



**United States
Department of
Agriculture**

Animal and
Plant Health
Inspection
Service

Plant Protection
and Quarantine

Export Program Manual



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CAUTION: Pesticides can be injurious to humans, domestic animals, desirable plants, fish, or other wildlife—if they are not handled or applied properly. Use all pesticides selectively and carefully. Follow recommended practices for the disposal of surplus pesticides and pesticide containers.

Contents

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

Contents

Glossary	
	<i>page Glossary-1-1</i>
Index	
	<i>page Index-1-1</i>

Figures

- [FIGURE 1-1-1: Example of Control Data](#) *page 1-1-6*
- [FIGURE 3-1-1: Schematic of the Process of Export Certification](#) *page 3-1-2*
- [FIGURE 3-2-1: Example of PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export](#) *page 3-2-2*
- [FIGURE 3-3-1: EXCERPT Summary Categories](#) *page 3-3-8*
- [FIGURE 3-5-1: Examples of Lining Out Unused Space](#) *page 3-5-5*
- [FIGURE 3-5-2: Example of PPQ Form 577, Phytosanitary Certificate \(blank\)](#) *page 3-5-7*
- [FIGURE 3-5-3: Example of PPQ Form 579, Phytosanitary Certificate for Reexport \(blank\)](#) *page 3-5-11*
- [FIGURE 3-6-1: Example of PPQ Form 578, Export Certificate, Processed Plant Products \(blank\)](#) *page 3-6-4*
- [FIGURE 3-7-1: Certificates Issued Worksheet](#) *page 3-7-24*
- [FIGURE 3-7-2: Checks Collected Worksheet](#) *page 3-7-26*
- [FIGURE 3-7-3: Refund Request Worksheet](#) *page 3-7-29*
- [FIGURE 4-5-1: Tolerances for Generation 2—U.S. Export Seed Potatoes](#) *page 4-5-10*
- [FIGURE 4-5-2: Tolerances for Generation 3—U.S. Export Seed Potatoes](#) *page 4-5-10*
- [FIGURE 4-5-3: Tolerances for Generation 4—U.S. Export Seed Potatoes](#) *page 4-5-11*
- [FIGURE 4-5-4: Tolerances for Generation 5—U.S. Export Seed Potatoes](#) *page 4-5-11*
- [FIGURE 5-1-1: Model Letter for Documenting Major Errors Found on an Export Certificate](#) *page 5-1-5*
- [FIGURE 5-2-1: Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States \(front\)](#) *page 5-2-3*
- [FIGURE 5-2-2: Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States \(back\)](#) *page 5-2-4*
- [FIGURE 5-2-3: Lumber Grading Agencies Participating in Mill Certification Programs for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States](#) *page 5-2-6*
- [FIGURE 5-2-4: Example of Heat Treatment Certification Using a Kiln Facility](#) *page 5-2-8*
- [FIGURE 5-2-5: Example of MOU for Kiln Dried Coniferous Sawn Wood \(front\)](#) *page 5-2-11*
- [FIGURE 5-2-6: Example of MOU for Kiln Dried Coniferous Sawn Wood \(back\)](#) *page 5-2-12*

- FIGURE 5-2-7: Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying of Coniferous Sawn Wood *page 5-2-13*
- FIGURE 5-2-8: Example of Mill Certificate of Kiln Drying *page 5-2-14*
- FIGURE 5-2-9: Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (front) *page 5-2-18*
- FIGURE 5-2-10: Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (back) *page 5-2-19*
- FIGURE 5-2-11: List of Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying, Debarking, and Grub Hole Control *page 5-2-20*
- FIGURE 5-2-12: Example of Certificate of Debarking and Grub Hole Control *page 5-2-21*
- FIGURE 5-2-13: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 1) *page 5-2-24*
- FIGURE 5-2-14: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 2) *page 5-2-25*
- FIGURE 5-2-15: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 3) *page 5-2-26*
- FIGURE 5-2-16: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 4) *page 5-2-27*
- FIGURE 5-2-17: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 5) *page 5-2-28*
- FIGURE 5-2-18: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 6) *page 5-2-29*
- FIGURE 5-2-19: Example of Biannual Audit Checklist for Mill Certification Programs *page 5-2-30*
- FIGURE F-1-1: Initial Setup for State and County Fee Remittance Worksheet *page F-1-3*
- FIGURE G-1-1: Example of AMS Form FV 146CS (9-92), Certificate of Quality and Condition (Processed Foods) (blank) *page G-1-2*
- FIGURE G-1-2: Example of AMS Form FV 147CS (9-92), Certificate of Quality and Condition (Processed Foods) Quality Assurance (blank) *page G-1-3*
- FIGURE G-1-3: Example of AMS Form FV 149CS (9-92), Certificate of Quality and Condition (Processed Foods) Continuous Inspection (blank) *page G-1-4*
- FIGURE G-1-4: Example of AMS Form FV 294 (5-84), Report on Sanitary Inspection (blank) *page G-1-5*
- FIGURE G-1-5: Example of APHIS Form 47, Transmittal and Receipt for Accountable Items (blank) *page G-1-6*
- FIGURE G-1-6: Example of APHIS Form 94, Record of Public Funds Received (blank) *page G-1-7*
- FIGURE G-1-7: APHIS Form 94 (Reverse) *page G-1-8*
- FIGURE G-1-8: Example of FGIS Form 921-2, Inspection Report–Insects in Grain *page G-1-9*
- FIGURE G-1-9: Held Shipment Worksheet *page G-1-10*

