue **3-4-13**

Introduction

This section assists ACOs in verifying that foreign import requirements have been met and aids in obtaining all pertinent information necessary for completing export certificates. For procedures to inspect specific commodities covered under a work plan or other protocol, refer to the export summary in the Phytosanitary Export Database (PExD).

How to Verify Import Requirements

Step 1: Examine Acceptable Documentation

In some cases, inspections conducted by other government agencies or accredited entities are acceptable for federal phytosanitary certification. Use Table 3-4-1 to determine if an inspection is necessary.

Table 3-4-1 Documentation Presented

If the documentation is:	And:	And you decide:	Then:
Acceptable[1]	All phytosanitary requirements have been met	**No** inspection is necessary	GO to Step 6: Record Inspection Results on page 3-4-11
		Inspection is necessary	GO to Step 2: Determine the Sample Size on page 3-4-4
	Not all phytosanitary requirements have been met	→	
Unacceptable	→		

1 For acceptable documents, refer to Table 3-4-2 on page 3-4-3.

If the applicant presents one of the certificates or documents listed in Table 3-4-2, and all the import requirements have been met, an additional inspection may **not** be necessary.

Table 3-4-2 Acceptable Inspection Certificates and Documents

Issuing Agency/ Organization	Form Number	Form Title and Notes
Agricultural Marketing Service (AMS)	FV 146	Certificate of Quality and Condition (Processed Foods)
	FV 147	Certificate of Quality and Condition (Processed Foods) Quality Assurance
	FV 149	Certificate of Quality and Condition (Processed Foods) Continuous Inspection
	FV 294	Report on Sanitary Inspection
Federal Grain Inspection Service (FGIS)	FGIS 921-2[1, 2] (01-07)	Inspection Report—Insects in Grain
Florida	FV 185-C	Florida Export Citrus Fruit Inspection Report
Various States	Various	Any State Phytosanitary Certificate
Various States/ Counties	State/County Inspection Report	Any State/County Inspection Report
Foreign NPPOs[3]	Various	Phytosanitary certificates and phytosanitary certificates for reexport
Accredited entities	Various	Various forms[4]

1 When FGIS Form 921-2 is used as the basis for issuing an export certificate, the applicant or GIPSA inspector **must** contact a local ACO to identify the phytosanitary import requirements in preparation for the GIPSA inspection.

2 Contact the field office responsible for the geographic area in which the service will be provided. For further information on FGIS Form 921-2, contact Branch Chief, Policies and Procedures Branch, Field Management Division, 1400 Independence Avenue, SW, Room 2409 N, Washington, DC 20250-3630, Telephone: (202) 720-0224, Fax: (202) 720-1015, Email: robert.s.lijewski@usda.gov

3 Forms issued by foreign NPPOs are **only** applicable to PPQ Form 579. Additional inspection may be necessary if the commodity has **not** been safeguarded. If the exporter has the original or a photocopy of the foreign phytosanitary certificate, enter the number of the foreign certificate, check whether the certificate is the original or a certified true copy, stamp the foreign phytosanitary certificate with an ink stamp that references your affiliation ("USDA," "County of _____," or "State of _____", and sign and date the foreign phytosanitary certificate next to your stamp. See PPQ Form 579, Phytosanitary Certificate for Reexport on page 3-5-10.

4 ACOs must ensure that the company's accreditation is recognized by PPQ for that activity.

NOTICE

In some instances, documentation from other agencies can serve as acceptable inspection certificates or documents. Verify any document **not** listed in Table 3-4-2 above through the contact protocol specified in Appendix A.

Step 2: Determine the Sample Size

Sampling **must not** begin until the applicant has presented the entire consignment, clearly marked and labeled. Samples that are used for certification **must** be large enough and **must** accurately represent the entire shipment. For policy about who may draw official samples, refer to Official Samples, Inspection, and Testing on page 2-1-9.

Sampling levels can depend on the size of the shipment, the determined risk associated with the commodity, or if the commodity is seed.

Two Percent Level

The minimum inspection level for commodities that are **not** high risk is 2% of the shipment's inspectional unit (i.e., boxes, units, bags, tray packs, etc.).

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

Commodities shipped in bulk (grain or potatoes) will require sampling techniques appropriate to the levels of pest risk and industry standards, which may be less than 2%. Consult the appropriate State or Federal officials for these inspection levels.

Hypergeometric Table

You may use the hypergeometric table for inspecting large consignments where it is impracticable to inspect two percent. Determine the number of units by using the hypergeometric table illustrated in Table 3-4-3 on page 3-4-5. Inspect each of these units.

Table 3-4-3 Hypergeometric Table for Random Sampling

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

Nursery Stock

The inspection level for nursery stock should be 100% or as close to 100% as practical.

Seed

Special procedures for sampling seed have been developed to ensure confidence in detecting pathogens. Refer to Commodity • Seed on page 4-4-1 for guidance.

NOTICE

Items listed in PExD as eligible **only** for PPQ Form 578 **do not** require an inspection. In this case GO directly to Step 7: Decide Which Export Certificate to Issue on page 3-4-13.

Once you have determined the appropriate sample size and drawn the samples, go to Step 3: Inspect the Commodity on page 3-4-6.

Step 3: Inspect the Commodity

ACOs must visually inspect all shipments for pests (weed seeds, insects, signs and symptoms of disease, soil, etc.). In addition to a visual inspection, the importing country may specify that pest freedom be determined by a laboratory test, growing season inspection, area freedom, and/or production area freedom. Use Table 3-4-4 to take the appropriate action.

Table 3-4-4 : Determine Pest Freedom

If the country requires:	And the supporting documents show that:	Then:
Area or production area freedom[1]	The commodity does **not** originate from an area with a specific pest	CONTINUE to *Table 3-4-5*
	The commodity originates from an area with a specific pest	REFUSE to certify EXIT this manual
Growing season inspection[2]	An inspection was **not** satisfactorily conducted	REFUSE to certify EXIT this manual
	An inspection was satisfactorily conducted	CONTINUE to *Table 3-4-5*
Laboratory test	The commodity was laboratory tested[3]	
	The commodity was **not** laboratory tested	REFUSE to certify EXIT this manual

1 A country may or may not specify area freedom or production area freedom and/or infestation (see Establishing a PFPP on page 2-1-12).

2 Accredited entities, ACOs, universities, or State plant health agency employees may conduct growing season inspections.

3 Testing must be done at USDA or State laboratory, or a USDA accredited facility. For information on USDA accredited facilities, see the list of Entities Accredited under the Seed Health Program.

After you review supporting documents (field inspection reports, laboratory testing documents, etc.) and complete the visual inspection, continue to Table 3-4-5 on page 3-4-7.

Table 3-4-5 Action to Take When a Commodity Must be Free from Pests

If you determine that the commodity:	And the pest or disease:	And the commodity is:	And a treatment is:	Then:
Is free of pests	→			GO to Step 4: Verify Treatments on page 3-4-8
Has pests[1, 2]	Does **not** have phytosanitary significance to the importing country	Practically free of pests[3]	→	GO to Step 4: Verify Treatments on page 3-4-8
		Not practically free of pests	Unavailable or the applicant refuses to treat[4]	1. REFUSE to certify 2. EXIT this manual
			Available[4]	GO to Step 4: Verify Treatments on page 3-4-8
	Has phytosanitary significance to the importing country	→	Unavailable[4]	1. REFUSE to certify 2. EXIT this manual
			Available[4]	GO to Step 4: Verify Treatments on page 3-4-8

1 Any intercepted pest must be identified by the nearest PPQ or State Identifier unless you have identification release authority.

2 If you detect multiple pests, evaluate each pest using this table. Follow the most restrictive action in the “Then” column.

3 For export certification purposes, the working definition of practically free is to **not** exceed a 2% infestation level unless otherwise stated by the importing country. When FGIS inspection certificates are used as supporting documentation for certifying grain, practically free refers to FGIS’ acceptance standards for insects found in grain.

4 If the applicant elects to recondition the commodity, GO to Step 2: Determine the Sample Size on page 3-4-4.

Step 4: Verify Treatments

Any commodity for export requiring treatment, either because of the importing country's requirement, detection of a pest, or at the request of the exporter, **must** be treated according to the label instructions.

NOTICE

Treatments **do not** preclude or substitute for a phytosanitary inspection. If there was **no** opportunity to inspect prior to treatment, then an inspection would still need to be conducted after the treatment. The treatment may **not** have been efficacious against all regulated pests.

WARNING

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

NOTICE

Treatments conducted by the Federal Grain Inspection Service (FGIS) are acceptable to put on an export certificate as long as the treatment is indicated on FGIS Form 921-2. Refer to Step 1: Examine Acceptable Documentation on page 3-4-2.

NOTICE

Caution applicants that all vessels conducting in-transit treatments are required to be equipped with a proper recirculation system for phosphine fumigation in ship holds. This system allows the fumigant to circulate evenly. **Do not** issue an export certificate until this system is in place. Contact your National Operations Manager (NOM) for assistance.

Treatments recorded on certificates **must** be included in the Treatment section of PPQ Form 577 or 579 or on an attachment sheet in the case of multiple treatments. Refer to Table 3-4-6.

Table 3-4-6 Action to Take When Commodity May Require Treatment

If the commodity:	And:	And the applicant:	Then:
Requires treatment	→	Is willing to arrange for treatment	1. VERIFY treatment 2. RECORD details of **all** treatments on PPQ Form 577 or 579 3. GO to Step 6: Record Inspection Results on page 3-4-11
		Is **not** willing to arrange for treatment	1. REFUSE to certify 2. EXIT this manual
Does not require treatment	→	→	GO to Step 6: Record Inspection Results on page 3-4-11
Does not require treatment, but was treated	The treatment is acceptable and verified by a Federal, State, or County plant quarantine official	Wants the treatment on the certificate	1. RECORD details of the treatment on PPQ Form 577 or 579 2. GO to Step 6: Record Inspection Results on page 3-4-11
		Does not want the treatment on the certificate	GO to Step 6: Record Inspection Results on page 3-4-11
	The treatment is **not** acceptable or was **not** verified by a Federal, State, or County plant quarantine official	Wants the treatment on the certificate	1. ALLOW the applicant to apply an acceptable treatment 2. VERIFY treatment 3. RECORD details of the treatment on PPQ Form 577 or 579 4. GO to Step 6: Record Inspection Results on page 3-4-11
		Does not want the treatment on the certificate	GO to Step 6: Record Inspection Results on page 3-4-11

Step 5: Verify Miscellaneous Requirements

There may be additional requirements that have to be met, including, but not limited to the following:

Time Restrictions

ACOs **must** advise the exporters about a country's restrictions on when a commodity may be imported.

Table 3-4-7 Action to Take When Commodities May Enter Only During Specific Periods

If the export summary or import permit (IP):	And you determine that the specified time period:	Then:
Lists a specific time period when the commodities are admissible	**Cannot** be met	REFUSE to issue an export certificate EXIT this manual
	Can be met	GO to Time Limits on page 3-4-10
Does not list specific time periods	→	

Time Limits

For general information on time limits pertaining to inspections and certificate issuance, see Time Limits on page 2-1-18.

NOTICE

The National Plant Protection Organization (NPPO) of the importing country may impose specific requirements on when an export certificate may be issued regarding inspection or exportation. Consignments must meet the importing country's time limits. If an importing country's time limit is more restrictive than PPQ's policy, the country's time limit requirement will take precedence.

Packaging Requirements

Packaging or other material that may be associated with the shipment such as wood packaging material (ISPM 15), bagging, containers, etc., **must** meet the importing country's requirements.

During inspection the ACO **must** ensure that any packaging requirements (new containers, pest proof boxes, etc.) by the importing country have been met. Advise the applicant of any packaging requirements and discrepancies. If necessary, the applicant should recondition the shipment to meet packaging requirements, but **do not** refuse to certify the shipment if packaging requirements have **not** been met at the time of inspection.

Specified Ports

Importing countries may require that shipments enter at specific ports. Use Table 3-4-8 to determine the correct action.

Table 3-4-8 Action to Take When a Commodity May Enter Only Specified Ports

If the exporter has designated:	Then:
A port **other than** specified in the export summary	1. WARN the exporter that the shipment may be refused or delayed if entering a port **other than** specified in the export summary **NOTICE** **Do not** refuse to issue an export certificate if this is the **only** requirement that is **not** met. 2. GO to Step 6: Record Inspection Results on page 3-4-11
One of the specified ports	GO to Step 6: Record Inspection Results on page 3-4-11

Step 6: Record Inspection Results

PCIT Users

PCIT users must enter inspection results on the Inspection Details screen.

Multi-part Paper Users

Multi-part paper users **must** record results of their inspection and additional information about the shipment that will support their decision to certify or not to certify the commodity. Inspection results may be recorded at the bottom of PPQ Form 572; on the reverse side of PPQ Form 577, Issuing Office Copy; or on the reverse side of PPQ Form 579, Issuing Office Copy. See Table 3-4-9 on page 3-4-12.

Table 3-4-9 Recording Inspection Results on Multi-part Paper Forms

If you are recording inspection results on:	Then:
PPQ Form 572, Application for Certification	1. RECORD the inspection results in blocks 12 - 17, under Export Inspection Data as follows: ❖ LIST in *Block 12*, place (port and location) where the commodity was inspected ❖ LIST in *Block 13,* percentage (how much) of material was inspected ❖ LIST in *Block 14,* percentage of material infested or infected ❖ LIST in *Block 15,* pests intercepted and treatments given, actions taken by the applicant and ACO (as a result of the inspection) to make the commodity eligible for certification (such as repackaging, reconditioning, debarking, intended use, notation of AD, pest or disease freedom, presence or absence of IP, foreign export certificate, or other import requirements and unusual situations concerning the shipment) ❖ SIGN your name in *Block 16* ❖ LIST in *Block 17*, date and time of inspection 2. ATTACH PPQ Form 572 to the Issuing Office Copy of PPQ Form 577 or PPQ Form 579, if applicable 3. GO to ***Step 7: Decide Which Export Certificate to Issue*** on page 3-4-13**,** if applicable
PPQ Form 577, Phytosanitary Certificate	RECORD the inspection results on the reverse side of the Issuing Office Copy as follows: ❖ LIST in *Block 1*, place (port and location) where the commodity was inspected ❖ LIST in B*lock 2,* percentage (how much) of material was inspected ❖ LIST in *Block 3*, percentage of material infested or infected ❖ LIST in *Block 4*, pests intercepted and treatments given, actions taken by the applicant and ACO (as a result of the inspection) to make the commodity eligible for certification (such as repackaging, reconditioning, debarking, intended use, notation of AD, pest or disease freedom, presence or absence of IP, foreign export certificate, or other import requirements and unusual situations concerning the shipment) ❖ SIGN your name in *Block 5* ❖ LIST in *Block 6*, date and time of inspection
PPQ Form 579, Phytosanitary Certificate for Reexport	

Step 7: Decide Which Export Certificate to Issue

Use Table 3-4-10 to determine the action to take.

Table 3-4-10 Deciding When to Issue PPQ Form 577 or 579

If the origin is:	And a foreign PC is:	And the requirements are:	And the requirements:	Then:
Domestic	→	→	Can be met	ISSUE PPQ Form 577; refer to *PPQ Form 577, Phytosanitary Certificate* on page 3-5-6
			Cannot be met	1. REFUSE to certify 2. EXIT this manual
Foreign	Present	Known	Can be met by the foreign PC and/or activities conducted in the U.S.	ISSUE PPQ Form 579; refer to *PPQ Form 579, Phytosanitary Certificate for Reexport* on page 3-5-10
			Cannot be met	1. REFUSE to certify 2. EXIT this manual
		Unknown	→	
	Absent	Known	Can be met by activities conducted in the U.S.	ISSUE PPQ Form 577; refer to *PPQ Form 577, Phytosanitary Certificate* on page 3-5-6
			Cannot be met	1. REFUSE to certify 2. EXIT this manual
		Unknown	→	
Domestic and foreign (blended)	Present	Known	Can be met by the foreign PC and/or activities conducted in the U.S.	ISSUE PPQ Form 577; refer to *PPQ Form 577, Phytosanitary Certificate* on page 3-5-6
			Cannot be met	1. REFUSE to certify 2. EXIT this manual
		Unknown	→	
	Absent	Known	Can be met by activities conducted in the U.S.	ISSUE PPQ Form 577; refer to *PPQ Form 577, Phytosanitary Certificate* on page 3-5-6
			Cannot be met	1. REFUSE to certify 2. EXIT this manual
		Unknown	→	

Chapter

3

General Procedures

Completing PPQ Forms 577 and 579

Contents

Introduction **3-5-2**
Guidelines for Completing PPQ Forms 577 and 579 (PCIT or Multi-part paper) **3-5-3**
- Attachment Sheets **3-5-4**
- Lining Out Unused Space **3-5-5**

PPQ Form 577, Phytosanitary Certificate **3-5-6**
- Purpose **3-5-6**
- Example **3-5-7**
- Processing an Application in PCIT **3-5-8**
- Completing Multi-part Paper PPQ Form 577 **3-5-8**

PPQ Form 579, Phytosanitary Certificate for Reexport **3-5-10**
- Purpose **3-5-10**
- Example **3-5-11**
- Processing an Application in PCIT **3-5-12**
- Completing Multi-part Paper PPQ Form 579 **3-5-12**

Record Keeping **3-5-13**
- PCIT Users **3-5-13**
- Non-PCIT Users **3-5-14**

Distribution **3-5-14**
- PCIT Generated PPQ Forms 577 and 579 **3-5-14**
- PPQ Form 577 Issued on Multi-part Paper Forms **3-5-14**
- PPQ Form 579 Issued on Multi-part Paper Forms **3-5-15**

Replacing PPQ Forms 577 and 579 **3-5-16**

Introduction

This section contains information and instructions for completing the following certificates

- PPQ Form 577, Phytosanitary Certificate on page 3-5-6
- PPQ Form 579, Phytosanitary Certificate for Reexport on page 3-5-10

NOTICE

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

Authorized Certification Officials (ACOs) may issue a PPQ Form 577 for those commodities listed in an export summary as unrestricted products if they are eligible for certification. PPQ Form 579 may be issued for commodities that are unrestricted products as indicated by official communication from a foreign country if they are eligible for certification.

Guidelines for Completing PPQ Forms 577 and 579 (PCIT or Multi-part paper)

- Attest **only** to the phytosanitary condition of plants or plant products.
- Enter the same country name in the TO: THE PLANT PROTECTION ORGANIZATION(S) OF: block as the country identified in Block 8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE.[1]
- Prepare all export certificates in English.
- List **only** U.S. addresses in the NAME AND ADDRESS OF THE EXPORTER block. Affiliated island addresses are acceptable.
- Type or handwrite export certificates (if handwritten, do so **only** in all upper case or capital letters)
- Spell out dates in the month/day/year format (example: July 17, 2015).[1]
- Enter the actual dates of inspection. If there is **not** enough space to list all dates in the DATE INSPECTED block, list the dates in the ADDITIONAL DECLARATION (AD) block.[1]
- Enter abbreviations of scientific units of measure, based on United States customary units, or the metric system, **only** in the Treatment block.[1]
- **Do not** correct errors or add extraneous marks (i.e. tick marks, check marks, etc.) on an export certificate. **Never** use correction fluid or correction tape. If an ACO makes an error, the ACO **must** complete a new certificate.
- **Never** abbreviate the following: Calendar months, city names, State names, country names, or any other entry unless it is part of a business name (example: A.B.C. Distributing Inc. LLC).
- **Never** enter dates of a field or growing season inspection or laboratory tests.
- **Never** enter a grade, intended use, a commercial term, or a trade name.
- **Never** enter phone or facsimile numbers.
- **Never** enter statements such as “In-care-of”, (c/o), “Attention to”, “Agent for”, or “Notify”.
- **Never** enter titles to signatures or names.
- **Do not** record ADs from foreign phytosanitary certificates on PPQ Form 579.

1 PCIT performs this function automatically.

- Attest to additional official phytosanitary information **only** after all foreign import requirements of the first country of import have been addressed.
- **Never** enter a variety unless it is required in the Phytosanitary Export Database (PExD) or is listed in an IP and all the conditions can be met.
- Check the export summary to see if the declared point of entry is authorized; if the point of entry is **not** authorized, warn the exporter that the shipment may be delayed or refused entry.

Attachment Sheets

Use PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport when there is insufficient space on PPQ Form 577 or 579 (refer to PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport on page F-1-17).

NOTICE

PPQ Form 576 can **only** be used with a multi-part paper Phytosanitary Certificate (PPQ Form 577) or Phytosanitary Certificate for Reexport (PPQ Form 579). **Do not** list “See attachment” or a similar statement in a block on an export certificate before filling in as much information in the block as possible. Enter “See attachment” at the end of the information in the block before completing an attachment sheet.

PCIT automatically generates attachment sheets as necessary.

Lining Out Unused Space

PCIT will automatically line out unused space. Line out unused space in all blocks on multi-part paper forms, with the exception of the following blocks:

PPQ Form 577

- To: The Plant Protection Organization of:
- Place of issue
- Certificate Number
- Date inspected
- Blocks 7, 8, 14, 15, 16, 17, and 18

PPQ Form 579

- To: The Plant Protection Organization of:
- Place of issue
- Certificate Number
- Certification
- Blocks 7, 8, 14, 15, 16, 17, and 18

See Figure 3-5-1 for examples of lining out unused space.

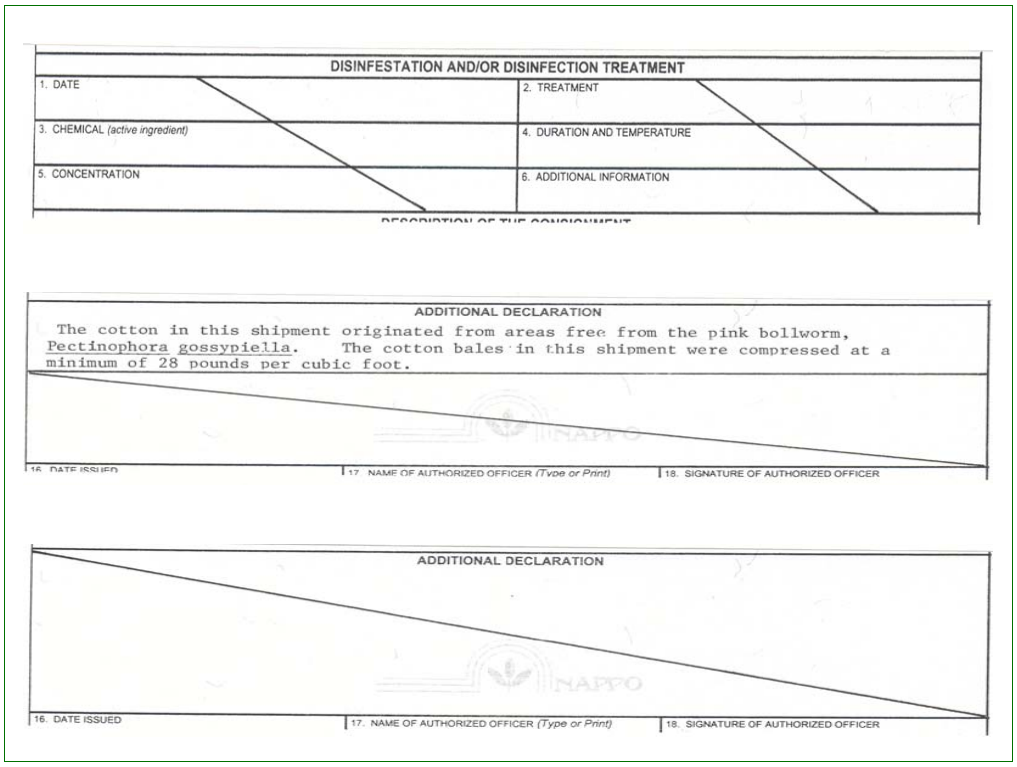


Figure 3-5-1 Examples of Lining Out Unused Space

PPQ Form 577, Phytosanitary Certificate

PPQ Form 577, Phytosanitary Certificate is an accountable certificate used to certify domestic plants and unprocessed plant products for export. See Figure 3-5-2 on page 3-5-7 for an example. This certificate follows the format of the international model established by the International Plant Protection Convention (IPPC), and is used to document the phytosanitary condition of exported commodities.

Purpose

The purpose of PPQ Form 577 is to certify to the National Plant Protection Organization (NPPO) of the importing country that the domestic plants or plant products meet that country's phytosanitary requirements. ACOs certify that based on inspection, the domestic commodity conforms with the current phytosanitary requirements of the importing country.

Example

No phytosanitary certificate can be issued until an application is completed (7 CFR 353)

FORM APPROVED
OMB NO. 0579-0052

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

PHYTOSANITARY CERTIFICATE

TO: THE PLANT PROTECTION ORGANIZATION(S) OF

SAMPLE

FOR OFFICIAL USE ONLY

PLACE OF ISSUE

SAMPLE

NO.

FPC XXXXXXX

DATE INSPECTED

CERTIFICATION

This is to certify that the plants, plant product or other regulated articles described herein have been inspected and/or tested according to appropriate official procedures and are considered to be free from the quarantine pests, specified by the importing contracting party and to conform with the current phytosanitary requirements of the importing contracting party including those for regulated non-quarantine pests.

DISINFESTATION AND/OR DISINFECTION TREATMENT

1. DATE	2. TREATMENT
3. CHEMICAL (active ingredient)	4. DURATION AND TEMPERATURE
5. CONCENTRATION	6. ADDITIONAL INFORMATION

DESCRIPTION OF THE CONSIGNMENT

7. NAME AND ADDRESS OF EXPORTER SAMPLE	8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE SAMPLE
9. NAME OF PRODUCE AND QUANTITY DECLARED SAMPLE	10. BOTANICAL NAME OF PLANTS SAMPLE
11. NUMBER AND DESCRIPTION OF PACKAGES SAMPLE	12. DISTINGUISHING MARKS SAMPLE
13. PLACE OF ORIGIN SAMPLE	14. DECLARED MEANS OF CONVEYANCE SAMPLE 15. DECLARED POINT OF ENTRY

WARNING: Any alteration, forgery, or unauthorized use of this phytosanitary certificate is subject to civil penalties of up to $250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than $10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).

ADDITIONAL DECLARATION

SAMPLE

NAPPO

SAMPLE

Page 1 of 1

16. DATE ISSUED	17. NAME OF AUTHORIZED OFFICER *(Type or Print)*	18. SIGNATURE OF AUTHORIZED OFFICER

No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

PPQ Form 577 FEB 2001 Previous editions are obsolete after 6/30/01

Figure 3-5-2 Example of PPQ Form 577, Phytosanitary Certificate (blank)

Processing an Application in PCIT

Refer to the Quick Reference Guide to process an application in PCIT.

Completing Multi-part Paper PPQ Form 577

Table 3-5-1 Instructions to Complete PPQ Form 577

Block	Instructions
TO: THE PLANT PROTECTION ORGANIZATION(S) OF	Enter the approved country name used in the PExD summary for entry on 4-part paper certificates. The correct approved country name is populated automatically by PCIT when processing a phytosanitary certificate. The approved name of the country found in the PExD summary drop down list is based on ISO Standard 3166-2. Add any transiting countries **only** when required by the export summary in PExD or official communication by placing each country within parenthesis, for example, (Bolivia).
PLACE OF ISSUE	Enter the complete name of the city and state of the issuing office. Enter **only** the issuing office name for each PPQ Form 577.
NO.: FPC	**Do not** write in this space; all PPQ 577 forms are pre-numbered.
DATE INSPECTED	Enter the date(s) the commodity was inspected. **NOTICE** **Never** enter dates of a field or growing season inspection or laboratory tests. **NOTICE** • When calculating how many days have passed since the date of inspection, count the date of inspection as day one. • When calculating how many days have passed since the date of inspection when a consignment has multiple dates of inspection, the 30 day time limit begins on the first (earliest) date of inspection.
CERTIFICATION: DO NOT WRITE in this space.	
DISINFESTATION AND/OR DISINFECTION TREATMENT Complete this section (Blocks 1-6) **only** if an acceptable treatment was conducted.	
1. DATE	Enter the date(s) the commodity was treated.
2. TREATMENT	Enter description of the treatment method (e.g., fumigation, cold treatment, dip, spray).
3. CHEMICAL (*active ingredient*)	Enter the common name of the active ingredient. Trade names are **not** acceptable.
4. DURATION AND TEMPERATURE	Enter the duration of the treatment and temperature (if applicable).
5. CONCENTRATION	Enter the chemical concentration.
6. ADDITIONAL INFORMATION	Enter information that further identifies the treatment (e.g., slurry, dusted, sprayed).

Table 3-5-1 Instructions to Complete PPQ Form 577 (continued)

Block	Instructions
DESCRIPTION OF THE CONSIGNMENT	
7. NAME AND ADDRESS OF THE EXPORTER	Enter the complete name and U.S. address of the exporter.
8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE	Enter **only** one complete name and address of the person or company taking delivery of the commodity. This block **must** include a name, city, and approved country name.
9. NAME OF PRODUCE AND QUANTITY DECLARED	Enter the common name and quantity of the commodity. For seed for consumption, enter the specific grain; for seeds for planting, enter seeds.
10. BOTANICAL NAME OF PLANTS	Enter the scientific name including genus and specific epithet (species classification). Botanical names are mandatory for all commodities.
11. NUMBER AND DESCRIPTION OF PACKAGES	Enter the number and type of shipping containers (e.g., 50 wooden crates, 150 cardboard boxes, 500 burlap bags, 10 containers, and "bulk" for bulk shipments).
12. DISTINGUISHING MARKS	Enter the markings as they appear on the containers, cartons, bags, etc. If there are **no** distinguishing marks, enter "NONE".
13. PLACE OF ORIGIN	Enter where the commodity was grown by state, county, or as otherwise required in the country summary.
14. DECLARED MEANS OF CONVEYANCE	Enter the specific name of the conveyance, if known. If unknown, enter airfreight, ocean vessel, railroad, truck line, air mail, surface mail, or express mail, etc.
15.DECLARED POINT OF ENTRY	This should be the first point of arrival in the country of destination, or if **not** known, the country name. If the consignment transits through another country, you may need to record this only if the country of transit has specific requirements for transiting consignments in PExD or if you have official communication from the NPPO. Note in brackets [ ] the entry point of the country of transit, or if **not** known, the country name. The point of entry is declared by the exporter at the time of issuance of the phytosanitary certificate. When the summary in PExD specifies that a point of entry **must** be listed in its phytosanitary import requirements, then one of the specific points of entry **must** be declared and the consignment should enter through that point.
WARNING: This warning alerts all parties that any alteration, forgery, or unauthorized use of PPQ Form 577 is subject to civil penalties or punishable by a fine or imprisonment.	
ADDITIONAL DECLARATION (AD)	All ADs and additional official phytosanitary information **must** follow PPQ policy as listed in the Policy section for Additional Declarations (ADs) and Additional Official Phytosanitary Information on page 2-1-3 in this manual.
16. DATE ISSUED	Enter the date certificate was signed. Do **not** pre or post date.
17. NAME OF AUTHORIZED OFFICER *(Type or Print)*	Enter the name of the ACO that will sign the form.
18. SIGNATURE OF AUTHORIZED OFFICER	Sign the form. The signature **must** match the name entered in Block 17.

PPQ Form 579, Phytosanitary Certificate for Reexport

PPQ Form 579, Phytosanitary Certificate for Reexport, is an accountable certificate used to certify unprocessed foreign plants and plant products as well as blended commodities of U.S. and foreign origin for reexport. See Figure 3-5-3 on page 3-5-14 for an example of a blank PPQ Form 579.

Purpose

The purpose of PPQ Form 579 is to certify to the NPPO of the importing country that the foreign origin plants or plant products meet its phytosanitary requirements. ACOs certify that, based on an original foreign export certificate and/or additional inspections or tests that the foreign commodity:

- Has been safeguarded against the risk of infestation or infection while in the U.S.
- Conforms to the current phytosanitary requirements of the importing country

Example

No phytosanitary certificate can be issued until an application is completed (7 CFR 353)

FORM APPROVED
OMB NO. 0579-0052

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

PHYTOSANITARY CERTIFICATE FOR REEXPORT

TO: THE PLANT PROTECTION ORGANIZATION(S) OF

SAMPLE

FOR OFFICIAL USE ONLY

PLACE OF ISSUE

SAMPLE

NO.

FPC XXXXXXX -R

USDA

CERTIFICATION

This is to certify that the plants or plant products described below were imported into the United States from (Country of origin) ---------- covered by Phytosanitary Certificate ---------- ☐ original ☐ certified true copy of which is attached to this certificate. That they are ☐ packed ☐ repacked ☐ in original ☐ in new containers, that based on the ☐ original Phytosanitary Certificate ☐ and additional inspection, they are considered to conform with the current phytosanitary regulations of the importing country, and that during storage in the United States, the consignment has not been subjected to the risk of infestation or infection.

DISINFESTATION AND/OR DISINFECTION TREATMENT

1. DATE SAMPLE	2. TREATMENT
3. CHEMICAL (active ingredient)	4. DURATION AND TEMPERATURE
5. CONCENTRATION	6. ADDITIONAL INFORMATION

DESCRIPTION OF THE CONSIGNMENT

7. NAME AND ADDRESS OF EXPORTER SAMPLE	8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE SAMPLE
9. NAME OF PRODUCE AND QUANTITY DECLARED SAMPLE	10. BOTANICAL NAME OF PLANTS SAMPLE
11. NUMBER AND DESCRIPTION OF PACKAGES SAMPLE	12. DISTINGUISHING MARKS SAMPLE
13. PLACE OF ORIGIN SAMPLE	14. DECLARED MEANS OF CONVEYANCE SAMPLE
	15. DECLARED POINT OF ENTRY

WARNING: Any alteration, forgery, or unauthorized use of this phytosanitary certificate is subject to civil penalties of up to $250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than $10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).

ADDITIONAL DECLARATION

SAMPLE

NAPPO

SAMPLE

Page 1 of 1

16. DATE ISSUED	17. NAME OF AUTHORIZED OFFICER *(Type or Print)*	18. SIGNATURE OF AUTHORIZED OFFICER

No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

PPQ Form 579 FEB 2001 Previous editions are obsolete after 6/30/01

Figure 3-5-3 Example of PPQ Form 579, Phytosanitary Certificate for Reexport (blank)

Processing an Application in PCIT

Refer to the Quick Reference Guide to process an application in PCIT.

Completing Multi-part Paper PPQ Form 579

Table 3-5-2 Instructions to Complete PPQ Form 579

Block	Instructions
TO: THE PLANT PROTECTION ORGANIZATION(S) OF	Enter the approved country name used in the PExD summary for entry on 4-part paper certificates. The correct approved country name is populated automatically by PCIT when processing a phytosanitary certificate. The approved name of the country found in the PExD summary drop down list is based on ISO Standard 3166-2. Add any transiting countries **only** when required by the export summary in PExD or official communication by placing each country within parenthesis, for example, (Bolivia).
PLACE OF ISSUE	Enter the complete name of the city and state of the issuing office.
CERTIFICATION	Enter the name of the country (ies) from which the commodity originated. Enter the number of the foreign export certificate, if available, and check whether the certificate is an original or certified true copy. Check whether the commodity is packed in the original containers or was repacked into new containers. Check whether the conformance with the current phytosanitary requirements of the importing country is based on the foreign export certificate.
DISINFESTATION AND/OR DISINFECTION TREATMENT Complete this section (Blocks 1-6) **only** if an acceptable treatment was conducted.	
1. DATE	Enter the date(s) the commodity was treated.
2. TREATMENT	Enter description of the treatment (e.g., fumigation, cold treatment, dip, spray).
3. CHEMICAL (*active ingredient*)	Enter the common name of the active ingredient. **Do not** use trade names.
4. DURATION AND TEMPERATURE	Enter the duration of the treatment and temperature (if applicable).
5. CONCENTRATION	Enter the concentration of chemicals.
6. ADDITIONAL INFORMATION	Enter information that further identifies the treatment (e.g., slurry, dusted, sprayed).
DESCRIPTION OF THE CONSIGNMENT	
7. NAME AND ADDRESS OF THE EXPORTER	Enter **only** one complete name and U.S. address of the exporter.
8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE	Enter **only** one complete name and address of the person or company taking delivery of the commodity. Include a name, city, and the approved country name. The approved country name must be the same as listed in TO: THE PLANT PROTECTION ORGANIZATION(S) OF block.
9. NAME OF PRODUCE AND QUANTITY DECLARED	Enter the common name of the commodity. For seed for consumption, enter the specific grain; for seeds for planting, enter seeds.

Table 3-5-2 Instructions to Complete PPQ Form 579 (continued)

Block	Instructions
10. BOTANICAL NAME OF PLANTS	Enter the scientific name including genus and specific epithet (species classification). Botanical names are mandatory for all commodities.
11. NUMBER AND DESCRIPTION OF PACKAGES	Enter the number and type of shipping containers (e.g., 50 wooden crates, 150 cardboard boxes, 500 burlap bags, 10 containers, and "bulk" for bulk shipments).
12. DISTINGUISHING MARKS	Enter the markings as they appear on the containers, cartons, bags, etc. If there are **no** distinguishing marks, enter "NONE".
13. PLACE OF ORIGIN	Enter the name of the country of origin. For blended commodities list all countries of origin, including the U.S. if appropriate. **Do not** abbreviate city, county, or state.
14. DECLARED MEANS OF CONVEYANCE	Enter specific name of the airline, rail line, truck line or vessel, if known. If unknown, enter airfreight, ocean vessel, railroad, truck line, air mail, surface mail, or express mail, as appropriate.
15. DECLARED POINT OF ENTRY	This should be the first point of arrival in the country of destination, or if **not** known, the country name. If the consignment transits through another country, you may need to record this only if the country of transit has specific requirements for transiting consignments in PExD or if you have official communication from the NPPO. Note in brackets [ ] the entry point of the country of transit, or if **not** known, the country name. The point of entry is declared by the exporter at the time of issuance of the phytosanitary certificate. When the summary in PExD specifies that a point of entry **must** be listed in its phytosanitary import requirements, then one of the specific points of entry **must** be declared and the consignment should enter through that point.
ADDITIONAL DECLARATION (AD)	All ADs and additional official phytosanitary information **must** follow PPQ policy as listed in the Policy section for Additional Declarations (ADs) and Additional Official Phytosanitary Information on page 2-1-3 in this manual.
16. DATE ISSUED	Enter the date certificate was signed.
17. NAME OF AUTHORIZED OFFICER *(Type or Print)*	Enter the name of the Authorized Certification Official that will sign the form.
18. SIGNATURE OF AUTHORIZED OFFICER	Sign the form. The signature **must** match the name entered in Block 17.

Record Keeping

PCIT Users

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

Non-PCIT Users

Issuing offices **must** retain the multi-part paper Issuing Office Copy of export certificates for 3 years. After 3 years, destroy these copies by incinerating or shredding. If the certificate lists protected commodities, maintain the paper certificates and accompanying documentation for 5 years.

File and maintain the multi-part paper issuing office copies of export certificates and any attachments according to local procedures for storing accountable certificates. For more information, see Record Keeping on page 2-1-16.

Distribution

PCIT Generated PPQ Forms 577 and 579

Distribute PCIT generated copies of PPQ Forms 577 and 579 as indicated in Table 3-5-3.

Table 3-5-3 Distribution of PCIT Generated Copies of PPQ Forms 577 and 579

If the certificate is:	Then:
Shipper's Original (white with blue microprint background)	Generate **only** one original certificate for the applicant, exporter, or broker, etc. **NOTICE** Use the PCIT security paper for **only** the original certificate.
Additional copies	PRINT additional copies as needed on plain paper (additional copies on security paper are not authorized)

PPQ Form 577 Issued on Multi-part Paper Forms

Distribute copies of PPQ Form 577 as indicated in Table 3-5-4 on page 3-5-15.

Table 3-5-4 Distribution of PPQ Form 577, Phytosanitary Certificate

If the copy is:	Then:
Part 1—Shipper's Original (white with blue microprint background)	1. ATTACH PPQ Form 576 if appropriate 2. GIVE the copies to the applicant
Part 2—Shipper's Copy (pink)	
Part 3—Record Copy (yellow)	1. ATTACH any pertinent information for that specific shipment[1] 2. SEND the record copy to your supervisor, ECS, or State Plant Health Director (SPHD) (to whom and when to send record copies is established by the ECS and SPHD. A rule-of-thumb is gather and send forward copies of issued certificates on a weekly basis)
Part 4—Issuing Office Copy (blue)	1. ATTACH any pertinent information for that specific shipment[1] 2. RECORD issuance on the Export Certification Record (see User Fees on page 3-7-1) 3. FILE at the issuing office

1 Such as a copy of an IP, translations, application with inspection results, acceptable inspection certificate, State export certificate, treatment information, PPQ 576 Attachment.

