

Checklist for the Annual Review of Compliance Agreement

(Attach completed **original** Checklist to the current **original** Compliance Agreement)

Complete the Annual Review of Compliance Agreement during a Quarterly Enforcement Visit

Date of Annual Review: _____

Current Compliance Agreement Number (if applicable) : _____

Establishment Name, Address, and Phone Number: _____

Establishment Representative(s) Present: _____

PPQ/CBP Representative(s) Present: _____

1. Has the authorized establishment experienced a change in majority ownership since the signing of the current compliance agreement or the date of the most recent review?

Yes

No

If yes, a new three-step approval is required. Explain the changes in the Comments section. The establishment must contact APHIS PPQ Veterinary Regulatory Support (VRS) at (301) 851-2312 to request a new three-step approval. Do not issue a new Compliance Agreement (PPQ Form 519, Attachments, or Addenda). The establishment must activate the backup system as described in the current Compliance Agreement. Do not continue the Compliance Agreement Review. Select 'Not Reviewed' for Questions #2 through #4 and proceed to the Summary section.

If no, proceed to Question #2.

2. Has the authorized establishment changed any regulated garbage handling procedure, including any change in establishment location, equipment, or subcontractor, from the procedures listed in the current Compliance Agreement?

Yes

No

Not Reviewed

If yes, a new three-step approval may be required. Explain the changes in the Comments section. Contact the local APHIS PPQ VRS Agricultural Quarantine Inspection Veterinary Medical Officer (AQI VMO) to discuss whether the changes represent a violation of 7CFR 330.400 – 7CFR 330.403/9CFR 94.5 and to confirm if a new three-step approval is required.

If APHIS PPQ VRS determines that a new three-step approval is required, the establishment must contact APHIS PPQ VRS at (301) 851-2312 to request a new three-step approval. Do not issue a new Compliance Agreement (PPQ Form 519, Attachments, or Addenda). The establishment must activate the backup system as described in the current Compliance Agreement. Do not continue the Compliance Agreement Review. Select 'Not Reviewed' for Questions #3 and #4 and proceed to the Summary section.

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If APHIS PPQ VRS determines that a new three-step approval is not required, a new compliance agreement should be issued. The new compliance agreement should reflect the operating procedures and equipment currently used by the establishment. An establishment representative must sign the new PPQ Form 519 and date/initial all pages of the new Attachments and Addenda supporting the new Compliance Agreement. A representative from CBP and/or APHIS must sign the new PPQ Form 519. Do not continue the Compliance Agreement Review. Select 'Not Reviewed' for Questions #3 and #4 and proceed to the Summary section.

If no, proceed to Question #3.

3. Has the authorized establishment changed any local contact information, including changes in contact numbers or personnel, from the local contact information listed in the current Compliance Agreement?

Yes

No

Not Reviewed

If yes and the personnel change involves the individual that signed the current compliance agreement, issue a new compliance agreement. Explain the changes in the Comments section. An establishment representative must sign the new PPQ Form 519 and date/initial all pages of the new Attachments and Addenda supporting the new Compliance Agreement. A representative from CBP and/or APHIS must sign the new PPQ Form 519. Do not continue the Compliance Agreement Review. Select 'Not Reviewed' for Question #4 and proceed to Summary section.

If yes and the change in local contact information involves changes only in local contact phone/fax numbers, email addresses, or personnel listed on the current PPQ Form 519 other than the signer of the current compliance agreement, apply pen-and-ink changes to the current PPQ Form 519. Explain the changes in the Comments section. All pen-and-ink changes must be initialed by an establishment representative and by a CBP Agriculture Specialist, a PPQ Plant Health Safeguarding Specialist, or an AQI VMO. After all pen-and-ink changes have been completed, proceed to Question #4.

If no, proceed to Question #4.

4. Has the current compliance agreement been issued on an obsolete PPQ Form 519 or outdated Attachment templates?

Yes

No

Not Reviewed

If yes, issue a new compliance agreement with a current PPQ Form 519 template and/or current Attachment template(s) as necessary. An establishment representative must sign the new PPQ Form 519 and date/initial all pages of the new Attachments and Addenda supporting the new Compliance Agreement. A representative from CBP and/or APHIS must sign the new PPQ Form 519. Proceed to the Summary section.

If no, proceed to the Summary section.

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Summary:

If Questions #1 through #4 have been answered as 'no', complete the current review by obtaining ink signatures from establishment and CBP/APHIS representatives. Attach the original Checklist for the Annual Review of Compliance Agreement to the current original compliance agreement filed in the local office of the issuing federal agency. Faxed documents and other copies are not acceptable.

Provide a copy of the completed Checklist for the Annual Review of Compliance Agreement to the establishment's representative.

If any of the questions have been answered as 'yes' and/or require additional time or documentation to satisfy requirements, such as a new three-step approval process, a new PPQ Form 519, or a new Attachment template, complete the current review by obtaining ink signatures from establishment and CBP/APHIS representatives. Attach the original Checklist for the Annual Review of Compliance Agreement to the current original compliance agreement filed in the local office of the issuing federal agency. Faxed documents and other copies are not acceptable.

Provide a copy of the completed Checklist for the Annual Review of Compliance Agreement to the establishment's representative.

Once the incorrect or outdated information identified in the current review has been corrected, an additional review of the compliance agreement may be required to complete questions not answered during the current review.

Comments: _____

Printed Name and Title of Responsible Establishment Representative

Signature of Responsible Establishment Representative

Printed Name and Title of CBP/APHIS Representative

Signature of CBP/APHIS Representative