FIGURE G-1-10: Example of PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport *page G-1-12*

Tables

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

- [TABLE 3-5-5](#): Distribution of PPQ Form 579, Phytosanitary Certificate for Reexport *page 3-5-15*
- [TABLE 3-5-6](#): Decide Whether to Replace PPQ Form 577 or 579 Based on Original Issuance *page 3-5-16*
- [TABLE 3-6-1](#): Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products *page 3-6-3*
- [TABLE 3-6-2](#): Instructions to Distribute PPQ Form 578, Export Certificate, Processed Plant Products *page 3-6-6*
- [TABLE 3-7-1](#): Administrative Fees for Export Certificates *page 3-7-2*
- [TABLE 3-7-2](#): User Fees for Export Certificates *page 3-7-5*
- [TABLE 4-2-1](#): Hypergeometric Table for Random Sampling *page 4-2-5*
- [TABLE 4-3-1](#): Species that FGIS Can Inspect *page 4-3-4*
- [TABLE 4-3-2](#): Determine Action to Take on Grain Inspected by FGIS *page 4-3-5*
- [TABLE 4-3-3](#): Determine Whether to Issue PPQ Form 577 or 579 *page 4-3-6*
- [TABLE 4-3-4](#): Completion of PPQ Forms 577 or 579 for Grain Products *page 4-3-7*
- [TABLE 4-3-5](#): Determine if You Can Use the FGIS Certificate to Issue a PPQ Form 577 or 579 *page 4-3-8*
- [TABLE 4-4-1](#): Amount of Seed to Collect from Each Lot *page 4-4-2*
- [TABLE 4-4-2](#): Computing Number of Subsamples Based on Seed Packaging *page 4-4-2*
- [TABLE 4-4-3](#): Determining How Many Subsamples to Draw from Seed in Bags *page 4-4-3*
- [TABLE 4-4-4](#): Inspecting the Sample *page 4-4-5*
- [TABLE 5-1-1](#): List of Active Federal-State MOUs *page 5-1-13*
- [TABLE A-1-1](#): Contact Protocol for Assistance With Export Certification *page A-1-1*
- [TABLE C-1-1](#): Identify EXCERPT Summary References and Approved Country Names *page C-1-1*
- [TABLE C-1-2](#): Approved Country Names and EXCERPT Summary References *page C-1-2*
- [TABLE G-1-1](#): Instructions to Complete PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport *page G-1-14*

1

Export Program
Manual

Introduction

Contents

Purpose	page 1-1-2
Scope	page 1-1-3
Users	page 1-1-4
Enabling Legislation	page 1-1-4
Plant Protection Act	page 1-1-4
7CFR Part 353—Export Certification	page 1-1-4
Program Standards	page 1-1-4
IPPC Standards	page 1-1-5
NAPPO Standards	page 1-1-5
Conventions	page 1-1-5
Advisories	page 1-1-5
Boldfacing	page 1-1-6
Bulleted Lists	page 1-1-6
Chapters	page 1-1-6
Contents	page 1-1-6
Control Data	page 1-1-6
Decision Tables	page 1-1-6
Examples	page 1-1-7
Footnotes	page 1-1-7
Heading Levels	page 1-1-7
Hypertext Links (Highlighting) to Tables, Figures, and Headings	page 1-1-7
Indentions	page 1-1-8
Italicized Brackets	page 1-1-8
Numbered Lists	page 1-1-8
Numbering Scheme	page 1-1-8
Section	page 1-1-8
Revisions to Manuals	page 1-1-8
Advance Notices	page 1-1-8
Immediate Updates	page 1-1-9
New Editions	page 1-1-9
Supersede Statements	page 1-1-9
Transmittals	page 1-1-9
How to Report Problems With the Export Program Manual (XPM)	page 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.



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 Export Certification Project, EXCERPT, an electronic database that provides current information on the plant import requirements of foreign countries. Phytosanitary Certificate Issuance and Tracking (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 EXCERPT as related to the procedures, the XPM **does not** comprehensively cover the use of databases related to export certification. Related databases include [EXCERPT](#) 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
- ◆ EXCERPT

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 [7CFR Part 353](#).

7CFR Part 353—Export Certification

[7CFR 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 \(ISPM\)](#).

NAPPO Standards

The [NAPPO Standards](#) consist of Regional Standards for Phytosanitary Measures (RSPM).

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 E](#).

Conventions

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

Advisories

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



DANGEROUS indicates that people could easily be hurt or killed.



WARNING indicates that people could possibly be hurt or killed.



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



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



IMPORTANT indicates helpful information.

Boldfacing

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

Bulleted Lists

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

Chapters

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

Contents

Most chapters and sections of a chapter have a table of contents that lists the heading titles, and is located at the beginning to help facilitate finding 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, title, page number, and PPQ work unit responsible for content (see [Figure 1-1-1](#)).