PPQ Form 579 Issued on Multi-part Paper Forms

Distribute copies of PPQ Form 579 as indicated in Table 3-5-5.

Table 3-5-5 Distribution of PPQ Form 579, Phytosanitary Certificate for Reexport

If the copy is:	Then:
Part 1—Shipper's Original (white w/blue microprint background)	1. ATTACH the original or certified true copy of the foreign export certificate, if available 2. ATTACH PPQ Form 576, if appropriate 3. GIVE copies to the applicant, shipper, or broker
Part 2—Shippers' Copy (white)	
Part 3—Record Copy (white)	1. ATTACH any pertinent information for that specific shipment[1] 2. SEND the record copy to your supervisor, Export Certification Specialist (ECS), or State Plant Health Director (SPHD) (to whom and when to send record copies is established by the ECS and SPHD; a rule-of-thumb is gather and send forward copies of issued certificates on a weekly basis)
Part 4—Issuing Office Copy (white)	1. ATTACH any pertinent information for that specific shipment[1] 2. RECORD issuance on the Export Certification Record (see User Fees on page 3-7-1)[1] 3. FILE at the issuing office

1 Such as a copy of an IP, translations, application with inspection results, acceptable inspection certificate, State export certificate, treatment information, PPQ 576 Attachment.

Replacing PPQ Forms 577 and 579

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

Replaced certificates are based on the same inspection date(s) and results of the original certificates. If a new inspection is required the certificate needs to be issued according to Table 3-5-6 on page 3-5-16 or Table 3-5-7 on page 3-5-17. The date of issuance **must always** be the actual date the ACO signs the certificate. When replacing a certificate, review the time limits for the country to ensure the original PPQ Form(s) 577 or 579 was issued according to the country's time limits. If the replacement occurs outside of the country's time limit, include an AD referring to the original certificate and the original date of issuance.

Refer to Table Table 3-5-6 on page 3-5-16 or Table 3-5-7 on page 3-5-17 to help decide whether to replace PPQ Form 577 or 579.

Table 3-5-6 Decide Whether to Replace a PCIT issued PPQ Form 577 or 579 Based on Original Issuance

If the original PPQ Form 577 or 579 is:	And:	And the replacement date is:	Then:
Surrendered to the ACO	The consignment is reinspected	→	ISSUE a new PPQ Form 577 or 579 at any duty station[1] based on the new inspection
	The consignment is **not** reinspected	Within 30 days of inspection or specific country requirements	REPLACE the original PPQ Form 577 or 579 at any duty station, with **no** AD referencing the replacement
		Not within 30 days of inspection or specific country requirements[2]	REPLACE the original PPQ Form 577 or 579 at any duty station, with an AD "This certificate replaces Phytosanitary certificate (or Phytosanitary certificate for reexport) [number], issued on [date], at [issuing office], because [reason for issuing new PPQ Form 577 or 579]."
Not surrendered	The document was already mailed	→	REPLACE the PPQ Form 577 or 579 with an AD "This certificate replaces Phytosanitary certificate (or Phytosanitary certificate for reexport) [number], issued on [date], at [issuing office], because [reason for issuing new PPQ Form 577 or 579]."
	The document was lost	→	REPLACE the PPQ Form 577 or 579 with an AD "This certificate replaces the applicant's lost original of Phytosanitary certificate (or Phytosanitary certificate for reexport) [number], issued on [date], at [issuing office]."

1 ACOs may have to contact the originating office for supporting documents if the documents are **not** attached within PCIT.

2 The original export certificate was issued according to PPQ policy concerning time limits.

Table 3-5-7 Decide Whether to Replace a Non PCIT, 4–part PPQ Form 577 or 579 Based on Original Issuance

If the original PPQ Form 577 or 579 is:	And:	And the replacement date is:	Then:
Surrendered to the ACO	The consignment is reinspected	→	1. VOID the original PPQ Form 577 or 579 (refer to Record Keeping on page 3-5-13) 2. RETURN all voided certificates (including those ruined while typing or preparing) to the issuing office 3. ISSUE a new PPQ Form 577 (Table 3-5-1 on page 3-5-8) or 579 (Table 3-5-2 on page 3-5-12) at any duty station[1] based on the new inspection
	The consignment is **not** reinspected	Within 30 days of inspection or specific country requirements	1. VOID the original PPQ Form 577 or 579 (refer to Record Keeping on page 3-5-13) 2. RETURN all voided certificates (including those ruined while typing or preparing) to the issuing office 3. CHANGE the appropriate entries 4. REPLACE the PPQ Form 577 or 579 at any duty station,1 with **no** AD referencing the replacement 5. ATTACH the original or a copy (if the original is returned to the originating office) to the file copy of the new PPQ Form 577 or 579
		Not within 30 days of inspection or specific country requirements[2]	1. VOID the original PPQ Form 577 or 579 (refer to Record Keeping on page 3-5-13) 2. RETURN all voided certificates (including those ruined while typing or preparing) to the issuing office 3. CHANGE the appropriate entries 4. REPLACE the PPQ Form 577 or 579 at any duty station,1 with an AD "This certificate replaces phytosanitary certificate (or phytosanitary certificate for reexport) [number], issued on [date], at [issuing office], because [reason for issuing new PPQ Form 577 or 579]." 5. ATTACH the original or a copy (if the original is returned to the originating office) to the file copy of the new PPQ Form 577 or 579
Not surrendered	The document was already mailed	→	1. CHANGE the appropriate entries 2. REPLACE the PPQ Form 577 or 579 at the originating duty station **only**, with an AD "This certificate replaces phytosanitary certificate (or phytosanitary certificate for reexport) [number], issued on [date], at [issuing office], because [reason for issuing new PPQ Form 577 or 579]."
	The document was lost	→	1. CHANGE the appropriate entries 2. REPLACE the PPQ Form 577 or 579 at the originating duty station **only**, with an AD "This certificate replaces the applicant's lost original of phytosanitary certificate (or phytosanitary certificate for reexport) [number], issued on [date], at [issuing office]."

1 ACOs may have to contact the originating office for supporting documents.

2 The original export certificate was issued according to PPQ policy concerning time limits.

Chapter

3

General Procedures

Completing PPQ Form 578

Contents

Introduction **3-6-1**
Purpose **3-6-1**
Guidelines for Completing PPQ Form 578 **3-6-2**
Completion **3-6-3**
Example **3-6-4**
Continuation Sheets **3-6-5**
Keeping Records **3-6-5**
Distribution **3-6-6**

Introduction

PPQ Form 578, Export Certificate, Processed Plant Products, is an accountable certificate used to certify processed plant commodities. See Figure 3-6-1 on page 3-6-4 for an example of a blank PPQ Form 578.

Purpose

The purpose of PPQ Form 578 is to assist U.S. applicants whose shipments may be placed in jeopardy if such a document is **not** issued. PPQ Form 578 was created by PPQ to fill a void where **no** other government certification existed.

NOTICE

PPQ Form 578 may **only** be issued for those processed products listed in the Phytosanitary Export Database (PExD).

Guidelines for Completing PPQ Form 578

- Prepare all export certificates in English.
- List **only** U.S. addresses in the NAME AND ADDRESS OF THE EXPORTER block. Affiliated island addresses are acceptable.
- Type or handwrite export certificates (if handwritten, do so **only** in all upper case or capital letters)
- Spell out dates in the month/day/year format (example: July 17, 2015).
- **Do not** correct errors or add extraneous marks (i.e. tick marks, check marks, etc.) on an export certificate. **Never** use correction fluid or correction tape. If an ACO makes an error, the ACO **must** complete a new certificate.
- **Never** abbreviate the following: Calendar months, city names, State names, country names, or any other entry unless it is part of a business name (example: A.B.C. Distributing Incorporated).
- **Never** enter a grade, intended use, a commercial term, or a trade name.
- **Never** enter phone or facsimile numbers.
- **Never** enter statements such as “In-care-of”, (c/o), “Attention to”, “Agent for”, or “Notify”.
- **Never** enter titles to signatures or names.
- Check the export summary to see if the declared point of entry is authorized; if the point of entry is **not** authorized, warn the exporter that the shipment may be delayed or refused entry.
- Each PPQ Form 578 can **only** be prepared by the issuing office accountable for that certificate.
- Additional declarations (ADs) are prohibited on PPQ Form 578.
- Treatments **cannot** be certified on PPQ Form 578.
- PPQ Form 576, Attachment Sheet for PPQ Form 577 or PPQ Form 579 may **not** be used for PPQ Form 578.
- PPQ Form 578 may be replaced if lost, etc., without any Additional Declaration.
- **Never** enter a variety unless it is required in PExD or is listed in an IP and all the conditions can be met.

Completion

See Table 3-6-1 for specific instructions, techniques, and examples about how to complete PPQ Form 578.

Table 3-6-1 Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products

If the block is:	Then follow these instructions to complete PPQ Form 578:
PLACE	ENTER the complete name of the city and State of the issuing office.
DATE	ENTER the date when the certificate is prepared by an Authorized Certification Official (ACO).
NUMBER	**DO NOT** WRITE in this space; all PPQ Forms 578 are pre numbered.
NAME AND ADDRESS OF EXPORTER	ENTER the complete name and U.S. address of the applicant.
NAME AND ADDRESS OF CONSIGNEE	ENTER the complete name and address of the consignee.
MEANS OF CONVEYANCE	ENTER the specific name of the conveyance, if known. If unknown, enter airfreight, ocean vessel, railroad, truck line, air mail, etc.
POINT OF ENTRY	This should be the first point of arrival in the country of destination, or if not known, the country name. If the consignment transits through another country, you may need to record this only if the country of transit has specific requirements for transiting consignments in PExD or if you have official communication from the NPPO. Note in brackets [ ] the entry point of the country of transit, or if not known, the country name. The point of entry is declared by the exporter at the time of issuance of the phytosanitary certificate. When the summary in PExD specifies that a point of entry must be listed in its phytosanitary import requirements, then one of the specific points of entry must be declared and the consignment should enter through that point.
DESCRIPTION OF CONSIGNMENT	
PRODUCT *(Kind, Quantity, and Weight)*	ENTER the name of the processed product exactly as it appears in the list in PExD; **do not** add scientific names. Enter the amount and description of the shipping containers as declared by the applicant (e.g., 11 wooden crates, 123 cardboard cartons, 5 burlap bags, or if in bulk enter "in bulk.")
IDENTIFICATION	ENTER the markings as declared by the applicant. If there are no distinguishing marks, enter “NONE.”
ORIGIN	ENTER the origin as declared by the applicant, specifying the states or countries.
WARNING This warning alerts all parties that any alteration, forgery, or unauthorized use of export certificates is subject to civil penalties or punishable by a fine or imprisonment.	
AUTHORIZATION	
NAME OF AUTHORIZED OFFICER	TYPE or PRINT the name of the ACO who will sign the certificate.
SIGNATURE	SIGN your name. The signature **must** match the name entered in NAME OF AUTHORIZED OFFICER above.

Example

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid 0MB control number. The valid OMB control number for this information collection is 0579-0052. The time required to complete this information collection is estimated to average .03 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

FORM APPROVED
OMB NO. 0579-0052

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

FOR OFFICIAL USE ONLY

PLACE:

DATE: SAMPLE

NUMBER: P XXXXXXX

EXPORT CERTIFICATE
PROCESSED PLANT PRODUCTS

NAME AND ADDRESS OF EXPORTER
SAMPLE

NAME AND ADDRESS OF CONSIGNEE
SAMPLE

MEANS OF CONVEYANCE

POINT OF ENTRY

DESCRIPTION OF CONSIGNMENT

PRODUCT ***(Kind, Quantity, and Weight)***
SAMPLE SAMPLE

IDENTIFICATION
SAMPLE

ORIGIN

WARNING: Any alteration, forgery, or unauthorized use of this certificate is subject to civil penalties of up to $250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than $10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).

This is to affirm that, based upon inspection of submitted samples and/or by virtue of processing received, the plant products described above are believed to be free from injurious plant pests.

USDA

SAMPLE

NAME OF AUTHORIZED OFFICER

SAMPLE

SIGNATURE

No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

PPQ FORM 578 SEP 2001 Previous edition dated FEB 2001 may be used. 1 of 1

Figure 3-6-1 Example of PPQ Form 578, Export Certificate, Processed Plant Products (blank)

Continuation Sheets

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

In the block of the certificate, ENTER “See attachment.”

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

Keeping Records

Issuing offices **must** retain the multipart paper Issuing Office Copy of export certificates for 3 years. After 3 years, destroy these copies by incinerating or shredding. If the certificate lists protected commodities, maintain the paper certificates and accompanying documentation for 5 years.

File and maintain the multipart paper issuing office copies of export certificates according to local procedures for storing accountable certificates.

Distribution

Distribute copies of PPQ Form 578 issued on multipart paper forms as indicated in Table 3-6-2.

Table 3-6-2 Instructions to Distribute PPQ Form 578, Export Certificate, Processed Plant Products

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

1 Such as application, foreign export certificate, continuation sheets (see Continuation Sheets on page 3-6-5).

Chapter

3

General Procedures

User Fees

Contents

Introduction **3-7-2**
- Federal ACOs **3-7-2**
- State and County ACOs **3-7-2**
- Important PCIT Facts **3-7-3**

Guidance for Federal ACOs **3-7-4**
- Replacing Export Certificates **3-7-10**

State and County Guidance for Collecting and Remitting Only the USDA Administrative Fee in PCIT **3-7-11**
- Replacing Export Certificates **3-7-14**

State and County Guidance for Collecting and Remitting State and County Fees and the USDA Administrative Fee in PCIT **3-7-15**
- Replacing Export Certificates **3-7-18**

Federal, State, and County Guidance for Collecting and Remitting the USDA Administrative Fee Without PCIT **3-7-19**
- Guidance for State and County Officials **3-7-19**
- Replacing Export Certificates **3-7-21**
- PPQ Responsibilities **3-7-21**
- Certificates Issued Worksheet Instructions **3-7-23**
- Checks Collected Worksheet Instructions **3-7-25**

Handling Refunds **3-7-26**

Managing Records **3-7-28**
- Monthly Reports **3-7-28**

Introduction

The funding for phytosanitary certification is generated directly by user fees. User fees for export certification of plants and plant products follows 7 CFR 354. This section provides guidance for Authorized Certification Officials (ACOs) regarding the collection of user fees for the following export certificates:

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

Federal ACOs

PCIT use is mandatory for all PPQ employees in the collection of funds for export certificates. See Guidance for Federal ACOs on page 3-7-4.

State and County ACOs

At this time PCIT use by State and County ACOs is voluntary but highly recommended. An applicable administrative fee applies to all export certificates, both PCIT and multipart paper forms. State and county ACOs should refer to their local policy for collecting user fees and the USDA administrative fee. Refer to Table 3-7-1.

Table 3-7-1 : Administrative Fees for Export Certificates

If the export certificate is:	Then the administrative fee is:
Issued in PCIT	$6
Issued outside of PCIT	$12

For State or county locations using PCIT, PPQ has developed a mechanism to collect the administrative fee directly from the applicant. See Step 1: Collect the Administrative Fee on page 3-7-11.

In addition to collecting the USDA administrative fee, PPQ has also developed the capability to collect the State and County fees associated with export certificates. See State and County Guidance for Collecting and Remitting State and County Fees and the USDA Administrative Fee in PCIT on page 3-7-15.

State and county locations **not** using PCIT **must** collect and remit the administrative fee monthly to APHIS for each certificate issued. See Federal, State, and County Guidance for Collecting and Remitting the USDA Administrative Fee Without PCIT on page 3-7-19.

Important PCIT Facts

The following PCIT facts apply to all users:

- **No** fees are removed from accounts until certificates are in issued or printed status.
- PCIT will **not** allow PPQ Form 577 or 579 to be completed without sufficient funds.
- Applicants using PCIT may run a debit transaction report to view all credits and debits made to their account.
- If applicants are **not** using PCIT, then the duty station may run a debit transaction report to view all credits and debits for each applicant.
- If a company submits an application, duty stations will **never** need to create a shell account.
- The use of wildcard searches, when searching for organizations, can increase the effectiveness of your search in PCIT. Entering less specific information yields a larger result.

Guidance for Federal ACOs

Step 1: Determine Shipment Value

The cost of an export certificate is based on whether the shipment is commercial or noncommercial.

Commercial Shipments

Shipments with a value greater than or equal to $1250 are considered commercial.

Non-commercial Shipments

Shipments whose value is less than $1250 are considered non-commercial. Applicants **must** provide an invoice indicating that the value is less than $1250. Furthermore, the quantity of produce declared and the number and description of packages on the application **must** match those found on the invoice. Attach a copy of the invoice in PCIT.

NOTICE

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

Humanitarian Shipments. Shipments that are neither for gain nor profit are considered non-commercial regardless of the value. Applicants **must** provide documentation indicating the shipment is a humanitarian shipment.

NOTICE

PCIT automatically sets the fee according to the shipment value. The ACO can override the fee on the certificate adjustment and payment screen.

Interagency Agreements. Shipments certified under an interagency agreement are charged the non-commercial rate. If a USDA agency or facility requests such an arrangement, an interagency agreement **must** be signed before issuing an export certificate.[1]

1 1To set up an interagency agreement, or to identify the agencies that have valid agreements, contact the Agreement Services Center in Riverdale, Maryland.

Step 2: Set User Fee for Export Certificates

Refer to Table 3-7-2.

Table 3-7-2 User Fees for Export Certificates

If the invoice value is:	Then:
Commercial (Equal to or greater than $1,250)	1. The fee is $106 2. GO to Step 3: Collect User Fee on page 3-7-5
Noncommercial (Less than $1,250)	1. The fee is $61 2. GO to Step 3: Collect User Fee on page 3-7-5

NOTICE

• If ACOs issue export certificates on contiguous or noncontiguous ROT, PPQ **must** charge the user fee for the export certificate and the overtime charges.

• PCIT collects the user fee for export certificates only. Overtime is **not** handled through PCIT. Handle overtime fees according to APHIS policy.

Step 3: Collect User Fee

- Applicants **must** pay for export certificates in U.S. funds at the time of service
- Applicants may deposit funds in PCIT to pay for export certificates.

Credit Card or eCheck

The preferred method of payment for export certificates is by the applicant through PCIT with credit card or eCheck. If the applicant uses a credit card or eCheck, no further action is required; see Example A.

Example A

Applicant Using eCheck or Credit Card

Company A funds their account in PCIT and submits an application. The applicant should always select prepurchase account in this example.

To create the PPQ Form 577 or 579, the ACO **must**:

1. Process the submitted application.
2. Ensure the fee is correct before clicking “Issue certificate and charge fee”.
3. Complete the certificate printing process.

PCIT APHIS 94 is **not** required.

NOTICE

Credit cards and eChecks are accepted **only** when applicants use the financial management option in PCIT.

Paper Check or Money Order

Applicants may present paper checks (cashier's, certified, traveler's, personal) or money orders. ACOs **must** enter that payment into PCIT.

- Checks and money orders **must** be payable to USDA-APHIS
- Checks drawn on foreign banks **must** be marked as and payable in U.S. dollars
- Checks **must** have the following accounting code in the memo line: 6XPQPQ0024PQPSCRTPUBLICUSDA/0203 (**only** if they **do not** have a PCIT Org ID)
- Checks **must** have the Org ID listed in the memo line if they have a PCIT account

The following information **must** appear on the face of personal checks:[2]

- Complete mailing address
- Driver's license number
- Phone number

The tax identification number or social security number **must** be kept on file in the issuing office. The tax identification number or social security number is **not** to be listed on the check or any documents that are submitted for processing.

NOTICE

• If a check is returned by the bank for insufficient funds, **do not** certify additional shipments until the outstanding balance is paid in full.

• **Do not** write below the memo and signature lines on a check.

• **Do not** write on the back of checks or money orders.

• **Do not** endorse checks or money orders with a stamp.

2 As required by the Debt Collection Improvement Act (DCIA); the Department of Treasury, Financial Management Service policy directives; and Departmental, and APHIS policy directives.

See the following examples for entering a paper check or money order in PCIT:

Example B

Applicant Presents Paper Check or Money Order & Submits PCIT Application

Company B submits applications with PCIT. They give the duty station a check for $250.00. The applicant should select “prepurchase” when submitting applications.

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

1. Click “Financial Management” and search for Company B by the organization name or Org ID number.
2. Click “Transactions” for Company B.
3. Select “Add funds to prepurchase account”on the update account menu
4. Enter the check information and click save. Company B now has $250.00 in their account.

To create the PPQ Form 577 or 579, the ACO **must**:

1. Process the submitted application.
2. Ensure the fee is correct before clicking “Issue certificate and charge fee”.
3. Complete the certificate printing process.

The PCIT APHIS 94 is required and **must** reflect $250.00 for Company B.

Example C

Applicant Presents Paper Check or Money Order Without a PCIT Organization

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

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

1. Click “Financial Management” and search for Company C by the organization name or Org ID number.
   - ❖ If you find Company C, then a shell account was already created. Go to step 2.
   - ❖ If you do **not** find Company C, then click “Create applicant organization,” complete the information, and click save. Return to step 1.
2. Click “Transactions” for Company C.
3. Select “Add funds to prepurchase account”on the update account menu
4. Enter the check information and click save. Company C now has $500.00 in their account.

The ACO **must**:

1. Create an application for Company C.
2. Update applicant to Company C on the General Screen.
3. Submit the application to the duty station.

To create the PPQ Form 577 or 579 in PCIT, the ACO **must**:

1. Process the submitted application.
2. Ensure the fee is correct before clicking “Issue certificate and charge fee”.
3. Complete the certificate printing process.

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

Collecting the User Fee for Letterhead Certification (Non Animal Statement) in PCIT

PCIT collects the user fee for Letterhead Statements (Non Animal) even though the document is **not** generated in PCIT. For guidance on the completion of Letterhead Statements (Non Animal), see *Certifying Nonanimal Products for Export* in the *Special Procedures* section of the Animal Product Manual.

See below for instructions on collecting the user fee for Letterhead Certification (Non Animal Statement) in PCIT:

1. Select "Financial Management."
2. Search for the company name. If you find the company name, go to number 3. If you cannot find the company, do the following:
   A. Click "Create Applicant Organization." Complete the information and click save.
   B. Return to number 2 above.
3. Click "Transactions" for Company.
4. Select "Charge for a certificate issued outside of PCIT."
5. Select the processing duty station from the drop down list.
6. Enter the issue date.
7. Select the Certificate Type, 578/LTR.
8. Enter the certificate number.
9. Select the appropriate Federal Fee.
10. Click the Save button.

NOTICE

You may use the same process for PPQ Form 577 and 579 when PCIT is down to collect the applicable user fee.

Step 4: Remit Paper Checks or Money Orders

PCIT will populate the "PCIT generated APHIS 94 information report" (PCIT APHIS 94) for any paper checks or money orders manually entered into PCIT. The PCIT APHIS 94 **must** be submitted in lieu of "APHIS Form 94, Record of Public Funds Received for export certification fees."

How to Generate and Remit PCIT APHIS 94

1. Select "View Reports".
2. Select "APHIS 94 Record of Public Funds Received".
3. Click submit.
4. Select the appropriate duty station.
5. Fill in the date range.
6. Click next.
7. Click generate report.
8. Print the report.
9. Review the report for accuracy.
10. Complete blocks 14 and 15.
11. Photocopy each check or money order for the work location records.
12. Attach checks and/or money orders to the PCIT APHIS 94.
13. Send (see important note below) the PCIT APHIS 94 with the checks and/ or money orders to the address printed in Block 4.
14. The ECS will keep a copy of the PCIT APHIS 94 and the associated checks or money orders until a receipted copy is returned from the Minneapolis Financial Services Branch (MFSB).
15. If the ECS does **not** receive a receipted copy within 3 weeks of submission, notify the Minneapolis Financial Services Branch.

NOTICE

Send the collected fees every Thursday or immediately when deposit receipts total $5000 or more.[1]

1 http://www.fms.treas.gov/tfm/vol1/v1p6c800.txt

Replacing Export Certificates

User fees are applicable for export certificates that **must** be replaced because of an error caused by the applicant or for changes to information about a shipment. The fee for replacing an export certificate is $15.00. The fee remains in effect after 2012 until new regulations are finalized.

NOTICE

PPQ **does not** charge user fees for export certificates that have been replaced because of an error caused by an ACO.

NOTICE

The quantity **cannot** be increased when replacing an export certificate. Any increase in quantity would necessitate an additional inspection.

If the applicant requests the original export certificate be split into multiple certificates, or replaced more than once, set the fee for the first replacement at $15.00. Charge all additional replacements the applicable rate specified in Table 3-7-2 on page 3-7-5.

State and County Guidance for Collecting and Remitting Only the USDA Administrative Fee in PCIT

Step 1: Collect the Administrative Fee

- Applicants **must** pay the administrative fee for export certificates issued by States and Counties in U.S. funds at the time of service
- Applicants may deposit funds in PCIT to pay the applicable administrative fee associated with export certificates

Credit Card or eCheck in PCIT

The preferred method of payment for the administrative fee is by the applicant through PCIT with credit card or eCheck. If the applicant uses a credit card or eCheck, **no** further action is required by the State or County. See Example D.

Example D

Applicant Using eCheck or Credit Card

Company D funds their account in PCIT and submits an application. Applicants should always select prepurchase account in this example. The ACO **must**:

1. Process the submitted application.
2. Complete the certificate printing process.

PCIT APHIS 94 is **not** required.

NOTICE

Credit cards and eChecks are accepted **only** when using the financial management option in PCIT.

Paper Check or Money Order in PCIT

Applicants may also present a paper check (cashier's, certified, traveler's, personal) or money order for the administrative fee. If a State or County does not want to accept paper checks or money orders for the administrative fee, then refer the applicant to the closest PPQ location. Once PPQ enters the proper check or money order in PCIT, then the money would be available at any location using PCIT.

If a State or County elects to collect paper checks or money orders, then the ACO **must** enter that payment in PCIT.

- Checks and money orders **must** be payable to USDA-APHIS
- Checks drawn on foreign banks **must** be marked as and payable in U.S. dollars

- Checks **must** have the following accounting code in the memo line: 6XPQPQ0024PQPSCRTPUBLICUSDA/0203 (**only** if they **do not** have a PCIT Org ID)
- Checks **must** have the Org ID listed in the memo line if they have a PCIT account

The following information **must** appear on the face of personal checks:[3]

- Complete mailing address
- Driver's license number
- Phone number

The tax identification number or social security number **must** be kept on file in the issuing office. The tax identification number or social security number is **not** to be listed on the check or any documents that are submitted for processing.

NOTICE

- If a check is returned by the bank for insufficient funds, **do not** certify additional shipments until the outstanding balance is paid in full.
- **Do not** write below the memo and signature lines on a check.
- **Do not** write on the back of checks or money orders.
- **Do not** endorse checks or money orders with a stamp.

See the following examples for entering a paper check or money order in PCIT:

Example E

Applicant Using Paper Check or Money Order & Submitting PCIT Application

Company E submits applications with PCIT. They give the duty station a check for $250.00. They should select "prepurchase" when submitting applications.

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

1. Click "Financial Management" and search for Company E by the organization name or Org ID number.
2. Click "Transactions" for Company E.
3. Select "Add funds to prepurchase account"on the update account menu.
4. Enter the check information and click save. Company E now has $250.00 in their account.

To create the PPQ Form 577 or 579, the ACO **must**:

1. Process the submitted application.
2. Complete the certificate printing process.

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

3 As required by the Debt Collection Improvement Act (DCIA); the Department of Treasury, Financial Management Service policy directives; and Departmental, and APHIS policy directives.

Example F

Applicant Using Paper Check or Money Order Without a PCIT Organization

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

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

1. Click "Financial Management" and search for Company F by the organization name or Org ID number.
   - ❖ If you find Company F, then a shell account was already created. Go to step 2.
   - ❖ If you do **not** find Company F, then click "Create applicant organization," complete the information, and click save. Return to step 1.
2. Click "Transactions" for Company F.
3. Select "Add funds to prepurchase account"on the update account menu.
4. Enter the check information and click save. Company F now has $ 500.00 in their account.

To create the application in PCIT, the ACO **must**:

1. Create an application for Company F.
2. Update applicant to Company F on the General Screen.
3. Submit the application to the duty station.

To create the PPQ Form 577 or 579 in PCIT, the ACO **must**:

1. Process the submitted application.
2. Complete the certificate printing process.

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

Step 2: Remit the Administrative Fee

Remitting with PCIT

PCIT will populate the "PCIT generated APHIS 94 information report" (PCIT APHIS 94) for any paper checks or money orders manually entered into PCIT.

How to Generate and Remit PCIT APHIS 94

1. Select "View Reports".
2. Select "APHIS 94 Record of Public Funds Received".
3. Click submit.
4. Select the appropriate duty station.
5. Fill in the date range.
6. Click next.
7. Click generate report.
8. Print the report.
9. Review the report for accuracy.
10. Complete blocks 14 and 15.
11. Photocopy each check or money order for the work location records.

12. Attach checks and/or money orders to the PCIT APHIS 94.
13. Send (see important note below) the PCIT APHIS 94 with the checks and/ or money orders to the address printed in Block 4.
14. The ECS will keep a copy of the PCIT APHIS 94 and the associated checks or money orders until a receipted copy is returned from the Minneapolis Financial Services Branch (MFSB).
15. If the ECS **does not** receive a receipted copy within 3 weeks of submission, notify the Minneapolis Financial Services Branch.

NOTICE

The State or County **must** remit all paper checks or money orders by the end of the following month.

Replacing Export Certificates

The administrative fee is applicable for all export certificates that **must** be replaced because of an error caused by the applicant or for changes to information about a shipment.

NOTICE

There is **no** administrative fee for export certificates that **must** be replaced because of an error caused by an ACO.

NOTICE

The quantity **cannot** be increased when replacing an export certificate. Any increase in quantity would necessitate an additional inspection.

If the applicant requests the original export certificate be split into multiple certificates, then the applicable administrative fee applies to all certificates.

EXAMPLE The applicant wants an original export certificate split into three certificates. The administrative fee applies to the original export certificate and all three split certificates.

State and County Guidance for Collecting and Remitting State and County Fees and the USDA Administrative Fee in PCIT

Step 1: Collect All Fees

- Applicants **must** pay all fees (State, County, and Federal) for export certificates in U.S. funds at the time of service
- Applicants may deposit funds in PCIT to pay for export certificates

Credit Card or eCheck in PCIT

The preferred method of payment for export certificates is by the applicant through PCIT with credit card or eCheck. If the applicant uses a credit card or eCheck, no further action is required by the State or County. See Example G.

Example G

Applicant Using eCheck or Credit Card

Company G funds their account in PCIT and submits an application. Applicants should always select prepurchase account in this example. The ACO **must**:

1. Process the submitted application.
2. On the certificate adjustment screen, click “Enter State/County Fees.”
3. Fill in the appropriate fields and click “Save.”
4. Complete the certificate printing process.

PCIT APHIS 94 is **not** required.

NOTICE

Credit cards and eChecks are accepted **only** when using the financial management option in PCIT.

Paper Check or Money Order in PCIT

Applicants may also present paper checks (cashier’s, certified, traveler’s, personal) or money orders for the appropriate user fees. If a State or County does not want to accept paper checks or money orders for the administrative fee, then refer the applicant to the closest PPQ location. Once PPQ enters the paper check or money order in PCIT, then the money would be available at any location using PCIT.

If a State or County elects to collect paper checks or money orders, then the ACO **must** enter those forms of payment into PCIT.

- Checks and money orders **must** be payable to USDA-APHIS
- Checks drawn on foreign banks **must** be marked as and payable in U.S. dollars

- Checks **must** have the following accounting code in the memo line: 6XPQPQ0024PQPSCRTPUBLICUSDA/0203 (**only** if they **do not** have a PCIT Org ID)
- Checks **must** have the Org ID listed in the memo line if they have a PCIT account

The following information **must** appear on the face of personal checks:[4]

- Complete mailing address
- Driver's license number
- Phone number

The tax identification number or social security number **must** be kept on file in the issuing office. The tax identification number or social security number is **not** to be listed on the check or any documents that are submitted for processing.

NOTICE

• If a check is returned by the bank for insufficient funds, **do not** certify additional shipments until the outstanding balance is paid in full.

• **Do not** write below the memo and signature lines on a check.

• **Do not** write on the back of checks or money orders.

• **Do not** endorse checks or money orders with a stamp.

See the following examples for entering a paper check or money order in PCIT:

4 As required by the Debt Collection Improvement Act (DCIA); the Department of Treasury, Financial Management Service policy directives; and Departmental, and APHIS policy directives.

Example H

Applicant Using Paper Check or Money Order & Submitting PCIT Application

Company H submits applications with PCIT. They give the duty station a check for $250.00. They should select “prepurchase” when submitting applications.

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

1. Click “Financial Management” and search for Company H by the organization name or Org ID number.
2. Click “Transactions” for Company H.
3. Select “Add funds to prepurchase account” on the update account menu.
4. Enter the check information and click save. Company H now has $250.00 in their account.

To create the PPQ Form 577 or 579, the ACO **must**:

1. Process the submitted application.
2. On the certificate adjustment screen, click “Enter State/County Fees.”
3. Fill in the appropriate fields and click “Save.”
4. Complete the certificate printing process.

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

Example I

Applicant Using Paper Check or Money Order Without a PCIT Organization

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

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

1. Click “Financial Management” and search for Company I by the organization name or Org ID number.
   - ❖ If you find Company I, then a shell account was already created. Go to step 2.
   - ❖ If you do **not** find Company I, then click “Create applicant organization,” complete the information, and click save. Return to step 1.
2. Click “Transactions” for Company I.
3. Select “Add funds to prepurchase account”on the update account menu.
4. Enter the check information and click save. Company I now has $ 500.00 in their account.

To create the application in PCIT, the ACO **must**:

1. Create an application for Company I.
2. Update applicant to Company I on the General Screen.
3. Submit the application to the duty station.

To create the PPQ Form 577 or 579 in PCIT, the ACO **must**:

1. Process the submitted application.
2. On the certificate adjustment screen, click “Enter State/County Fees.”
3. Fill in the appropriate fields and click “Save.”
4. Complete the certificate printing process.

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

Step 2: Remit All Fees Collected to USDA

Remitting with PCIT

PCIT will populate the "PCIT generated APHIS 94 information report" (PCIT APHIS 94) for any paper checks or money orders manually entered into PCIT.

How to Generate and Remit PCIT APHIS 94

1. Select "View Reports".
2. Select "APHIS 94 Record of Public Funds Received".
3. Click submit.
4. Select the appropriate duty station.
5. Fill in the date range.
6. Click next.
7. Click generate report.
8. Print the report.
9. Review the report for accuracy.
10. Complete blocks 14 and 15.
11. Photocopy each check or money order for the work location records.
12. Attach checks and/or money orders to the PCIT APHIS 94.
13. Send (see important note below) the PCIT APHIS 94 with the checks and/or money orders to the address printed in Block 4.
14. The ECS will keep a copy of the PCIT APHIS 94 and the associated checks or money orders until a receipted copy is returned from the Minneapolis Financial Services Branch (MFSB).
15. If the ECS **does not** receive a receipted copy within 3 weeks of submission, notify the Minneapolis Financial Services Branch.

NOTICE

The State or County **must** remit all paper checks or money orders by the end of the following month.

Replacing Export Certificates

The administrative fee is applicable for all export certificates that **must** be replaced because of an error caused by the applicant or for changes to information about a shipment.

NOTICE

There is **no** administrative fee for export certificates that **must** be replaced because of an error caused by an ACO.

NOTICE

The quantity **cannot** be increased when replacing an export certificate. Any increase in quantity would necessitate an additional inspection.

If the applicant requests the original export certificate be split into multiple certificates, then the applicable administrative fee applies to all certificates.

EXAMPLE The applicant wants an original export certificate split into three certificates. The administrative fee applies to the original export certificate and all three split certificates.

Federal, State, and County Guidance for Collecting and Remitting the USDA Administrative Fee Without PCIT

Guidance for State and County Officials

The following section describes the activities necessary for collecting and remitting the USDA Administrative Fee for States or Counties not using PCIT. The remittance mechanism was established according to the least common denominator and took State and County legislative concerns into consideration as much as possible.

Since States and Counties have different rules concerning fees, a single worksheet could not be developed for the remittance of administrative fees and the tracking of issued certificates, so the “Checks Collected Worksheet” and the “Certificates Issued Worksheet” were developed. State and County ACOs should refer to their local policy regarding fee collection. The various mechanisms may require exporters to pay for certification services in one of the following ways:

- Multiple checks (e.g. one check for the State or County and one check made to USDA-APHIS) for each certificate issued
- Multiple checks (e.g. same as above) that cover more than one certificate and the State or County tracks the exporters balance
- One check for the State or County and the State or County remits to the USDA directly at the end of the month for all the certificates issued

Tracking the Certificates Issued

States and Counties **not** using PCIT **must** track and record all certificates issued on a monthly basis. Prior to the administrative fee, the total number of certificates issued by each location was all that was required. With the administrative fee, APHIS needs additional information to determine how much money was collected and to facilitate reconciliation. To track the total number of certificates issued, the "Certificates Issued Worksheet" (Figure 3-7-1 on page 3-7-22) was created. ACOs **must** complete the worksheet for every certificate issued.

Reporting Voided or Erroneous Certificates

Voided certificates or certificates that have errors should be tracked, recorded, and reported to your ECS for accountability.

Collecting the Administrative Fee

When the USDA administrative fee is collected, all checks **must** be sent to the U.S. Bank lock box in St. Louis for processing. The "Checks Collected Worksheet" (Figure 3-7-2 on page 3-7-24) provides all the necessary information for remitting checks to the USDA.

NOTICE

If an applicant carries a balance over time, the State or County should track the balance.

Use the "Checks Collected Worksheet" in Figure 3-7-2 on page 3-7-24 for documenting the receipt and transmittal of USDA administrative fees. Refer to Checks Collected Worksheet Instructions on page 3-7-25 to complete the worksheet. If the State or County is collecting checks from applicants and remits one check to USDA-APHIS at the end of the month then **only** one line needs to be completed on the "Checks Collected Worksheet" listing the one check remitted.

Remitting Information

The State or County **must** complete these tasks by the end of the following month:

- Make 2 copies of all checks, worksheets, and certificates
- Send copies of all checks, worksheets, and certificates to the ECS responsible for their area
- Retain a copy of all checks, worksheets, and certificates on file
- Submit the original checks and "Checks Collected Worksheet" to the address located in Block 2

EXAMPLE If a certificate is issued in July, the State or County **must** submit the check, the Checks Collected Worksheet, and the Certificates Issued Worksheet to the ECS responsible for their area by the end of August.

Replacing Export Certificates

The administrative fee is applicable for all export certificates that **must** be replaced because of an error caused by the applicant or for changes to information about a shipment.

NOTICE

There is **no** administrative fee for export certificates that **must** be replaced because of an error caused by an ACO.

NOTICE

The quantity **cannot** be increased when replacing an export certificate. Any increase in quantity would necessitate an additional inspection.

If the applicant requests the original export certificate be split into multiple certificates, then the applicable administrative fee applies to all certificates.

EXAMPLE The applicant wants an original export certificate split into three certificates. The administrative fee applies to the original export certificate and all three split certificates.

PPQ Responsibilities

Tracking Certificates

In order for USDA to accurately account for all certificates issued and the associated administrative fees, the ECS **must** track the certificate numbers provided to State and County locations.

Reconciling Information

Reconciliation of the Checks Collected Worksheet, Certificates Issued Worksheet, and the certificates that were provided to the States and Counties has to be done monthly.