09/2115-01	◆ 09/2115 is the month and year when the manual page was issued
	◆ -01 is the transmittal number

FIGURE 1-1-1: Example of Control Data

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 on page-1-1-7](#); if you are a 28-year-old female, you would schedule a physical.

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

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

Examples

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

EXAMPLE

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

Footnotes

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

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

Heading Levels

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

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

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

EXAMPLE

See [TABLE 1-1-2](#) 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 *Policy*, *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.

Advance Notices

Advance notices are issued when the revisions are **not** urgent or are extensive (more than 6 pages). Transmittals for advance notices usually contain the following information:

- ◆ Alert to users that the manual has been updated
- ◆ List of updated pages
- ◆ Purpose of the revision
- ◆ Supersede statement
- ◆ Transmittal number (used to track revisions)

Immediate Updates

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

Transmittals 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 advance notices, immediate updates, and new editions. Transmittals are either e-mails or memorandums explaining the manual revision. Each transmittal has a unique number usually identified in the subject line, which can be used to track revisions. New editions **always** start with the transmittal number of -01 and the number increases by one for each revision made during the life of the edition.

Introduction

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

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 301-734-8262 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 Table A-1-1 on page-A-1-1 for the established contact protocol)
Disagree with policy or procedures	

2

Export Program
Manual

Policy

Contents

Accreditation	page 2-1-2
ACO Accreditation	page 2-1-2
Seed Health Accreditation	page 2-1-2
Additional Declarations (ADs)	page 2-1-3
Authority for Entering Additional Declarations	page 2-1-3
Amending an Additional Declaration	page 2-1-3
Additional Official Phytosanitary Information	page 2-1-3
Certification of Canadian Produced Seed	page 2-1-3
Certification Eligibility Review	page 2-1-4
Confidentiality	page 2-1-4
Export Certificates	page 2-1-5
Phytosanitary Certificate (PPQ Form 577) and Phytosanitary Certificate for Reexport (PPQ Form 579)	page 2-1-5
Export Certificate for Processed Plant Products (PPQ Form 578)	page 2-1-6
Export Certification Violations	page 2-1-6
Genetically Modified Organisms	page 2-1-7
Grain	page 2-1-7
Federal Grain Inspection Service (FGIS) Inspection Authority	page 2-1-8
International Plant Protection Convention (IPPC)	page 2-1-8
Letters of Credit	page 2-1-8
Official Samples, Inspection, and Testing	page 2-1-8
Seed Sampling and Testing	page 2-1-9
Pest Free Area (PFA) or Pest Free Place of Production (PFPP)	page 2-1-10
Establishing a PFA	page 2-1-10
Establishing a PFPP	page 2-1-10
Resources for Determining PFAs or PFPPs	page 2-1-11
Phytosanitary Certificate Issuance & Tracking (PCIT)	page 2-1-12
Federal ACOs	page 2-1-12
State and County ACOs	page 2-1-13
Prohibited Information on an Export Certificate	page 2-1-13
Record Keeping	page 2-1-14
Replacement	page 2-1-14
PPQ Forms 577 or 579 for Commodities in a Foreign Country	page 2-1-14
Safeguarding	page 2-1-15
Safety	page 2-1-15
Time Limits	page 2-1-15
Time Limits for Field Inspections and Laboratory Testing	page 2-1-16
Replacing PPQ Forms 577 and 579 Outside PPQ's Time Limit Policy	page 2-1-16
Treatments	page 2-1-16
Certifying Seed Treatments	page 2-1-17
USDA Letterhead Statements	page 2-1-17
User Fees	page 2-1-18

Accreditation

ACO Accreditation

Authorized Certification Official (ACO) accreditation is in accordance with [7CFR353](#) 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. Each non-government entity is audited and evaluated by the National Seed Health System under the direct supervision of the National Accreditation Program Manager for PPQ. Eligible certified entities perform the following testing and inspections required for an ACO to issue a PPQ Form 577 or 579:

- ◆ Laboratory testing for plant pathogens using the standardized methods approved by the National Seed Health System
- ◆ Phytosanitary 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.

Amending an Additional Declaration

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

Additional Official Phytosanitary Information

Additional official phytosanitary information is included on a phytosanitary certificate to help facilitate re-exports to a foreign country. This information is included in the AD section of the phytosanitary certificate after the first country of importation import requirements have been met. 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 of Canadian Produced Seed

All propagative material imported into the United States is required to have a phytosanitary certificate from the country of exportation, except for Canadian produced seed. Seed produced in Canada and reexported from the United States has experienced entry problems when shipped to a third country because of the absence of a Canadian phytosanitary certificate. To facilitate the United States' trade of Canadian produced seed, options are available for certifying Canadian produced seed being reexported from the United States (see [Certifying Canadian Produced Seed](#) on **page 4-4-6**).

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.



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.

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: 301-734-8296

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.

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 EXCERPT under “Commodities Eligible for a PPQ 578.” Some commodities found in the “Commodities Eligible for a PPQ 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 [7CFR 353](#) and may be prosecuted under the [Plant Protection Act \(7USC 7701\)](#) 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 Enforcement Services (IES) investigation.

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. Phytosanitary Issues Management (PIM), once notified, will contact the importing country to negotiate the removal of any GMO requirement.

If the importing country has GMO requirements that are **not** tied to phytosanitary certification, various other Federal agencies may be able to assist an 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 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 an import permit (IP).

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



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.

Policy

International Plant Protection Convention (IPPC)

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

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 Insect in Grain Report, FGIS Form 921-2, 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.

International Plant Protection Convention (IPPC)

PPQ policy is consistent with the adopted standards produced by the [IPPC](#).

Letters of Credit

Letters of credit are commercial documents, are **not** to be used for export certification, and **cannot** be referenced on an export certificate.

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.



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. 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 with the file copy of the export certificate.

The above policy **does not**:

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



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



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. Additionally, non government-accredited entities are authorized to perform **only** those specific phytosanitary functions for which accreditation is held and listed.

Policy

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

- ◆ 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.

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 Survey Information System \(ISIS\)](#), 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
 - i. Preventive measures (e.g. elimination of other host material)
 - ii. Exclusion measures (e.g. physical barriers, screens, controls)
 - iii. 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 EXCERPT does not specify which areas of the U.S. are considered free of a pest, the ACO must make that determination before deciding whether a commodity is prohibited.

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

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 \(CABI\)](#)



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 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 better security, 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 and 579 **must** be issued through PCIT
- ◆ Paper PPQ Forms 577 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 three forms:

- ◆ PPQ Form 572 - Application for Inspection and Certification of Domestic Plant and Plant Products for Export
- ◆ PPQ Form 577 - Phytosanitary Certificate¹
- ◆ PPQ Form 579 - Phytosanitary Certificate for Reexport¹

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.

State and County ACOs

PCIT use by State and County ACOs is currently optional, but strongly recommended.

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))
- ◆ For any grain, freedom from plant disease-causing organisms when the disease occurs in the U.S.
- ◆ Fitness for human consumption
- ◆ Freedom from animal diseases and statements about animal health concerns
- ◆ Grade and/or quality
- ◆ Genetic composition and/or disease resistance
- ◆ Intended use (such as for scientific purposes)

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

- ◆ Import reference number
- ◆ Import tariff item number
- ◆ Letter of commitment number
- ◆ Letter of credit number or requirements
- ◆ Any unofficial requests from applicants and consignees
- ◆ Levels of radioactivity, nuclear radiation, or radionuclides associated with a commodity
- ◆ Official verification listed in an export summary or an import permit
- ◆ Pesticides or other chemical residues
- ◆ Purchase contract number
- ◆ References pertaining to a permit or a permit number issued by the Division of Management Authority (DMA) for protected plant species
- ◆ References to wild collected plants
- ◆ References to trade names, sizes, or other commercial terms
- ◆ Any other requested statement that is **not** of a phytosanitary nature, such as economic permits, quantity or quality restrictions, or methods of packaging
- ◆ References to genetically modified organism (GMO) status
- ◆ Tax identification numbers

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.



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.

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

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

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. PPQ policy **must** be met even if a country’s time limits refers to the time period between certificate issuance and exportation. In addition to PPQ’s policy on time limits, each importing country may specify its own time limit requirements. 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.



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.

For general information on time limits pertaining to inspections and certificate issuance, see [Time Limits](#) on **page 2-1-15**.

If a PPQ Form 577 or 579 is issued based on laboratory testing, keep any documentation supporting the decision with the file copy of the export certificate or attach in PCIT. This policy **does not**:

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

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.

Treatments

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

- ◆ Be conducted following the procedures in the PPQ *Treatment Manual* or any labelled use product
- ◆ Follow the guidance under the heading *Monitoring of Quarantine Treatments* of [Section 2-2](#) of the PPQ *Treatment Manual*
- ◆ Be monitored by a Federal, State, or County plant quarantine official or conducted by FGIS and listed on FGIS Form 921-2

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:

EXAMPLES

- ◆ 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 PBI tags and bale weight(s)

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



Do not list treatments recorded on foreign phytosanitary certificates in the treatment section of PPQ Forms 577 or 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 insure Environmental Protection Agency (EPA) compliance. In such cases it is acceptable to attest to seed treatments based on the information contained on the seed label.



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

USDA Letterhead Statements

On some occasions, 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](#).

3

Export Program
Manual

General Procedures

The Process of Export Certification

Contents

Introduction [page 3-1-1](#)

Steps for Certifying a Commodity [page 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.