Certificates Issued Worksheet

01. **From:** _____ 02. **To: Export Certification Specialist**

	03. **Date**	04. **Applicant**	05. **Certificate Number**	06. **ACO Error**
1.				☐ YES ☐ NO
2.				☐ YES ☐ NO
3.				☐ YES ☐ NO
4.				☐ YES ☐ NO
5.				☐ YES ☐ NO
6.				☐ YES ☐ NO
7.				☐ YES ☐ NO
8.				☐ YES ☐ NO
9.				☐ YES ☐ NO
10.				☐ YES ☐ NO
11.				☐ YES ☐ NO
12.				☐ YES ☐ NO
13.				☐ YES ☐ NO
14.				☐ YES ☐ NO
15.				☐ YES ☐ NO
16.				☐ YES ☐ NO
17.				☐ YES ☐ NO
18.				☐ YES ☐ NO
19.				☐ YES ☐ NO
20.				☐ YES ☐ NO
21.				☐ YES ☐ NO
22.				☐ YES ☐ NO
23.				☐ YES ☐ NO
24.				☐ YES ☐ NO
25.				☐ YES ☐ NO
26.				☐ YES ☐ NO
27.				☐ YES ☐ NO
28.				☐ YES ☐ NO
29.				☐ YES ☐ NO
30.				☐ YES ☐ NO
31.				☐ YES ☐ NO
32.				☐ YES ☐ NO
33.				☐ YES ☐ NO
34.				☐ YES ☐ NO
35.				☐ YES ☐ NO

_____
SENT BY (SIGNATURE)

_____
PRINTED NAME

_____
TITLE

___ of ___

Figure 3-7-1 Certificates Issued Worksheet

Certificates Issued Worksheet Instructions

Block 1 - Enter the State or County name and address.

Block 2 - Enter the Export Certification Specialist (ECS) that is responsible for your duty station. The address listed in this block will be used to remit the worksheet to an ECS for verification.

Block 3 - Enter the date the export certificate was issued.

Block 4 - Enter the name of the applicant. In many cases, the applicant and exporter are the same. Enter the name of the person who actually paid for the certificate, not necessarily the exporter listed on the certificate.

Block 5 - Enter the export certificate number.

Block 6 - Indicate if the export certificate was issued to replace a previously issued certificate due to an error by the certifying official.

Checks Collected Worksheet

01. Account #: 6XPQPQ0024PQPSCRTPUBLICUSDA/0203

02. To: USDA, APHIS
P.O. Box 979043
St. Louis, MO 63197-9000

03. From: _____

	04. **Date**	05. **Applicant/ Name**	06. **Remitter Name**	07.**Check #**	08. **Check Amount**
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
15.					
16.					
17.					
18.					
19.					
20.					
21.					
22.					
23.					
24.					
25.					
26.					
27.					
28.					
29.					
30.					
				Total: 0	Total: $0.00

_____
09. Sent By (Signature)

_____
10. Printed Name

_____
11. Title

_____
12. Responsible Export Certification Specialist (ECS)

13. ___ of ___

Received *(Return copy to sender in item 3 above)*	
Amount	Received by *(Signature)*
Date	Title

Figure 3-7-2 Checks Collected Worksheet

Checks Collected Worksheet Instructions

PPQ attempted to capture all the required information through the use of one worksheet instead of requiring State/County locations to fill out multiple documents each month. The worksheet contains all the information needed by PPQ to track and account for certificates issued and fees collected.

NOTICE

For States/Counties collecting individual checks covering all fees and remitting one check to the USDA monthly, complete **only** line 1 on the Checks Collected Worksheet

Block 1 - Prefilled - Account Number

Block 2 - Prefilled - Address to send original checks and worksheets

Block 3 - Fill in the address of the state/county location

Block 4 - Input the date the certificate was issued

Block 5 - Input the name of the applicant organization/government entity. In many cases, the applicant and exporter are the same. Enter the name of the person who actually paid for the certificate, not necessarily the exporter listed on the certificate.

Block 6 - Input the person that signed the check or money order

Block 7 - Input the check or money order number

Block 8 - Input the amount of the check collected

Block 9 - Signature of the person sending in the worksheet

Block 10 - Printed name of signer in block 9

Block 11 - Title of person

Block 12 - Name of responsible ECS

Block 13 - To be completed if the worksheet requires multiple pages

Received Block - To be completed by USDA

Handling Refunds

If an applicant requests a refund for funds in their PCIT account, arrange for a refund from Export Services.

NOTICE

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

Use the Refund Request Worksheet shown in Figure 3-7-3 on page 3-7-27 when processing all refunds.

Once the refund has been completed, MFSB staff will notify ES that the PCIT Account can be decreased by the refund amount.

Email the worksheet to ppqexportservices@aphis.usda.gov requesting the refund.

Refund Request Worksheet

Email worksheet to: ppqexportservices@aphis.usda.gov

Accounting code: 6XPQPQ0024PQPSCRTPUBLICUSDA/0203 Date:

Note: Please attach any documentation that supports the refund

Company Information

Company or individual name:

PCIT Org ID number: Phone number:

Contact person: Contact email:

Address:

Reason for refund:

Payment type used to fund PCIT

(*Fully complete the appropriate payment type below. Worksheets with missing information will be returned*)

1. Physical check *

Financial institution name:

Financial institution routing number (RTN):

Tax Identification Number (TIN):

Depositor account title:

Depositor account number:

Refund amount:

Accounting code: 6XPQPQ0024PQPSCRTPUBLICUSDA/0203

Check number:

2. Electronic check (ACH) *

Financial institution name:

Financial institution routing number (RTN):

Tax Identification Number (TIN):

Depositor account title:

Depositor account number:

Refund amount:

Pay.gov Tracking ID:

3. Credit card †

Name on card:

Amount of original charges: Amount of refund:

Agency tracking ID: Pay.gov tracking ID:

Transaction date:

*** Allow 4-6 weeks for processing, † Allow 3-5 business days for processing**

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

Figure 3-7-3 Refund Request Worksheet

Managing Records

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

ACOs **must** maintain an audit trail because the PPQ export program is one in which money is collected and handled directly.

NOTICE

A report equivalent to PPQ Form 575 is available in PCIT and is generated at the regional level for PPQ offices.

Monthly Reports

PCIT Work Unit

No further action is required since PCIT generates reports of all certificates processed within PCIT.

Non-PCIT Work Unit

Work units **must** count and compile all PPQ Forms 577, 578, and 579 successfully issued along with all export certificates replaced due to ACO error (no fee charged). The SPHD or designee **must** compile all State and county export certificate records and record that information into Work Accomplishment Data System (WADS) by the eighth day of the following month.

Regional Office

Regional offices are capable of generating any report needed from PCIT. The regional office will combine the information from PCIT along with the data from the Non-PCIT work units WADS entries.

Annual Maintenance

Collect and maintain records and files as follows.

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

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

For further reference, please see Record Keeping on page 2-1-16.

User Fee Section

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

Chapter

4

Special Procedures

Commodity • Lumber

Contents

Introduction **4-1-1**
Inspection of Containerized Lumber **4-1-1**

Introduction

These special procedures cover inspecting lumber. The procedures are an acceptable basis for certification and should be adopted as a standard by all PPQ work locations. These special procedures supplement the general inspection guidelines detailed under Verifying Import Requirements on page 3-4-1.

Inspection of Containerized Lumber

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

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

If a shipment of containerized lumber is **not** in compliance with the phytosanitary import requirements of the importing country, provide the reason why certification was denied to the ACO located nearest the originating lumber mill. That ACO is responsible for visiting the lumber mill to correct practices that resulted in the certification denial.

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

- Concentrate on examining the exposed edges and butt ends of the lumber
- If there is evidence of bark or rounded surface tissue when certifying the lumber under the square-edged criteria, refuse to certify
- If the readings are between 15 to 20% when determining the moisture content of containerized lumber, apply the moisture meter prongs to the butt ends of the boards and take additional readings on the boards parallel to the grain
- Inspect the containerized lumber as thoroughly as possible without removing any bundles of lumber from the container
- Use a flashlight to help examine the lumber

Chapter 4

Special Procedures

Commodity • Cotton

Contents

Introduction **4-2-1**
Issuing a PPQ Form 577 for Baled Compressed Cotton **4-2-1**
National Cotton Compliance Agreement **4-2-3**

Introduction

PPQ has updated the nationwide template for establishing compliance agreements with the cotton industry. **Do not** change or modify the revised version of the template listed in this section. A fillable National Cotton Compliance Agreement is available. Authorized Certification Officials (ACOs) should contact Mike Ward, Senior Accreditation Programs Manager, through the communication protocol listed in Appendix A, if they have questions or concerns regarding the national compliance agreement for the cotton industry.

Issuing a PPQ Form 577 for Baled Compressed Cotton

Cotton warehouses may be under a compliance agreement to conduct the phytosanitary inspection necessary to issue a PPQ Form 577. Below are general guidelines on how to certify baled compressed cotton when the inspection is conducted by a warehouse under compliance.

1. Receive and review PPQ 572 from exporter or designated agent. The PPQ 572 **must** have the name and address of the warehouse that conducted the inspection, inspection results, and the date of the inspection.
2. Verify the warehouses listed on the PPQ 572 are currently listed on the cotton compliance agreement database. If **not** in the database, contact your Export Certification Specialist (ECS).
3. Verify that the number of inspected bales equals the number of inspected bales to be placed on the PPQ Form 577.
4. Issue the PPQ Form 577.
5. PCIT users are **not** required to maintain physical copies as long as the document is attached in PCIT. Retain all paper copies from compliant warehouses with the multi-part paper file copy of PPQ Form 577.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for this information collection are 0579-0054, 0088, 0129, 0198, 0257, 0310, 0317, 0322, 0337, 0346, 0363, and 0369. The time required to complete this information collection is estimated to average 1.25 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

OMB APPROVED 0579-0054/0088/0129/0198/0257/0310/0317/0322/0337/0346/0363/0369

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

COMPLIANCE AGREEMENT

1. NAME AND MAILING ADDRESS OF PERSON OR FIRM

2. LOCATION

3. REGULATED ARTICLE(S)

Densely Packed Baled Cotton

4. APPLICABLE FEDERAL QUARANTINE(S) OR REGULATIONS

7 CFR 353

5. I / WE AGREE TO THE FOLLOWING:

(See National Cotton Compliance Agreement on pages 2-5)

This agreement expires one year from the signing date of issuance in block 10. Edits or changes to the original form of this document are prohibited.

6. SIGNATURE

7. TITLE

8. DATE SIGNED

9. AGREEMENT NUMBER

The affixing of the signatures below will validate this agreement which shall remain in effect until canceled, but may be revised as necessary or revoked for noncompliance.

10. DATE OF AGREEMENT

11. PPQ/CBP OFFICIAL (NAME AND TITLE)

12. ADDRESS

13. SIGNATURE

14. U.S. GOVERNMENT/STATE AGENCY OFFICIAL (NAME AND TITLE)

15. ADDRESS

16. SIGNATURE

PPQ FORM 519
SEP 2012

Previous editions before 2010 are obsolete.

Figure 4-2-1 PPQ Form 519, Compliance Agreement

National Cotton Compliance Agreement

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

NATIONAL COTTON COMPLIANCE AGREEMENT STIPULATIONS

In authorizing and participating in the treatment of uniform densely packed baled cotton[1] as a basis for the certification of regulated articles, no liability shall be attached either to the United States Department of Agriculture, to cooperating agencies, or to any of their employees.

The participant will handle, process, and move regulated articles in accordance with instructions. The participant will maintain and offer for inspection such records as may be required. The participant will carry out all additional conditions, treatments, procedures, precautions, and sanitary measures which may be required by the Authorized Certification Official (ACO):

1. The participant will load for export **only** densely packed cotton bales requiring phytosanitary certification.
2. The participant will visually inspect each shipment using the attached hypergeometric sampling chart (see Table 4-2-1 on page 4-2-6) to ascertain that the bales are free from living insects, cottonseed, soil, plant material, or other contaminants. To verify through random sampling that the bales are densely packed. The integrity of the bale wrapping **must** be maintained to prevent contamination of the cotton with soil, grease, etc.
3. The participant will load **only** cotton that **must** be stored and **must** be entered into the inventory of warehouse(s) party to this agreement.
4. The participant will load **only** clearly marked bales that have been kept segregated from uncompressed cotton into clean containers, box cars, or other equipment. Marking **must** include, but is **not** limited to the Permanent Bale Identification (PBI) tag.
5. Containers, box cars, or other equipment with less than a full load of compliant warehouse origin cotton **must** be reinspected at a port of export by Federal, State, or County ACOs if commingled with non-compliant cotton.

1 Densely packed baled cotton is defined as a minimum compression rate of 22 pounds of lint per cubic foot (352.4 kg of lint per cubic meter).

6. Cotton inspected at the compliant facility may **only** be offloaded into another container, box cars, or other equipment with prior approval from Federal, State or County ACOs. Offloading without prior approval will invalidate the previous inspection.
7. The participant will maintain files of shipping documents showing the number of bales, marks, weight and origin by State of each bale, signed and completed PPQ Form 572 and the signature of the manager or their authorized agent. Such files will be made available for inspection upon request by Federal, State, or County ACOs. PCIT users are **not** required to maintain physical copies as long as the document is attached in PCIT. Files of each shipment **must** be maintained for three years even if participant is **no** longer active in the program.
8. The participant will, after completion of the inspection and loading, send the signed PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export, to the applicant requesting the inspection. The applicant shall contact Federal, State, or County ACOs by submitting the completed and signed PPQ Form 572 for each shipment.
9. Federal, State, or County ACOs reserve the right to periodically inspect operations, facilities and individual shipments of cotton shipped under this agreement. Such inspections may occur without prior notice to the warehouse official, but shall occur during normal duty hours.
10. Compliance agreements are non-transferable. If the participant leaves his/her present employer or company, the compliant warehouse **must** notify the local Federal, State or County ACOs within fourteen (14) days of the occurrence in writing.
11. With the signature below, the participant undertakes the responsibility for compliance for all conditions in the compliance agreement, and for all persons the participant directly supervises who may be involved with the inspection of the densely packed baled cotton.
12. The person who undertakes the responsibility for the compliance of the warehouse will maintain a list of all trained personnel who have the authority under this agreement to inspect and sign the inspection report. A current and updated list of signatures will be kept on file with Federal, State, or County ACOs.
13. Training and review of the conditions of this agreement will be conducted annually or as conditions warrant. Such training and reviews will be provided by Federal, State, or County ACOs to individuals who sign as a participant to this agreement.
14. The USDA reserves the right to modify the conditions of this agreement in order to meet any changes in phytosanitary import requirements of a foreign country(s). USDA will contact Federal, State, or County ACOs with the new importation requirements.

15. Verification of a facility and individual's participation in the National Cotton Compliance Agreement Program is required prior to issuance of a PPQ Form 577 for which a completed and signed PPQ Form 572 has been received. Federal, State, or County ACOs **must** verify the signature on the PPQ Form 572 with the signature on file.
16. This compliance agreement may be cancelled for repeated violations of the conditions of this agreement. Notification of each violation, major and minor, shall be communicated to the facility and responsible individual(s) by local Federal, State, or County ACOs in writing. All violations **must** be corrected within fourteen (14) business days. Facilities receiving three (3) major or five (5) or more minor violations in a twelve (12) month period shall have their compliance agreement cancelled. Such cancellation shall be made in writing and with thirty (30) business days prior notice.

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

    A. Certifying for export cotton **other than** densely packed bales

    B. Receipt of notification of non-compliance from a foreign country, for which a violation is confirmed

    C. Unauthorized signature on PPQ Form 572

    D. PPQ Form 572 signed at non-compliant facility or by an unauthorized person at a compliant facility

    E. Absence of marking(s) (must include, but is not limited to the Permanent Bale Identification (PBI) identifier)

    F. Failure of a facility to timely notify Federal, State, or County ACOs of changes in personnel who sign as party to this agreement within fourteen (14) business days

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

    A. Absence of or errors in marks as described on a PPQ Form 577

    B. Any loss of the integrity of the bale wrapping that leads to the contamination of the cotton with soil, grease, etc.

    C. Incomplete or inaccurate PPQ Form 572 signed by authorized individuals party to this agreement
17. Affected facilities may reapply for participation in the National Cotton Compliance Agreement Program after a six (6) month waiting period and successful completion of official USDA training program.

Table 4-2-1 Hypergeometric Table for Random Sampling

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

Chapter

4

Special Procedures

Commodity • Grain (Federal Grain Inspection Service (FGIS))

Contents

Introduction **4-3-1**
FGIS Official Agencies **4-3-2**
FGIS Inspections **4-3-2**
Species that FGIS Can Inspect **4-3-4**
FGIS Documentation **4-3-4**
FGIS Treatments **4-3-5**
Determining Eligibility For Certification **4-3-5**
Completion of PPQ Forms 577 or 579 for Grain Products **4-3-6**
Other FGIS Documents **4-3-8**
Memorandum of Understanding (MOU) **4-3-9**

Introduction

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

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

NOTICE

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

FGIS Official Agencies

In addition to FGIS inspectors, FGIS has designated private and State agencies to perform official inspection services at domestic location and delegated some state agencies to perform official inspection services at export port locations. For a list of such agencies, refer to Finding a Service Provider.

FGIS Inspections

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

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

The issuance of PPQ Form 577 or 579 for grain will be based on FGIS inspection results recorded on FGIS 921-2. An original or photocopy of the FGIS Form 921-2 is acceptable and must be kept on file with the Issuing Office copy of the PPQ Form 577 or 579. It is the applicant's responsibility to request an FGIS Form 921-2 from FGIS. See Appendix F for an example of FGIS Form 921-2, Inspection Report–Insects in Grain.

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

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

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

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

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

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

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

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

NOTICE

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

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

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

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

Species that FGIS Can Inspect

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

Table 4-3-1 Species that FGIS Can Inspect

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

NOTICE

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

NOTICE

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

A listing of FGIS service providers is available on the FGIS webpage.

FGIS Documentation

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

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

FGIS Treatments

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

NOTICE

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

Determining Eligibility For Certification

ACOs can determine their phytosanitary actions by using Table 4-3-2 for all grain inspected by FGIS.

Table 4-3-2 Determine Action to Take on Grain Inspected by FGIS

If FGIS found:	And:	And the pest is:	And the consignment:	Then:
No insects	→			GO to Table 4-3-3
Live insects	Fumigation was noted on FGIS Form 921-2	→		
	Fumigation was **not** noted on FGIS Form 921-2	Regulated	Was treated	
			Was **not** treated	REFUSE to issue PPQ Form 577 or 579
		Non-regulated and designated as “infested” on the FGIS Form 921-2	Was treated	GO to Table 4-3-3
			Was **not** treated	REFUSE to issue PPQ Form 577 or 579
		Non-regulated and **not** designated as “infested” on the FGIS Form 921-2	→	GO to Table 4-3-3

Table 4-3-3 Determine Whether to Issue PPQ Form 577 or 579

If the consignment:	Then:
Meets all the country's phytosanitary requirements	ISSUE PPQ Form 577 or 579
Does **not** meet all the country's phytosanitary requirements	REFUSE to issue PPQ Form 577 or 579

Completion of PPQ Forms 577 or 579 for Grain Products

FGIS has the authority to provide phytosanitary inspections of grain and processed grain products. In addition to inspecting grain (milled or not), FGIS is authorized to provide phytosanitary inspections for the grain products listed in Table 4-3-4 on page 4-3-7.

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

NOTICE

Never identify a commodity to a level below the species classification (e.g., variety, cultivar) unless listed and required as such in an export summary.

Do not list or refer to any of the following:

- Grades
- Intended uses
- Other commercial terms
- Sizes
- Trade names

Table 4-3-4 Completion of PPQ Forms 577 or 579 for Grain Products

If the block is:	Then follow these instructions to complete PPQ Form 577 or 579:
9. NAME OF PRODUCE AND QUANTITY DECLARED	Enter the common name of the commodity then the following as appropriate (for example, “oat bran”) ◆ (bran) ◆ (brewers dried grains) ◆ (cakes) ◆ (cubes) ◆ (distillers dried grains) ◆ (dried) ◆ (ground) ◆ (feed) ◆ (flakes) ◆ (flour) ◆ (gluten feed) ◆ (gluten meal) ◆ (gluten pellets) ◆ (grits) ◆ (groats) ◆ (malted grain) ◆ (meal) ◆ (middling) ◆ (middling pellets) ◆ (pellets) ◆ (rolled)
10.BOTANICAL NAME OF PLANTS	Enter **only** the botanical name of the commodities eligible for FGIS inspecton: *Avena sativa, Avena byzantina, Brassica napus, Glycine max, Helianthus annuus, Hordeum vulgare, Lens culinaris, Linum usitatissimum, Oryza sativa, Phaseolus* spp.[1] *Pisum sativum, Secale cereale, Sorghum bicolor, Triticosecale* spp.*, Triticum aestivum, Triticum compactum, Triticum durum, Vigna radiata, and Zea mays*

1 Beans include any commodity designated as “bean” by FGIS on an FGIS From 921-2.

Other FGIS Documents

There are isolated cases when, in addition to the FGIS Form 921-2, Inspection Report–Insects in Grain, an FGIS certificate is required. PExD will state when other FGIS certificates are required. The FGIS Form 921-2 is an inspection report, **not** a certificate.

NOTICE

Except for FGIS certificates issued for beans and rice, FGIS certificates issued for official inspections of exports will show the FGIS seal in the center of the certificate. The seal indicates the grain was officially sampled and inspected by FGIS or an official agency working under GIPSA authority.

If PExD states that an FGIS certificate is required, use Table 4-3-5 to determine if the FGIS certificate presented is acceptable.

Table 4-3-5 Determine if You Can Use the FGIS Certificate to Issue a PPQ Form 577 or 579

If the sample and inspection was:	Then the FGIS certificate will be:
"Official"	WHITE and can be used as the basis for issuing PPQ Form 577 or 579
"Submitted" (**not** officially sampled)	PINK and **cannot** be used as the basis for issuing PPQ Form 577 or 579
A "warehouse sample" (**not** officially sampled)	YELLOW and **cannot** be used as the basis for issuing PPQ Form 577 or 579

NOTICE

Official Grain Inspection Certificates, Official Sample - Lot Inspection, provided by official agencies of FGIS differ from those provided by FGIS. However, an FGIS seal **must** be visible in the center of the certificate.

Memorandum of Understanding (MOU)

Between the
Grain Inspection, Packers and Stockyards Administration (GIPSA)
and the
Animal and Plant Health Inspection Service (APHIS)
Plant Protection and Quarantine (PPQ)

Article I - Purpose

The Grain Inspection Packers and Stockyards Administration (GIPSA) and the Animal and Plant Health Inspection Service (APHIS) have certain related objectives in the discharge of their responsibilities associated with export shipments of U.S. grain and related products from U.S. and Canadian ports. This document revises an Agreement dated November 05, 1981 between the Federal Grain Inspection Service (FGIS), which is now part of GIPSA, and APHIS/Plant Protection and Quarantine (PPQ). The original agreement was intended to improve GIPSA/APHIS collaboration, and in turn, the efficiency of phytosanitary certification of U.S. grain exports. This document updates the original agreement by providing updated procedures and responsibilities for the phytosanitary inspection and certification of export grain and related products.

Article II - Background

The United States is a signatory to the International Plant Protection Convention (IPPC) of the Food and Agriculture Organization (FAO). The IPPC develops and adopts International Standards for Phytosanitary Measures (ISPMs) by which an importing country may require a phytosanitary certificate for certain agricultural products. Under the IPPC, the National Plant Protection Organization (NPPO) of the exporting country is responsible for establishing and maintaining a national export certification system to produce valid and credible phytosanitary certificates.

APHIS/PPQ is delegated responsibility under Section 108 of the United States Department of Agriculture’s Plant Protection Act (PPA) of 2000 to inspect plants and plant products offered for export and to certify to the NPPO of the importing country that such products are free of plant pests in accordance with its phytosanitary requirements.

GIPSA provides quality inspections of grains, rice, pulses, legumes, and related products and processed by-products under the U.S. Grain Standards Act (USGSA) and Agricultural Marketing Act (AMA), and in doing so, provides APHIS with the pest status of consignments. APHIS uses this information to issue a phytosanitary certificates for these commodities.

(The term grain shall mean all products for which GIPSA is responsible for under the USGSA and AMA.) GIPSA carries out its inspection responsibilities through Federal and licensed non-Federal personnel. For the purposes of this document, the term GIPSA will be used to refer to GIPSA or its official inspection personnel.

Article III - Authorities

Title 7, Section 79(e)(1) (Inspection of Exports), of the USGSA, for official inspection personnel employed by the Secretary, or other persons under contract with the Secretary, to officially inspect at export port locations, all grain required or authorized to be inspected.

Section 418 (Certification for Exports), Public Law 106-224, of the PPA to inspect plants and plant products offered for export and to certify to the NPPO of the importing country that such products are free of plant pests in accordance with the phytosanitary requirements of foreign countries; and

Section 431(a) (Cooperation), Public Law 106-224, of the PPA to cooperate with other Federal agencies, the government of foreign countries, international organizations or associations, States and their political subdivisions, farmer's associations and similar organizations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests and diseases.

Article IV - Mutual Responsibilities & Understanding

It is mutually understood and agreed to/that:

A. APHIS/PPQ and GIPSA will maintain a working relationship with each other ensuring mutual cooperation and understanding in executing this MOU.

B. GIPSA will charge a fee to the applicant for services related to phytosanitary inspection as warranted.

Article V - Aphis Responsibilities

A. APHIS/PPQ will specify the specific grains GIPSA and their official service providers can inspect for phytosanitary purposes.

B. PPQ will:

   1. Provide technical pest identification training for at least two supervisors from each GIPSA location responsible for activities under this MOU.
   2. Periodically monitor the accuracy of pest identification performed by GIPSA and official service providers; and,
   3. Identify all live insects, larvae, and other pests which cannot be identified by GIPSA.
   4. Provide vials, envelopes, etc., required for the submission of specimens.

C. PPQ will be the primary contact point for applicants requesting phytosanitary certification and will provide all necessary information to enable applicants to obtain phytosanitary certification.

D. PPQ will not, except under special circumstances (e.g., analysis for plant pathogens, etc.):

   1. Inspect grain at elevators or on waterborne carriers; or
   2. Request official sublot or composite samples of grain.

E. PPQ may ask GIPSA to furnish official samples, copies of inspection logs, official grain inspection certificates, or other inspection information (Inspection Report - Insects in Grain, Form FGIS 921-2) for review and will:

1. Issue a Federal Phytosanitary Certificate; or
2. Inform GIPSA and the applicant or their agent of circumstances that prevent the issuance of a phytosanitary certificate.

PPQ will maintain the integrity of any official samples obtained from GIPSA and official service providers and return such samples as soon as possible.

Article VI - GIPSA and Official Service Provider Responsibilities

A. General:

1. GIPSA personnel shall accept applications from applicants for phytosanitary inspections and perform the requested service. applicants must provide GIPSA with the importing country's phytosanitary requirements.
2. GIPSA personnel shall, in accordance with prescribed GIPSA procedures, examine officially drawn samples for live insects, larvae, and other pests prohibited by the country of destination.
3. GIPSA personnel will record on Form FGIS 921-2, "Inspection Report - Insects in Grain", pertinent information about any detection of adult insects, larvae, or other pests.
4. GIPSA personnel will notify APHIS/PPQ of live insects or other pests that cannot be accurately identified. Once APHIS/PPQ has been notified, the applicant shall arrange for transportation of the pests to APHIS/PPQ for identification. Official personnel shall secure and preserve the identity of any specimens sent to APHIS/PPQ.
5. Official personnel shall preserve the identity of these pests until such time as they are turned over to APHIS/PPQ. When submitting pests to APHIS/PPQ for identification, the specimens shall be identified by:
   a. Name of applicant;
   b. Mode of transportation and identification of carrier;
   c. Kind of grain;
   d. Date found;
   e. Sublot number, if applicable
   f. Quantity of grain represented by the sample, subsample, component sample, or sublot sample;
   g. Hold number (s), if applicable; and
   h. Country of destination.

6. Upon request of APHIS/PPQ, GIPSA personnel shall witness the fumigation of grain infested with insects that are prohibited by the country of destination, in accordance with established procedures in the GIPSA Fumigation Handbook.
7. Upon request of APHIS/PPQ, GIPSA personnel may re-inspect grain for infestation after fumigation, in accordance with the established GIPSA procedures.
8. Upon request of APHIS/PPQ, GIPSA personnel shall witness the fumigation of grain infested with insects prohibited by the country of destination. The fumigation procedures shall be identical to the procedures outlined in the GIPSA Fumigation Handbook. For purposes of phytosanitary certification, the fumigation procedure shall be witnessed even if the grain is not considered "Infested" under the United States Grain Standards Act, or designated as "Sample Grade" due to insect infestation for products inspected under the Agricultural Marketing Act.
9. When grain is infested with prohibited insects and the affected shiphold(s) cannot be fumigated because:
   a. The ship does not meet the requirements for on-board fumigation as outlined in the GIPSA Fumigation Handbook, or
   b. The receiving country will not accept grain which has been fumigated.

   GIPSA personnel shall, upon request of APHIS/PPQ, witness the complete removal of the infested grain.
10. GIPSA personnel will issue FGIS 921-2 Form to reflect the phytosanitary condition of any lot infested with insects when the affected containerized shipment cannot be fumigated.
11. GIPSA personnel will report to APHIS/PPQ any incidence of live or dead *Trogoderma granarium* (khapra beetle).
12. Additional file samples for phytosanitary inspections are not required. Official file samples may be forwarded to APHIS/PPQ if needed. GIPSA personnel shall maintain a record of all official file samples furnished to APHIS/PPQ.
13. Upon completion of inspection, GIPSA personnel shall promptly provide the completed Form FGIS 921-2, "Inspection Report - Insects in Grain" for the shipment directly to the applicant for service, or mail, fax, or electronically submit a completed copy of the Form FGIS 921-2, "Inspection Report - Insects in Grain" to the APHIS/PPQ office that will issue the phytosanitary certificate. Upon request, a completed copy of Form FGIS 909 and/or Form FGIS 909-2, "Official Export Grain Inspection Certificate," or Form FGIS 917, "Official Grain Inspection and Weighing Certificate," or other approved official certificate shall also be submitted.

    To expedite the issuance of a phytosanitary certificate by APHIS/PPQ, GIPSA personnel may telephone their findings to the APHIS/PPQ office that will issue the phytosanitary inspection certificate.

B. Reporting procedures for U.S. grain in Canadian ports:

When a phytosanitary inspection is completed, regardless of whether it is performed in conjunction with an inspection for official grade, a completed copy of Form FGIS 921-2, "Inspection Report - Insects in Grain," shall be promptly mailed, faxed, or electronically transmitted to the Duluth, Minnesota office of APHIS/PPQ.

Upon request, a completed copy of Form FGIS 909, "Official Export Grain Inspection Certificate," and a completed copy of Form FGIS 916, "Official Certificate," shall be promptly mailed, faxed, or electronically transmitted to:

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

Article VII - Application Procedures

C. U.S. Grain in Canadian Ports: This section applies only to phytosanitary inspection services on U.S. grain shipped through Canadian ports including, but not limited to, Baie Comeau, Montreal, Port Cartier, Quebec City, Sorel, and Trois Rivieres.

Applicants requesting phytosanitary inspection services should check the "other closely related services" block on Form GIPSA 907, "Application for Inspection and Weighing Services" and write "phytosanitary." applicants or their agents must apply for phytosanitary inspection services with the APHIS/PPQ field office at the following address:

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

D. Export Grain at U.S. locations: Applicants requesting phytosanitary inspection services for grain shipped from export ports and other domestic locations in the United States shall apply with the appropriate APHIS/PPQ office or GIPSA.

Article VIII - Statement of No Financial Obligation

Signature of this MOU does not constitute a financial obligation on the part of APHIS or GIPSA. Each signatory party is to use and manage its own funds in carrying out the purpose of this MOU. Transfers of funds or items of value are not authorized under this MOU.

Article IX - Limitations of Commitment

This MOU and any continuation thereof shall be contingent upon the availability of funds appropriated by the Congress of the United States. It is understood and agreed that any monies allocated for purposes covered by this MOU shall be expended in accordance with its terms and the manner prescribed by the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement must be developed by the parties.

Article X - Congressional Restriction

Under 41 USC 22, no member of or delegate to Congress shall be admitted to any share or part of the MOU or to any benefit to arise therefrom.

Article XI - Amendments

This MOU may be amended at any time by mutual agreement of the parties in writing.

Article XII - Termination

This MOU may be terminated by either party with sixty (60) days written notice to the other party.

Article XIII - Effective Date and Duration

This MOU will be in effect upon date of final signature and will continue for 5 years.

Chapter

4

Special Procedures

Commodity • Seed

Contents

Sampling Seed **4-4-1**
Equipment Needed to Sample Seed **4-4-1**
Steps to Sample Seed **4-4-2**
Safety Precautions for Sampling and Inspecting **4-4-6**
Seed Shipments **4-4-6**

Sampling Seed

Equipment Needed to Sample Seed

To collect the seed samples, make sure you have the equipment listed below:

- Cartridge type dust mask (to avoid breathing pesticide if the seed is treated)
- Cloth (something the length of the trier to empty subsamples onto)
- Container (must hold at least a quart of seed)
- Knife
- Marking pen
- Protective gloves (to prevent skin exposure when sampling dusted seed)
- Tape (to close opened containers)
- Trier

Steps to Sample Seed

Follow these steps to sample the seed:

Step 1: Determine sample size.

Refer to Table 4-4-1 as a guide.

Table 4-4-1 Amount of Seed to Collect from Each Lot[1]

If the seed is in:	And the seed is classified as:	Then:
Bags or bulk	Agricultural (Refer to the list of agricultural seed in 7 CFR 361.1)	1. COLLECT 1 **quart** of seed 2. CONTINUE to **Step 2**
	Vegetable (Refer to the list of vegetable seed in 7 CFR 361.1)	1. COLLECT 1 **pint** of seed[2] 2. CONTINUE to **Step 2**
	Other (**not** included in either of the above lists)	
Small packets or hermetically sealed containers (5 pounds or less)	→	1. COLLECT 1/4 **pint** of seed[3] 2. CONTINUE to **Step 2**

1 If two or more different agricultural or vegetable seeds are mixed in a bag or in bulk, treat as one lot for sampling purposes.

2 If the lot consists of 5 pounds or less, collect 1/4 pint of seed.

3 When the lot of seed to be sampled is comprised of seed in small containers or individual packets that **cannot** practically be sampled, submit enough of the entire unopened containers or packets to supply a sample that meets the minimum size requirements of the classification of that type of seed.

If the lot of seed itself is less than 1/4 pint, randomly inspect a minimum of 2% of the entire lot.

Step 2: Compute how many subsamples to draw.

Once you determine your sample size, you **must** then calculate how many subsamples to draw to ensure a representative sample.

NOTICE

When sampling seed, return the excess seed to its original container after you have completed your sampling. **Never** mix seed from different lots before returning your samples. Be careful **not** to spill seed.

To compute how many subsamples to draw, you need to determine how the seed is packaged:

Table 4-4-2 Computing Number of Subsamples Based on Seed Packaging

If the seed is in:	Then:
Bags or other non hermetically sealed containers	Compute subsample using **2.A** and Table 4-4-3 on page 4-4-3
Bulk	Compute subsample using **2.B** and Table 4-4-3 on page 4-4-3

2.A (seed in bags or other non hermetically sealed packages):
If the seed is packaged in bags, use Table 4-4-3 to compute how many subsamples to draw. If the number of subsamples you draw **does not** provide enough seed for an adequate sample, draw the additional seed you need.

Table 4-4-3 Determining How Many Subsamples to Draw from Seed in Bags

If the number of bags or packages in the shipment is:	Then draw this many subsamples to make your sample:	If the number of bags or packages in the shipment is:	Then draw this many subsamples to make your sample:
1 to 6	5	125 to 134	18
7 to 14	6	135 to 144	19
15 to 24	7	145 to 154	20
25 to 34	8	155 to 164	21
35 to 44	9	165 to 174	22
45 to 54	10	175 to 184	23
55 to 64	11	185 to 194	24
65 to 74	12	195 to 204	25
75 to 84	13	205 to 214	26
85 to 94	14	215 to 224	27
95 to 104	15	225 to 234	28
105 to 114	16	235 to 244	29
115 to 124	17	245 or more	30

Do not sample more than 30 bags per lot. If there are fewer than 5 bags in the lot, you must still draw 5 subsamples.

Go to Step 3: Draw the subsample. on page 4-4-4.

2.B (bulk seed): If the seed is being shipped in bulk (unpackaged or loose), use this calculation and the preceding table to compute how many subsamples to draw.

a. Determine the weight of the lot.

b. Divide the weight of the lot by 100.

c. Take the result obtained by your division (consider this figure as the "equivalent number of bags") and go back to the previous Substep (**2.A**) to determine how many subsamples to draw. Refer to the example below.

EXAMPLE

How many subsamples would you draw from a 2,000 lb. bulk shipment of oats?

Treat the shipment as a single lot:

1. The weight of the lot is 2,000 pounds.
2. 2,000 ÷ 100 = 20 (the equivalent number of bags).
3. Twenty falls between 15 and 24 on the matrix—which directs you to draw 7 subsamples.

d. Go to Step 3.

Step 3: Draw the subsample.

1. Check the label or invoice to learn if the seed was treated. If the seed is brightly colored (blue, orange, or pink are common), assume it was treated regardless of what the label says.

CAUTION

If you know or believe the seed is treated, **take these precautions**:

• Avoid wiping your mouth or nose with your hands

• Use plastic gloves and a dust mask

• Wear eye protection

• Wear protective coveralls

2. Determine if the seed is coated, pelleted, or preplanted (anything that would make it impracticable to inspect the seed or tell what it is). **Do not** certify *pelletized* or *embedded* seeds unless you can inspect the seeds before treatment and still meet the required time limits (an option would be to inspect the non-pelletized portion of the same lot of seed and issue an export certificate based on those results). This would **not** include seed that is merely dusted or coated with ingredients such as rhizobia, dyes, or pesticides. *You can inspect treated seeds because the seeds are visible through the chemical substance*.
3. Draw your subsamples randomly. If sampling a bulk shipment, draw your subsamples at equal intervals throughout the shipment.
4. If you're sampling a single bag, **do not** make more than a single hole with the trier; merely move the trier in different directions to collect the seed.
5. Insert the trier (with the holes down and closed) into the seed. It is better to enter the bag near its top to prevent spillage. If the seed is too large, **does not** flow freely, or the trier **cannot** penetrate the container, sample by hand.
6. Rotate the inner sleeve of the trier to open the holes.
7. Lightly move the trier back and forth to get the seed into the trier.
8. Rotate the inner sleeve of the trier to close the holes.
9. Remove the trier from the bag or bulk seed.
10. Close the holes in the bag made by the trier. If a burlap or cloth bag, close the hole by moving the tip of the trier over the weave. If a paper bag, close the hole with a pressure-sensitive label or masking tape.
11. Combine the seed in a plastic bag or other container large enough to hold all the subsamples.

12. Mix the seed thoroughly to blend the subsamples. Collect enough seed to have a sufficient amount to analyze (computed in Step 1: Determine sample size. on page 4-4-2).
13. If the seed is treated, wipe off the trier and then wash your hands, face, and arms with soap and water.

After collecting the sample, go to Step 4.

Step 4: Inspect the sample.

If the foreign country has no specific seed testing requirements, visually inspect the sample you have collected. Look for live pests, pathogens, plant debris, soil, weed seeds, etc. Inspect the entire sample.

When inspecting small lots of seed, pour seeds from packets onto white or dark colored paper (contrasting the color/type of seed). This technique is a common way to spot contaminants. Inspect one packet at a time so others aren't contaminated and proper amounts are returned to packets.

Use Table 4-4-4 to determine the correct action to take. If the foreign country has specific seed testing requirements, go to Step 5: Submit the sample. on page 4-4-6.

Table 4-4-4 Inspecting the Sample

If you find:	And:	Then:
No evidence of live pests, pathogens, plant debris, soil, weed seeds, etc.	→	ISSUE PPQ Form 577 or 579[1]
Evidence of live pests, pathogens, plant debris, soil, weed seeds, etc.[2]	A method of cleaning or treating the seed is available and acceptable to the applicant and the foreign country	1. OFFER the applicant the option to recondition the seed 2. RE-INSPECT the sample
	No method of cleaning or treating the seed is available or acceptable to the applicant and the foreign country	1. REFUSE to issue PPQ Form 577 or 579 2. EXIT this manual

1 Refer to Completing PPQ Forms 577 and 579 on page 3-5-1 for further information.

2 You may offer the applicant the option of getting contaminants and pests identified instead of proceeding directly to cleaning or treating the seed. Refer to Table 3-4-6 on page 3-4-9 for further information.