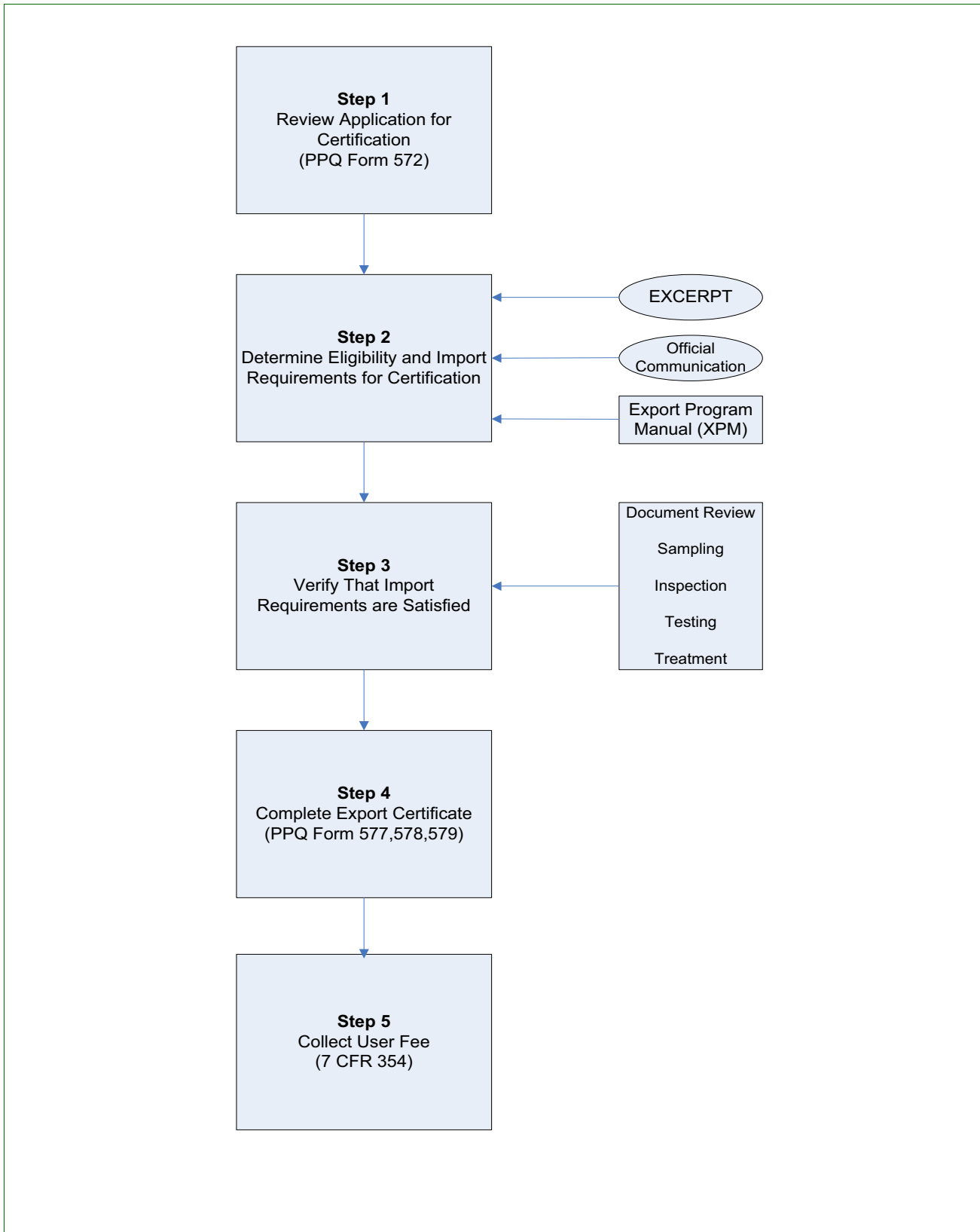


FIGURE 3-1-1: Schematic of the Process of Export Certification

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 EXCERPT database or official communication from the 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.



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

Based on whether the commodity can meet the import requirements, ACOs then determine whether they can issue a certificate (see [Determining 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.

3

Export Program
Manual

General Procedures

Completing Application for Export Certification (PPQ Form 572)

Contents

Introduction	page 3-2-1
Creating an Application (PPQ Form 572) in PCIT	page 3-2-3
Completion of a Paper PPQ Form 572	page 3-2-3
Application Data (to be completed by applicants)	page 3-2-3
Export Inspection Data (to be completed by ACOs)	page 3-2-4
Distribution	page 3-2-5
PCIT Generated PPQ Form 572	page 3-2-5
Non PCIT Generated PPQ Form 572	page 3-2-5

Introduction

PPQ Form 572, Application for Inspection and Certification of Domestic 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 D](#). 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.



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.

General Procedures: Completing Application for Export Certification (PPQ Form 572)
Introduction

<p>No Phytosanitary Export Certificate can be issued until an application is completed (7 CFR 353). FORM APPROVED OMB NO. 0579-0052</p>		<p>According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0052. The time required to complete this information collection is estimated to average .25 minutes/hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.</p>	
<p>U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE</p> <p>APPLICATION FOR INSPECTION AND CERTIFICATION OF DOMESTIC PLANTS AND PLANT PRODUCTS FOR EXPORT</p>		<p>INSTRUCTIONS: APPLICANT - Forward original to the Officer in Charge where inspections, treatment, and certification will be given (Item 4). Complete items 1 thru 11. OFFICER - Complete items 12 thru 17.</p>	
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 Domestic Plants and Plant Products for Export

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](#) on [page-3-2-3](#) 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

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** below 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: <ol style="list-style-type: none"> 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.