NOTICE

Samples from commercial lots of seed may be extremely valuable. Return all samples to the applicant, being careful to note the lot numbers so that they may be returned to the original seed lot from which they were obtained.

Step 5: Submit the sample.

If the foreign country has specific seed testing requirements, submit the seed sample to an accredited facility for testing. Refer to Seed Sampling and Testing on page 2-1-11 for further information.

Safety Precautions for Sampling and Inspecting

PPQ follows safety guidelines of the Emergency Preparedness and Response, Health and Safety Plan (HASP) located on the USDA-APHIS-PPQ website.

Seed Shipments

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

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

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

WARNING

Always follow Safety Precautions for Sampling and Inspecting on page 4-4-6.

Seeds **cannot** be certified based **only** on the fact that the seeds have been treated and/or vacuum packed. Appropriate seed sampling and inspection **must always** be conducted.

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

Chapter

4

Special Procedures

Commodity • Seed Potatoes

Contents

Introduction **4-5-2**
State National Harmonization Program MOU Template **4-5-3**
- Article 1 - Purpose **4-5-3**
- Article 2 - Authority **4-5-3**
- Article 3 - Definitions **4-5-3**
- Article 4 - Uniform Requirements for Seed Certification **4-5-4**
- Article 5 - Cooperator Responsibilities **4-5-4**
- Article 6 - APHIS Responsibilities **4-5-5**
- Article 7 - Statement of No Financial Obligation **4-5-5**
- Article 8 - Security Guidelines **4-5-5**
- Article 9 - Limitation of Commitment **4-5-6**
- Article 10 - Congressional Restriction **4-5-6**
- Article 11 - Review and Amendment **4-5-6**
- Article 12- Termination **4-5-6**
- Article 13 - Effective Date And Duration **4-5-6**
- Article 14 - Temporary Derogation **4-5-6**

Export Standards for Seed Potatoes **4-5-7**
- Certification Basis **4-5-7**
- Limited Generation System **4-5-7**
- Planting Maintenance **4-5-7**
- Storage Facilities **4-5-8**
- Containers **4-5-8**

State Authority **4-5-8**
Responsibilities **4-5-8**
- Official State Seed Potato Certification Agency **4-5-8**
- Participating Growers **4-5-9**

Requirements for Classes of Certified Seed Potatoes **4-5-9**
- Pre-Nuclear Stock Seed Potatoes **4-5-9**
- Nuclear Stock Seed Potatoes **4-5-9**
- Generation 1—U.S. Export Seed Potatoes **4-5-10**
- Generation 2—U.S. Export Seed Potatoes **4-5-10**
- Generation 3—U.S. Export Seed Potatoes **4-5-10**
- Generation 4—U.S. Export Seed Potatoes **4-5-11**
- Generation 5—U.S. Export Seed Potatoes **4-5-11**

Refusal, Cancellation, and Rejection **4-5-12**
Grade and Identification **4-5-12**

Introduction

The following sections of the XPM deal with seed potatoes. The first section covers the State National Harmonization Program (SNHP) Memorandum of Understanding for seed potatoes. The SNHP was put together in a cooperative effort by APHIS, seed certification agencies, State Plant Regulatory Officials (SPROs), the National Plant Board, and industry groups. It was finalized in November 2006. States have been signing Memorandums of Understanding since 2007. Colorado, Minnesota, Oregon, and Washington have met all the requirements of the SNHP program.

One of the requirements of the SNHP Memorandums of Understanding is a Quality Manual (QM) from each participating state. The QM has the details about how the state plans to execute the requirements of the Memorandum of Understanding. A QM Review Committee has been formed and is made up of seed potato certification officials, National Plant Board members, and APHIS representatives. The committee works with each state to finalize its QM. A site visit is conducted to audit the state's program prior to final approval. The SNHP QM sets minimum requirements for interstate and export shipments of seed potatoes.

The second section covers Export Standards for Seed Potatoes. This section was developed several years ago and is not used often at this time. It may be that the SNHP Memorandum of Understanding will ultimately replace the Export Standards for Seed Potatoes; however the seed certification officials provided updates for this section in 2005 and the industry would like to retain this section at least until the SNHP is in full use by all states that export seed potatoes.

State National Harmonization Program MOU Template

for
Seed Potatoes
November 30, 2006
Memorandum of Understanding (MOU)
between the
{Insert Name of State or Other Entity} (Cooperator)
and the
United States Department of Agriculture (USDA)
Animal and Plant Health Inspection Service (APHIS)
Plant Protection and Quarantine (PPQ)

Article 1 - Purpose

This MOU provides for the cooperative participation between the parties to hereby establish, as a part of a State National Harmonization Program (SNHP) for seed potatoes, (1) minimum standards set by state authority for certification of seed potatoes in order to facilitate interstate shipment and export and (2) cooperation in pest management.

The purpose of this MOU is to establish, as part of the SNHP for seed potatoes, harmonized standards to control the spread of disease through state certification programs for seed potatoes. This SNHP for seed potatoes allows for uniform minimum phytosanitary standards that may enhance uniformity and quality in seed potatoes shipped between states; may lead to the enhanced marketing of high quality commercial potatoes grown in the United States; and may enhance international marketing of quality seed potatoes exported from the United States.

Article 2 - Authority

APHIS is authorized by the Plant Protection Act, Pub. L. No. 106-224, § 431, 114 Stat. 438, 451, (2002) to cooperate with other Federal agencies, the governments of foreign countries, international organizations or associations, states or their political subdivisions, farmer's associations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests or noxious weeds.

{Insert State Authority, if so desired}

Article 3 - Definitions

1. **Seed potatoes:** potato plantlets, plants, stem cuttings, microtubers, minitubers, tubercles or tubers intended for planting.
2. **Line selected hill units:** tubers that have been taken from an identifiable production field and that have been developed through a series of plant selections, grow-outs and reselections based on plant or tuber characteristics.
3. **Limited generation system:** a scheme wherein eligible planting stock for each seed class is limited by compliance with established pest tolerances and a specified number of increases in the field.

4. **Regulated pest:** any pest that is controlled under the seed certification system of the cooperator.
5. **Free of regulated pests:** regulated pests are **not** present in numbers that can be detected using appropriate sampling, inspection, and testing procedures.
6. **Post harvest test:** winter grow-out or laboratory testing of harvested potatoes to verify that regulated pests meet applicable tolerances.
7. **Certifying Entity:** the seed certification entity in each state. This is the exclusively recognized seed potato certifying entity for each state, as listed below:

{Insert state seed certification entity and define structure and statutory authority}.

Article 4 - Uniform Requirements for Seed Certification

The cooperating parties agree that seed potatoes may be certified by the cooperator or its designee, under the SNHP if:

1. They are produced from:
   a. tissue culture potatoes that are free of regulated pests or
   b. other entry level materials such as line selected hill units or parent plants used in stem cuttings that are free of regulated pests;
2. They are produced under a limited generation system;
3. They have undergone at least two field inspections to ensure compliance with tolerances set forth in Annex 2 of this MOU;
4. They are subjected to post-harvest testing for recertification;
5. They are produced and stored in a cooperating state under the SNHP; and
6. Interstate shipments and exports departing from the state are inspected by the Cooperator's designated officials at the shipping point to verify lot identity and ensure compliance with all applicable phytosanitary requirements.

Article 5 - Cooperator Responsibilities

A. The cooperating state with a commercial seed production industry agrees to:

1. Designate *{Mr./Ms./Dr.—Insert full name}* as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU;
2. Recognize seed certification entities for each state participating in the SNHP;
3. Ensure that certification practices in their state conform fully to the requirements listed in Article 4 of this MOU;
4. Require that the designated seed certifying entity maintains adequate records relating to all aspects of the certification regime, including records to enable trace-back of the certified seed to its field generation and parent material and to ensure lot identification;
5. Require that any testing is performed using generally recognized diagnostic methods and protocols;

6. Provide to APHIS a quality manual describing seed certification procedures, pest tolerances, and testing methodologies, together with mechanisms for ensuring compliance. The quality manual shall consist of the most current certified seed potato standards for each certifying entity and a brief handbook outlining the various standards and protocols for disease testing;
7. Implement potato pest management plans and quarantine programs consistent with those listed in Annex 1 of this MOU; and
8. Require that certified seed produced within the state and offered for interstate and export sale meets the requirements of Article 4 of this MOU.

B. The Cooperator agrees to require that in-state growers who purchase seed from outside the state provide or maintain adequate records verifying that such seed meets the requirements of Article 4 of this MOU.

Article 6 - APHIS Responsibilities

APHIS agrees to:

1. Designate *{Mr./Ms./Dr.—Insert full name}* as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU;
2. Recognize the seed certification entity that is recognized by the Cooperator to certify seed potatoes under the SNHP if the state meets the requirements set forth in Articles 4 and 5 of this MOU;
3. Oversee the implementation of the Federal pest management plans listed in Annex 1 of this MOU;
4. Oversee the SNHP by reviewing records and audits performed by the Cooperator of certification facilities, procedures, and personnel to ensure conformance with the terms of this MOU;
5. Provide additional declaration for international export by attaching such additional declaration to the federal phytosanitary certificate for seed potatoes from Cooperator states stating that those seed potatoes meet the minimum standards established through the SNHP.

Article 7 - Statement of No Financial Obligation

Signature on this MOU does not constitute a financial obligation on the part of APHIS or the Cooperator. Each signatory party is to use and manage its own funds in carrying out the purpose of this MOU. Transfer of funds or items of value is not authorized under this MOU.

Article 8 - Security Guidelines

When connected to the USDA, APHIS network, comply with the security guidelines as outlined in the USDA Cyber Security Manual Series 3500; including USDA Departmental Manual (DM) 3515, “Privacy Requirements” and USDA DM 3525, “USDA Internet Use and E-Mail Security.” The Cooperator will **not** download any material (i.e., pictures, movies, or music files) bearing a copyright nor access any material defined as inappropriate in these regulations and directives.

Article 9 - Limitation of Commitment

This MOU and any continuation thereof shall be contingent upon the availability of funds appropriated by the Congress of the United States. It is understood and agreed that any monies allocated for purposes covered by this MOU shall be expended in accordance with its terms and the manner prescribed by the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement **must** be developed by the parties.

Article 10 - Congressional Restriction

Under 41 USC 22, **no** member of, or delegate to, Congress shall be admitted to any share or part of this MOU or to any benefit to arise therefrom.

Article 11 - Review and Amendment

The terms of this MOU, in particular the seed certification requirements in Article 4, the pest management plans in Annex 1, and the pest tolerances in Annex 2, shall be subject to periodic review and amendment. This MOU, including annexes, may be amended by mutual agreement of the cooperating parties in writing.

Article 12- Termination

This MOU may be terminated by either party upon 30 days written notice to the other party.

Article 13 - Effective Date And Duration

This MOU will be in effect upon date of final signature and will continue for five years from the date of signature.

If derogation for this cooperator is applicable, insert the following article, or similar language:

Article 14 - Temporary Derogation

Notwithstanding the requirements of Article 4.3 of this MOU, the tolerance for variety mix in *{Insert name of State}* will be *[xxx]*. This derogation will be in effect for a period of *{Insert number of years}* years following the date of signature.

The requirements of Article 4.6 will not apply to *{Insert name of State}* for a period of *{Insert number of years}* years following the date of signature.

_____

{Insert Name of Cooperator}

_____

{Insert name and title of signatory} Date

UNITED STATES DEPARTMENT of AGRICULTURE
ANIMAL and PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION and QUARANTINE

_____

{Insert name and title of signatory} Date

Annex 1: Federal Pest Management Plans

1. Golden Nematode Management Plan
2. Potato Necrotic Virus Management Plan

Annex 2: Maximum Tolerances, Final Field Test

Leafroll	Mosaic	Total Virus	BRR	Variety Mix
1%	2%	3%	0	0.5%

Export Standards for Seed Potatoes

The export standards for seed potatoes **do not** take the place of official State standards that apply to domestic seed potatoes.

When a grower requests export certification of seed potatoes, the official State seed potato certification agency should consult PPQ's *Export Program Manual* (XPM).

Certification Basis

Export certification of seed potatoes is based solely on visually inspecting a sample from each lot, which **must** meet the prescribed tolerances in these special procedures unless otherwise provided by a higher authority.

Visually inspect seed potatoes at least twice during each planting to ensure compliance with prescribed tolerances.

Limited Generation System

Export certification of seed potatoes is in conformance with the limited generation system specified by these special procedures.

Planting Maintenance

Plantings **must** be kept in a good growing condition, and general insect and seed pests **must** be kept under effective control.

When cultivating, irrigating, digging, grading, moving, using equipment, and performing other farming practices, suitable precautions **must** be taken to guard against the spread of disease and insect pests into or within plantings.

Storage Facilities

Each lot of U.S. export seed potatoes **must** be stored so as to preclude intermixing with any other class of certified seed potatoes.

U.S. export seed potatoes shall **not** be stored in the same storage facility with potatoes found to be infected with bacterial ring rot, *Clavibacter michiganensis* subsp. *sepedonicus*. Laboratories approved by USDA to test seed potatoes for the pathogen *Clavibacter michiganense* subsp. *sepedonicus* for export to Canada are listed on the APHIS Web site.

Containers

Containers used for harvesting, storing, and handling U.S. export seed potatoes **must** be new or cleaned and disinfected to the satisfaction of the official State seed potato certification agency.

Containers used for packaging and shipping U.S. export seed potatoes **must** be new.

State Authority

State authority for certifying seed potatoes resides with the State agency granted the authority by State law to carry out these regulatory functions.

Contact the Department of Agriculture of the State from which the seed potatoes originate for the name and address of the official State agency that possesses certification authority.

Responsibilities

PPQ and the Seed Certification Technical Committee (SCTC) will periodically review the U.S. export standards to ensure that they keep current with biological information and requirements of international trade. In cooperation with SCTC and industry representatives, PPQ will affect necessary changes in order to maintain viability and integrity of the U.S. export standards.

Official State Seed Potato Certification Agency

The official State seed potato certification agency is responsible for verifying that the requirements of these special procedures have been met within the limitations imposed by accepted State and industry standards.

Participating Growers

A participating grower **must** be a qualified seed potato grower raising certified seed potatoes in accordance with official State certification regulations. Farming, sanitation, and other seed production practices **not** addressed in these special procedures are the responsibility of the participating grower.

The participating grower **must** select the planting site for and properly maintain plantings of seed potatoes being grown subject to the provisions of the U.S. export standards.

Participating growers **must** maintain the identity and grade of each lot of certified seed potatoes in their possession in a manner approved by the official State seed potato certification agency.

Requirements for Classes of Certified Seed Potatoes

When a class of seed potatoes is specified as being eligible for certification, the stock was previously certified as the specified class by an official seed potato certification agency. All seed potatoes certified as such **must** be visually monitored in the field for trueness to plant type, and the tubers **must** be visually inspected after harvesting to verify plant type.

Pre-Nuclear Stock Seed Potatoes

To be eligible for certification as pre-nuclear (in-vitro production) stock seed potatoes, each explant **must** have been pathogen tested. Plantlets and microtubers **must** be produced in aseptic culture. During normal business hours, records **must** be available for inspection by representatives of the official State seed potato certification agency.

Nuclear Stock Seed Potatoes

To be eligible for certification as nuclear (greenhouse or controlled environment production) stock seed potatoes, plant material **must** have met the pre-nuclear requirements. At least 1% of this increase **must** be pathogen tested, **except** when there are fewer than 20 plants or minitubers. When there are fewer than 20 plants or minitubers, at least 5 plants or minitubers **must** be pathogen tested. Plants or minitubers selected for pathogen testing may be bulked following acceptable methods for test purposes. In the event that a test is positive for disease infection, the whole clone, together with any progeny, will be ineligible for certification. Testing and regeneration records **must** be maintained and made available for inspection at all reasonable times.

Generation 1—U.S. Export Seed Potatoes

Generation 1 plant material that has met the requirements for pre-nuclear or nuclear stock or State equivalent will be eligible for certification as Generation 1—U.S. export seed potatoes.

Generation 2—U.S. Export Seed Potatoes

Generation 2 plant material that has met the requirements for Generation 1 or earlier increases or State equivalent will be eligible for certification as Generation 2—U.S. export seed potatoes.

Plants **must** be inspected at least twice while growing and found to be in compliance with the tolerances specified in Table 4-5-1.

Table 4-5-1 Tolerances for Generation 2—U.S. Export Seed Potatoes

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0.00	0.00
Blackleg	0.10	0.00
Wilts	0.10	0.00
Total, All Viruses	0.25	0.10
Varietal Mixture	0.10	0.00

Generation 3—U.S. Export Seed Potatoes

Generation 3 plant material that has met the requirements for Generation 2 or earlier generations will be eligible for certification as Generation 3—U.S. export seed potatoes.

Each planting **must** be visually inspected at least twice and found to be in compliance with the tolerances specified in Table 4-5-2.

Table 4-5-2 Tolerances for Generation 3—U.S. Export Seed Potatoes

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0.00	0.00
Blackleg	0.25	0.10
Wilts	0.20	0.10
Total, All Viruses	0.25	0.10
Varietal Mixture	0.25	0.10

Generation 4—U.S. Export Seed Potatoes

Generation 4 plant material that has met the requirements for Generation 3 or earlier generations will be eligible for certification as Generation 4—U.S. export seed potatoes.

Each planting **must** be visually inspected at least twice and found to be in compliance with the tolerances specified in Table 4-5-3.

Table 4-5-3 Tolerances for Generation 4—U.S. Export Seed Potatoes

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0.00	0.00
Blackleg	0.50	0.25
Wilts	0.50	0.25
Total, All Viruses	0.50	0.25
Varietal Mixture	0.50	0.25

Generation 5—U.S. Export Seed Potatoes

Generation 5 plant material that has met the requirements for Generation 4 or earlier generations will be eligible for certification as Generation 5—U.S. export seed potatoes.

Each planting **must** be visually inspected at least twice and found to be in compliance with the tolerances specified in Table 4-5-4.

Table 4-5-4 Tolerances for Generation 5—U.S. Export Seed Potatoes

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0.00	0.00
Blackleg	1.00	0.50
Wilts	1.00	0.50
Total, All Viruses	1.00	0.50
Varietal Mixture	0.75	0.50

Refusal, Cancellation, and Rejection

Failure to comply with any provision of the U.S. export standards will constitute cause for refusal of certification services, cancellation of any approvals already granted, or rejection of seed potatoes entered for certification as a class of U.S. export seed potatoes.

In addition, the following incidents are specific causes for refusal, cancellation, or rejection.

1. Any field, storage, or other condition an official State seed potato certification agency determines may be detrimental to the U.S. potato industry or to the U.S. seed potato export market, or may hinder or prevent accurate determination of whether the disease, varietal purity, grade, or other requirements of the U.S. export standards have been met.
2. Any seed potatoes entered for certification verified to be infested or infected with a serious pest that is exotic or has a limited distribution in the United States, i.e., PSTVd. Note that gangrene, *Phoma exigua* pv. *foveata*, and wart, *Synchytrium endobioticum*, **do not** occur in the U.S.
3. Any seed potatoes determined to be infested with root-knot nematode, *Meloidogyne* spp.; potato rot nematode, *Ditylenchus destructor*; cyst nematode, *Globodera* spp.; or brown rot, *Ralstonia solanacearum*. U.S. quarantine restrictions **do not** permit the growing of seed potatoes in any golden (cyst) nematode-infested area.
4. The basis for and scope of a refusal, cancellation, or rejection and reinstatement following such actions will be determined by the official State potato certification agency in the State where the U.S. export seed potatoes are produced.

Grade and Identification

U.S. export seed potatoes **must** be:

- Graded to meet U.S. No. 1 Seed Potato Grade[1]
- Identified by a blue-colored tag
- Identified by official State certification tags or other official indicia affixed to each container that are approved by the SCTC

1 United States Standards for Grades of Seed Potatoes, effective March 6, 1987, reprinted January 1997
is available at the AMS Grading, Certification and Verification Web site.

Chapter

5

Special Procedures

Special Programs • Federal-State Cooperative Export Program

Contents

Introduction **5-1-1**
How States Enter the Federal-State Cooperative Program **5-1-2**
Basic Requirements and Procedures for Nominating Federal or State Candidates **5-1-2**
Reaccreditation of ACOs **5-1-4**
Export Certificate Review Process **5-1-4**
Inactivation and Reactivation of ACOs **5-1-7**
Suspension and Reaccreditation of Suspended ACOs **5-1-8**
Retesting for Initial or Reaccreditation Training **5-1-8**
Maintenance of the Federal-State Cooperative Export Program **5-1-9**
Memorandum of Understanding (MOU) for the Program **5-1-9**
List of Active MOUs for Federal-State Cooperative Programs **5-1-13**

Introduction

The Plant Protection and Quarantine (PPQ) export program allows designated State cooperators to issue export certificates at interior points of origin in the U.S. as per NAPPO RSPM 8.

To obtain authority to issue export certificates, a State plant regulatory agency **must** agree to sign a Memorandum of Understanding (MOU) with PPQ. The MOU is a formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the Federal and State Departments of Agriculture.

PPQ's accreditation program was established to facilitate the exportation of commodities to foreign markets. Accreditation recognizes consistent levels of competency and confers specific authority. Accrediting trained personnel, organizations, facilities, and processes associated with phytosanitary functions enhances PPQ's ability to protect plant resources and facilitate safe trade.

NOTICE

To better facilitate local communication among ECSs, SPHDs, SPROs, and ACOs, ECSs may wish to contact the SPHD to establish or to confirm the proper protocol to follow when giving feedback to SPROs and ACOs who are cooperators.

How States Enter the Federal-State Cooperative Program

The following steps **must** be followed to officially enter a State into the Federal-State Cooperative Export Program.

1. State plant regulatory official (SPRO) of a State Department of Agriculture writes to the Deputy Administrator of PPQ and asks to participate in the program.
2. Written request is processed through PPQ, Phytosanitary Issues Management, Export Services (ES).
3. The standardized MOU is transmitted to PPQ regional directors to provide relevant guidance. A copy of the letter is provided to the Agreements Services Center (ASC).
4. The PPQ regional office initiates an MOU with each SPRO and assigns a regional control number. The PPQ regional office submits 3 originals of the MOU to the SPRO for signature.
5. The SPRO signs all copies of the MOU and returns them to the PPQ regional office to be signed by the Regional Director. The MOU is effective upon date of final signature by the Regional Director for the period indicated in the MOU, **not** to exceed 5 years.
6. The PPQ regional office retains the original, sends one to the State, and the third to the Export Certification Specialist (ECS) for that State. The PPQ regional office also provides a copy of the MOU to ES and the ASC.

Basic Requirements and Procedures for Nominating Federal or State Candidates

The basic requirements and procedures for nominating Federal or State candidates are as follows:

1. The Export Certification Specialist (ECS) may nominate a candidate through Phytosanitary Certificate Issuance and Tracking (PCIT). At least nine months of experience[1] is required before training may be conducted. The nomination must include the candidate's experience and education to be designated as an ACO. The candidate must meet or exceed the following basic requirements to be an ACO:
   A. Ability to recognize plant pests including symptoms and/or signs of disease.

1 A minimum of one year's experience in plant protection regulatory activities working with or under the supervision of an ACO is required. This experience **must** occur prior to becoming an ACO.

B. A combined total of five years education in biological sciences[2] and experience are required. At least one year has to be experience. The years of education and experience **do not** have to be consecutive.

EXAMPLE Examples of acceptable qualifications are as follows:

- 0 years education and 5 years experience
- 1 year education and 4 years experience
- 2 years education and 3 years experience
- 3 years education and 2 years experience
- 4 years education and 1 year experience

C. **No** ACO shall inspect any commodities in which they or a member of their family are directly or indirectly financially interested.

2. The ECS reviews the candidate's qualifications to verify that the experience and educational requirements have been met as stated in 7 CFR 353.6, RSPM 8, and the *Export Program Manual* (XPM).
3. The ECS submits the candidate's name and summary of qualifications to ES for approval in PCIT.
4. ES will approve or reject the submission in PCIT. If ES approves the submission the ECS may proceed with administering the APHIS training course on phytosanitary certification for the candidate's initial accreditation.

NOTICE

Any official may take the APHIS training course on phytosanitary certification for informational purposes only. The official will **not** be administered a test or be accredited.

5. The ECS administers the APHIS initial training course on phytosanitary certification and test to the candidate. The candidate **must** achieve a minimum score of 80% to be accredited and may go to PCIT and print a certificate of accreditation.
6. PCIT will automatically change the role of the candidate to ACO when one year of experience is completed. Initial accreditation is valid for three years from date of testing. ACOs can be placed in inactive status if they fail to issue export certificates within 1 year of initial accreditation.

2 One year equals 12 credit units in the biological sciences. Examples of courses to meet educational requirements can be found in NAPPO standard #8, Accreditation of Individuals.

Reaccreditation of ACOs

1. PCIT will notify the ECS one year before an ACO's accreditation expires. The ECS will notify ACOs or their supervisors when reaccreditation training is required.
2. The ECS administers the APHIS reaccreditation training course on phytosanitary certification and test to the ACO. The ACO **must** achieve a minimum score of 80% to retain accreditation.
3. The ACO is now reaccredited and the accreditation is valid for three years.

Export Certificate Review Process

1. The issuing office **must** ensure that record copies and supporting documentation are sent to the appropriate ECS on a weekly, bi-weekly, or monthly basis unless the issuing office is using PCIT with attachments for supporting documents.
2. ECSs are responsible for reviewing certificates and for conducting field audits to ensure compliance with Federal regulations, policies and procedures, foreign import requirements, and PPQ obligations to bilateral agreements, protocols, MOUs, and international standards.
3. The ECS **must** review at least 5 percent of all record copies along with supporting documentation in a timely manner. It is important that reviews are completed in a prompt manner so that major errors can be addressed before there is a trade incident. The export certificates reviewed should represent the actual range of export commodities certified by various ACOs. The percentage should be increased if a particular ACO or issuing office has a significant number of errors or where a significant number of notifications of noncompliance are received from the National Plant Protection Organization (NPPO) importing country. ES will work with the PPQ regional office upon receipt of notifications of noncompliance.

See Figure 5-1-1 on page 5-1-5 for a model letter you can follow to document major mistakes. For a fillable version, click here. Provide a copy of the certificate in question, backup documents, and a brief explanation.

Date: _____

To: _____
[insert name of State Plant Health Director or State Plant Regulatory Official]

Recently _____certified _____ to _____
[insert name of Authorized Certification Official (ACO)] *[name of product]* *[name of country]*

on Export Certificate #_____ (attached). This export certificate has ____ /has **not** ____ been reported as rejected by the importing country. The error(s) is/are checked below:

❒Failure to follow PPQ policy with regard to export certificates.
❒Certifying disease freedom in grain.
❒Failure to follow inspectional guidelines.
❒Failure to follow known import requirements.
❒Certifying prohibited or ineligible commodities.
❒Certifying CITES commodities at an ineligible port.
❒Certifying commodities from non-accredited or non-compliant sources.
❒Attesting to conditions from non-accredited or non-compliant sources.

_____

_____

_____

Our records indicate that this is the ACO's _____ warning this year. Future errors could result in suspending the ACO's accreditation (authority to issue export certificates). Please forward to my office a letter explaining the error(s) and what corrective actions will be taken. This notice is intended as a corrective action to ensure the integrity of USDA-APHIS-PPQ's export program.

If you have any questions, contact me at _____.
(insert your phone number)

_____ , Export Certification Specialist
(Signature of Export Certification Specialist)

_____ _____
(Printed name of Export Certification Specialist)

Enclosure

Figure 5-1-1 Model Letter for Documenting Major Errors Found on an Export Certificate

4. The ECS **must** document major errors made by ACOs. Major errors on export certificates include but are **not** limited to the following:
   - Failure to follow PPQ policy with regard to export certificates (for example, but not limited to):
     - Certifying disease freedom in grain
     - Failure to follow inspectional guidelines
     - Failure to follow known import requirements
   - Certifying prohibited or ineligible commodities
   - Certifying CITES commodities at an ineligible port
   - Certifying commodities from non-accredited or non-compliant sources.
   - Attesting to conditions from non-accredited or non-compliant sources.

Major errors documented by the ECS **must** be submitted to the SPHD who will review and forward the information to the PPQ supervisor or SPRO of the ACO.

5. First Major Error
   A. The first major error will be discussed between the ACO and the appropriate supervisor to address any questions and to determine what corrective action should be taken to prevent recurrence.
   B. The appropriate supervisor will document the discussion and any recommendations that were made to the ACO. A copy of the discussion and recommendations will be forwarded to the SPHD. The SPHD **must** forward a copy to the regional office.
6. Second Major Error
   A. The second major error will be discussed between the ACO and the appropriate supervisor to address any questions and to determine what corrective action should be taken to prevent recurrence.
   B. The appropriate supervisor will request refresher training for the ACO.
   C. The supervisor will document the discussion, recommendations, and the training request. A copy of the discussion and recommendations will be forwarded to the SPHD. The SPHD **must** forward a copy to the appropriate regional office.
7. Third Major Error: See information as specified in Suspension and Reaccreditation of Suspended ACOs on page 5-1-8.

8. The ECS will document minor errors that **do not** warrant formal documentation. Examples of minor errors include but are **not** limited to the following:
   - ❖ Incorrect lining out blocks
   - ❖ Failure to complete all blocks
   - ❖ Incorrect approved country name
   - ❖ Failure to date an export certificate
   - ❖ Misspelled words
   - ❖ Unclear abbreviations

   Minor errors should be handled informally through the appropriate supervisor.
9. After completing the review process, the ECS should either destroy the copies of the export certificates or retain them for training purposes. If the copies are retained for training purposes, the ECS is responsible for maintaining and protecting the confidentiality of information on any export documents.

Inactivation and Reactivation of ACOs

1. An ACO's role will be changed from ACO to ACO Admin in PCIT for one of the following reasons:
   - ❖ Failure to successfully complete reaccreditation every 3 years
   - ❖ Failure to issue export certificates within 2 years of accreditation
2. In the ACO Admin role, the ACO will **not** be authorized to sign export certificates.
3. An ACO Admin may be returned to the ACO role when the following two conditions have been completed:
   - ❖ The inactive ACO has completed a 60 day period of refresher experience under the guidance of an active ACO.
   - ❖ The inactive ACO has completed the reaccreditation requirements as specified in Reaccreditation of ACOs on page 5-1-4.

Suspension and Reaccreditation of Suspended ACOs

1. An ACO may be suspended from issuing export certificates for any one of the following reasons:
   - ❖ Knowingly or deliberately signing a fraudulent export certificate with any intentional false statements or misrepresentations relative to the export certificate
   - ❖ Making three major errors within a 12 month period
   - ❖ Repeating the same major error, after counseling, as specified in Export Certificate Review Process on page 5-1-4, within a 12 month period
2. The regional office will provide a summary of actions taken to ES.
3. ES will change the role within PCIT to ACO Admin or Inactive.
4. In order to be reinstated, the ACO **must** complete the APHIS initial training course on Phytosanitary Certification and pass the test with a minimum score of 80%. The suspended ACO may complete the APHIS initial training course on Phytosanitary Certification during the 9th month of the suspension. The nominee will **not** be accredited to sign export certificates until one year of suspension has been completed.

Retesting for Initial or Reaccreditation Training

1. The candidate is notified of failure to achieve a minimum score of 80%.
2. The candidate is allowed 2 to 45 days to take a retest.
3. If the candidate scores a minimum of 80%, the ACO is now accredited and may go to PCIT and print a certificate of accreditation. The accreditation is valid for three years.
4. If the candidate fails the retest, he/she is allowed 2 to 45 days to take a second retest.
5. If the candidate passes the second retest, see 3. above.
6. In initial training, if the candidate fails the second retest, he/she **must** complete another year of regulatory experience, retake the appropriate training and examination, and **must** achieve a minimum score of 80%.
7. In reaccreditation training, if the candidate fails the second retest, he/she **must** complete a 60 day period of refresher experience under the guidance of an active ACO, retake the appropriate training and examination, and **must** achieve a minimum score of 80%.

Maintenance of the Federal-State Cooperative Export Program

The Federal-State Cooperative Export Program is maintained as follows:

1. ES maintains a current list of designated ACOs in PCIT. If there are questions concerning eligibility, qualifications, or designation of State officials, direct them to ES using the contact protocol in Appendix A.
2. State officials are responsible for notifying the ECS when an ACO retires or otherwise separates from State employment. The ECS is responsible for updating PCIT with one of the following:
   A. ACO admin status: This status allows a user to access and use PCIT but is unable to issue or sign export certificates.
   B. Inactive status: This status removes all access to PCIT from the user.
3. Inactive ACOs may be returned to the active status when the following conditions have been met:
   - ❖ The inactive ACO has completed a 60 day period of refresher experience under the guidance of an active ACO.
   - ❖ The inactive ACO has completed the reaccreditation requirements as specified in Reaccreditation of ACOs on page 5-1-4.

Memorandum of Understanding (MOU) for the Program

MOU for the Program is a formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the State and Federal Departments of Agriculture. MOUs are effective when the PPQ official signs the agreement. MOUs are renewed every 5 years. The content of the MOU is subject to change as directed by ES in collaboration with the ASC. Amendments **must** be formally signed by the SPRO and the representative of PPQ. An example of the MOU for the Program follows.

Memorandum of Understanding (MOU)
Between the
{Insert Name of State or Other Entity} (Cooperator)
and the
United States Department Of Agriculture (USDA)
Animal and Plant Health Inspection Service (APHIS)
Plant Protection and Quarantine (PPQ)

Article 1 - Purpose

This MOU provides for cooperative participation between the parties to perform export certification of commodities and to expand the system of issuance of export certificates. For the purpose of this MOU, export certificates are defined as Phytosanitary Certificate (PPQ Form 577), Export Certificate Processed Plant Products (PPQ Form 578), and Phytosanitary Certificate for Re-export (PPQ form 579). Under the expanded system, these listed certificates will be issued at interior United States points of origin, in particular, to cover containerized and door-to-door shipments intended for export. This MOU enhances the ability of USDA-APHIS-PPQ to provide export certification to customers.

Article 2 - Background

Historically, export certification was performed at points of export by Federal inspectors. A need arose for certification of commodities at interior points of commodity origin. Representatives of USDA-APHIS-PPQ and states developed an MOU that provided for export certification at interior points of the United States by inspectors from State Departments of Agriculture.

Article 3 - Authorities

Under the Plant Protection Act, as amended, (7 USC §§ 7701 et. seq.) (PPA), the Secretary of Agriculture is authorized to issue regulations and orders to prevent, detect, control, eradicate, suppress, or retard the spread of plant pests or noxious weeds into or within the United States and to cooperate with other Federal agencies or entities, States or political subdivisions of States, national governments, local governments of other nations, domestic or international organizations, domestic or international associations, and other persons to carry out the purposes of the PPA.

Article 4 - Objectives

This MOU will serve to establish the cooperating parties' responsibilities under this cooperative program and to define in general terms the basis on which the parties concerned will cooperate.

Article 5 - Mutual Responsibilities

The Cooperator and USDA-APHIS-PPQ mutually agree to/understand that:

A. Overall direction and control of this cooperative program is to be maintained by USDA-APHIS-PPQ. However, personnel of the Cooperator will remain administratively responsible to the Cooperator.

B. The Cooperator shall be responsible for conducting inspection and certification in accordance with the policies, directives, and regulations of USDA-APHIS-PPQ and within the scope of the law.

C. The Cooperator will retain administrative responsibilities for its personnel authorized to participate in the program.

D. The Cooperator will solely issue export certificates listed in Article 1 of this document for international commerce.

Article 6 - Cooperator Responsibilities

The Cooperator agrees:

A. To designate Mr./Ms./Dr.—Insert full name as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU.

B. In conducting the Basic Phytosanitary Export Certification Program to/that:

   1. Cooperate with USDA-APHIS-PPQ in the inspection and certification of commodities for export.
   2. Nominate to USDA-APHIS-PPQ qualified State inspectors to perform inspection and certification work.
   3. Ensure that nominees for designation as inspectors under this MOU meet or exceed the basic requirements as defined in Export Certification regulations, 7 CFR 353.6(b).
   4. Submit to USDA-APHIS-PPQ, for review and concurrence, the names and qualifications covering those personnel nominated for designation as inspectors.
   5. Cooperative personnel authorized to issue export certificates under this MOU shall participate, without cost to USDA-APHIS-PPQ, in an initial and reaccreditation training program conducted by USDA-APHIS-PPQ.

C. In conducting the Phytosanitary Field Inspection of Seed Crops Program to/that:

   1. Use only those agents that meet or exceed the basic requirements as defined in Export Certification regulations, 7 CFR 353.6(a).
   2. Provide agents with training and resources in accordance with 7 CFR 353.6(a)(2).
   3. Terminate, after notification, an agent's participation in the inspection activities when the agent is identified as not following established procedures for proper recording or reporting of pest organisms found.
   4. Monitor inspection activities of designated agents during each growing season in cooperation with USDA-APHIS-PPQ.

Article 7 - USDA-APHIS-PPQ Responsibilities

USDA-APHIS-PPQ agrees, in conducting the Basic Phytosanitary Export Certification Program, to/that:

A. Designate Mr./Ms./Dr.—Insert full name as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU.

B. Provide an Authorized Certification Official Certificate to qualified cooperative personnel who have complied with the requirements of Article 6 of this MOU.

C. Conduct an initial training program for qualified cooperative employees prior to designation.

D. Provide reaccreditation training every three years for qualified cooperative employees designated as an inspector under Article 6 of this MOU.

E. Provide an on-line Export Program Manual (XPM), and other necessary information.

F. Provide program oversight by conducting field audits of facilities and personnel to ensure conformance with USDA-APHIS-PPQ regulations, policies, and procedures.

Article 8 - Statement of No Financial Obligation

Signature on this MOU does not constitute a financial obligation on the part of USDA- APHIS-PPQ. Each signatory party is to use and manage its own funds in carrying out the purpose of this MOU. Transfer of funds or items of value is not authorized under this MOU.

Article 9 - Limitations of Commitment

This MOU and any continuation thereof shall be contingent upon the availability of funds appropriated by the Congress of the United States. It is understood and agreed that any monies allocated for purposes covered by this MOU shall be expended in accordance with its terms and the manner prescribed by the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement must be developed by the parties.

Article 10 - Congressional Restriction

Under 41 USC 22, no member of, or delegate to, Congress shall be admitted to any share or part of this MOU or to any benefit to arise therefrom.

Article 11 - Amendments

This MOU may be amended at any time by mutual agreement of the cooperating parties in writing.

Article 12 - Termination

This MOU may be terminated by either party upon sixty (60) days written notice to the other party.

Article 13 - Effective Date and Duration

This MOU will be in effect upon date of final signature and will continue for five years from the date of signature. This MOU shall supersede all previous Memoranda of Understanding for export certification between cooperating parties.

List of Active MOUs for Federal-State Cooperative Programs

All States have entered into a MOU for Federal-State Cooperative Program. MOUs are in effect for five years. See Table 5-1-1 for a list of active Federal-State MOUs.

Table 5-1-1 List of Active Federal-State MOUs

Cooperating State	MOU Number	Date Expires
Alabama	12-8201-0058-MU	03/12/2017
Alaska	10-8560-1402-MU	07/20/2015
Arizona	12-8504-1527-MU	03/18/2017
Arkansas	11-8440-1508-MU	10/25/2016
California	12-8506-1606-MU	09/17/2017
Colorado	12-8508-1513-MU	02/28/2017
Connecticut	12-8209-0175-MU	02/20/2017
Delaware	12-8210-0179-MU	03/20/2017
Florida	12-8212-0037-MU	02/20/2017
Georgia	12-8213-0038-MU	03/01/2017
Hawaii	10-8510-1326-MU	03/28/2015
Idaho	11-8568-1426-MU	05/04/2016
Illinois	12-8217-0197-MU	02/14/2017
Indiana	12-8218-0176-MU	03/22/2017
Iowa	15-8419-0891-MU	07/13/2020
Kansas	10-8453-1318-MU	03/28/2015
Kentucky	07-8321-0044-MU	02/08/2017
Louisiana	10-8434-1408-MU	08/31/2015
Maine	12-8223-0043-MU	02/21/2017
Maryland	12-8224-0156-MU	05/21/2017
Massachusetts	12-8225-0173-MU	02/20/2017
Michigan	12-8226-0172-MU	08/01/2017
Minnesota	12-8235-0191-MU	11/09/2017
Mississippi	12-8228-0039-MU	01/25/2017
Missouri	14-8429-0031-MU	04/30/2019
Montana	08-8572-0628-MU	07/03/2019
Nebraska	10-8456-1403-MU	07/27/2015
Nevada	10-8576-1292-MU	08/15/2015
New Hampshire	12-8233-0171-MU	01/26/2016
New Jersey	12-8234-0177-MU	02/07/2017
New Mexico	10-8580-1411-MU	08/31/2015
New York	07-8236-0180-MU	03/15/2017
North Carolina	12-8237-0125-MU	02/02/2017

Table 5-1-1 List of Active Federal-State MOUs (continued)

Cooperating State	MOU Number	Date Expires
North Dakota	11-8462-1422-MU	02/10/2016
Ohio	12-8239-0170-MU	02/06/2017
Oklahoma	10-8444-1404-MU	08/31/2015
Oregon	14-8541-1716-MU	12/22/2018
Pennsylvania	12-8242-0174-MU	02/09/2017
Rhode Island	12-8244-0181-MU	02/20/2017
South Carolina	12-8245-0041-MU	03/08/2017
South Dakota	09-8459-0097-MU	11/13/2013
Tennessee	12-8347-0042-MU	01/31/2017
Texas	11-8412-1420-MU	10/17/2015
Utah	10-8588-1407-MU	08/12/2015
Vermont	12-8250-0185-MU	02/23/2017
Virginia	12-8251-0178-MU	02/16/2017
Washington	09-8550-0097-MU	12/05/2013
West Virginia	12-8254-0055-MU	03/01/2017
Wisconsin	12-8255-0386-MU	03/01/2017
Wyoming	12-8556-1526-MU	03/12/2017

Chapter

5

Special Procedures

Special Programs • Lumber Certification

Contents

Introduction **5-2-2**
Inspection & Certification Options **5-2-2**
Treatment Verification **5-2-3**
Examples of Recorded KD/HT Treatments on the PC **5-2-4**
KD Inspection Company Marks **5-2-5**
Heat Treatment Inspection Company Marks **5-2-10**
Kiln Dried Treatment/Heat Treatment Verification **5-2-16**
- KD Verification **5-2-16**
- HT Verification **5-2-23**

Mill Certification Programs Overview **5-2-25**
Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union **5-2-26**
- Heat Treatment Declaration **5-2-29**
- Lumber Grading Agencies **5-2-29**
- Heat Treatment Certification Using a Kiln Facility **5-2-29**
- Mill Certification Program Responsibilities **5-2-30**

Kiln-Dried Coniferous Sawn Wood Going to Non European Union Member States **5-2-31**
- Lumber Grading Agencies **5-2-34**
- Mill Certificate of Kiln Drying **5-2-34**
- Mill Certification Program Responsibilities **5-2-35**

Debarking and Grub Hole Control of Coniferous Sawn Wood **5-2-37**
- Lumber Grading Agencies **5-2-40**
- Certificate of Debarking and Grub Hole Control **5-2-40**
- Mill Certification Program Responsibilities **5-2-42**

Biannual Audit Checklist for Certification Programs **5-2-43**

Introduction

This section provides guidance on lumber certification options, specifically on when and how to record Kiln Dried (KD)/Heat treatment (HT) information on a Phytosanitary Certificate (PC). These procedures will allow certification with or without a physical inspection if certain conditions are met. In addition to this guidance, all foreign import requirements **must** be met before certification. All treatment information should be listed in the treatment section of the PC when a treatment is required by the importing country. Treatment information should **not** be listed in any other section unless requested in official communication from the importing country.

Inspection & Certification Options

1. An Authorized Certification Official (ACO) inspects the lumber and issues a PC

NOTICE

Use verification of markings as listed in Table 5-2-1 on page 5-2-5 and Table 5-2-3 on page 5-2-10 to ensure minimum phytosanitary measures have been met.

OR

2. When the following documentation is presented to an ACO, a PC may be issued if the documentation meets all import country requirements
   A. Certification of treatment and/or milling from a lumber facility affiliated with an organization listed in Table 5-2-1 on page 5-2-5 or Table Table 5-2-3 on page 5-2-10, **OR**
   B. Certification from a facility in the Mill Certification Program (includes certificates shown in Figure 5-2-3 on page 5-2-8, Figure 5-2-4 on page 5-2-14, or Figure 5-2-5 on page 5-2-15), **OR**
   C. Certification of treatment and/or milling from a facility operating under an agreement with USDA APHIS, State, or County

OR

3. Applicants who are **not** able to meet options 1 or 2. or who are **not** under an appropriate USDA APHIS approved Compliance Agreement, **must** present third party verification of kiln/thermocouple certification within the last year, kiln records, and a treatment certificate on company letterhead to the ACO.

Treatment Verification

1. Kiln Drying to a specific percentage of moisture content
   A. An ACO conducts a physical inspection, reviews kiln charge results, and measures the moisture content to ensure it is below 20%, **OR**
   B. A facility operates under the supervision of a PPQ authorized agency, and
      a. The ACO conducts a physical inspection and verifies KD marks, if required, are from an authorized agency (see Table 5-2-1 on page 5-2-5), **OR**
      b. The facility provides a treatment certificate (see Figure 5-2-3 on page 5-2-8 or Figure 5-2-5 on page 5-2-15) issued by an authorized agency in Table 5-2-1 on page 5-2-5 or Table 5-2-3 on page 5-2-10, **OR**
      c. The facility provides a third-party kiln calibration performed within the last year and documentation of low moisture content and/or kiln charge results and a heat treatment certificate on company letterhead
2. Heat Treatment to a specific core temperature for a specific duration
   A. A facility operates under the supervision of a PPQ authorized agency, and
      a. The facility provides a treatment certificate issued by an authorized agency in the Mill Certification Program (see Figure 5-2-3 on page 5-2-8) (must have HT statement addition) and Figure 5-2-4 on page 5-2-14), **OR**
      b. The ACO verifies HT marks, if required, are from an authorized agency (see Table 5-2-3 on page 5-2-10).

      OR
   B. A facility **not** affiliated with a Mill Certification Program organization. An ACO reviews thermocouple calibration performed within the last year by a third party, documentation of core temperatures and duration provided by the facility, and a heat treatment certificate on company letterhead.

NOTICE

Verification may be conducted through inspection of documentation when a physical inspection is **not** required or through a Mill Certification Program as listed in this section. It is **not** a requirement to add treatment information to the PC unless requested by the importing country.

Examples of Recorded KD/HT Treatments on the PC

See Figure 5-2-1 and Figure 5-2-2 for examples of recorded KD/HT treatments on the PC.

DISINFESTATION AND/OR DISINFECTION TREATMENT	
1. DATE (1) N/A	2. TREATMENT Kiln dried
3. CHEMICAL (active ingredient) **********	4. DURATION AND TEMPERATURE 4-45 Days 100-180 °F
5. CONCENTRATION **********	6. ADDITIONAL INFORMATION < 20% moisture

Figure 5-2-1 Example of treatment section on the phytosanitary certificate certifying kiln drying

DISINFESTATION AND/OR DISINFECTION TREATMENT	
1. DATE (1) N/A	2. TREATMENT Heat treatment
3. CHEMICAL (active ingredient) **********	4. DURATION AND TEMPERATURE 30-240 Minutes 56-75 C
5. CONCENTRATION **********	6. ADDITIONAL INFORMATION **********

Figure 5-2-2 Example of treatment section on the phytosanitary certificate certifying heat treatment

NOTICE

Enter treatments according to the examples above for consistency. Please use N/A for DATE when the dates of treatments are **not** provided.

KD Inspection Company Marks

Refer to Table 5-2-1.

Table 5-2-1 KD Inspection Company Marks

Mark	Company
AITC	American Institute of Timber Construction
CONTINENTAL INSPECTION AGENCY	Continental Inspection Agency, LLC (CI)
NELMA OR NELMA®	Northeastern Lumber Manufacturers Association (NeLMA) (two trademarks)
NSLB	Northern Softwood Lumber Bureau (NSLB)

Table 5-2-1 KD Inspection Company Marks (continued)

Mark	Company
	Pacific Lumber Inspection Bureau (PLIB)
(NOTE: On lumber, expect letters to be inked instead of background.)	Redwood Inspection Service (RIS)
	Renewable Resource Associates, Inc. (RRA)
(NOTE: Underline may **not** appear.)	Southern Pine Inspection Bureau (SPIB)
SIWP	Stafford Inspection and Consulting, LLC (SIWP)

Table 5-2-1 KD Inspection Company Marks (continued)

Mark	Company
TP	Timber Products Inspection (TP)
WC LB	West Coast Lumber Inspection Bureau (WCLIB)
WWPA	Western Wood Products Association (WWPA)

CERTIFICATE OF KILN DRYING

NHLA

SAWN HARDWOOD LUMBER

Lumber Kiln Dried By: _____ Order #: _____ Certificate #: **K 0026**

Name of Company: _____ Invoice #: _____

Address: _____

City: _____ State: _____ Zip: _____

Date Kiln Process Completed: _____ Phone: _____ Fax: _____

(This certifies that the lumber described below has been kiln dried resulting in all parts of the lumber having a moisture content of less than 20% at the conclusion of the kiln drying process.)

DESCRIPTION OF CONSIGNMENT

List specie, thickness, grade of various items contained in shipment: _____

BUNDLE NUMBERS	CLIP ID NUMBERS	MOISTURE CONTENT READINGS	BOARD FOOTAGE	CUBIC METERS

(This document is issued under a program officially approved by the Animal, Plant, Health, and Inspection Service of the U.S Department of Agriculture. The products covered by this document are subject to pre-shipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or any representatives of the Department with respect to this certificate.)

Authorized Person Responsible for Certification –
I certify that the products described above do satisfy the Kiln Drying requirement of less than 20% moisture content.

Name (Print): _____ Title: _____

Signature: _____ Date: _____

NHLA Validation

Name (Print): _____ Title: _____

Signature: _____ Date: _____

National Hardwood Lumber Association PO Box 34518 | Memphis, TN 38184-0518 | 901-377-1818 | 901-347-0034 Fax | www.nhla.com

Authorization #: 07-8100-1173-MU

1st Copy For Member Office | 2nd Copy For NHLA | 3rd Copy For National Inspector

Figure 5-2-3 Kiln Dried Treatment Certificate Example

Table 5-2-2 Lumber Grading Agencies Participating in Mill Certification Programs for Heat Treatment of Coniferous Sawn Wood

PPQ Region	Participating Lumber Grading Agency	Lumber Grading Agency Contact
Eastern	Northeastern Lumber Manufacturer's Association, Inc. 272 Tuttle Road, P.O. Box 87A Cumberland Center, ME 04021	Jeff Easterling Executive Vice President Phone: 207-829-6901 FAX: 207-829-4293
	Renewable Resource Associates, Inc. 860 Johnson Ferry Road Suite 140 - 194 Atlanta, GA 30342	Lon J. Sibert President Phone: 678-528-3734 Cell: 770-330-9416 EFAX: 678-325-7330
	Southern Pine Inspection Bureau 4709 Scenic Highway Pensacola, FL 32504	Tom S. Jones President Phone: 850-434-2611 FAX: 850-433-5594
	Timber Products Inspection, Inc. P.O. Box 919 Conyers, GA 30012	David Conner Lumber Division Director Phone: 770-922-8000 FAX: 770-922-1290
Western	California Redwood Association and Redwood Inspection Service 818 Grayson Road, Suite 201 Pleasant Hill, CA 94523	Charles Jourdain President Phone: 925-935-1499 FAX: 925-935-1496
	Pacific Lumber Inspection Bureau, Inc. 1010 S 336th Street, Suite 300 Federal Way, WA 98003	Jeff Fantozzi Secretary/General Manager Phone: 253-835-3344 FAX: 253-835-3371
	West Coast Lumber Inspection Bureau Box 23145 Portland, OR 97281-3145	Skeet Rominger Executive Vice President Phone: 503-639-0651 FAX: 503-684-8928
	Western Wood Products Association 522 SW Fifth Avenue, Suite 500 Portland, OR 97204-2122	Jim Matthews Asst. Director of Quality Standards Phone: 503-224-3930 FAX: 503-224-3934
	Timber Products Inspection, Inc. 105 SE 124th Avenue Vancouver, WA 98684	Casey Dean Director of Western Operations Phone: 360-449-3840 x12 FAX: 360-449-3953

Heat Treatment Inspection Company Marks

Refer to Table 5-2-3.

Table 5-2-3 Heat Treatment Inspection Company Marks

Mark	Company
AITC	American Institute of Timber Construction
AWIS (NOTE: On lumber, expect letters to be inked instead of background.)	American Wood Inspection Services (AWIS)
C I S Carolina Inspection Services Inc.	Carolina Inspection Services
CONTINENTAL INSPECTION AGENCY	Continental Inspection Agency, LLC (CI)
&	Conway & Robison LLC

Table 5-2-3 Heat Treatment Inspection Company Marks (continued)

Mark	Company
EWPI ® 000 HT	Export Wood Packaging Inspection Service
LIWP	Lee Inspection & Consulting Services, Inc. (LIWP)
MFPA (3 options, the 2 pictured and a combination; the graphic above only (no words) and the acronym below directly underneath the graphic)	Missouri Forest Products Association
NELMA OR NELMA®	Northeastern Lumber Manufacturers Association (NeLMA) (two trademarks)
NSLB	Northern Softwood Lumber Bureau (NSLB)
IPPC US-110000 HT PRL®	Packaging Research Laboratory

Table 5-2-3 Heat Treatment Inspection Company Marks (continued)

Mark	Company
	Pacific Lumber Inspection Bureau (PLIB)
(NOTE: On lumber, expect letters to be inked instead of background.)	Redwood Inspection Service (RIS)
	Renewable Resource Associates, Inc. (RRA)
(NOTE: Underline may **not** appear.)	Southern Pine Inspection Bureau (SPIB)
SIWP	Stafford Inspection and Consulting, LLC (SIWP)

Table 5-2-3 Heat Treatment Inspection Company Marks (continued)

Mark	Company
TP	Timber Products Inspection (TP)
WC LB	West Coast Lumber Inspection Bureau (WCLIB)
WWPA	Western Wood Products Association (WWPA)
WRD	Wood Research and Development

HEAT TREATMENT CERTIFICATION USING A KILN FACILITY	CERTIFICATE NUMBER
NAME AND ADDRESS OF SUPPLYING MILL (or as indicated in DESCRIPTION OF CONSIGNMENT)	NAME AND ADDRESS OF CONSIGNEE

The lumber described below is certified to have undergone an appropriate heat treatment to achieve a minimum wood core temperature of *56* degrees C for 30 minutes.

DESCRIPTION OF CONSIGNMENT	VOLUME
INDICATE SPECIES, GRADE MARKS, OR OTIIER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT.	

This document is issued under a program officially approved by *the* Animal and Plant Health Inspection Service, U.S. Department *of* Agriculture.
The products covered by this document are subject to pre shipment inspection by that Agency. No financial liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

AUTHORIZED PERSON RESPONSIBLE' FOR CERTIFICATION

NAME (PRINT)	SIGNATURE		DATE

AGENCY VALIDATION

SIGNATURE		DATE

Figure 5-2-4 Heat Treatment Certificate Example

MILL CERTIFICATE OF KILN DRYING

CERTIFICATE NUMBER

NAME AND ADDRESS OF SUPPLYING MILL

NAME AND ADDRESS OF CONSIGNEE

The lumber described below is certified to have been kiln dried to the extent that all parts of the wood have reached a temperature of at least 160 degrees F. (71 degrees C.) and the moisture content is less than 20 percent.

DESCRIPTION OF CONSIGNMENT	VOLUME
INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT (*Lot number and volume are required*).	

Mill Order No.:_____
Invoice No.:_____
Customer No.:_____

Number of Bundles.:_____
Marks on Bundles.:_____
Vessel.:_____

This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION

NAME(Print)	SIGNATURE	TITLE	DATE

AGENCY VALIDATION

AUTHORIZED SIGNATURE	TITLE	DATE

Figure 5-2-5 PPQ Kiln Treatment Certificate Example

Kiln Dried Treatment/Heat Treatment Verification

The following procedures are acceptable for issuing phytosanitary certificates and recording the HT/KD treatment in the treatment section of the certificate:

KD Verification

1. Hardwood

   A. An ACO will conduct a visual inspection, verify the KD marks on the wood or cover, and measure the moisture content to ensure it is below 20%. The marks must be from companies listed in Table 5-2-1 on page 5-2-5 and specifically display KD. **OR**

   B. A facility operates under the MOU PPQ has with the National Hardwood Lumber Association (NHLA); Phytosanitary certification is based on the treatment certificate provided by the facility (See Figure 5-2-3 on page 5-2-8). Shipments are subject to random phytosanitary inspection. **OR**

   The Mill Certification Program allows for certifying kiln-dried sawn hardwood lumber. See Figure 5-2-6 on page 5-2-17 through Figure 5-2-11 on page 5-2-22 for details.

Agreement No. 12-8100-1173-MU

CONTINUATION
TO THE
MEMORANDUM OF UNDERSTANDING
BETWEEN
NATIONAL HARDWOOD LUMBER ASSOCIATION (NHLA)
AND
UNITED STATES DEPARTMENT OF AGRICULTURE (USDA)
ANIMAL AND PLANT HEALTH INSPECTION SERVICE (APHIS)
PLANT PROTECTION AND QUARANTINE (PPQ)

ARTICLE 1 - PURPOSE

The purpose of this Memorandum of Understanding (MOU) is to facilitate the implementation of an APHIS-approved and industry-issued certification system with respect to the Certification of Kiln Drying Sawn Hardwood Lumber. This effort is a continuation of that performed under MOU No. 07-8100-1173-MU.

ARTICLE 2 – BACKGROUND

Many foreign countries have adopted measures requiring the kiln drying and certification of all sawn hardwood lumber originating in the United States to prevent the introduction and establishment of pests. To facilitate exports of bark-free sawn hardwood lumber shipments, APHIS initiated this MOU with the National Hardwood Lumber Association (NHLA) to develop and oversee the United States Kiln Drying Sawn Hardwood Lumber Certification Program.

ARTICLE 3 - AUTHORITIES

APHIS is authorized by the Plant Protection Act, Sec. 431 (a), Public Law 106-224, to cooperate with other Federal agencies, the governments of foreign countries, international organizations or associations, states and their political subdivisions, farmers' associations and similar organizations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests and diseases.

ARTICLE 4 – MUTUAL RESPONSIBILITIES

The NHLA and APHIS mutually agree/understand to/that:

a. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspection of the sawn hardwood lumber shall be performed by industry-certified personnel and shall remain administratively responsible to the NHLA.

1

Figure 5-2-6 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 1)

Agreement No. 12-8100-1173-MU

b. The basic control requirements for sawn hardwood lumber under this system are kiln drying to the extent that all parts of the lumber have been reduced to less than 20 percent moisture by weight and site inspections show no sign of pests present.

c. Employee(s) responsible for this work will be under the general program direction of APHIS and NHLA. Supervision of personnel will be provided by their employing organization and they will be subject to their employing organization's rules and regulations, except to the extent that NHLA personnel will conduct inspections following USDA regulations and standards.

ARTICLE 5 – NHLA RESPONSIBILITIES

The NHLA agrees to/that:

a. Designate Mark Barford, Executive Manager; Memphis, Tennessee, as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU. Mr. Barford can be contacted by telephone at 901.377.1818 Ext. 101.

b. Kiln dried sawn hardwood lumber shipments shall be inspected by an industry-certified inspector of the NHLA and subject to the terms of Item 4 below. Kiln dried sawn hardwood lumber requirements are regulated by the NHLA Board of Managers. NHLA inspectors shall ensure that kiln dried sawn hardwood lumber bundles are properly numbered, marked and conform to the certification statement that the inspected lumber has been kiln dried resulting in all parts of the lumber having a moisture content of less than 20% at the conclusion of the kiln drying process. This certification statement appears in the body of the Kiln Drying Sawn Hardwood Lumber Certificate. Each shipment of kiln dried sawn hardwood lumber shall include a corresponding Kiln Drying Sawn Hardwood Lumber Certificate with the manifest. Refer to Attachment 1 for a sample Certificate of Kiln Drying, Sawn Hardwood Lumber.

c. Maintain signed agreements with participating facilities; a register of participating facilities, including names of representatives approved to issue Certificates of Kiln Drying; a register of employees who are authorized to authenticate the certificates; copies of all certificates issued; and a web accessible register of participating facilities and corresponding approved representatives for issuing and approving certificates.

d. Provide on-site inspections to check the capabilities of all participating facilities and their product. The inspectors shall inspect each participating facility's equipment and the skills of the kiln operators. The inspectors shall be skilled with all four kiln types: direct heat, indirect heat, direct steam, and indirect steam. Monthly reviews of the individual Kiln Drying Certification Program shall be made through regular quality control checks by the NHLA. Additionally:

2

Figure 5-2-7 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 2)

Agreement No. 12-8100-1173-MU

(1) Inspections shall be performed by industry-certified inspectors that are independent of the treatment facilities and thoroughly competent in the inspection of kilns and the species of wood being inspected.

(2) Inspections of participating facilities and treated inventory shall be performed in each month that a shipment is scheduled. The NHLA ensures that facilities will request inspections as necessary. The inspections shall consist of document verification, including the board feet amount of kiln dried (KD) lumber produced each month; kiln treatment records review; moisture testing and lot number verification on the bundle bands of a representative sample of the facility's production inventory at the time of inspection; review of inspection and segregation practices of treated wood; and provide written reports to the inspected facility.

(a) When the first audit results in failure/reported non-compliance of a certified facility:

i. The inspector shall notify the non-compliant facility with a letter of non-compliance within three (3) business days of inspection.

ii. Within 15 days of the written non-compliant notification to the inspected facility, the inspector shall submit a written analysis of the problem and proposed solutions to the non-compliant facility.

iii. The non-compliant facility will be re-inspected 45 calendar days after the written non-compliant notification to determine if the proposed solutions have been implemented by the inspected facility and are sufficient to resolve the non-compliance issues.

(b) If during the 45-day re-inspection period, a second audit results in failure/reported non-compliance, the facility shall be removed from the certification program. One year after removal from the certification program, a facility may re-apply for certification.

e. Ensure that inspected facilities make files and records, including inspection reports, relating to APHIS certification responsibilities as outlined in Article 6 available for review by APHIS.

f. Retain inspection records for three years after the close of the Federal fiscal year in which the inspection occurred.

ARTICLE 6 – APHIS RESPONSIBILITIES

APHIS agrees to/that:

3

Figure 5-2-8 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 3)

Agreement No. 12-8100-1173-MU

a. Designate John Tyrone Jones, II, Trade Director, as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU. Mr. Jones can be reached at 301.851.2344.

b. Complete an audit of the NHLA Program annually. A written report of audit findings will be submitted to the NHLA within 21 business days after completion of the audit.

c. As part of the bi-annual inspections, APHIS will ensure that agencies independent of the mills (product) have been approved by the NHLA Board of Managers as lumber grading agencies and that their inspectors are industry-certified. Each lumber grading agency must have met the resource and checks and balance requirements of the NHLA Board of Managers in order to qualify as a lumber grading agency. Additionally, the APHIS inspector will review the files and records of the industry-certified inspectors and that the industry-certified inspectors have been fully trained and certified by the NHLA. Training for industry-certified inspectors includes the proper calibration of the kiln; placement and number of probes; use of moisture meters; proper recording and filing of product and inspection information; positioning of product within the kiln; storage of the product; review of shipment documentation; verification of training documentation and competence; and identifying suspect (fraudulent) shipment documentation.

d. Monitor the certification system for conformance by conducting bi-annual inspections (minimum) at participating facilities as well as corresponding points of export. Local PPQ officers will be responsible for scheduling the bi-annual inspections. Regional and headquarters staff will verify completion of the bi-annual inspections and maintain the inspection schedule records.

e. Generate and distribute inspection reports to the inspected facility; the respective PPQ regional office; and to Export Services at headquarters in Riverdale, Maryland. Facilities failing inspection shall receive a written preliminary inspection report within seven (7) days of the inspection. The inspection report shall include recommendations to achieve compliant status. Final and complete reports shall be distributed to the aforementioned parties within 21 business days after completion of the audit.

ARTICLE 7 – STATEMENT OF NO FINANCIAL OBLIGATION

Signature of this MOU does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this MOU. Transfers of funds or items of value are not authorized under this MOU.

4

Figure 5-2-9 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 4)

Agreement No. 12-8100-1173-MU

ARTICLE 8 – LIMITATIONS OF COMMITMENT

This MOU and any continuation thereof shall be contingent upon the availability of funds appropriated by the Congress of the United States. It is understood and agreed that any monies allocated for purposes covered by this MOU shall be expended in accordance with its terms and the manner prescribed by the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement must be developed by the cooperating parties.

ARTICLE 9 – CONGRESSIONAL RESTRICTION

Under 41 USC 22, no member of, or delegate to, Congress shall be admitted to any share or part of the MOU or to any benefit to arise there from.

ARTICLE 10 – AMENDMENTS

This MOU may be amended at any time by mutual agreement of the parties in writing.

ARTICLE 11 – TERMINATION

This MOU may be terminated by either party upon thirty (30) days written notice to the other party.

ARTICLE 12 - EFFECTIVE DATE AND DURATION

This MOU will become effective upon date of final signature and will continue for a period of five years.

NATIONAL HARDWOOD LUMBER ASSOCIATION

Mark Barford
Executive Manager

9/27/12
Date

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

Rebecca A. Bech
Deputy Administrator

10/22/12
Date

5

Figure 5-2-10 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 5)

Attachment 1

Agreement No. 12-8100-1173-MU

Cert #: 000-01

CERTIFICATE OF KILN DRYING
Sawn Hardwood Lumber

Lumber Kiln Dried by

Name of Company:
Address:
City/State/Zip:
Phone:
Order #:
Invoice #:
Custumer PO#:

Consignee

Name:
Address:
City/State/Zip:
Country:
Port:
Container #:

Description of Consignment:

Botanical Name of Plants:
List species, thickness, grade of various items contained in shipment:

Bundle Numbers	Clip ID Numbers	Board Footage	Cubic Meters

Totals: # Bundles: BdFt: Cubic Meters:

(This document is issued under a program officially approved by the Animal, Plant, Health, and Inspection Service of the U.S. Department of Agriculture. The products covered by this document are subject to pre-shipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or any representatives of the Department with respect to this certificate.)

AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION

NAME (PRINT) TITLE

I certify that the products described above satisfy the Kiln Drying requirements listed under Certificate Standard.

Signature _____ DATE _____

NATIONAL HARDWOOD LUMBER ASSOCIATION VALIDATION

NAME (PRINT) AUTHORIZED SIGNATURE TITLE DATE

National Hardwood Lumber Association PO Box 34518 | Memphis, TN 38184-0518 | Ph. 901-377-1818 | Fax 901-347-0034 | www.nhla.com

PLEASE SIGN THIS FORM IN BLUE INK

6

Figure 5-2-11 Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 6)

C. An ACO verifies the treatment meets the required temperature and duration at the facility, as outlined in chapter 7 of the Dry Kiln Operators Manual. The facility **must** provide a copy of a kiln certification (calibration) performed in the last year and validation of low moisture content. Phytosanitary certification is based on the verification of kiln inspection, the ACO's verification of treatment, recorded results, and the provided validation of moisture content.

2. Softwood

   A. An ACO will conduct a visual inspection, verify KD marks on the wood, and measure the moisture content to ensure it is below 20%. The marks must be from inspection agencies listed in Table 5-2-1 on page 5-2-5 and specifically display KD. **OR**

   B. An ACO verifies the treatment meets the required temperature and duration at the facility, as outlined in chapter 7 of the Dry Kiln Operators Manual. The facility **must** provide a copy of a kiln certification (calibration) performed in the last year and validation of low moisture content. Phytosanitary certification is based on the treatment certificate, the ACO's verification of treatment, recorded results, and the provided validation of moisture content.

See Figure 5-2-1 on page 5-2-4 for an example of the treatment section on the PC certifying kiln drying.

HT Verification

1. Hardwood

   A. A facility operates under the MOU PPQ has with the National Hardwood Lumber Association (NHLA); Phytosanitary certification is based the treatment certificate provided by the facility; stipulating the heat treatment in the Description of Consignment section (see Figure 5-2-6 on page 5-2-17). Shipments are subject to random phytosanitary inspection. **OR**

   B. An ACO verifies the treatment meets the required core temperature at the facility. The facility must provide a copy of a thermocouple certification performed in the last year. Phytosanitary certification is based on the verification of the thermocouple inspection, the ACO's verification of the treatment and recorded results.

2. Softwood
   A. An ACO will conduct a visual inspection and verify the HT marks on the wood. The marks must be from inspection agencies listed in Table 5-2-3 on page 5-2-10. **OR**
   B. A facility operates under the MOU PPQ has with the lumber grading agencies (see Table 5-2-2 on page 5-2-9); Phytosanitary certification is based on the treatment certificate provided by the facility (see Figure 5-2-4 on page 5-2-14). Shipments are subject to random phytosanitary inspection. **OR**
   C. An ACO verifies the treatment meets the required core temperature at the facility. The facility **must** provide a copy of a thermocouple certification performed in the last year. Phytosanitary certification is based on the verification of the thermocouple inspection, the ACO's verification of the treatment and recorded results.

See Figure 5-2-4 on page 5-2-14 for an example of the treatment section on the PC certifying heat treatment.

Mill Certification Programs Overview

These special procedures provide information about the Memorandums of Understanding (MOUs) PPQ has initiated with numerous lumber grading agencies, who provide the oversight of Mill Certification Programs. The purpose of the MOUs is to facilitate exports of coniferous sawn wood and to address the export concerns of the importing country.

Coniferous sawn wood is an important export from the U.S., which is highly regulated because of various pests, including the pine wood nematode, *Bursaphelenchus xylophilus*. Therefore, the MOUs establish how the wood products will be inspected and treated at the mill and the documentation that the mill will supply to PPQ for export certification of coniferous sawn wood.

Two of the MOUs eliminate the need to issue a PPQ Form 577 for coniferous sawn wood and allow participating lumber mills to issue their own certification for kiln dried coniferous lumber going to Member States of the European Union. The two MOUs are for the following situations:

- Coniferous sawn wood using heat treatment certification
- Debarking and grub hole control of coniferous sawn wood

Mill Certification Programs for coniferous sawn wood use the MOUs listed below and further detail:

- Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union
- Kiln-Dried Coniferous Sawn Wood Going to Non European Union Member States
- Debarking and Grub Hole Control of Coniferous Sawn Wood
- Biannual Audit Checklist for Certification Programs
- Kiln Certification

Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union

The Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union is the most widespread of the Mill Certification Programs. This program provides an industry certification system that is officially approved to meet the phytosanitary import requirements of the European Union for coniferous wood from the U.S.

See Figure 5-2-12 on page 5-2-27 and Figure 5-2-13 on page 5-2-28 for an example of an MOU for a Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union.

Export shipments of wood from lumber mills that are **not** participating in a Mill Certification Program may be certified to Member States of the European Union with PPQ Form 577, if the mill meets the criteria specified in the export summary for the European Union.

NOTICE

Advise applicants that shipments may be rejected or destroyed at destination if the wood has **not** been sawn or kiln dried and heat treated, and is **not** accompanied by the proper certificate.

3.2-34-85-0254-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)

ARTICLE 1

The Memorandum facilitates the implementation of an officially approved industry certification system to satisfy the legislation of the European Community derived from Plant Health Directive 77/93/EEC, as amended, with respect to heat treatment of coniferous sawn wood destined to the European Union.

ARTICLE 2

Authority exists under the Plant Protection Act of Section 431 (a), Public Law 106-224, for the Secretary of Agriculture to cooperate with the States of political subdivisions thereof, fam1ers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

a. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspectional personnel shall remain administratively responsible to the Association.

b. The basic control requirement for coniferous sawn wood under this system is heat treating/kiln drying to the extent that all parts of the wood, including the core, have reached a temperature of at least 133 degrees F (56 degrees C) for 30 minutes.

ARTICLE 4

The Association agrees to/that:

a. Heat treated/kiln dried coniferous sawn wood shipments shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as confirming to the certification statement imprinted on the Heat Treatment Certification Using a Kiln Facility Certificate. A sample of this certificate is annexed to this Document.

b. Shipments of coniferous sawn wood moving into export channels that have been heat treated/kiln dried according to the requirements of this system shall have bundles of coniferous wood in the shipment marked "HT" or "KD" at the preparing mill.

c. Maintain signed agreements with participating mills, a register of participating mills, a registry of employees/agents to issue the Heat Treatment Certification Using a Kiln Facility Certificate, a register of agency employees who are authorized to authenticate such certificates, and copies of all certificates issued.

d. Provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.

e. Make files and records available for review by APHIS in carrying out its responsibilities outlined in Article 5. Records will be retained for 3 years after the close of the Federal fiscal year.

ARTICLE 5

APHIS agrees to monitor the certification system for conformance by conducting random biannual inspections (minimally) at participating companies and at points of export and by reviews Lumber Grading Agency files and records.

Figure 5-2-12 Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States (front)

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.

ARTICLE 7

Pursuant to Section 22, Title 41, United States Code, no member or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise there from.

ARTICLE 8

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either parity upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ _____
Date

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

[Signature] _____ _____
Regional Director Date

Figure 5-2-13 Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States (back)

Heat Treatment Declaration

These special procedures cover the export certification of wood and wood products requiring a heat treatment declaration.

ACOs may record an unmonitored heat treatment on an export certificate when the following conditions apply:

The material presented can be verified as the material represented on the certificate (lot numbers, board feet, etc.).

AND

The material is from a mill approved by the USDA.

Lumber Grading Agencies

Official control of Mill Certification Programs is maintained through MOUs established between PPQ and lumber grading agencies. The participating lumber grading agencies formulate, publish, and maintain grading rules, and provide inspection facilities for softwood under the provisions of the American Softwood Lumber Standard.

See Table 5-2-2 on page 5-2-9 for a list of the lumber grading agencies participating in Mill Certification Programs for heat treatment of coniferous sawn wood going to Member States of the European Union.

Heat Treatment Certification Using a Kiln Facility

Lumber exported under a Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union **must** be accompanied by a mill certificate, “Heat Treatment Certification Using a Kiln Facility.” The mill certificate attests that the wood has been properly heat treated.

Only sawn wood that has been kiln dried according to the provisions of the American Softwood Lumber Standard may be exported under this Mill Certification Program.

See Figure 5-2-4 on page 5-2-14 for an example of Heat Treatment Certification Using a Kiln Facility.

Mill Certification Program Responsibilities

When an MOU establishes a Mill Certification for heat treatment of coniferous sawn wood going to Member States of the European Union, the lumber grading agencies, the participating lumber mills, and the PPQ regional offices each have stipulated responsibilities. These program responsibilities are listed below for the following:

- Lumber Grading Agencies
- Lumber Mills
- PPQ Regional Offices

Lumber Grading Agencies

The responsibilities of lumber grading agencies, as stipulated in the MOUs, are as follows:

- Perform a monthly check of Mill Certification Program's quality control
- Maintain copies of issued certificates
- Maintain a list of designated personnel at each participating lumber mill who are approved to issue mill certificates
- Maintain signed agreements with participating lumber mills
- Provide training to participating lumber mills' inspectors
- Validate mill certificates

Lumber Mills

The responsibilities of participating lumber mills, as stipulated under the MOUs, are as follows:

- Designate personnel to issue mill certificates (Heat Treatment Certification Using a Kiln Facility on page 5-2-29)
- Send issued mill certificates to the lumber grading agency for final review and validation
- Treat all shipments of coniferous sawn wood moving under a Mill Certification Program according to the American Softwood Lumber Standard for heat-treated or kiln-dried wood

PPQ Regional Offices

The responsibilities of the designated PPQ regional offices are as follows:

- Conduct biannual audits of each lumber grading agency for which an MOU is signed and of its participating lumber mills (see also Biannual Audit Checklist for Certification Programs on page 5-2-43)
  - Meet with each lumber grade agency and participating lumber mills to review documentation
  - Confirm at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certification Program are meeting its conditions
  - Collect and submit to Export Services (ES) the results of the biannual audit by October 1 of each year (see Figure 5-2-19 on page 5-2-44 for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)
- Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- Randomly inspect for conformance to the Mill Certification Program participating lumber mills and shipments of wood at points of export
- Randomly review the files and records of participating lumber grading agencies

  Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Kiln-Dried Coniferous Sawn Wood Going to Non European Union Member States

MOUs and Mill Certification Programs established for kiln-dried coniferous sawn wood going to non European Union Member States are similar to those previously mentioned (for coniferous sawn wood going to Member States of the European Union), yet are different in that they cover **only** kiln-dried coniferous sawn wood.

Wood that has been heat treated or merely debarked is **not** authorized under these MOUs.

See Figure 5-2-14 on page 5-2-32 for an example of an MOU for kiln-dried coniferous sawn wood.

12-34-8x-xxx-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)

ARTICLE 1

The Memorandum facilitates the implementation of an officially approved industry certification system to provide an alternative basis for the Federal phytosanitary certification of kiln dried coniferous sawn wood. This program does not apply to European Union (EU) member states.

ARTICLE 2

Authority exists under the Plant Protection Act of Section 431 (a), Public Law 106-224, for the Secretary of Agriculture to cooperate with the States of political subdivisions thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

a. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspectional personnel shall remain administratively responsible to the Association.

b. The basic control requirement for coniferous sawn wood under this system is kiln drying to the extent that all parts of the wood have reached a temperature of at least 160 degrees F (71 degrees C) and the moisture content of the wood has been reduced to less than 20 percent by weight.

ARTICLE 4

The Association agrees to/that:

a. Kiln dried coniferous sawn wood shipments shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as confirming to the certification statement imprinted on the **Mill Certificate of Kiln Drying**. A sample of this certificate is annexed to this document.

b. Shipments of coniferous sawn wood moving into export channels that have been kiln dried according to the requirements of this system shall have bundles of coniferous wood in the shipment marked "KD" or "Kiln Dried" at the preparing mill.

c. Maintain signed agreements with participating mills, a register of participating mills, including names and representatives approved to issue **Mill Certificates of Kiln Drying**, and copies of all certificates issued.

d. Provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.

e. Make files and records available for review by APHIS in carrying out its responsibilities outlined in Article 5. Records will be retained for 3 years after the close of the Federal fiscal year.

ARTICLE 5

APHIS agrees to monitor the certification system for conformance by conducting random biannual inspections (minimally) at participating companies and at points of export and by reviews Lumber Grading Agency files and records.

Figure 5-2-14 Example of MOU for Kiln Dried Coniferous Sawn Wood (front)

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.

ARTICLE 7

Pursuant to Section 22, Title 41, United States Code, no member or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise there from.

ARTICLE 8

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either parity upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ _____
Date

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

[Signature] _____ _____
Regional Director Date

Figure 5-2-15 Example of MOU for Kiln Dried Coniferous Sawn Wood (back)

Lumber Grading Agencies

PPQ established MOUs with lumber grading agencies to facilitate the export certification of kiln dried coniferous sawn wood going to non European Union Member States. See Table 5-2-4 for a list of participating lumber grading agencies.

Table 5-2-4 Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying of Coniferous Sawn Wood

Lumber Grading Agency	Lumber Grading Agency Contact
Northeastern Lumber Manufacturers Association (NeLMA) 272 Tuttle Rd., P.O. Box 87A Cumberland Center, ME 04021	Jeff Easterling Executive Vice President Phone: 207-829-6901 FAX: 207-829-4293
Pacific Lumber Inspection Bureau Inc. 1010 S 336th Street, Suite 300 Federal Way, WA 98003	Jeff Fantozzi Secretary/General Manager Phone: 253-835-3344 FAX: 253-746-5522
Renewable Resource Associates, Inc. 860 Johnson Ferry Road Suite 140 - 194 Atlanta, GA 30342	Lon J. Sibert President Phone: 678-528-3734 Cell: 770-330-9416 FAX: 678-325-7330
Southern Pine Inspection Bureau 4709 Scenic Highway Pensacola, FL 32504-9094	Bob Browder Director Phone: 850-434-2611 FAX: 850-433-5594
Timber Products Inspection, Inc. P.O. Box 919 Conyers, GA 30012	David Conner Lumber Division Phone: 770-922-8000 FAX: 770-922-1290
West Coast Lumber Inspection Bureau P.O. Box 23145 Portland, OR 97281-3145	Skeet Rominger Executive Vice President Phone: 503-639-0651 FAX: 503-684-8928
Western Wood Products Association 522 SW Fifth Avenue, Suite 500 Portland, OR 97204-2122	Kevin Binam President Phone: 503-224-3930 FAX: 503-224-3934

Mill Certificate of Kiln Drying

All shipments of kiln-dried coniferous sawn wood certified under these MOUs **must** have mill certificates validated by a participating lumber grading agency. The mill certificates **must** be presented to PPQ for conversion to PPQ Form 577 (see Figure 5-2-5 on page 5-2-15 for an example of a Mill Certificate of Kiln Drying).