3

Export Program
Manual

General Procedures

Determining Eligibility and Import Requirements for Certification

Contents

Introduction	page 3-3-1
Determining Eligibility	page 3-3-2
Eligibility Based on Commodity	page 3-3-2
Eligibility Based on Origin and Destination	page 3-3-4
Eligibility Based on Protected Status	page 3-3-5
Determining Import Requirements	page 3-3-6
Official Communication	page 3-3-7
EXCERPT	page 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** on **page-3-3-2** 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 EXCERPT under Commodities Eligible for a PPQ Form 578	1. CONSIDER eligible for PPQ Form 578 2. GO to Eligibility Based on Origin and Destination on page 3-3-4
		Listed in EXCERPT under <i>Commodities Ineligible for Certification</i> ¹	1. CONSIDER ineligible for a certificate 2. EXIT this manual
		Listed in EXCERPT under Export Summary Inquiry, Product Requirements Information as eligible for certification and all conditions can be met	1. CONSIDER eligible for a PPQ Form 577 or 579 2. GO to Eligibility Based on Origin and Destination on page 3-3-4
	Unprocessed products	→	
Mushroom spawn	→	→	1. CONSIDER eligible for PPQ Form 577 only 2. GO to Table 3-3-2 on page-3-3-3
Neither plants nor anything derived from plants	→	→	1. CONSIDER ineligible for a certificate 2. EXIT this manual
Mixture or combination of plant and nonplant materials	→	→	Follow the contact protocol in Table A-1-1 on page-A-1-1

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

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

If:	Then:
The mushroom spawn facility is participating in the pilot Mushroom Spawn Facility Accreditation Program ¹	<ol style="list-style-type: none"> 1. INSPECT the shipment 2. COMPLETE PPQ Form 577 (refer to Completing PPQ Forms 577 and 579 on page 3-5-1) <ul style="list-style-type: none"> In Block 9, Name of Produce, enter “Mushroom spawn” In Block 10, enter scientific name <p>Do not enter an additional declaration (AD) concerning the phytosanitary condition of the shipment²</p>
The mushroom spawn facility is not participating in the pilot Mushroom Spawn Facility Accreditation Program ³	<ol style="list-style-type: none"> 1. CONSIDER ineligible for an export certificate 2. EXIT this manual

- 1 ACOs **must** contact their Export Certification Specialist (ECS) or Regional Program Manager (RPM) using the approved contact protocol, **prior** to certification to determine which mushroom spawn facilities are participating in the pilot program.
- 2 **Only** ADs referencing IPs or for replacing an export certificate are allowed.
- 3 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** on **page 3-3-4** 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 Interstate via Canada	1. CONSIDER eligible for PPQ Form 577 or PPQ Form 578 2. GO to Eligibility Based on Protected Status on page 3-3-5
	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 Interstate via Canada	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
	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 Form 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** below 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	1. REFER 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 EXCERPT or official communication.

Import requirements vary by country, commodity, and plant part. Reviewing EXCERPT 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 EXCERPT, the information **must** be in the form of official communication, and will supersede EXCERPT.

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 3-3-5 on **page-3-3-6** 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



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 communication¹ 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 EXCERPT. 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 the *Subsidiary Section* of each *Export Summary* in EXCERPT. The following information pertains specifically to IPs but can be applied to any type of official communication.



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.

EXCERPT

EXCERPT contains the published phytosanitary requirements for commodities from the United States. Each country has its own summary within EXCERPT, which is divided into three main categories as illustrated in **Figure 3-3-1 on page-3-3-8**. ACOs should review all sections of EXCERPT for any commodity to be certified.

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 **Table A-1-1 on page-A-1-1**).

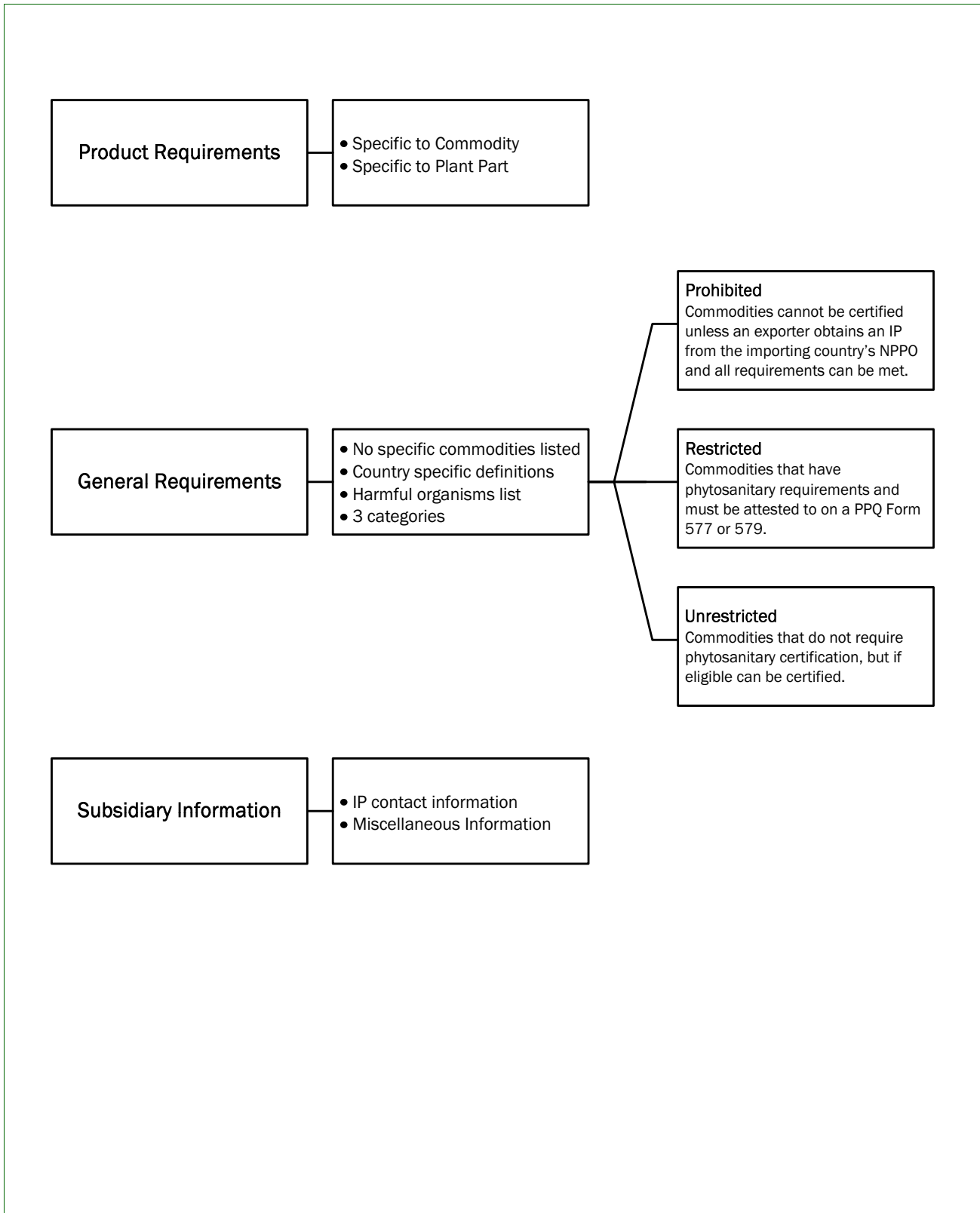


FIGURE 3-3-1: EXCERPT Summary Categories

**Commodity
Information
within EXCERPT**

EXCERPT 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. PC and 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.
3. PC and 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. Unrestricted.
 - ❖ No PC is required, but an ACO may issue a certificate if the commodity is eligible.
5. Prohibited.
 - ❖ 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.

3

Export Program
Manual

General Procedures

Verifying Import Requirements

Contents

Introduction	page 3-4-1
How to Verify Import Requirements	page 3-4-2
Examine Acceptable Documentation	page 3-4-2
Determine the Sample Size	page 3-4-4
Two Percent Level	page 3-4-4
Hypergeometric Table	page 3-4-4
Nursery Stock	page 3-4-5
Seed	page 3-4-5
Inspect the Commodity	page 3-4-5
Monitor Treatments	page 3-4-8
Verify Miscellaneous Requirements	page 3-4-10
Record Inspection Results	page 3-4-12
Decide Which Export Certificate to Issue	page 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 EXCERPT.

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** below 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-3-4-12
	Not all phytosanitary requirements have been met	Inspection is necessary —————→	GO to “Step 2: Determine the Sample Size” on page-3-4-4
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** below, 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 (issued for apples, pears, emperor grapes, and some vegetables)
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.



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 [Table A-1-1](#) on [page A-1-1](#).

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 2-1-8](#).

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

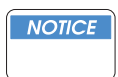
Total number of inspectional units:	Randomly select this number of units to inspect:
1-13	Inspect all units
14-15	13
16-17	14
18-19	15
20-22	16
23-25	17
26-28	18
29-32	19
33-38	20
39-44	21
45-53	22
54-65	23
66-82	24
83-108	25
109-157	26
158-271	27
272-885	28
886-200,000	29

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.



Items listed in EXCERPT 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-3-4-5**.

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** on **page-3-4-6** below 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	1. REFUSE to certify 2. EXIT this manual
Growing season inspection ²	An inspection was not satisfactorily conducted	1. REFUSE to certify 2. EXIT this manual
	An inspection was satisfactorily conducted	CONTINUE to Table 3-4-5
Laboratory test	The commodity was laboratory tested ³	CONTINUE to Table 3-4-5
	The commodity was not laboratory tested	1. REFUSE to certify 2. 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 2-1-11](#)).
- 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: Monitor 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: Monitor 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	
	Has phytosanitary significance to the importing country		→	Available ⁴	GO to “Step 4: Monitor Treatments” on page-3-4-8
				Unavailable ⁴	1. REFUSE to certify 2. EXIT this manual
			Available ⁴	GO to “Step 4: Monitor 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: Monitor 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 as prescribed in the PPQ [Treatment Manual](#) or according to the label instructions. ACOs **must** ensure minimum concentration levels are maintained for an effective treatment.



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.



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





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](#).



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 regional program manager 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](#) on [page-3-4-9](#).