Mill Certification Program Responsibilities

When an MOU is entered into establishing a Mill Certification Program for kiln drying of coniferous sawn wood moving to non-European Member States, the lumber grading agencies, the lumber mills, and PPQ each have stipulated responsibilities. These program responsibilities are listed below for the following:

- Lumber Grading Agencies
- Lumber Mills
- PPQ Duty Stations
- PPQ Regional Offices

Lumber Grading Agencies

The responsibilities of lumber grading agencies are essentially the same as those listed for coniferous sawn wood going to Member States of the European Union, **except** that lumber grading agencies return mill certificates to the lumber mill for conversion to PPQ Form 577s. The lumber grading agencies' responsibilities are as follows:

- Perform a monthly check of the Mill Certification Program's quality control
- Maintain copies of issued certificates
- Maintain a list of designated personnel at each lumber mill who are approved to issue mill certificates
- Maintain signed agreements with participating lumber mills
- Provide training to participating lumber mills' inspectors
- Return to lumber mills the validated mill certificates for conversion to PPQ Form 577s by PPQ
- Validate mill certificates issued by participating lumber mills

Lumber Mills

The responsibilities of participating lumber mills are as follows:

- Certify shipments are using a Mill Certificate of Kiln Drying for kiln-dried coniferous wood being exported to non European Union Member States
- Designate personnel to issue mill certificates
- Present validated mill certificates to PPQ for conversion to PPQ Form 577s
- Send issued mill certificates to the lumber grading agency for final review and validation

PPQ Duty Stations

The responsibilities of PPQ Duty Stations are as follows:

- Issue PPQ Form 577s for those shipments of kiln-dried coniferous sawn wood covered by properly validated mill certificates
- Retain copies of validated mill certificates as supporting documentation for issued PPQ Form 577s
- Review validated mill certificates
- Verify that lumber grading agencies are participating in Mill Certification Programs

PPQ Regional Offices

The responsibilities of the designated PPQ regional offices are as follows:

- Conduct biannual audits of each lumber grading agency for which an MOU is signed and its participating lumber mills (see also Biannual Audit Checklist for Certification Programs on page 5-2-43)
  - Meet with each lumber grading agency and participating lumber mills to review documentation
  - Confirm at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certificate Program are meeting its conditions
  - Collect and submit to ES the results of the biannual audit by October 1 of each year (see Figure 5-2-19 on page 5-2-44 for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)
- Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- Randomly inspect for conformance to the Mill Certification Program participating lumber mills and shipments of wood at points of export
- Randomly review the files and records of participating lumber grading agencies

  Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Debarking and Grub Hole Control of Coniferous Sawn Wood

The Mill Certification Program for debarking and grub control of coniferous sawn wood allows for certifying air-dried coniferous sawn wood or kiln-dried sawn wood of *Thuja* spp. going to Member States of the European Union. (See Figure 5-2-16 on page 5-2-38 and Figure 5-2-17 on page 5-2-39 for an example of an MOU for debarking and grub control of coniferous sawn wood.)

XX-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)

Relative to

Preparation and Certification of Coniferous Sawn Wood of Thuja spp. Intended for Export to the European Member States

ARTICLE 1

The object of this Memorandum is to facilitate the implementation of an officially approved industry certification system to satisfy provisions of the national legislation of Member States of the European Union (EU) derived from Plant Health Directive 77/93/EEC, as amended, with respect to freedom from bark and grub holes on coniferous sawn wood originating in the United States. This program is applicable to Member States of the EU and to coniferous lumber pertaining to Thuja spp. only.

ARTICLE 2

This Memorandum is entered into by the Service by virtue of authority included in the Plant Protection Act of, Section 431 (a), Public Law 106-224, to cooperate with the States of political subdivision thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

a. The overall direction and control of this cooperative program is to be maintained by the Service. Inspectional personnel shall remain administratively responsible to the Association.

b. The basic control requirement for coniferous sawn wood (Thuja spp. only), including spacers or other attached dunage, is freedom from bark and grub holes larger than 3mm across associated with shipments, but the following conditions, if existing, shall not disqualify a shipment from certification:

1. Waney edges from which external bark has otherwise been totally removed
2. Ingrown bark, in particular, around knots
3. Bark/pitch pockets, as described in the National Grading Rules
4. Holes caused by Teredo worms (marine mollusks)
5.

ARTICLE 4

The Association agrees:

a. That unseasoned or air-dried coniferous sawn wood shipments, if not otherwise covered by a phytosanitary certificate, shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as meeting the wood control requirements of the importing country. A sample of a **Mill Certificate of Debarking and Grub Hole Control** is annexed into this document.

b. To maintain signed agreements with participating mills, and a registry of participating mills including names of representatives approved to issue certificates of debarking and grub hole control and copies of all certificates issued.

Figure 5-2-16 Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (front)

c. To provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.

ARTICLE 5

The Service agrees:

a. To conduct an orientation program for designated mill inspectors on the plant health requirements of receiving countries pertaining to coniferous wood.

b. To monitor the certification system for conformance via random biannual inspection at participating mills, points of export, and reviews of Association files and records.

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation to serve as a basis for expenditures. No transfer of Federal funds shall be involved under this Memorandum.

ARTICLE 7

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either parity upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ _____
Date

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

[Signature] _____ _____
Regional Director Date

Figure 5-2-17 Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (back)

Lumber Grading Agencies

See Table 5-2-5 for a list of lumber grading agencies participating in the Mill Certification Program for debarking and grub control of coniferous sawn wood. These lumber grading agencies may certify air-dried coniferous sawn wood or kiln-dried sawn wood of *Thuja* spp.

Table 5-2-5 List of Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying, Debarking, and Grub Hole Control

Lumber Grading Agency	Lumber Grading Agency Contact
California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, #200 Novato, CA 94949	Christopher Grover Executive Vice President Phone: 415-382-0662 FAX: 415-382-8531
Pacific Lumber Inspection Bureau Inc. 1010 S 336th Street, Suite 300 Federal Way, WA 98003	Jeff Fantozzi Secretary/General Manager Phone: 253-835-3344 FAX: 253-835-3371
West Coast Lumber Inspection Bureau Box 23145 Portland, OR 97281-3145	Skeet Rominger Executive Vice President Phone: 503-639-0651 FAX: 503-684-8928
Western Wood Products Association 522 SW Fifth Avenue, Suite 500 Portland, OR 97204-2122	Jim Matthews Assistant Director of Quality Standards Phone: 503-224-3930 FAX: 503-224-3934
Timber Products Inspection, Inc. P.O. Box 20455 Portland, OR 97220	Casey Dean Chief Lumber Inspector Phone: 503-254-0204 FAX: 503-252-9267

Certificate of Debarking and Grub Hole Control

This Mill Certification Program allows for the certification of debarking and grub hole control for coniferous sawn wood of **only** *Thuja* spp. going to Member States of the European Union. Air-dried coniferous sawn wood **must** have mill certification that the wood is free from bark and grub holes larger than 3 millimeters in diameter. The mill certificates **must** be presented to PPQ for conversion to PPQ Form 577 (see Figure 5-2-18 on page 5-2-41 for an example of the Certificate of Debarking and Grub Hole Control).

CERTIFICATE OF DEBARKING AND GRUB HOLE CONTROL

Issued in the U.S.A.

CERTIFICATE NUMBER

BILL OF LADING NUMBER

NAME AND ADDRESS OF SUPPLYING MILL

NAME AND ADDRESS OF CONSIGNEE *(Optional)*

DESCRIPTION OF CONSIGNMENT	VOLUME
INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT *(Lot number and volume are required)*.	

The lumber in this shipment has been examined by a mill inspector or other authorized person and found to have been stripped of its bark and to be free of grub holes; and, to the best of his/her knowledge and belief, to be in conformance with the import requirements of the receiving country.

This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION

NAME *(Print)*	SIGNATURE	TITLE	DATE

AGENCY VALIDATION

AUTHORIZED SIGNATURE	TITLE	DATE

Figure 5-2-18 Example of Certificate of Debarking and Grub Hole Control

Mill Certification Program Responsibilities

When an MOU is entered into to establish a Mill Certification Program for debarking and grub hole control of *Thuja* spp. going to Member States of the European Union, the lumber grading agency, the participating lumber mills, and the PPQ offices each have stipulated responsibilities. These program responsibilities are listed below for the following:

- Lumber Grading Agencies
- Lumber Mills
- PPQ Duty Stations
- PPQ Regional Offices

Lumber Grading Agencies

The responsibilities of lumber grading agencies are as follows:

- Perform a monthly check of the Mill Certification Program' quality control
- Maintain copies of issued certificates
- Maintain a list of designated personnel at each participating lumber mill who are approved to issue mill certificates
- Maintain signed agreements with participating lumber mills
- Provide training to participating lumber mills' inspectors
- Validate mill certificates issued by participating lumber mills

Lumber Mills

The responsibilities of participating lumber mills are as follows:

- Certify unseasoned or air-dried coniferous sawn wood as meeting the requirements of the foreign country using a Certificate of Debarking and Grub Hole Control
- Designate personnel to issue mill certificates
- Inspect unseasoned or air-dried coniferous sawn wood
- Send issued mill certificates to the lumber grading agency for final review and validation

PPQ Duty Stations

The responsibilities of PPQ Duty Stations are as follows:

- Issue PPQ Form 577s for those shipments of kiln-dried coniferous sawn wood covered by properly validated mill certificates
- Retain copies of validated mill certificates as supporting documentation for issued PPQ Form 577s
- Review validated mill certificates
- Verify that lumber grading agencies are participating in Mill Certification Programs

PPQ Regional Offices

The responsibilities of the designated PPQ regional offices are as follows:

- Conduct biannual audits of each lumber grading agency for which an MOU is signed and of its participating lumber mills (see also Biannual Audit Checklist for Certification Programs on page 5-2-43) as follows:
  - Meet with each lumber grade agency and participating lumber mills to review documentation
  - Confirm at participating lumber miles or at points of export that the shipments of coniferous sawn wood moving under a Mill Certificate Program are meeting its conditions
  - Collect and submit to ES the results of the biannual audit by October 1 of each year (see Figure 5-2-19 on page 5-2-44 for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)
- Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- Randomly inspect conformance to the Mill Certification Program participating lumber mills and shipments of wood at points of export for
- Randomly review the files and records of participating lumber grading agencies

  Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Biannual Audit Checklist for Certification Programs

See Figure 5-2-19 on page 5-2-44 for an example of a Biannual Audit Checklist for Mill Certification Programs.

BIANNUAL AUDIT CHECKLIST
FOR THE WOOD MILL CERTIFICATION PROGRAMS

DATE OF AUDIT:_____

AGENCY or MILL AUDITED/address:

_____

_____

_____

CONTACT PERSON/ phone number:

_____

MOU(s) Audited	(check)
Coniferous Sawn Wood for Heat Treatment Moving to European Union (EU)	
Kiln Drying MOU	
Debarking, and Grub Hole Control of Thuja sp to European Union (EU)	

AUDIT RESULTS:	Yes	No	N/A
Agency maintains the signed agreements (MOU's) with the participating mills:			
Agency maintains a list of participating mills and their representatives that are approved to issue mill certificates:			
Maintains copies of all certificates issued:			
Training provided to mill inspectors:			
Agency maintains a list of Lumber Grading Agency employees eligible to validate mill certificates:			
Agency completes monthly review of the Certification Programs:			
Milled products shipped meet conditions of the programs:			

COMMENTS:_____

_____

_____

_____

_____

AUDITOR's SIGNATURE:_____DATE:_____

PRINT NAME:_____OFFICE:_____

Figure 5-2-19 Example of Biannual Audit Checklist for Mill Certification Programs

Kiln Certification

The Animal and Plant Health Inspection Service (APHIS) recognizes the U.S. Forest Service, Forest Product Laboratory's, USDA Agricultural Handbook AH-188: Dry Kiln Operator's Manual, Chapter 4, Inspection and Maintenance of Dry Kilns and Equipment, for guidance on kiln certification.

Appendix

A

Appendix A

Internal Communication

Contents

Internal Communication **A-1-1**
State and County **A-1-1**
Export Certification Specialist (ECS) **A-1-2**
National Operations Manager (NOM) **A-1-2**
Export Services (ES) **A-1-2**

Internal Communication

When personnel involved in the export program require assistance it is important they receive a prompt response from the appropriate person. To ensure issues are resolved in a timely fashion, it is important the person requesting assistance:

- Gather all pertinent information
- Fill out completely all fields of the Held Shipment Worksheet in the case of a held shipment
- Refer to the proper person for assistance

For questions, concerns, and suggestions relating to the export program, follow the contact protocol described below.

Whether you are an Authorized Certification Official (ACO) or an applicant, your contacts should follow this order:

1. Export Certification Specialist (ECS)
2. National Operations Manager (NOM)
3. Export Services (ES)

Additional guidance for obtaining assistance is provided below. To contact:

State and County

- Look up local listings for State agriculture officials
- In California, contact your county agricultural office
- National Plant Board website

Export Certification Specialist (ECS)

- Export Certification Specialist contact page

National Operations Manager (NOM)

- Raleigh, North Carolina: 919-855-7314 or 919-855-7300
- Fort Collins, Colorado: 970-494-7500

Export Services (ES)

- General number: 301-851-2309
- Email: ppqexportservices@aphis.usda.gov

Appendix

B

Appendix B

Phytosanitary Export Database (PExD)

Contents

Introduction **B-1-1**
Accessing PExD **B-1-1**

Introduction

The Phytosanitary Export Database (PExD) is a repository of export summary information. PExD enhances the Plant Protection and Quarantine's (PPQ) ability to maintain the export program for United States exporters. PExD will support PPQ Phytosanitary Issues Management (PIM) Export Services (ES) with the task of entering export summaries for foreign countries. PExD provides reusable text to facilitate uniform entry of export summaries. PExD also provides PPQ staff, state and county cooperators, and exporter users easy access to export summaries via direct user queries. PExD interfaces with the Phytosanitary Certificate Issuance & Tracking System (PCIT) application processing. During application processing users are provided with pertinent export summaries based on the consignee country, application commodities and other data contained in the application. PExD contains phytosanitary import requirements of U.S. origin commodities to foreign commodities. This information may be retrieved by users with access to PCIT.

Accessing PExD

You can access PExD in the left hand navigation menu in any PCIT account home page or via the PExD link at the bottom of the PCIT login page.

Appendix

C

Appendix C

Phytosanitary Certificate Issuance & Tracking (PCIT)

Contents

Introduction **C-1-1**
Features **C-1-2**
PCIT Facts **C-1-3**
PCIT Tips **C-1-3**
Training Website **C-1-4**
Available Assistance **C-1-4**

Introduction

The Phytosanitary Certificate Issuance and Tracking (PCIT) System automates the issuance of a phytosanitary certificate, including collection and tracking of its related information, for eligible agricultural commodities being exported to foreign countries.

The Web-based PCIT application is available nationwide for use now and was developed to meet the following objectives:

- Enable the creation of electronic phytosanitary certificates
- Provide data standards to facilitate data integrity for reporting and interfacing with foreign governments
- Protect the PCIT data by incorporating defined security requirements

To use PCIT please contact your Export Certification Specialist (ECS) to enroll.

Features

- Faster certificate generation
- Customizable templates
- Certificate archiving
- Reduced need for on-site paper record maintenance
- 56,000+ scientific and common commodity name database
- Ability to collect State and County Fees
- Various State Certificates are now available
- Applicants may now print a draft certificate
- Ability to enter multiple Quantity and Unit pairings
- Ability to enter multiple Number of Packages and Package pairings
- Display the submission time for each application on the My Duty Station Workload and My Workload pages
- Ability to create Treatment templates to apply common treatments quickly
- Standardized left navigation menu for all users
- Easy to use context help is included in PCIT on key fields to assist in identifying the type of information to be entered in the associated field
- Within the PCIT application, links to web pages such as PExD, PPQ, and the Export Program Manual (XPM)
- Contact Us page with:
  - Link to PPQ, Export Services website
  - Technical requirements for using PCIT
  - A link to download the USDA PCIT User's Guide
  - A link to PCIT Release Notes
  - A link to PCIT Accessibility Guidelines
- Cost incurred on a per certificate basis, **not** on a per page basis

EXAMPLE An export certificate that uses three pages will incur the same cost as a certificate that uses only one page.

PCIT Facts

- **No** fees are removed from accounts until certificates are in Issued status.
- PCIT will **not** allow the PPQ Form 577 or 579 to be completed without sufficient funds.
- Applicants using PCIT may run a debit transaction report to view all credits and debits made to their account.
- If applicants are **not** using PCIT, but the duty station is using PCIT, then the duty station may run a debit transaction report to view all credits and debits made for individual applicants.
- If a company submits an application, duty stations will **never** need to create a shell account.
- The use of wildcard searches can increase the effectiveness of your search in PCIT. Entering less specific information yields a larger result.
- One person should register the organization. That person is the organization administrator.
- Administrators can add users to the organization and designate others as administrators.
- Browser “BACK” button does not work.
- Copies can be printed at any time.
- No more four part forms.
- Continuation pages will be generated by PCIT.

PCIT Tips

- Name templates so entire organization understands what they represent.
- Use singular names for commodities: apple vs. apples.
- If you find **no** matches, put asterisks (*) around the commodity to get more results.

EXAMPLE
- Plum returns 35 entries
- *Plum* returns 147 entries

Training Website

The training site is available at any time for trial.

To access the training site, contact your local ECS for a training site ID and password.

Available Assistance

- PCIT Quick Reference Guides are simple one page guides, broken down by topic and user, to help you quickly understand the basics of using PCIT.
- PCIT online help is designed both as a course in using PCIT and as an ongoing reference while you are working with the application.
- PCIT Helpdesk: 1-866-HLP-PCIT (1-866-457-7248)
  email: pcithelpdesk@aphis.usda.gov
- Export Services: Michael Perry (301-851-2279)
  email: michael.j.perry@aphis.usda.gov
- National Operations Managers
  - Raleigh, North Carolina: (919) 855-7314 or 919-855-7300
  - Fort Collins, Colorado: 970-494-7500

Appendix

D

Appendix D

Responsibilities

Contents

Applicants **D-1-1**
Authorized Certification Officials (ACOs) **D-1-2**
Export Certification Specialists (ECSs) **D-1-3**
Trade Specialists **D-1-4**
National Operations Managers (Export Certification and Trade) **D-1-5**
Export Services (ES) **D-1-6**

Applicants

The responsibilities of the applicant include the following:

1. Present all original official communication from the foreign country and the English translation. Applicants are responsible for the accuracy of all translations.
2. Submit a request for phytosanitary certification, preferably with Phytosanitary Certificate Issuance and Tracking (PCIT). Applicants can download PPQ Form 572 from the APHIS Forms Library.
3. Provide all necessary documentation, which may include import permits (IP), bills of lading, manifests, shipping invoices, foreign export certificates, and inspection certificates.
4. Provide third country import requirements for reexport certification.
5. Ensure the commodity is available for inspection, sampling, testing, etc. The applicant is responsible to ensure the shipment is sampled and/or inspected prior to loading containers.
6. Provide labor to open and close packages and adequate facilities to perform the inspection. The facilities **must** include supplies, equipment, and proper lighting for an efficient inspection before certification.
7. Provide for any required treatments, reconditioning, or other actions to meet the import requirements of the foreign country.
8. Export **only** those commodities properly inspected and certified under an export certificate.
9. Safeguard the certified shipment from infestation between the date the shipment was sampled and the actual shipping date, and ensure the certified shipment departs within the time limits specified by the importing country.

Authorized Certification Officials (ACOs)

The responsibilities of ACOs include the following:

1. Identify the foreign import requirements for a commodity and determine whether the commodity meets the requirements.
2. Verify the contents of the shipment with the PPQ Form 572, inspection certificates, State certificates, agency reports, or any other supporting documents.
3. Verify a reexport commodity has been safeguarded and/or inspected to determine that it meets the importing country's requirements.
4. Advise applicants when their commodity is ineligible for certification and explain PPQ's policy regarding eligibility.
5. Advise applicants regarding a country's specified time limits. Refer to the *Definitions of Terms and Coded Abbreviations* in an Export Summary for a country's time limits.
6. Advise applicants on the status of a pending shipment. When samples are drawn for laboratory examination or when there will be delays in certifying the shipment, let the applicant or the shipping company know so the shipment is **not** inadvertently loaded and exported before certification.
7. Inspect the commodity to determine that it meets the importing country's requirements.
8. Refuse to issue export certificates for prohibited commodities or commodities that **do not** meet a country's import requirements.
9. Issue export certificates **only** for eligible commodities according to PPQ policy (see Determining Eligibility on page 3-3-2).
10. Monitor or supervise any treatment for export.
11. Prepare certificates in English. They can be handwritten or typed unless specified otherwise in an Export Summary.
12. Forward the record copy of each certificate to your ECS. Attach copies of IPs and other supporting documents (including translated documents with the original foreign-language document) used for certifying each shipment. If using the attachment feature in PCIT, ACOs may skip this step.

Export Certification Specialists (ECSs)

ECS responsibilities are as follows:

1. Ensure the continuity, credibility, and integrity of PPQ's export program by providing training and quality control functions.
2. Serve as technical liaison among local, State, regional, and national officials regarding export certification. Be knowledgeable in agricultural production and commodity management practices in order to provide recommendations that enhance export protocols.
3. Serve as point of contact and expert on phytosanitary issues for all ACOs in their area.
4. Show proficiency in the use and training of Phytosanitary Certificate Issuance & Tracking (PCIT) to promote uniformity of certificate issuance within the export program.
5. Be proficient using the Export Program Manual (XPM), the Phytosanitary Export Database (PExD), and other databases, such as the Germplasm Resources Information Network (GRIN) database. Notify ES of needed changes and updates to the information.
6. Review (at least monthly) 5% of all certificates issued by ACOs within their area for compliance with policy and foreign import requirements.
7. Investigate the issuance of certificates for shipments that have been detained or rejected by the importing country. This should include verifying documents, adherence to certification policy and procedures, and conformance with the importing countries' phytosanitary requirements. Aid applicants and ACOs in negotiating the release of detained shipments.
8. Inform supervisors, the National Operations Manager (NOM), and ES[1] when certificate issuance may cause financial liability to the USDA or its employees, financial loss to the shipper or industry, or damage to the credibility of the export program.
9. Ensure an effective accountability system is established and maintained by SPHDs and State Plant Regulatory Officials (SPROs) for issued certificates.
10. Participate in periodic workshops conducted by ES.
11. Review and nominate cooperators, along with their qualifications, to ES for granting accreditation to issue certificates in conformance with Federal regulations. (See Special Programs • Federal-State Cooperative Export Program on page 5-1-1.)

1 Export Services, USDA-APHIS-PPQ, 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301- 851-2279; FAX 301-734-7639.

12. Maintain accreditation records for all ACOs in PCIT. Notify ES of cooperators who transfer, retire, or otherwise separate from Federal, State or County employment.
13. Follow Memorandum(s) of Understanding (MOU) for the Federal-State Cooperative Program. Notify ES of needed changes. If a signed copy of a State's MOU is needed, contact the PPQ regional office.
14. Conduct field audits involving review of facilities to ensure compliance with Federal regulations, policies and procedures, and PPQ's obligations to bilateral agreements and protocols, MOUs, and international standards.
15. Assist with Freedom of Information Act (FOIA) requests. Assist Investigative and Enforcement Services staff (USDA-APHIS-IES) offices to research and obtain information related to cases involving the certificate issuance.
16. Assist in reviewing new export protocols and work plans. Provide input to export program officials during development of new certification policies and procedures or modification of existing ones.

Trade Specialists

Trade Specialists have the following responsibilities:

1. Work with visiting foreign officials to address work plan compliance and new market access issues.
2. Serve as a resource for stakeholders, including ACOs and ECSs, to help interpret regulations and their implementation.
3. Interpret and implement work plans at both a local and multi-state level.
4. Investigate problems in the field related to the work plans.
5. Serve as liaison with the field and PIM.
6. Maintain active relationships with stakeholders in export certification matters.
7. Inform the Regional Program Manager, ECS, and SPHD of potential problems.
8. Facilitate exports within assigned areas.
9. Maintain familiarity with agriculture production and commodity management practices in specialized areas to give expertise that could lead to recommendations of modification in practices at the producer/local/State levels in ways that better support export protocols.

10. Conduct field audits involving review of facilities, to ensure conformance with Federal regulations, policies, and procedures. Ensure that PPQ's obligations to bilateral agreements, protocols, MOUs, and International Standards are met.
11. Facilitate meetings between industry and foreign officials, to assure work plan requirements are met and to negotiate and resolve disagreements and procedural problems. Coordinate and arrange site visits to monitor work plan compliance of existing programs.
12. Visit domestic packing sites to review export programs for compliance with established protocol.

National Operations Managers (Export Certification and Trade)

National Operations Managers have the following responsibilities:

1. Support and facilitate trade while considering program, stakeholder, economic, and political interests by following export and import guidelines for agricultural commodities.
2. Provide guidance and direction regarding PPQ policy, regulations, procedures, etc. to customers and stakeholders. Act as resource and consultant to the field regarding technical and operational issues.
3. Monitor program activities and the effective utilization of resources.
4. Interact with ECSs through regional workshops, conference calls, and other support as needed.
5. Assist the Phytosanitary Issues Management (PIM) staff with trade issues by facilitating the development and implementation of work plans for exports and imports.
6. Gather information for new and continuing export markets from the field.
7. Provide advice, information, and support in developing guidelines for program objectives.
8. Identify problem areas and recommend corrective measures.
9. Contribute to effective management and control systems for program activities.
10. Prepare reports and recommendations for Senior RPM regarding program issues.
11. Remain abreast of program changes and emerging issues.
12. Support, promote, communicate, and carry out PPQ departmental and administrative policy.

13. Investigate the issuance of export certificates for detained shipments. Verify documents, confirm adherence to certification policy and procedures, and assure conformance with foreign countries' plant import requirements. Aid agricultural applicants and ACOs in negotiating the release of detained shipments.

Export Services (ES)

ES is responsible for the following:

1. Establish export certification policy.
2. Maintain current information on the phytosanitary requirements of foreign countries.
3. Analyze and prepare export summaries of the phytosanitary requirements for use by ACOs and other interested parties.
4. Monitor the export program to ensure credibility of the export program.
5. When possible, assist U.S. applicants with held shipments.
6. Ensure **only** authorized inspectors and ACOs inspect and certify the phytosanitary conditions of commodities offered for export.

Appendix

E

Appendix E

Collecting State and County Export Certificate Fees

Setting Up Collection of State and County Fees in PCIT

PCIT has the ability to collect State and county export certificate fees according to their individual regulations as well as the Federal administrative fee. This is an optional feature in PCIT. Any State or county interested in participating in this process **must** review the following information and follow these steps:

General Guidelines

- PCIT collects fees **only** at the certificate level
- PCIT can collect fees **only** for issued certificates[1]
- Fees are deducted from an applicant's account when certificates are in issued or printed status
- ACOs will be unable to complete certificates that lack funds in the applicant's account

PPQ Responsibility

- PPQ will assist any State or County with the initial setup in PCIT
- PPQ will remit any State or County fees by the 15th day of the month
- PPQ will process refunds of balances within PCIT

State or County Responsibility

- ACOs **must** complete Issued-Pending certificates within one month of creation
- Participating States and counties **must** use PCIT for all Federal export certificates[2]
- States or Counties are responsible for remitting all fees collected with paper checks and money orders to PPQ
- States or Counties **must** check PCIT for accuracy of fees

1 If a State or County charges by time and mileage and an inspection fails to lead to an issued certificate, PCIT **cannot** collect fees for that time and mileage.

2 When PCIT is down, ACOs may use multipart paper forms. However, the ACO **must** enter the certificate identification number into PCIT to subtract the necessary fees. ACOs may charge for PPQ Form 578 fees in PCIT.

- States or counties can update charges per certificate in PCIT up to the seventh day of the month following issuance of a certificate
- Once fees are remitted, refunds for certificates become the responsibility of the State or county
- State or county effective rates must start on the first of the month and **cannot** be back-dated

Step 1: Initial Setup of State or County Fee Remittance

Use the worksheet shown in Figure E-1-1 on page E-1-3.

Step 2: Initial Setup of Fee Schedule in PCIT

Once Step 1 is completed, the State or county contact will be granted the appropriate financial role in PCIT and contacted by PPQ.

USDA Phytosanitary Certificate Issuance & Tracking System (PCIT)

State and County Fee Remittance Worksheet

○ Initial ○ Update

1. State or County entity name _____
(Dept. of Agriculture, Dept. of Weights and Measures, etc.)

2. Primary Contact Name _____

3. Address _____

4. City _____ 5. State _____ 6. Zip Code _____

7. Email _____

8. Phone Number _____

9. Fax Number _____

10. Data Universal Numbering System (DUNS) number ☐☐☐☐☐☐☐☐☐
Note: Please ensure the DUNS number above is valid and active before submission.

11. Federal Identification Number ☐☐–☐☐☐☐☐☐☐

12. In the Central Contractor Registration (CCR) system? ○ Yes ○ No

13. Bank Routing Number ☐☐☐☐☐☐☐☐☐ 14. Bank Account Number _____

15. Bank Name _____ 16. Date _____

○ Checking Account
○ Savings Account

17. Signature _____

This information may be either e-mailed or faxed to :
Email: Christian Dellis (Christian.B.Dellis@aphis.usda.gov) or Marcus McElvaine (Marcus.McElvaine@aphis.usda.gov)
or
FAX: 301-734-7639 (Attention Christian Dellis or Marcus McElvaine)

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

Figure E-1-1 Initial Setup for State and County Fee Remittance Worksheet

Appendix

F

Appendix F

Supplemental Forms

Contents

Introduction **F-1-1**
AMS Form FV 146, Certificate of Quality and Condition (Processed Foods) **F-1-2**
AMS Form FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance **F-1-3**
AMS Form FV 149, Certificate of Quality and Condition (Processed Foods) Continuous Inspection **F-1-4**
AMS Form FV 294, Report on Sanitary Inspection **F-1-5**
APHIS Form 47, Transmittal and Receipt for Accountable Items **F-1-6**
APHIS Form 94, Record of Public Funds Received **F-1-7**
FGIS Form 921-2, Inspection Report–Insects in Grain **F-1-9**
Form FV-66, Report of Inspection **F-1-14**
Held Shipment Worksheet **F-1-15**
Guidance for Submitting Held Shipment Worksheet **F-1-16**
PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport **F-1-17**
Purpose of PPQ Form 576 **F-1-18**
Instructions to Complete PPQ Form 576 **F-1-18**

Introduction

This appendix includes official forms that are used as part of the export certification process that Authorized Certification Officials (ACOs) or applicants may complete (wholly or partially), sign, and distribute. These forms are supplemental to the export certificates that ACOs issue for certifiable commodities offered for export.

AMS Form FV 146, Certificate of Quality and Condition (Processed Foods)

AMS Form FV 146, Certificate of Quality and Condition (Processed Foods) may be used in place of inspection. See Figure F-1-1 for an example of AMS Form FV 146CS (11-01).

UNITED STATES DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS)

Please refer to this certificate by number and inspection office.

A-

This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws.
WARNING: ***Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than $1,000 or imprisonment for not more than one year, or both (7U.S.C. 1622 (h)).***
The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.

DATE

APPLICANT	ADDRESS
RECEIVER OR BUYER	ADDRESS
SOURCE OF SAMPLES	PRODUCT INSPECTED

CODE MARKS ON CONTAINERS

PRINCIPAL LABEL MARKS

GRADE:

REMARKS:

Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR

FV-146CS (11-01) *(Previous edition dated 09-00 may be used.)* **ORIGINAL**

Figure F-1-1 Example of AMS Form FV 146CS (11-01), Certificate of Quality and Condition (Processed Foods) (blank)

AMS Form FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance

AMS Form FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance may be used in place of inspection. See Figure F-1-2 for an example of AMS Form FV 147CS (9-92).

UNITED STATES DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

CERTIFICATE OF QUALITY AND CONDITION
(PROCESSED FOODS)

QUALITY ASSURANCE

Please refer to this certificate by number and inspection office.

D- 000000

This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: *Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than $1,000 or imprisonment for not more than one year, or both (7U.S.C. 1622 (h)).*
The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.

DATE

APPLICANT	ADDRESS
RECEIVER OR BUYER	ADDRESS
CODE MARKS ON CONTAINERS	PRODUCT INSPECTED

PRINCIPAL LABEL MARKS

GRADE:

REMARKS:

Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR

FORM FV-147CS (9-92)
☆U.S. GPO: 1992—333-648

Figure F-1-2 Example of AMS Form FV 147CS (9-92), Certificate of Quality and Condition (Processed Foods) Quality Assurance (blank)

AMS Form FV 149, Certificate of Quality and Condition (Processed Foods) Continuous Inspection

AMS Form FV 149, Certificate of Quality and Condition (Processed Foods) Continuous Inspection may be used in place of inspection. See Figure F-1-3 for an example of AMS Form FV 149CS (9-92).

UNITED STATES DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE

PACKED UNDER CONTINUOUS INSPECTION OF THE U. S. DEPT. OF AGRICULTURE

CERTIFICATE OF QUALITY AND CONDITION
(PROCESSED FOODS)

CONTINUOUS INSPECTION

Please refer to this certificate by number and inspection office.

K- 00000

This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. ***WARNING: Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than $1,000 or imprisonment for not more than one year, or both (7U.S.C. 1622 (h)).***
The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.

DATE

APPLICANT	ADDRESS
RECEIVER OR BUYER	ADDRESS
CODE MARKS ON CONTAINERS	PRODUCT INSPECTED

PRINICIPAL LABEL MARKS

GRADE:

REMARKS:

Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.

ADDRESS OF INSPECTION OFFICE	SIGNATURE OF INSPECTOR

FORM FV-149CS (9-92)
☆U.S. GPO: 1994—523-112

Figure F-1-3 Example of AMS Form FV 149CS (9-92), Certificate of Quality and Condition (Processed Foods) Continuous Inspection (blank)

AMS Form FV 294, Report on Sanitary Inspection

AMS Form FV 294, Report on Sanitary Inspection may be used in place of inspection. See Figure F-1-4 for an example of AMS Form FV 294 (5-84).

UNITED STATES DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE
FRUIT AND VEGETABLE DIVISION

REPORT ON SANITARY INSPECTION

To Accompany
EXPORT FORM CERTIFICATE
No. _____

To Plant Protection and Quarantine, Animal and Plant Health Inspection Service

This is to report that representative samples of the _____
☐ in car
☐ trailer
containers of _____ ☐ State lot _____ were inspected at _____

_____ on _____

for _____
(NAME AND ADDRESS OF APPLICANT)

and were found to be free from plant diseases and apple-blueberry maggot, cherry fruit flies, fall webworm, grape phylloxera, Japanese beetle, Mexican fruit fly, oriental fruit moth, plum curculio, San Jose scale and woolly aphis and substantially free from other insects and from mites except as follows:

(Give here an exact statement of the percent of fruit found to be infested or infected with each of the various plant pests found to occur in the shipment. See instructions issued to shipping-point inspectors on the preparation of Export Form Certificates and various sanitary memoranda.)

_____ (DATE) _____ (INSPECTOR)

WARNING

This report is not a sanitary certificate and must not be used to accompany shipments of fruit to foreign countries. It is merely a statement of findings which will assist inspectors of Plant Protection and Quarantine to issue sanitary certificates at the point of departure. For limitations on the acceptability of this report as a basis for foreign certification, see Instructions on Issuing Export Form Certificates and various sanitary memoranda and information issued by Plant Protection and Quarantine on the import restrictions on fruits and vegetables of some foreign countries.

FORM FV-294 (5-84) (Edition of 4-81 may be used.)

Figure F-1-4 Example of AMS Form FV 294 (5-84), Report on Sanitary Inspection (blank)

APHIS Form 47, Transmittal and Receipt for Accountable Items

USDA-APHIS

TRANSMITTAL AND RECEIPT FOR ACCOUNTABLE ITEMS

1. DATE PREPARED

ISSUING OFFICE: Complete applicable items 1 through 9. Original and one copy to accompany the items to the receiving office. Retain one copy.
RECEIVING OFFICE: Complete items 11 through 15 and return original to issuing office in item 3.

2. TO:	3. FROM:

4. ACCOUNTABLE FORMS ENCLOSED

A. FORM NO.	B. TITLE	C. QUANTITY	D. UNIT OF ISSUE	E. SERIAL NOS. *(Inclusive)* FROM	THROUGH
SF-1103	U.S. Government Bill of Lading				
AD-107	Report of Transfer or Other Disposition of Construction of Property - For Sales				
APHIS-89	Report of Reimbursable Inspection and Quarantine Service				
	Identification Card				

5. CREDIT CARDS - LICENSE PLATES ENCLOSED

A. TYPE	B. NAME OF ISSUING COMPANY	C. NO. ENCLOSED	D. CREDIT CARD OR LICENSE PLATE NOS. FROM	THROUGH
Telephone Toll Credit Card				
Auto Rental Credit Card				
GSA National Credit Card (Service station use) (Return expired credit cards being replaced)				
License Plates				
APHIS Decals				

6. ACCOUNTABLE ITEMS

A. DESCRIPTION	B. QUANTITY	C. SERIAL NOS. *(Inclusive)* FROM	THROUGH

7. REMARKS

8. SIGNATURE OF ISSUING OFFICIAL	9. TITLE	10. DATE

ACKNOWLEDGMENT OF RECEIPT
I acknowledge receipt of the above items except as noted in item 11 below.

11. EXCEPTIONS

☐ 12. "X" IF EXPIRED CREDIT CARDS ARE ATTACHED	13. SIGNATURE OF ACCOUNTABLE OFFICER	14. TITLE	15. DATE RECEIVED

APHIS FORM 47
(APR 2001)

Previous editions may be used.

Figure F-1-5 Example of APHIS Form 47, Transmittal and Receipt for Accountable Items (blank)

APHIS Form 94, Record of Public Funds Received

RECORD OF PUBLIC FUNDS RECEIVED USDA-APHIS

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
		$		
10. TOTAL AMOUNT SENT				

RECEIVED
(Return copy to sender in Item 4 above)

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 F-1-6 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 F-1-7 APHIS Form 94 (Reverse)

FGIS Form 921-2, Inspection Report–Insects in Grain

FGIS Form 921-2, Inspection Report–Insects in Grain, may be used in place of inspection. See Figure F-1-8 for an example of FGIS Form 921-2.

OMB No. 0580-0013

U.S. Department of Agriculture
Grain Inspection, Packers and
Stockyards Administration
Animal and Plant Health Inspection Service

INSPECTION REPORT – INSECTS IN GRAIN

Page of

1. Name and Address of Shipper

2. Location of Elevator | 3. Grain/Commodity | 4. Quantity

5. Grain Inspection Certificate Number.

6. Status of Report
Original ☐ Corrected ☐

7. Country of Destination

8. Name of Carrier/Vessel

9. Loading Date Start/Date Finished

10. Sublot Number/ Carrier Identification	11. Date Inspected	12. Stowage (Hold Nos.)	13. Quantity	14. No. of Live Insects	15. Lot Infested	16. Name of Insect
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	
					☐	

17. Remarks (Use reverse for additional space)

18. Name of Inspector and name of official service provider

Fumigation Information

19. Date of Fumigation | 20. Treatment | 21. Hold Nos.

22. Type of Chemical | 23. Concentration Level

24. Duration of Exposure | 25. Commodity Temperature at Time of Fumigation

26. Quantity (metric tons) | 27. Name of Inspector

Form FGIS-921-2 (03-15) Edition **07-10** may be used. Expires January 2018

FORM APPROVED OMB NO. 0580-0013: According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it display a valid OMB control number. The valid OMB control for this information collection is 0580-0013. The time required to complete this information collection is estimated to average 5 minutes 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.

Figure F-1-8 Example of FGIS Form 921-2, Inspection Report–Insects in Grain

Additional Remarks: (Additional information from boxes 10 - 17 may be continued on this page, or agency letterhead may be attached. Agency letterhead cannot be used for unit trains or containers where individual identification is needed.)

Form FGIS-921-2 (Reverse) Page of

Figure F-1-9 Example of Form FGIS-921-2, Inspection Report–Insects in Grain (Reverse)

Instructions for Completing Form FGIS 921-2
"INSPECTION REPORT – INSECTS IN GRAIN."

1. Name and address of the shipper.

2. Location of elevator where the barge, vessel or carriers (railcars, containers) were loaded.

3. Type of grain/commodity examined for insects.

4. Total quantity (pounds or metric tons) of the grain/commodity that was loaded on the barge or vessel, or the number of trucks, containers, and/or hopper cars.

5. If applicable grain inspection certificate number representing the containers/vessel shown on this report

6. Indicate if this "Insects in Grain Repot" is the original or has been corrected.

7. Destination country or territory (ex. Puerto Rico) for the grain/commodity. The information in this block should reflect load order.

8. Name of the vessel or barge identification number/name.

9. Dates the loading of the barge/vessel, unit train, container booking started and completed.

10. Sublot Number or Carrier Identification (e.g., container, railcar, or truck). List individual carrier IDs separately in the space provided on front of form. If the number of sublots or carrier ID's exceed the available spaces, then use the front of another form for the remainder of sub lots or carrier ID's. Use the back of the form for unit trains to list the railcar ID's associated with the sublot listed on front of the form."

11. Applicable for **containers only**. Date the grain/commodity was loaded and examined for insects.

12. Stowage (Hold Nos.), location where the grain/commodity for that particular sublot is stowed.

13. Enter the approximate quantity (pounds) of the grain/commodity in the bargelot or sublot. For railcars and containers, use the actual weight of the lot or use the appropriate carrier terms (e.g., hopper, carlot, unit train, and container).

14. Number of live insects found in the corresponding sublot or carrier (if any).

Page 1

Figure F-1-10 Instructions for Completing Form FGIS-921-2 (Page 1)

15. Check the box if the grain/commodity examined meets the FGIS criteria for "Infested" or "Sample Grade" (SG) because of live insect infestation. **Mark this column only as it applies to insects, not any other SG condition.**

    Note: The FGIS designation "Sample Grade" is applicable to beans, lentils, peas, and rice when infested with live weevils or other live insects injurious to stored grain. Sample Grade is also applicable to lots of milled rice that contain dead insects. **Do not report milled rice lots that are "Sample Grade" due to dead insects.** The FGIS designation of "Infested" is applied to the grains, barley, canola, corn, flaxseed, mixed grain, oats, rye sorghum, soybeans, sunflower seed, triticale, and wheat when they are infested with live weevils or other live insects injurious to stored grain.

16. Name of any insect found in the corresponding sublot or carrier. Identify by using the insect's common name (e.g., Rice Weevil, Red Flour Beetle). **DO NOT USE TERMS THE TERMS "BRAN BUG" OR "OLI."**

17. Place any remarks, if needed, in this section. The reverse of the form may be used if additional space is needed.

18. Name of inspector completing this form along with the name of the official service provider or the official service provider's alpha identifier.

Note Section 19 - 27: *Complete these sections for fumigation of vessels where official personnel are present to witness the application of the fumigant. For containers or railcars that are fumigated when official personnel are not physically present to witness the fumigation, the required fumigation documentation may be attached to the form.*

19. Date that the grain/commodity in the noted sublot/barge/railcar/container was fumigated.

20. Fumigation method used to treat the grain/commodity. **(Leave this space blank)**

21. The stowage space (e.g., hold numbers, container number, rail car number) that was fumigated.

22. Type of chemical used to fumigate the grain/commodity.

23. The concentration level of the fumigant used.

24. Length of time the stowage area (e.g., vessel holds, railcar, container, and barge) needs to be secured for a proper treatment of the grain/commodity.

25. The commodity temperature at the time of fumigation. This should reflect the temperature that is provided by the licensed fumigator.

Page 2

Figure F-1-11 Instructions for Completing Form FGIS-921-2 (Page 2)

26. Total quantity of grain/commodity fumigated expressed in metric tons, if known. For railcars and containers, use the actual weight or use the appropriate carrier terms (e.g., hopper, carlot, unit train, and container).

27. Name of the inspector who verified the fumigation process. Complete this block only if official personnel were present to observe the fumigation.

CONTACT INFORMATION:

Contact the field office responsible for the geographic area in which the service will be provided. Details for these locations can be found at:

http://www.gipsa.usda.gov/fgis/contactfgis.aspx

For further information on the Inspection Report - Insects in Grain:

Robert J. Dorman
Policies, Procedures Market Analysis Branch
Field Management Division
10383 N. Ambassador Drive
Kansas City, MO 64153

Telephone: (816) 659-8411
Fax: (816) 872-1258
Email: robert.j.dorman@usda.gov

Page 3

Figure F-1-12 Instructions for Completing Form FGIS-921-2 (Page 3)

Form FV-66, Report of Inspection

U.S. DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE
FRUIT AND VEGETABLE DIVISION

REPORT OF INSPECTION

This report is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws.

WARNING: Any person who knowlingly shall falsely make, issue, alter, or counterfeit this report, or participate in any such actions, is subject to a fine of not more than $1,000 or imprisonment for not more than one year, or both (7 U.S.C. 1622 (h)).

CERTIFICATE NO. A 00000

DATE OF REPORT

TO (NAME AND ADDRESS)

NAME AND ADDRESS OF BUYER

LOCATION OF PRODUCT(S)

ITEM NO.	PRODUCT ☐ FROZEN ☐ CANNED	NO. OF CASES	CONTAINER SIZE	BRAND	PACKING MEDIUM	LOCA-TION	LOT NO.	DATE INSPECTED	U.S. GRADE	CODES

☐ CONTRACT BASIS

REMARKS

FEE	$	Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection and certification of the product(s) designated herein, I Certify that the quality and condition of the product(s) as shown by samples inspected on the above date(s) were as shown, subject to any restrictions specified above.
EXPENSES	$	ADDRESS OF INSPECTION OFFICE / SIGNATURE OF OFFICIAL INSPECTOR
TOTAL	$	**NOTE:** An individual certificate of quality and condition covering separately each of the above listed products may be obtained by any financially interested party upon request to the inspection office at the address shown above.

FORM FV 66 (10-81) (Edition of (7/81) is obsolete.)

Figure F-1-13 Example of Form FV-66, Report of Inspection

Held Shipment Worksheet

Held Shipment Worksheet

Print Held Shipment Worksheet

To: **Export Services,** attention:		Date:	Fax: (301) 734-7639
From:	Email address:		Phone:

Exporter Contact Information	
Exporter's name:	
Email address:	Phone:
Location of Held Shipment	
Country:	Port of entry:
Dated shipped:	Date shipment held:
Contact name at point of entry:	Contact information:
Commodity Information	
Common name:	Botanical name:
Plant Part:	Estimated value of the commodity: $
Certificate Issuance	
Was an export certificate issued? ☐ Yes ☐ No Enter certificate number(s):	
If all the pertinent information is in PCIT, ***only*** *submit this form*	
Copies of the following should be attached, if pertinent to the consignment: • Rejection notice from the foreign NPPO • U.S. or foreign phytosanitary certificate or export certificate • Import permit or other form of official communication from NPPO stating import requirements • Inspectional records • Laboratory analyses • Field inspection records • Treatment documentation • Container numbers • Bill of lading	
Reason for Held Shipment	

Notice: The information collected on this worksheet will be shared with USDA cooperators and foreign National Plant Protection Organization (NPPO) officials to obtain the release of the shipment listed above.

ES– 05/2010-01

Figure F-1-14 Held Shipment Worksheet

Guidance for Submitting Held Shipment Worksheet

Submit the worksheet illustrated in Figure F-1-14 on page F-1-15 to ES using the contact protocol (Appendix A) for help with held shipments.

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

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

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

The Held Shipment Worksheet is available in fillable pdf and Word formats.

PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport

No phytosanitary certificate can be issued until an application is completed (7 CFR 353)

FORM APPROVED OMB NO. 0579-0052

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

ATTACHMENT SHEET FOR
PHYTOSANITARY CERTIFICATE OR
PHYTOSANITARY CERTIFICATE FOR REEXPORT

FOR OFFICIAL USE ONLY

1. ADDENDUM TO NO:

FPC

2. DATE:

3. PAGE NO:

This attachment is issued by Authorized Certifying Officials under authority of the United States Department of Agriculture (USDA). The USDA Phytosanitary Certificate (PPQ 577) or Phytosanitary Certificate for Reexport (PPQ 579) must reference its use. This attachment sheet may only contain information that would normally be included on a PPQ 577 or PPQ 579, and its use is only authorized in instances in which necessary information could not be included on a PPQ 577 or PPQ 579.

4. ADDITIONAL INFORMATION:

5. NAME OF AUTHORIZED OFFICER: *(Type or Print)*

6. SIGNATURE OF AUTHORIZED OFFICER:

No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0052. The time required to complete this information collection is estimated to average 1.20 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.

PPQ FORM 576 APR 2005

Figure F-1-15 Example of PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport

Purpose of PPQ Form 576

PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport is used when the required information for phytosanitary certification **does not** fit on the original PPQ Form 577 or 579. PPQ Form 576 can **only** include information that would normally be included on a PPQ Form 577 or 579. Reference to the attachment **must** be included in the appropriate block of the original PPQ Form 577 or PPQ Form 579. Multiple blocks on the PPQ Form 577 or PPQ Form 579 may reference this attachment sheet (PPQ Form 576).

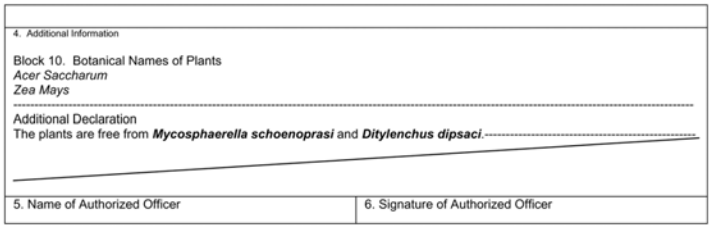
NOTICE

The PPQ 576 attachment sheet **cannot** be used for PPQ Form 578.

Instructions to Complete PPQ Form 576

Refer to Table F-1-1 on page F-1-19.

Table F-1-1 Instructions to Complete PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport

If the block is:	Then follow these instructions:
1. ADDENDUM TO NO.	ENTER the serial number of the PPQ 577 or PPQ 579 that the attachment references.
2. DATE	ENTER the date the attachment was issued by the certifying officer (**must** be the same date as the issuance date of the PPQ 577 or PPQ 579).
3. PAGE NO.	ENTER the page number of the attachment (if one attachment page, 1/1; if two attachment pages, 1/2 and 2/2).
4. ADDITIONAL INFORMATION	ENTER the additional information. Be sure to first reference the corresponding section of the PPQ 577 or PPQ 579. If more than one section is included on the attachment sheet, a single horizontal line will indicate the start of another section. Line out any unused portions of the form (see example below).  4. Additional Information Block 10. Botanical Names of Plants *Acer Saccharum* *Zea Mays* ---------- Additional Declaration The plants are free from ***Mycosphaerella schoenoprasi*** and ***Ditylenchus dipsaci***.---------- 5. Name of Authorized Officer | 6. Signature of Authorized Officer
5. NAME OF AUTHORIZED OFFICER	TYPE or PRINT the name of the ACO who will sign the certificate. The signature on the PPQ 576 **must** be the same as the name on the original PPQ 577 or PPQ 579.
6. SIGNATURE OF AUTHORIZED OFFICER	SIGN your name. The signature **must** match the name entered in NAME OF AUTHORIZED OFFICER above.

Export Program Manual

Glossary

Introduction

Use this *Glossary* to find the meaning of specialized words, abbreviations, acronyms, and terms used in export certification. To locate where in the manual a given definition, term, or abbreviation is mentioned, use the Index.

Some definitions have references such as Committee of Experts on Phytosanitary Measures (CEPM), Food and Agriculture Organization (FAO), Interim Commission on Phytosanitary Measures (ICPM), International Plant Protection Convention (IPPC), and International Standard for Phytosanitary Measures (ISPM). These definitions are taken directly from the Glossary of Phytosanitary Terms published in ISPM No. 5.

Refer also to the complete glossary of the North American Plant Protection Organization (NAPPO). These definitions are published in RSPM No. 5.

Definitions, Terms, and Abbreviations

accreditation. Official recognition of proficiency resulting in the approval and authority to perform specific tasks or provide specific services in full or partial support of fulfilling official obligations (RSPM No. 8, Accreditation and RSPM No. 9, Lab Accreditation). [NAPPO, 2004].

accountability system. System established to maintain the credibility of PPQ's entire export program, to deter forgeries and control public misuse of the export certificates.

Additional Declaration (AD). A statement that is required by an importing country to be entered on an export certificate and which provides specific additional information on a consignment in relation to regulated pests [FAO, 1990; revised ICPM, 2005].

Additional Official Phytosanitary Information. Official information that can be included in the AD block of a phytosanitary certificate for the facilitation of future reexports of plants or plant products. Exporters must request that this information be attested to on a phytosanitary certificate and the request must be supported by lab results, field inspections, etc.

Affiliated Island. Island associated with the United States but **not** fully integrated as a State (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands). Affiliated islands are insular areas monitored by the U.S. Department of the Interior.

agent. Individual who meets the eligibility requirements set forth in 7 CFR 353.6, and who is designated by USDA-APHIS-PPQ to conduct phytosanitary field inspections of seed crops to serve as a basis for the issuance of export certificates (7 CFR 353.1).

Agricultural Marketing Service (AMS). Federal agency that is responsible for inspecting, grading, classing, standardizing, regulating, sampling, testing, and reporting market news for specific agricultural and food commodities. See Table 3-4-2 on page 3-4-3 for a list of acceptable inspection certificates.

agricultural seed. Specific varieties of grass, forage, and field crop seed that are used for seeding purposes in the United States. See 7 CFR 361.1 for a list of agricultural seed.

antagonist. An organism (usually pathogen) which does **no** significant damage to the host but its colonization of the host protects the host from significant subsequent damage by a pest [ISPM N° 3, 1996].

approved name. Approved names of countries **must** be used when completing export certificates The correct approved country name is populated automatically by PCIT when processing a phytosanitary certificate. The approved name of the country found in the PExD summary drop down list is based on ISO Standard 3166-2.

area. An officially defined country, part of a country or all or parts of several countries [FAO, 1990; revised FAO, 1995; CEPM, 1999; based on the World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures].

area of low pest prevalence. An area, whether all of a country, part of a country, or all or parts of several countries, as identified by the competent authorities, in which a specific pest occurs at low levels and which is subject to effective surveillance, control or eradication measures [IPPC, 1997].

artificially propagated. Parties of CITES recommend that artificially propagated **only** applies to plants grown by man from seeds, cuttings, callus tissue, spores, or other propagules under controlled conditions. The artificially propagated stock **must** be established and maintained in a manner **not** detrimental to the survival of the species in the wild, and managed in a manner designed to maintain the artificially propagated stock indefinitely.

authority. The National Plant Protection Organization, or other entity or person officially designated by the government to deal with matters arising from the responsibilities set forth in the Code [ISPM N° 3, 1996].

Authorized Certification Official (ACO). A public officer who is authorized by the National Plant Protection organization (NPPO) and accredited for the signing of phytosanitary certificates, who 1) possesses the required education, experience, and training; and 2) has written confirmation of having successfully passed an approved examination. (RSPM No. 8, Accreditation) [NAPPO, 2004]. See also accreditation.

authorized entity (AE). An applicant who is authorized by a Federal, State, or County duty station to complete the information on PPQ Forms 577 or 579, including the additional declaration and treatment blocks.

authorized port. Specific port identified by the importing country as to where to direct the entry of commodities. Also called approved port and point of entry.

bark-free wood. Wood from which all bark excluding the vascular cambium, ingrown bark around knots, and bark pockets between rings of annual growth has been removed [ISPM No. 15, 2009].

blended commodities. Commodities that have been mixed together from different sources.

bran. Pericarp of grain.

brewers dried grains. The dried extracted residue of barley malt alone or in a mixture with other cereal grain or grain products resulting from the manufacture of wort or beer and may contain pulverized spent hops.

cake. The mass resulting from the pressing of seeds in order to remove oils, fats, or other liquids.

certificate. An official document which attests to the phytosanitary status of any consignment affected by phytosanitary regulations [FAO 1990].

Certified True Copy. The endorsement of an official document (e.g., Phytosanitary Certificate) by an Authorized Certification Official (ACO) that accurately describes a commodity which entered U.S. commerce from a foreign country.

citrus certification/registration program. An officially approved program for the production of citrus propagative material according to the applicable NPPO standards (RSPM No. 16, Citrus). [NAPPO, 2010].

commercial shipment (CITES). According to 7 CFR 355.2, anyone engaged in business as an importer, exporter, or reexporter of terrestrial plants. To import, export, or reexport terrestrial plants for the purpose of selling, bartering, collecting, or otherwise exchanging or acquiring the plants as a livelihood or enterprise engaged in for gain or profit. This term shall **not** include persons engaged in business merely as carriers or customhouse brokers.

commodity. A type of plant, plant product, or other article being moved for trade or other purpose [FAO, 1990; revised ICPM, 2001].

commodity class. A category of similar commodities that can be considered together in phytosanitary regulations [FAO, 1990].

commodity pest list. A list of pests occurring in an area which may be associated with a specific commodity [CEPM, 1996].

confidentiality. Holding information in strict confidence. Authorized Certification Officials are to hold in strict confidence the information in export certificates to protect buyers and applicants. See also Confidentiality on page 2-1-5.

consignment. A quantity of plants, plant products and/or other articles being moved from one country to another and covered, when required, by a single phytosanitary certificate (a consignment may be composed of one or more commodities or lots) [FAO, 1990; revised ICPM, 2001].

consignment in transit. A consignment which passes through a country without being imported, and that may be subject to phytosanitary measures [FAO, 1990; revised CEPM, 1996; CEPM 1999; ICPM, 2002; ISPM No. 25, 2006; formerly country of transit].

contact protocol. The plan for personnel to follow regarding communicating questions, concerns, and unresolved issues about export certification.

containment. Application of phytosanitary measures in and around an infested area to prevent spread of a pest [FAO, 1995].

contaminating pest. A pest that is carried by a commodity and, in the case of plants and plant products, **does not** infest those commodities [CEPM, 1996; revised CEPM, 1999].

contamination. Presence in a commodity, storage place, conveyance or container, of pests or other regulated articles, **not** constituting an infestation (see infestation) [CEPM, 1997; revised CEPM, 1999].

control (of a pest). Suppression, containment or eradication of a pest population [FAO, 1995].

Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). A multinational treaty that regulates the export and re-export of listed species of wild fauna and flora. CITES provides three appendixes for listing plants:

- CITES Appendix I—any genus, species, subspecies, or variety, globally threatened with extinction through trade
- CITES Appendix II—any taxon (the entire family—all genera and all species) that **must** be regulated in order to avoid the threat of extinction through trade
- CITES Appendix III—any species, subspecies, or variety listed by one country in order to enlist the cooperation of other countries to reinforce domestic conservation measures by regulating trade

cooperator. Plant regulatory officials designated under the Federal-State Cooperative Program. Cooperators are authorized by the PPQ to inspect and certify the phytosanitary conditions of commodities offered for export and to issue export certificates. Officials designated as cooperators **must** meet or exceed the basic requirements as detailed in Special Programs • Federal-State Cooperative Export Program on page 5-1-1.

country of origin (of a consignment of plant products). Country where the plants from which the plant products are derived were grown [FAO, 1990; revised CEPM, 1996; CEPM, 1999].

country of origin (of a consignment of plants). Country where the plants were grown [FAO, 1990; revised CEPM, 1996; CEPM, 1999].

country of origin (of regulated articles other than plants and plant products). Country where the regulated articles were first exposed to contamination by pests [FAO, 1990; revised CEPM, 1996; CEPM, 1999].

cube. See pellets.

cut flowers and branches. A commodity class for fresh parts of plants intended for decorative use and **not** for planting [FAO, 1990; revised ICPM, 2001].

debarking. Removal of bark from round wood (debarking **does not** necessarily make the wood bark-free) [FAO, 1990].

de-hulled. Having removed the outer covering from seeds.

detection. The discovery of a specimen of the target pest (RSPM No. 17, Fruit Fly Fee Areas). [NAPPO, 2004].

devitalization. A procedure rendering commodities incapable of germination, growth or further reproduction [ICPM, 2001].

distillers' dried grain. Commodity obtained after the removal of ethyl alcohol by distillation from the yeast fermentation of a grain or grain mixture by separating the resultant coarse grain fraction of the whole stillage and drying it by methods employed in the grain distilling industry. The predominating grain shall be declared as the first word in the name.

domestic products. Those plants and unprocessed or unmanufactured commodities grown or produced in the United States or affiliated islands.

dried. Materials from which water or other liquid has been removed.

dunnage. Wood packaging material used to secure or support a commodity but which **does not** remain associated with the commodity [FAO, 1990; revised ISPM No. 15, 2009].

duty station. The official work location of an ACO.

ELISA. Enzyme Linked Immuno-Sorbent Assay (RSPM No. 3, Movement of Potatoes into a NAPPO Member Country). [NAPPO, 2011].

endangered area. an area where ecological factors favor the establishment of a pest whose presence in the area will result in economically important loss [FAO, 1995].

Endangered Species Act (ESA). enabling legislation that provides for the protection of listed species in two categories:

1. Endangered—any species, subspecies, or variety that is in danger of extinction throughout all or a significant portion of its range.
2. Threatened—any species, subspecies, or variety that is likely to become endangered within the foreseeable future throughout all or a significant portion of its range.

entry (of a consignment). Movement through a point of entry into an area [FAO, 1995].

entry (of a pest). Movement of a pest into an area where it is **not** yet present, or present but **not** widely distributed and being officially controlled [FAO, 1995].

eradication. Application of phytosanitary measures to eliminate a pest from an area [FAO, 1990; revised FAO, 1995; formerly eradicate].

establishment. Perpetuation, for the foreseeable future, of a pest within an area after entry [FAO, 1990; revised FAO, 1995; IPPC, 1997; formerly established].

exotic. Not native to a particular country, ecosystem or ecoarea (applied to organisms intentionally or accidentally introduced as a result of human activities). As the Code is directed at the introduction of biological control agents from one country to another, the term "exotic" is used for organisms **not** native to a country [ISPM No. 3, 2005].

experience. In reference to ACO accreditation, A minimum of one year's experience in plant protection regulatory activities working with or under the supervision of an ACO is required. This experience **must** occur prior to becoming an ACO (ISPM 8).

export certificate. Any one of three accountable certificates, including PPQ Form 577, 578, or 579 used for exporting commodities.

Export Certification Specialist (ECS). USDA-APHIS-PPQ specialist who is responsible for maintaining the quality and credibility of the export program.

Export Services (ES). Headquarters unit within USDA-APHIS-PPQ that maintains a phytosanitary certification system for exported U.S. agricultural commodities.

export summary. Interpretation of the plant quarantine import requirements of a foreign country. Export summaries are **not** to be considered legally authoritative; they are written from translated plant quarantine regulations, official instructions, and other information provided by officials in foreign countries.

Federal Grain Inspection Service (FGIS). A service program within the Grain Inspection, Packers and Stockyards Administration Agency that provides inspection of grain exports that are certified by PPQ Form 577 or 579. Also, the Federal Grain Inspection Service is responsible for inspecting, grading, classing, standardizing, sampling, witnessing treatments, and testing specific agricultural and food commodities.

feed. Edible materials which are consumed by animals.

field. A plot of land with defined boundaries within a place of production on which a commodity is grown [FAO, 1990].

find free. To inspect a consignment, field or place of production and consider it to be free from a specific pest [FAO, 1990].

flakes. An ingredient rolled or cut into flat pieces with or without prior steam conditioning.

Food and Agriculture Organization of the United Nations (FAO). An organization that leads international efforts to defeat hunger. Serving both developed and developing countries, the Food and Agriculture Organization of the United Nations acts as a neutral forum where all nations meet as equals to negotiate agreements and debate policy, and is also a source of knowledge and information.

foreign plant products. Those plants and unprocessed or unmanufactured plant products that have officially entered U.S. commerce but were grown or produced in countries **other than** the U.S. and its affiliated islands.

free from (of a consignment, field or place of production). Without pests (or a specific pest) in numbers or quantities that can be detected by the application of phytosanitary procedures [FAO, 1990; revised FAO, 1995; CEPM, 1999].

fresh. Living; **not** dried, deep-frozen or otherwise conserved [FAO, 1990].

fruits and vegetables. A commodity class for fresh parts of plants intended for consumption or processing and **not** for planting [FAO, 1990; revised ICPM, 2001].

fumigation. Treatment with a chemical agent that reaches the commodity wholly or primarily in a gaseous state [FAO, 1990; revised FAO, 1995].

germplasm. Plants intended for use in breeding or conservation programs (RSPM No. 3, Potatoes). [NAPPO, 2004].

grain. A commodity class for seeds intended for processing or consumption and **not** for planting (see seeds) [FAO, 1990; revised ICPM, 2001].

Grain Inspection, Packers and Stockyards Administration (GIPSA). A Federal agency that facilitates the marketing of livestock, poultry, meat, cereals, oilseeds, and related agricultural commodities, and promotes fair and competitive trading practices for the overall benefit of consumers and American agriculture.

grits. Coarsely ground grain, from which the bran and germ have been removed, usually screened to uniform particle size.

groats. Grain from which the hulls have been removed.

growing medium. Any material in which plant roots are growing or intended for that purpose [FAO, 1990].

growing season. Period or periods of the year when plants actively grow in an area, place of production or production site [FAO, 1990; revised ICPM, 2003].

growing season inspection. An examination of plants during active growth to verify freedom from specific pests or pathogens. Also may include the growing media or soil.

heat treatment. The process in which a commodity is heated until it reaches a minimum temperature for a minimum period of time according to an official technical specification [ISPM No. 15, 2009.

hitchhiker pest. See contaminating pest.

hybrid. For CITES purposes, hybrid is the offspring of two genetically dissimilar taxa where at least one parent is listed in a CITES Appendix. This would include the offspring of parents belonging to different species, different genera, and crosses made between a species and a hybrid. Offspring from parents of the same species (i.e., intra-specific crosses) are regulated as species and are **not** considered hybrids.

Import Permit (IP). Official document authorizing importation of a commodity in accordance with specified phytosanitary import requirements [FAO, 1990; revised FAO, 1995; ICPM, 2005].

inactivation. Rendering micro-organisms incapable of development [ISPM No. 18, 2003].

in bulk. A commodity not in packages or boxes, usually transported in large volume.

infestation (of a commodity). Presence in a commodity of a living pest of the plant or plant product concerned. Infestation includes infection [CEPM, 1997; revised CEPM, 1999].

infested area. An area which has been determined to have an established pest population (RSPM No. 17, Surveillance for Fruit Flies). [NAPPO, 2004].

inspection. Official visual examination of plants, plant products or other regulated articles to determine if pests are present and/or to determine compliance with phytosanitary regulations [FAO, 1990; revised FAO, 1995; formerly inspect].

inspection certificates. Cooperating agencies such as Federal Grain Inspection Service (FGIS) perform export inspections for specified commodities and issue certificates that may be accepted by USDA-APHIS-PPQ in place of inspection. These certificates are based on officially drawn samples and export inspections conducted by designed FGIS personnel. While not all certificates are accepted by PPQ in place of inspection, a list of acceptable inspection certificates issued by FGIS and other agencies is in Table 3-4-2 on page 3-4-3.

inspection date. The date an Authorized Certification Official (ACO) or other authorized entity conducts the phytosanitary inspection.

inspector. Person authorized by a National Plant Protection Organization to discharge its functions [FAO, 1990].

integrity (of a consignment). Composition of a consignment as described by its Phytosanitary Certificate or other officially acceptable document, maintained without loss, addition or substitution. [CPM, 2007].

intended use. Declared purpose for which plants, plant products, or other regulated articles are imported, produced, or used [ISPM No. 16, 2002].

interception (of a consignment). The refusal or controlled entry of an imported consignment due to failure to comply with phytosanitary regulations [FAO, 1990; revised FAO, 1995].

interception (of a pest). The detection of a pest during inspection or testing of an imported consignment [FAO, 1990; revised CEPM, 1996].

International Plant Protection Convention (IPPC). International Plant Protection Convention, as deposited with FAO in Rome in 1951 and as subsequently amended [FAO, 1990].

International Standard for Phytosanitary Measures (ISPM). An international standard adopted by the Conference of FAO, the Interim Commission on phytosanitary measures or the Commission on phytosanitary measures, established under the IPPC [CEPM, 1996; revised CEPM, 1999].

international standards. International standards established in accordance with Article X paragraph 1 and 2 of the IPPC [IPPC, 1997].

introduction. The entry of a pest resulting in its establishment [FAO, 1990; revised FAO, 1995; IPPC, 1997].

issuance date. The date a certificate is signed.

kiln-drying (KD). A process in which wood is dried in a closed chamber using heat and/or humidity control to achieve a required moisture content [ISPM No. 15, 2009].

laboratory. A public or private facility that calibrates, tests, identifies or conducts diagnoses (RSPM No. 9, Lab accreditation). [NAPPO, 2009].

lead time. Amount of time needed to inspect or examine a shipment before its shipping date. (Some countries interpret shipping date as the date a commodity physically leaves the exporting country.)

legislation. Any act, law, regulation, guideline or other administrative order promulgated by a government [ISPM N° 3, 2005].

Letter of Credit. A document issued by a bank authorizing an applicant to draw a stated amount of money from the issuing bank. Letters of credit are strictly fiduciary documents. For the purposes of phytosanitary certification, letters of credit **cannot** be considered official notifications of changes or exceptions to plant quarantine regulations, which **must** come from the plant protection services of the foreign countries. Therefore, letters of credit are **not** phytosanitary documents and **cannot** be referenced on an export certificate.

limited generation system. A certification scheme wherein the planting stock for each seed class is limited as to eligibility by compliance with established disease tolerances and the number of increases made in the field. The classes or generations of the limited generation system included are: Prenuclear, Nuclear, Generation 1, Generation 2, Generation 3, Generation 4 and Generation 5; where Prenuclear is laboratory production, Nuclear is greenhouse production and Generations 1-5 are the first and subsequent field increases.

lot. A number of units of a single commodity, identifiable by its homogeneity of composition, origin etc., forming part of a consignment [FAO, 1990].

malt. Sprouted and steamed whole grain from which the radicle has been removed. Though malted grains may look like the unprocessed grain from which they are derived, their processing can be determined through handling: the grains will be sticky and lighter or have a strong, distinctive odor that grain that has not been malted will not have.

mark. An official stamp or brand, internationally recognized, applied to a regulated article to attest its phytosanitary status [ISPM No 15, 2009].

meal. Grain which has been ground or otherwise reduced in particle size.

Memorandum of Understanding (MOU). A formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the parties involved. For an example of an MOU, see Special Programs • Federal-State Cooperative Export Program on page 5-1-1.

micro-organism. A protozoan, fungus, bacterium, virus or other microscopic self-replicating biotic entity [ISPM No. 3, 2005].

microplantlet. Plantlet produced in vitro on a defined medium (RSPM No. 3, Movement of Potatoes into a NAPPO Member Country). [NAPPO, 2011].

microtuber. A tuber produced in vitro (RSPM No. 3, Movement of Potatoes into a NAPPO Member Country). [NAPPO, 2011].

middlings. A by-product of flour milling comprising several grades of granular particles containing different proportions of endosperm, bran, and germ.

minituber. A tuber produced in a protected environment from pathogen-free parent material (RSPM No. 3, Movement of Potatoes into a NAPPO Member Country). [NAPPO, 2011].

monitoring. An official process to verify phytosanitary situations. [CEPM, 1996]. See also treatment.

National Plant Protection Organization (NPPO). Official service established by a government to discharge the functions specified by the IPPC [FAO, 1990; formerly Plant Protection Organization (National)]. PPQ serves as NPPO for the U.S.

nonquarantine pest. Pest that is **not** a quarantine pest for an area [FAO, 1995].

North American Plant Protection Organization (NAPPO). A Regional Plant Protection Organization of the International Plant Protection Convention that coordinates the efforts among Canada, the United States and Mexico to protect their plant resources from the entry, establishment and spread of regulated plant pests, while facilitating intra/interregional trade (see also NAPPO Web site).

official. Established, authorized or performed by a National Plant Protection Organization [FAO, 1990].

official communication. Phytosanitary requirements from a National Plant Protection Organization (NPPO) that must be met for importation of a commodity. Official communication in the form of an Import Permit (IP), Letter of Authorization, etc. supersedes or supplements information contained in PExD.

official control. The active enforcement of mandatory phytosanitary regulations and the application of mandatory phytosanitary procedures with the objective of eradication or containment of quarantine pests or for the management of regulated non-quarantine pests (see Glossary Supplement 1) [ICPM, 2001].

Official State Seed Potato Certification Agency. A State agency duly authorized by State law to provide seed potato certification services. See also Commodity • Seed Potatoes on page 4-5-1.

organism. Any biotic entity capable of reproduction or replication in its naturally occurring state [ISPM No. 3, 1996; revised ISPM No. 3, 2005].

packaging. Material used in supporting, protecting or carrying a commodity [ISPM No. 20, 2004].

parent material. In vitro, pathogen-free propagules used to increase a clone of potatoes for production of commercial quantities of microplantlets, microtubers, or minitubers (RSPM No. 3, Movement of Potatoes into a NAPPO Member Country). [NAPPO, 2011].

pathogen. Micro-organism causing disease [ISPM No. 3, 1996; revised ISPM No. 3, 2005].

pellets. Agglomerated feed formed by compacting and forcing through die openings by a mechanical process. Similar terms: pelleted feed, hard pellet.

pest. Any species, strain or biotype of plant, animal or pathogenic agent injurious to commodities [FAO, 1990; revised FAO, 1995; IPPC, 1997]. See also quarantine pest and nonquarantine pest.

Pest Free Area (PFA). An area in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being **officially** maintained [FAO, 1995].

pest free place of production (PFPP). Place of production in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period [ISPM No. 10, 1999].

pest free production site (PFPS). A defined portion of a place of production in which a specific pest **does not** occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period and that is managed as a separate unit in the same way as a pest free place of production [ISPM No. 10, 1999].

pest record. A document providing information concerning the presence or absence of a specific pest at a particular location at a certain time, within an area (usually a country) under described circumstances [CEPM, 1997].

pest risk. That level and probability of harm a plant pest could cause in an endangered area, which a national plant protection organization identifies by the performance of a pest risk analysis or other internationally acceptable plant risk assessment process (RSPM No. 3, Movement of Potatoes into a NAPPO Member Country). [NAPPO, 2011].

Pest Risk Analysis (PRA). The process of evaluating biological or other scientific and economic evidence to determine whether a pest should be regulated and the strength of any phytosanitary measures to be taken against it [FAO, 1995; revised IPPC, 1997].

pest status (in an area). Presence or absence, at the present time, of a pest in an area, including where appropriate its distribution, as officially determined using expert judgment on the basis of current and historical pest records and other information [CEPM, 1997; revised ICPM, 1998].

phytosanitary action. An official operation, such as inspection, testing, surveillance or treatment, undertaken to implement phytosanitary measures [ICPM, 2001; revised ICPM, 2005].

Phytosanitary Certificate. Certificate patterned after the model certificates of the IPPC [FAO, 1990]. In the U.S., this is an official document (PPQ Form 577) that attests to the phytosanitary condition of commodities and is issued by an Authorized Certification Official.

Phytosanitary Certificate Issuance and Tracking (PCIT). The preferred method of generating PPQ Forms 572, 577, and 579. PCIT tracks the inspection of agricultural products and certifies compliance with plant health standards of importing countries. This capability provides USDA-APHIS-PPQ better security, reporting functions, and monitoring capabilities for exported commodities.

phytosanitary certification. Use of phytosanitary procedures leading to the issue of a Phytosanitary Certificate [FAO, 1990].

Phytosanitary Export Database (PExD). PExD is a repository of phytosanitary import requirements of U.S. origin commodities to foreign countries. PExD enhances Plant Protection and Quarantine's (PPQ's) ability to maintain the export program for United States exporters. PExD will support PPQ's Phytosanitary Issues Management (PIM) Export Services (ES) with the task of entering export summaries for foreign countries. PExD provides reusable text to facilitate uniform entry of export summaries. PExD also provides PPQ staff, State and County cooperators, and exporters' easy access to export summaries via direct user queries. PExD interfaces with the Phytosanitary Certificate Issuance & Tracking System (PCIT) application processing. During application processing, users are provided with pertinent export summaries based on the consignee country, applicable commodities, and other data contained in an application.

phytosanitary import requirements. Specific phytosanitary measures established by an importing country concerning consignments moving into that country [ICPM, 2005].

phytosanitary measure (agreed interpretation). Any legislation, regulation or official procedure having the purpose to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests [FAO, 1995; revised IPPC, 1997; ISPM, 2002].

phytosanitary procedure. Any official method for implementing phytosanitary measures including the performance of inspections, tests, surveillance or treatments in connection with regulated pests [FAO, 1990; revised FAO, 1995; CEPM, 1999; ICPM, 2001; ICPM, 2005].

phytosanitary regulation. Official rule to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests, including establishment of procedures for phytosanitary certification [FAO, 1990; revised FAO, 1995; CEPM, 1999; ICPM, 2001].

place of production. Any premises or collection of fields operated as a single production or farming unit. This may include production sites which are separately managed for phytosanitary purposes [FAO, 1990; revised CEPM, 1999].

plant products. Unmanufactured material of plant origin (including grain) and those manufactured products that, by their nature or that of their processing, may create a risk for the introduction and spread of pests [FAO, 1990; revised IPPC, 1997; formerly plant product].

Plant Protection Act. Legislation that provides the authority to prohibit or restrict imports, exports, interstate and intrastate movement of plant pests, plants, plant products, noxious weeds, biological control agents, and means of conveyance.

Plant Protection and Quarantine (PPQ). Organizational unit within USDA-APHIS that is accountable for assisting applicants in meeting the plant quarantine import requirements of foreign countries.

plant protection organization (national). See National Plant Protection Organization (NPPO).

plant quarantine. All activities designed to prevent the introduction and/or spread of quarantine pests or to ensure their official control [FAO, 1990; revised FAO, 1995].

planting (including replanting). Any operation for the placing of plants in a growing medium, or by grafting or similar operations, to ensure their subsequent growth, reproduction or propagation [FAO, 1990; revised CEPM,1999].

plantlets. As relates to seed potatoes, plantlets are small plants produced under aseptic culture conditions in a laboratory.

plants. Living plants and parts thereof, including seeds and germplasm [FAO, 1990; revised IPPC, 1997]. Any plant (including any plant part) for or capable of propagation, including a tree, a tissue culture, a plantlet culture, pollen, a shrub, a vine, a cutting, a graft, a scion, a bud, a bulb, a root, and a seed. [Plant Protection Act]. As relates to seed potatoes, plants are rooted plants produced under a screenshow, greenhouse, or field environment.

plants for planting. Plants intended to remain planted, to be planted or replanted [FAO, 1990].

plants *in vitro*. A commodity class for plants in an aseptic medium in a closed container [FAO, 1990; revised CEPM, 1999; ICPM, 2002; formerly plants in tissue culture].

point of entry. Airport, seaport or land border point officially designated for the importation of consignments, and/or entrance of passengers [FAO, 1995].

PPQ Form 572. Application of Inspection and Certification of Domestic Plants and Plant Products for Export. Official form that provides the information needed to complete an export certificate and serves as a worksheet for the Authorized Certification Official conducting the inspection. See Completing Application for Export Certification (PPQ Form 572) for directions on how to complete the application.

PPQ Form 577. An accountable inspection certificate used to certify domestic plants and unprocessed or unmanufactured agricultural commodities for export that have been inspected and/or tested according to appropriate official procedures, that are considered to be free from quarantine pests specified by the importing country party, conform with the current phytosanitary requirements of the importing country, including those for regulated non-quarantine pests.

PPQ Form 578. An accountable certificate used to certify eligible processed plant products.

PPQ Form 579. An accountable form used to certify that, based on an original foreign phytosanitary certificate and/or an additional inspection, commodities that officially entered the U.S. are considered to conform to the current phytosanitary regulations of the importing country, and have **not** been subjected to the risk of infestation or infection during storage in the United States. PPQ Form 579 may also be used to certify commodities of foreign origin that are intended for re-export to a U.S. Affiliated Island.

PRA area. Area in relation to which a Pest Risk Analysis is conducted [FAO, 1995].

practically free. Of a consignment, field, or place of production, without pests (or a specific pests) in numbers or quantities in excess of those that can be expected to result from, and be consistent with good cultural and handling practices employed in the production and marketing of the commodity [FAO, 1990; revised FAO, 1995]. As a working definition for export certification purposes, practically free means **not** to exceed a 2 percent infestation level unless otherwise stated by the importing country. Also, practically free refers to a judgement that the pests are **not** in excess of the amount expected to result from, and be consistent with, good culturing and handling practices employed in the production and marketing of the commodity. When FGIS inspection certificates are used as supporting documentation for certifying grain, practically free refers to FGIS' acceptance standards for insects found in grain.

processed plant product. A commodity derived from a plant that has been subjected to a procedure believed to have rendered the commodity free from plant pests. See PExD for a list of processed products that are eligible for certification.

propagative plant material. Plants or plant parts for planting or multiplication (RSPM No. 3, Movement of Potatoes into a NAPPO Member Country). [NAPPO, 2011].

propagules. Any plant part used for asexual propagation (RSPM No. 3, Movement of Potatoes into a NAPPO Member Country). [NAPPO, 2011].

protocol. The plan for communicating questions, concerns, and unresolved issues about export certification. See Appendix A.

Potato Virus X (PVX). The most widespread of all the potato viruses. It is also referred to as latent mosaic, potato latent virus and potato mottle virus.

quarantine. Official confinement of regulated articles for observation and research or for further inspection, testing and/or treatment [FAO, 1990; revised FAO, 1995; CEPM, 1999].

quarantine area. An area within which a quarantine pest is present and is being officially controlled [FAO, 1990; revised FAO, 1995].

quarantine pest. A pest of potential economic importance to the area endangered thereby and **not** yet present there, or present but **not** widely distributed and being officially controlled [FAO, 1990; revised FAO, 1995; IPPC, 1997]. As relates to the U.S./Canada Greenhouse Certification Program, quarantine pests are identified by each importing country and are listed as prohibited pests in the importing country's plant quarantine import requirements (export summary). Quarantine pests are those that are of potential economic importance to the area endangered, and are **not** present, or present but **not** widely distributed and being officially controlled.

reexported consignment. Consignment that has been imported into a country from which it is then exported. The consignment may be stored, split up, combined with other consignments or have its packaging changed (formerly country of reexport) [FAO, 1990; revised CEPM, 1996; CEPM, 1999; ICPM, 2001; ICPM, 2002].

refusal. Forbidding entry of a consignment or other regulated article when it fails to comply with phytosanitary regulations [FAO, 1990; revised FAO, 1995].

Regional Plant Protection Organization (RPPO). An intergovernmental organization with the functions laid down by Article IX of the IPPC [FAO, 1990; revised FAO, 1995; CEPM, 1999; formerly plant protection organization (regional)].

regional standards. Standards established by a Regional Plant Protection Organization for the guidance of the members of that organization [IPPC, 1997].

regulated article. Any plant, plant product, storage place, packaging, conveyance, container, soil and any other organism, object or material capable of harbouring or spreading pests, deemed to require phytosanitary measures, particularly where international transportation is involved [FAO, 1990; revised FAO, 1995; IPPC, 1997].

regulated nonquarantine pest (RNQP). A nonquarantine pest whose presence in plants for planting affects the intended use of those plants with an economically unacceptable impact and which is therefore regulated within the territory of the importing contracting party [IPPC,1997].

regulated pest. A quarantine pest or a regulated non-quarantine pest [IPPC, 1997].

replacing certificates. The term “replace” refers to when a new certificate is issued to substitute for a previously issued certificate. The replacement may be the result of ACO errors or at the request of an applicant for various reasons.

release (of a consignment). Authorization for entry after clearance [FAO, 1995].

replanting. See planting (including replanting).

restriction. A phytosanitary regulation allowing the importation or movement of specified commodities subject to specific requirements [CEPM, 1996, revised CEPM, 1999].

round wood. Wood **not** sawn longitudinally, carrying its natural rounded surface, with or without bark [FAO, 1990].

sawn wood. Wood sawn longitudinally, with or without its natural rounded surface with or without bark [FAO, 1990].

Seed potato certification. An officially adopted scheme for the production of potato propagative materials that meet prescribed requirements for potato pest freedom and varietal purity (RSPM No. 3, Movement of Potatoes into a NAPPO Member Country). [NAPPO, 2011].

Seed potatoes. Potato plantlets, plants, microtubers, minitubers, tubercles and tubers.

seeds. A commodity class for seeds for planting or intended for planting and **not** for consumption or processing (see grain) [FAO, 1990; revised ICPM, 2001].

shipment. As a working definition for export certification purposes, shipment means one exportation of commodities, from one applicant, to one consignee, in one country, on one means of conveyance [7 CFR 353]. In most cases, **only** one export certificate is issued per shipment. See also consignment.

shipping date. The date a shipment physically leaves the exporting country.

soil. The loose surface material of the earth in which plants grow, in most cases consisting of disintegrated rock with an admixture of organic material (Soil Movement Position Paper). [NAPPO, 2004].

spread. Expansion of the geographical distribution of a pest within an area [FAO, 1995].

standard. Document established by consensus and approved by a recognized body, that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context [FAO, 1995; ISO/IEC GUIDE 2:1991 definition].

State phytosanitary certificate. Document issued by a plant regulatory official of a State Department of Agriculture attesting to the phytosanitary condition of commodities. State phytosanitary certificates are **not** to be utilized for international trade.

State Plant Health Director (SPHD). An administrator within USDA-APHIS-PPQ who is responsible for pest prevention and the export certification program within their assigned state(s).

State Plant Regulatory Official (SPRO). An administrator of the section of his or her state's Department of Agriculture that deals with pest prevention and export certification. The main administrator in conjunction with the Federal State Cooperators' Memorandum of Understanding.

stored product. Unmanufactured plant product intended for consumption or processing, stored in a dried form (this includes in particular grain and dried fruits and vegetables) [FAO, 1990].

suppression. The application of phytosanitary measures in an infested area to reduce pest populations [FAO, 1995; revised CEPM, 1999].

surveillance. An official process which collects and records data on pest occurrence or absence by survey, monitoring or other procedures [CEPM, 1996].

survey. An official procedure conducted over a defined period of time to determine the characteristics of a pest population or to determine which species occur in an area [FAO, 1990; revised CEPM, 1996].

terrestrial plants. Any plants (including epiphytic plants), **except** marine plants.

test. Official examination, **other than** visual, to determine if pests are present or to identify pests [FAO, 1990].

third country requirements for reexports. Foreign import requirements for the destination country from the country of origin.

time limit. The maximum time allowed between the date of inspection of the commodity and the issuance date of an export certificate unless otherwise specified by the importing country. This limit is established by the importing country or PPQ.

treatment. Official procedure for the killing, inactivation or removal of pests, or for rendering pests infertile or for devitalization [FAO, 1990, revised FAO, 1995; ISPM No. 15, 2009; ISPM No. 18, 2003; ICPM, 2005].

tubercles. Small tubers produced in leaf axils of leaf bud cuttings.

tubers. As relates to seed potatoes, potatoes produced under field conditions.

USDA-APHIS-PPQ. United States Department of Agriculture-Animal and Plant Health Inspection Service-Plant Protection and Quarantine.

vegetable seed. Specific seed of the kinds and varieties that are or may be grown in gardens or on truck farms and are or may be generally known and sold under the name of vegetable seed. See 7 CFR 361.1 for a list of vegetable seed.

visual examination. The physical examination of plants, plant products, or other regulated articles using the unaided eye, lens, stereoscope or microscope to detect pests or contaminants without testing or processing [ISPM No. 23, 2005].

wood. A commodity class for round wood, sawn wood, wood chips or dunnage, with or without bark [FAO, 1990; revised ICPM, 2001].

wood packaging material (WPM). Wood or wood products (excluding paper products) used in supporting, protecting or carrying a commodity (includes dunnage) [ISPM No. 15, 2009], [7 CFR 319.40-1].

workplan. An official document specifying the phytosanitary measures agreed to by the National Plant Protection Organizations of both importing and exporting countries, intended to prevent the movement of regulated pests while facilitating trade of plants and plant products (RSPM No. 19, Bilateral Workplans). [NAPPO, 2012].

World Trade Organization (WTO). The global international organization dealing with the rules of trade between nations (see also WTO website).

wort. The liquid portion of malted grain. It is a solution of malt sugar and other water-soluble extracts from malted mash.

XPM. Initials representing the *Export Program Manual*.

Export Program Manual

Index

A

abbreviations, list of Glossary-1-1
acceptable documents 3-4-2, 3-4-3
acceptable inspection certificates 3-4-3
accountability system 3-7-28
accredited companies 2-1-11
accredited entities 2-1-2, 2-1-9, 3-4-2, 3-4-3
accredited phytosanitary procedures 2-1-2
ACO accreditation 2-1-2
Additional Declaration (AD) 2-1-3
additional inspection 3-4-3
additional official phytosanitary information 2-1-3
additional requirements 3-4-10
administrative fee 3-7-2 to 3-7-21
advice number 2-1-15
advisories 1-1-6
affiliated islands 3-3-4, 3-5-3
aflatoxins 2-1-15
Agreements Services Center (ASC) 5-1-2, 5-1-9
Agricultural Marketing Act of 1946 4-3-1
Agricultural Marketing Service (AMS) 2-1-10, 3-4-3
agricultural products 2-1-13
Ambrosia 4-3-3
American National Standards Institute (ANSI) 1-1-6
American Samoa 3-3-4
American Softwood Lumber Standard 5-2-29, 5-2-30
AMS Forms
  FV 146, Certificate of Quality and Condition (Processed Foods) 3-4-3, F-1-2
  FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance 3-4-3, F-1-3
  FV 149, Certificate of Quality and Condition (Processed Foods) Continuous Inspection 3-4-3, F-1-4
  FV 294, Report on Sanitary Inspection 3-4-3, F-1-5
Animal and Plant Health Inspection Service (APHIS) 1-1-2, 4-3-9
animal diseases 2-1-15
animal health concerns 2-1-15
APHIS Forms
  47, Transmittal and Receipt for Accountable Items F-1-6
  94, Record of Public Funds Received 3-7-9, 3-7-13, 3-7-18, F-1-7
APHIS policy directives 3-7-6, 3-7-12, 3-7-16
approved laboratory 4-3-3
area freedom 3-4-6
area identifiers 2-1-13
Argentina 4-3-3
aseptic culture 4-5-9
attachment sheets 3-5-4
auditing of records 2-1-11
authorization number 2-1-15
Authorized Certification Official (ACO)
  accreditation of 2-1-2
  date of inspection by 2-1-18
  determining eligibility of commodities 3-3-1
  determining import requirements 3-3-6
  verification of inspection by 2-1-6
authorized entity (AE) 2-1-3, 2-1-14
Avena byzantina 4-3-4, 4-3-7
Avena sativa 4-3-4, 4-3-7

B

bacteria 2-1-9
bacterial ring rot 4-5-8, 4-5-10, 4-5-11
bagging 3-4-10
bags 3-4-4
baled compressed cotton 4-2-1
barley 4-3-3, 4-3-4
beans 4-3-3, 4-3-4, 4-3-7
biannual audit checklist for mill certification programs 5-2-43
biannual audits 5-2-31, 5-2-36, 5-2-43
Biological and Technical Services 2-1-13
blackleg 4-5-10, 4-5-11
boldfacing 1-1-6
botanical name of plants 3-5-9, 3-5-13
boxes 3-4-4
bran 4-3-7
Brassica napus 4-3-4, 4-3-7
brewers dried grains 4-3-7
brown rot 4-5-12
buffer zone 2-1-11, 2-1-12
bulk shipments 4-4-4
bulleted lists 1-1-6

C

cakes 4-3-7
California A-1-1
Canada 3-3-4, 4-3-3, 4-5-8
Canadian thistle 4-3-3
canola 4-3-3, 4-3-4
cartridge type dust mask 4-4-1
cashier's checks 3-7-6, 3-7-11, 3-7-15
castor bean 4-3-3
caution, as an advisory 1-1-6

certificate
acceptable inspection 3-4-3
export, processed plant products (PPQ Form 578) 3-6-1
for reexport (PPQ Form 579) 3-5-10
of debarking and grub hole control 5-2-40, 5-2-41, 5-2-42
phytosanitary (PPQ Form 577) 3-5-6
Certificate of Quality and Condition (Processed Foods)
AMS Form FV 146 3-4-3, F-1-2
AMS Form FV 147 3-4-3, F-1-3
AMS Form FV 149 3-4-3, F-1-4
certificates issued worksheet 3-7-22, 3-7-23
certification regime 4-5-4
certification tags 4-5-12
certified checks 3-7-6, 3-7-11, 3-7-15
certified true copy 3-5-12, 3-5-15
certifying a commodity 3-1-3
certifying entity 4-5-4
chapters, meaning in the XPM 1-1-6
check marks 3-5-3, 3-6-2
checks collected worksheet 3-7-24, 3-7-25
chemical residues 2-1-15
chickpeas 4-3-3
Cirsium arvense 4-3-3
CITES certification 3-3-5
Clavibacter michiganensis subsp. *sepedonicus* 4-5-8
Claviceps africana 4-4-6
cloth 4-4-1
collecting user fees 3-7-2, 3-7-8, 3-7-11, 3-7-15
commercial information 2-1-5
commercial lots of seed 4-4-5
commercial terms 2-1-15, 3-5-3, 3-6-2, 4-3-6
commodities shipped in bulk 3-4-4
commodity type 3-3-2
communication, internal A-1-1
compliance 2-1-13
compliance agreements 2-1-12
compressed cotton 4-2-1
concerns, contacts for A-1-1
confidential trade information 2-1-5
confidentiality 2-1-5, 3-5-2
coniferous sawn wood 5-2-31, 5-2-42
consignment integrity 2-1-12
contact protocol A-1-1
containerized lumber 4-1-1, 4-1-2
containers 3-4-10, 4-3-5, 4-4-1, 4-5-8
contaminants 4-4-5
contiguous ROT 3-7-5
continuation sheets 3-6-5
control data 1-1-7
Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) 3-3-5
conventions 1-1-6
cooperating agencies 2-1-10
Cooperative extension services 2-1-13
cooperator responsibilities 4-5-4
corn 4-3-3, 4-3-4, 4-4-6
correction fluid 3-5-3, 3-6-2
correction tape 3-5-3, 3-6-2
cotton 4-2-1, 4-3-4
cotton compliant warehouses 2-1-10
cottonseed 4-3-3
coveralls 4-4-4
Crotalaria 4-3-3
cubes 4-3-7
cyst nematode 4-5-12

D

danger, as an advisory 1-1-6
debarking and grub hole control 5-2-25, 5-2-37
debit transaction report 3-7-3
Debt Collection Improvement Act (DCIA) 3-7-6, 3-7-12, 3-7-16
decision tables 1-1-7
degree of processing 3-3-2
Department of Treasury 3-7-6, 3-7-12, 3-7-16
Deputy Administrator of PPQ 5-1-2
determining eligibility of commodities 3-3-2
diagnostic methods and protocols 4-5-4
disagreements with the XPM 1-1-10
disease causing organisms 2-1-9
disease resistance 2-1-15
disease testing 4-5-5
distillers dried grains 4-3-7
distinguishing marks 3-5-9, 3-5-13
distribution
PPQ Form 577 3-5-14, 3-5-15
PPQ Form 578 3-6-6
PPQ Form 579 3-5-14, 3-5-15
Ditylenchus destructor 4-5-12
Division of Management Authority (DMA) 2-1-15
documentation 2-1-10, 2-1-11, 3-4-2
documents, acceptable 3-4-3
dust mask 4-4-1, 4-4-4
dusted seed 4-4-1
dyes 4-4-4

E

eChecks 3-7-5, 3-7-11, 3-7-15
economic permits 2-1-15
edible mushrooms 3-3-2
Egypt 4-3-3
eligibility for certification
based on commodity 3-3-2
based on origin and destination 3-3-4
based on protected status 3-3-5
ELISA technique 4-4-6
embedded seed 4-4-4, 4-4-6
embedding 2-1-11
encapsulation 2-1-11
errors on export certificates 5-1-5, 5-1-6, 5-1-7
Erwinia stewartii 4-4-6
European Union
kiln-dried wood going to Member States of 5-2-35
letter of authorization for 2-1-15
lumber going to Member States of 5-2-25
sawn wood going to Member States of 5-2-29, 5-2-30, 5-2-37
exclusion measures 2-1-12
experience of users 1-1-4

export certificate fees E-1-1
export certificate review process 5-1-4
export certificates 1-1-2
export certification problems 1-1-10
Export Certification Specialist (ECS) 2-1-14, 5-1-2
export certification violations 2-1-6
export inspection data 3-2-4
Export Services (ES)
  contacting A-1-2
  entering export summaries for foreign countries B-1-1
  issuing transmittals for the XPM 1-1-9
  maintaining the export program 1-1-2
  processing written requests for entry into the Federal-State Cooperative Export Program 5-1-2
  submitting results of the biannual audit to 5-2-31
export standards for seed potatoes 4-5-2, 4-5-7
export volume 4-3-3
exported commodities 2-1-13
extraneous marks 3-5-3, 3-6-2
eye protection 4-4-4

F

Fabaceae 4-3-3
Federal Grain Inspection Service (FGIS) 2-1-9, 2-1-10, 3-4-3, 3-4-8, 4-3-1
Federal laboratories 2-1-11
Federal-State Cooperative Export Program 5-1-1 to 5-1-14
feed 4-3-7
FGIS Form 921-2, Inspection Report–Insects in Grain 3-4-3, F-1-9
FGIS service providers 4-3-4
fiduciary information 3-3-6
field inspection reports 3-4-6
field inspections 2-1-18
Field Management Division 3-4-3
financial information 2-1-5
Financial Management Service 3-7-6, 3-7-12, 3-7-16
fitness for human consumption 2-1-15
flakes 4-3-7
flashlight for examining lumber 4-1-2
flax 4-3-4
flaxseed 4-3-3
Florida Export Citrus Fruit Inspection Report 3-4-3
flour 4-3-7
FOIA (Freedom of Information Act) 2-1-5
Food and Agriculture Organization (FAO) 4-3-9
footnotes 1-1-7
foreign government 2-1-6
foreign phytosanitary certificate, stamping 3-4-3
foreign points of contact 3-3-7
free of regulated pests 4-5-4
Freedom of Information Act (FOIA) 2-1-5
freedom of insects and weed seeds 2-1-8
fumigation 4-3-5
fungi 2-1-9
fungicide 2-1-11, 4-4-6
FV Forms
  146, Certificate of Quality and Condition (Processed Foods) F-1-2
  147, Certificate of Quality and Condition (Processed Foods) Quality Assurance F-1-3
  294, Report on Sanitary Inspection F-1-5
  Certificate of Quality and Condition (Processed Foods) Continuous Inspection F-1-4

G

gangrene 4-5-12
general surveillance 2-1-11
generation 1 plant material 4-5-10
generation 2 plant material 4-5-10
generation 3 plant material 4-5-10
genetic composition 2-1-15
genetically modified organism (GMO) 2-1-8, 2-1-15
Globodera spp. 4-5-12
gloves 4-4-1
gluten feed 4-3-7
gluten meal 4-3-7
gluten pellets 4-3-7
Glycine max 4-3-4, 4-3-7
golden nematode 4-5-12
Golden Nematode Management Plan 4-5-7
Gossypium 4-3-4
government agencies 3-4-2
grade 3-6-2
grades 2-1-15, 4-3-6
grain 2-1-8, 3-4-4
Grain Inspection, Packers and Stockyards Administration (GIPSA) 2-1-8, 4-3-1, 4-3-9
greenhouse or controlled environment production 4-5-9
grits 4-3-7
groats 4-3-7
growing season inspection 2-1-12, 3-4-6, 3-5-3
grub control 5-2-37
Guam 3-3-4

H

handling refunds 3-7-26
harmful organisms 2-1-10
heading levels 1-1-8
heat treatment certification 5-2-25
Held Shipment Worksheet F-1-15, F-1-16
Helianthus annuus 4-3-4, 4-3-7
hermetically sealed container 2-1-19, 4-4-2
highlighting, meaning in the XPM 1-1-8
historical records 2-1-11
Hordeum vulgare 4-3-4, 4-3-7
humanitarian shipments 3-7-4
hypergeometric table 3-4-4, 3-4-5, 4-2-6
hypertext links 1-1-8

I

identification release authority 3-4-7
immediate updates 1-1-9

import permit (IP) 3-3-6
import reference number 2-1-15
import requirements 3-1-1, 3-4-3
import tariff item number 2-1-15
importing countries 2-1-13
inactivation of ACOs 5-1-7
indentions, meaning in the XPM 1-1-8
industry groups 4-5-2
infection 2-1-10
infestation 2-1-10
injurious plant pests 2-1-6
insecticide 4-4-6
insects 3-4-6
inspecting the commodity 3-4-6
inspection 2-1-9, 2-1-10
inspection certificates, acceptable 3-4-3
Inspection Report—Insects in Grain 3-4-3
inspection results 3-4-11, 3-4-12
inspectional units 3-4-4, 3-4-5
Integrated Survey Information System (ISIS) 2-1-11
intended use 2-1-15, 3-5-3, 3-6-2, 4-3-6
interagency agreements 3-7-4
internal communication A-1-1
International Plant Protection Convention (IPPC) 1-1-5, 2-1-6, 3-5-6, 4-3-9
international standards 1-1-3
International Standards for Phytosanitary Measures (ISPM) 1-1-5
in-transit treatments 3-4-8
Investigative and Enforcement Services (IES) 2-1-6
in-vitro production seed potatoes 4-5-9
IPPC Standards 1-1-5
issuing office 3-5-13
italicized brackets 1-1-8

K

karnal bunt 2-1-9
kiln facility 5-2-29
knife 4-4-1

L

label requirements 3-4-8
label, pressure sensitive 4-4-4
labeling 2-1-12
laboratory analysis 2-1-11
laboratory testing 2-1-9, 2-1-10, 2-1-18
laboratory testing documents 3-4-6
laboratory tests 2-1-10, 2-1-19, 3-4-6
leafroll 4-5-7
Legislative and Public Affairs 2-1-5
Lens culinaris 4-3-4, 4-3-7
lentils 4-3-3, 4-3-4
letter of authorization 2-1-15
letter of commitment number 2-1-15
letter of credit number 2-1-15
letterhead 3-6-5
levels of radioactivity 2-1-15
limited generation system 4-5-3, 4-5-4, 4-5-7
line selected hill units 4-5-3
Linum usitatissimum 4-3-4, 4-3-7
lot number 2-1-11
lots of seed 4-4-5
lumber
  containerized 4-1-1, 4-1-2
  grading agencies 5-2-9, 5-2-30, 5-2-31, 5-2-34, 5-2-35, 5-2-40, 5-2-42
  kiln dried coniferous 5-2-25
  mills 4-1-1, 5-2-30, 5-2-42

M

major errors on export certificates 5-1-6
malted grain 4-3-7
managing records 3-7-28
manual suggestions 1-1-10
marking pen 4-4-1
masking tape 4-4-4
meal 4-3-7
Meloidogyne spp. 4-5-12
Member States 5-2-37
Memorandum of Understanding (MOU) 2-1-9, 4-3-9, 4-5-3
  debarking and grub control of coniferous sawn wood 5-2-38, 5-2-39
  Federal-State cooperative program 5-1-1, 5-1-9
  kiln dried coniferous sawn wood 5-2-33
  list of active Federal-State MOUs 5-1-13
methodology 2-1-9
methods of packaging 2-1-15
Mexico 4-3-3
microtubers 4-5-3, 4-5-9
middling 4-3-7
middling pellets 4-3-7
mill certificates 5-2-35, 5-2-36
mill certification program
  debarking and grub control of coniferous sawn wood 5-2-37
  kiln-dried coniferous sawn wood going to non European Union Member States 5-2-31
  responsibilities 5-2-30
minimum inspection level 3-4-4
minitubers 4-5-3, 4-5-9
Minneapolis Financial Services Branch 3-7-9, 3-7-14, 3-7-18
minor errors on export certificates 5-1-7
miscellaneous requirements 3-4-10
mixed grain 4-3-3
model letter for documenting major errors found on an export certificate 5-1-5
moisture meter 4-1-2
money orders 3-7-6, 3-7-11, 3-7-14, 3-7-15, 3-7-16, 3-7-18
monitoring capabilities 2-1-13
monthly reports 3-7-28
mosaic 4-5-7
multi-part paper forms 3-4-12
multi-part paper users 3-4-11
multiple certificates 3-7-10, 3-7-14, 3-7-19, 3-7-21
multiple pests 3-4-7
mung bean 4-3-4
mushroom spawn 3-3-2, 3-3-3
mushroom spawn facility accreditation program 3-3-3

mushrooms 3-3-2
mycotoxins 2-1-15

N

NAPPO Standards 1-1-5
National Agricultural Pest information System (NAPIS) 2-1-11
National Cotton Compliance Agreement 4-2-3
National Operations Manager (NOM) 3-3-3, 3-4-8
National Plant Board 4-5-2
National Plant Protection Organization (NPPO) 1-1-5, 3-1-3, 3-3-6, 3-4-10, 3-5-6
National Seed Health System 2-1-2
negative survey data 2-1-11
nematodes
  cyst 4-5-12
  freedom from 2-1-9
  golden 4-5-7, 4-5-12
  potato rot 4-5-12
  root-knot 4-5-12
new editions 1-1-9
nominating Federal or State candidates 5-1-2
non government entities 2-1-10
noncontiguous ROT 3-7-5
North American Plant Protection Organization (NAPPO) 1-1-5
Northern Mariana Islands 3-3-4
notice, as an advisory 1-1-6
nuclear radiation 2-1-15
nuclear stock seed potatoes 4-5-9
numbered lists 1-1-8
numbering scheme 1-1-8

nursery stock 3-4-5

O

oats 4-3-3, 4-3-4, 4-4-3
Office of International Affairs 2-1-8
official communication 2-1-4, 2-1-10, 3-1-3, 3-3-7
official indicia 4-5-12
official samples 2-1-9, 2-1-10, 4-3-3
official sampling 2-1-10
official State certification tags 4-5-12
official verification 2-1-15
Oryza sativa 4-3-4, 4-3-7
overland export “grain” consignments 4-3-3
overtime 3-7-5

P

packaging requirements 3-4-10
Pantoea stewartii 4-4-6
paper checks 3-7-6, 3-7-11, 3-7-14, 3-7-15
pathogens 4-4-5
peas 4-3-3, 4-3-4
pelletized seed 2-1-11, 4-4-4, 4-4-6
pellets 4-3-7
periodic checks 2-1-12
permanent bale identification 4-2-5
personal checks 3-7-6, 3-7-11, 3-7-15
pest control measures 2-1-12
pest free area (PFA) 2-1-11
pest free place of production (PFPP) 2-1-11, 2-1-12
pest freedom 2-1-12
pest proof boxes 3-4-10
pest tolerances 4-5-5
pesticides 2-1-15, 4-4-1, 4-4-4
pests 3-4-6, 4-4-5
Phaseolus spp. 4-3-4, 4-3-7
Phoma exigua pv. *foveata* 4-5-12
phosphine fumigation 3-4-8
Phytosanitary Certificate for Reexport, PPQ Form 579 2-1-5
Phytosanitary Certificate Issuance & Tracking System (PCIT) 2-1-13
Phytosanitary Certificate, PPQ Form 577 2-1-5
Phytosanitary Export Database (PExD) B-1-1
Phytosanitary Issues Management (PIM) 1-1-2, 5-1-2, B-1-1
phytosanitary requirements 3-3-1, 3-5-6, 4-5-4
phytosanitary security 2-1-12
phytosanitary significance 3-4-7
phytosanitary status 2-1-3
Pisum sativum 4-3-4, 4-3-7
plant debris 4-4-5
plant disease causing organisms 2-1-9, 2-1-15
plant health standards 2-1-13
plant pathogens 2-1-2
plant products 2-1-3, 3-5-3
Plant Protection Act 1-1-4, 2-1-6
Plant Protection and Quarantine (PPQ) 1-1-2, 4-3-9
plant quarantine import requirements 1-1-2
plant quarantine regulations 1-1-2
plantlets 4-5-3, 4-5-9
plastic gloves 4-4-4
Policies and Procedures Branch 3-4-3
policy 2-1-1 to ??
post-harvest testing 4-5-4
Potato Necrotic Virus Management Plan 4-5-7
potato pest management plans 4-5-5
potato plantlets 4-5-3
potato rot nematode 4-5-12
potatoes 3-4-4
PPQ duty stations 2-1-14, 5-2-36, 5-2-43
PPQ employees 2-1-14
PPQ Forms
  572, Application for Inspection and Certification of Plants and Plant Products for Export
    completing a paper form 3-2-3
    creating an application in PCIT 3-2-3
    distribution of 3-2-5
    example of 3-2-2
    generating in PCIT 2-1-14
  576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport
    attachment to PPQ Form 579 3-5-15
    completion of F-1-18, F-1-19
    example of F-1-17

purpose of F-1-18
577, Phytosanitary Certificate
attachment sheet for 3-5-4
completing multi-part paper 3-5-8
description of 3-5-6
distribution of 3-5-14
example of 3-5-7
generating in PCIT 2-1-14
guidelines for completing 3-5-3
lining out unused space 3-5-5
processing an application in PCIT 3-5-8
purpose of 3-5-6
record keeping 3-5-13
replacing 3-5-16
578, Export Certificate, Processed Plant Products
completion of 3-6-2, 3-6-3
continuation sheets for 3-6-5
description of 3-6-1
distribution of 3-6-6
example of 3-6-4
generating in PCIT 2-1-14
purpose of 3-6-1
record keeping 3-6-5
579, Phytosanitary Certificate for Reexport
completing multi-part paper 3-5-12
description of 3-5-10
distribution of 3-5-14
example of 3-5-11
generating in PCIT 2-1-14
processing an application in PCIT 3-5-12
purpose of 3-5-10
replacing 3-5-16
PPQ Plant Health Safeguarding Specialists 3-3-5
PPQ regional offices 5-2-31, 5-2-36, 5-2-43
practically free 3-4-7
pre-nuclear stock seed potatoes 4-5-9
preprinted certification statement 2-1-6
pressure-sensitive label 4-4-4
preventive measures 2-1-12
Privacy Act (PA) 2-1-5
privacy requirements 4-5-5
privileged trade information 2-1-5
problems with the XPM, reporting 1-1-10
process of export certification, schematic of 3-1-2
processed plant products certificate, PPQ Form 578 3-6-1 to 3-6-6
processed products 3-3-2
product identity 2-1-12
production area freedom 3-4-6
program credibility 2-1-9
prohibited information on an export certificate 2-1-15
protected plant species 2-1-15
protected status 3-3-2
protective coveralls 4-4-4
protective gloves 4-4-1
Puerto Rico 3-3-4
purchase contract number 2-1-15

Q

quality 2-1-15
Quality Manual (QM) 4-5-2
quality related statements 3-3-6
quantity or quality restrictions 2-1-15
Quick Reference Guide 3-5-8

R

radionuclides 2-1-15
ragweed seeds 4-3-3
railcars 4-3-5
Ralstonia solanacearum 4-5-12
random sampling 3-4-5
reaccreditation
of ACOs 5-1-4
of suspended ACOs 5-1-8
training 5-1-8
reactivation of ACOs 5-1-7
recirculation system 3-4-8
record keeping 2-1-11, 2-1-16
recording inspection results 3-4-11
reexport commodities 3-3-6
refund request worksheet 3-7-27
Regional Standards for Phytosanitary Measures (RSPM) 1-1-5
regulated pests 2-1-6, 4-5-4
regulatory controls 2-1-11
Report on Sanitary Inspection 3-4-3, F-1-5
reporting functions 2-1-13
reporting problems with the XPM 1-1-10
representative sample 4-4-2
representative sampling and testing 2-1-9
responsibilities
applicants D-1-1
Authorized Certification Officials D-1-2
Export Certification Specialists D-1-3
Export Services D-1-6
Regional Program Managers D-1-5
Trade Specialists D-1-4
restrictions on movement of regulated articles 2-1-11
retesting of candidates 5-1-8
review process for export certificates 5-1-4
revisions to manuals 1-1-9
rhizobia 4-4-4
rice 4-3-3, 4-3-4
Ricinus communis 4-3-3
root-knot nematode 4-5-12
routine monitoring 2-1-11
Russia 4-3-3
rye 4-3-3, 4-3-4

S

safeguarding 2-1-10, 2-1-16
safety
as an advisory 1-1-6
guidelines 4-4-6
sample size 3-4-4, 3-4-5, 4-4-2
sampling 2-1-9, 2-1-12
sampling level 3-4-4
sampling seed 2-1-2, 3-4-5
sawn wood 5-2-29, 5-2-30, 5-2-42

schematic of the process of export certification 3-1-2
scientific evidence 2-1-11
scientific units of measure 3-5-3
Secale cereale 4-3-4, 4-3-7
sections 1-1-9
security guidelines 4-5-5
seed certification procedures 4-5-5
Seed Certification Technical Committee (SCTC) 4-5-8
seed health accreditation 2-1-2
Seed Health System 2-1-2
seed inspecting 4-4-6
seed mats 2-1-11
seed packaging 4-4-2
seed potatoes 4-5-3
  export standards for 4-5-7
  grade and identification 4-5-12
  refusal, cancellation, and rejection of certification services 4-5-12
  responsibilities 4-5-8
  State authority for certifying 4-5-8
  State National Harmonization Program MOU Template 4-5-3
seed sampling 2-1-10
seed sampling and testing 2-1-11
seed shipments 4-4-6
seed testing requirements 4-4-5, 4-4-6
seed-producing fields 2-1-2
ship holds 3-4-8
shipment integrity 2-1-9
signs of disease 3-4-6, 5-1-2
sizes 2-1-15, 4-3-6
small lots of seed 4-4-5
social security number 3-7-6, 3-7-12, 3-7-16
soil 3-4-6, 4-4-5
sorghum 4-3-3, 4-3-4
Sorghum bicolor 4-3-4, 4-3-7
soybean shipments to Russia 4-3-3
soybeans 4-3-3, 4-3-4
specified ports 3-4-11
square-edged criteria 4-1-2
stakeholders 1-1-5
stamping foreign phytosanitary certificates 3-4-3
State and County ACOs 2-1-14
State certification tags 4-5-12
State export certificate 3-3-5
State laboratories 2-1-11
State National Harmonization Program (SNHP) for seed potatoes 4-5-2, 4-5-3
State or County officials 2-1-13
State Plant Health Director (SPHD) 2-1-6
State seed potato certification agency 4-5-9
stem cuttings 4-5-3, 4-5-4
Stewart's bacterial wilt 4-4-6
storage facilities 4-5-8
subsamples 4-4-2, 4-4-3, 4-4-4, 4-4-5
suggestions
  contacts for A-1-1
  for improving the manual 1-1-10
sunflower 4-3-4
sunflower seed 4-3-3
supersede statements 1-1-9
supplemental forms F-1-1
supporting documentation 2-1-16, 3-4-6
surveillance 2-1-11
survey data 2-1-11
surveys 2-1-11, 2-1-12
suspension of ACOs 5-1-8
symptoms of disease 3-4-6, 5-1-2
Synchytrium endobioticum 4-5-12

T

tables, how to use 1-1-7
tape 4-4-1
tax identification number 2-1-15, 3-7-12, 3-7-16
testing 2-1-9
testing methodologies 4-5-5
Thuja spp. 5-2-37, 5-2-40, 5-2-42
tick marks 3-5-3, 3-6-2
Tilletia indica 2-1-9
time limits 2-1-10, 2-1-18, 2-1-19, 3-4-10
time periods 3-4-10
time restrictions 3-4-10
tissue culture potatoes 4-5-4
tolerances for U.S. export seed potatoes 4-5-10, 4-5-11
total export volume 4-3-3
trade name 3-5-3, 3-6-2
trade names 2-1-15, 4-3-6
Trade Specialists D-1-4
transfer of funds 4-5-5
transmittals 1-1-9
traveler's checks 3-7-6, 3-7-11, 3-7-15
tray packs 3-4-4
treated seeds 2-1-11, 4-4-4
treatments 3-4-8, 5-2-25
trier 4-4-1, 4-4-4, 4-4-5
triticale 4-3-3, 4-3-4
Triticosecale spp. 4-3-4, 4-3-7
Triticum aestivum 4-3-4, 4-3-7
Triticum compactum 4-3-4, 4-3-7
Triticum durum 4-3-4, 4-3-7
tubercles 4-5-3
tubers 4-5-3
two percent infestation level 2-1-6
two percent level 3-4-4

U

U.S. Grain Standards Act 4-3-1, 4-3-3
U.S. Virgin Islands 3-3-4
unauthorized changes 2-1-6
uniform requirements for seed certification 4-5-4
United States Department of Agriculture (USDA) 1-1-2, 2-1-5
units 3-4-4
universities 2-1-13
university laboratories 2-1-11
unofficial requests 2-1-15
unprocessed products 3-3-2
USDA accredited facility 3-4-6
USDA Cyber Security Manual Series 3500 4-5-5
USDA Departmental Manual (DM) 4-5-5

USDA internet use and e-mail security 4-5-5
USDA letterhead statements 2-1-19
USDA-APHIS-PPQ Accreditation Program 2-1-11
user fees
  accounting code for 3-7-6
  certificates issued worksheet 3-7-22, 3-7-23
  checks collected worksheet 3-7-24, 3-7-25
  collecting 3-7-5
  collecting the administrative fee 3-7-20
  description of 3-7-2
  for commercial shipments 3-7-4
  for non-commercial shipments 3-7-4
  for replaced export certificates 3-7-10, 3-7-14, 3-7-18, 3-7-21
  generating and remitting PCIT APHIS 94 3-7-9
  guidance for Federal ACOs 3-7-4
  handling refunds 3-7-26
  managing records 3-7-28
  monthly reports 3-7-28
  paying by credit card or eCheck 3-7-5
  paying by paper check or money order 3-7-6
  PPQ responsibilities 3-7-21
  reconciling information 3-7-21
  record keeping 2-1-16
  refund request worksheet 3-7-27
  remitting information 3-7-20
  remitting paper checks or money orders 3-7-9
  reporting voided or erroneous certificates 3-7-20
  State and County Guidance for 3-7-11, 3-7-15
  tax identification or social security number for 3-7-6
  tracking certificates issued 3-7-20, 3-7-21
  User Fee Section 3-7-29

V

vacuum packed seed 4-4-6
Vigna radiata 4-3-4, 4-3-7
viruses 2-1-9
visual inspection 3-4-6
visual inspections of seeds 2-1-2

W

WADS (Work Accomplishment Data System) 3-7-28
warning, as an advisory 1-1-6
wart, potato 4-5-12
weed seeds 3-4-6, 4-4-5
wheat 4-3-3, 4-3-4
wheat grain 4-3-3
wild collected plants 2-1-15
wilts 4-5-10, 4-5-11
wood
  mill certification program for debarking and grub control of coniferous sawn wood 5-2-37
  mill certification program for heat treatment of coniferous sawn wood going to Member States of the European Union 5-2-26
  mill certification program for kiln-dried coniferous sawn wood going to non European Union Member States 5-2-31
wood packaging material 3-4-10
Work Accomplishment Data System (WADS) 3-7-28
work plans 2-1-10, 2-1-19

X

XPM
  conventions 1-1-6
  enabling legislation 1-1-4
  program standards 1-1-5
  purpose 1-1-2
  reporting problems with 1-1-10
  revisions 1-1-9
  scope 1-1-3
  suggestions for improving 1-1-10
  users 1-1-4

Z

Zea mays 4-3-4, 4-3-7, 4-4-6