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	<ol style="list-style-type: none"> 1. MONITOR treatment 2. RECORD details of all treatments on PPQ Form 577 or 579 3. GO to “Step 6: Record Inspection Results” on page-3-4-12
		Is not willing to arrange for treatment	<ol style="list-style-type: none"> 1. REFUSE to certify 2. EXIT this manual
Does not require treatment			GO to “Step 6: Record Inspection Results” on page-3-4-12
Does not require treatment, but was treated	The treatment is acceptable and monitored by a Federal, State, or County plant quarantine official	Wants the treatment on the certificate	<ol style="list-style-type: none"> 1. RECORD details of the treatment on PPQ Form 577 or 579 2. GO to “Step 6: Record Inspection Results” on page-3-4-12
		Does not want the treatment on the certificate	GO to “Step 6: Record Inspection Results” on page-3-4-12
	The treatment is not acceptable or was not monitored by a Federal, State, or County plant quarantine official	Wants the treatment on the certificate	<ol style="list-style-type: none"> 1. ALLOW the applicant to apply an acceptable treatment 2. MONITOR treatment 3. RECORD details of the treatment on PPQ Form 577 or 579 4. GO to “Step 6: Record Inspection Results” on page-3-4-12
		Does not want the treatment on the certificate	GO to “Step 6: Record Inspection Results” on page-3-4-12

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	1. REFUSE to issue an export certificate 2. EXIT this manual
	Can be met	GO to Time Limits
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 2-1-15.



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** on page-3-4-11 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	<p>1. WARN the exporter that the shipment may be refused or delayed if entering a port other than specified in the export summary</p> <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p>Important</p> <p>Do not refuse to issue an export certificate if this is the only requirement that is not met.</p> </div> </div> <p>2. GO to “Step 6: Record Inspection Results” on page-3-4-12</p>
One of the specified ports	GO to “Step 6: Record Inspection Results” on page-3-4-12

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	<ol style="list-style-type: none"> 1. RECORD the inspection results in blocks 12 - 17, under Export Inspection Data as follows: <ul style="list-style-type: none"> ◆ LIST in <i>Block 12</i>, place (port and location) where the commodity was inspected ◆ LIST in <i>Block 13</i>, percentage (how much) of material was inspected ◆ LIST in <i>Block 14</i>, percentage of material infested or infected ◆ LIST in <i>Block 15</i>, pests intercepted and treatments given, actions taken by the 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 <i>Block 16</i> ◆ LIST in <i>Block 17</i>, date and time of inspection 2. ATTACH PPQ Form 572 to the Issuing Office Copy of PPQ Form 577 or PPQ Form 579, if applicable 3. GO to “Step 7: Decide Which Export Certificate to Issue” on page-3-4-13, if applicable
PPQ Form 577, Phytosanitary Certificate	<p>RECORD the inspection results on the reverse side of the Issuing Office Copy as follows:</p> <ul style="list-style-type: none"> ◆ LIST in <i>Block 1</i>, place (port and location) where the commodity was inspected ◆ LIST in <i>Block 2</i>, percentage (how much) of material was inspected ◆ LIST in <i>Block 3</i>, percentage of material infested or infected ◆ LIST in <i>Block 4</i>, pests intercepted and treatments given, actions taken by the applicant and ACO (as a result of inspection) to make the commodity eligible for certification (such as repackaging, reconditioning, debarking, intended use, notation of AD, pest or disease freedom, presence or absence of IP, foreign export certificate, or other import requirements and unusual situations concerning the shipment) ◆ SIGN your name in <i>Block 5</i> ◆ LIST in <i>Block 6</i>, date and time of inspection
PPQ Form 579, Phytosanitary Certificate for Reexport	

Step 7: Decide Which Export Certificate to Issue

Use [Table 3-4-10](#) below 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
	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	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
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
	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	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

3

Export Program
Manual

General Procedures

Completing PPQ Forms 577 and 579

Contents

Introduction	page 3-5-2
Guidelines for Completing PPQ Forms 577 and 579 (PCIT or Multi-part paper)	page 3-5-3
Attachment Sheets	page 3-5-4
Lining Out Unused Space	page 3-5-5
PPQ Form 577, Phytosanitary Certificate	page 3-5-6
Purpose	page 3-5-6
Example	page 3-5-7
Processing an Application in PCIT	page 3-5-8
Completing Multi-part Paper PPQ Form 577	page 3-5-8
PPQ Form 579, Phytosanitary Certificate for Reexport	page 3-5-10
Purpose	page 3-5-10
Example	page 3-5-11
Completing Multi-part Paper PPQ Form 579	page 3-5-12
Record Keeping	page 3-5-13
PCIT Users	page 3-5-13
Non-PCIT Users	page 3-5-13
Distribution	page 3-5-14
PCIT Generated PPQ Forms 577 and 579	page 3-5-14
PPQ Form 577 Issued on Multi-part Paper Forms	page 3-5-14
PPQ Form 579 Issued on Multi-part Paper Forms	page 3-5-15
Replacing PPQ Forms 577 and 579	page 3-5-15

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**



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) can issue PPQ Forms 577 and 579 for those commodities listed in an export summary as unrestricted products if they are eligible for certification. The applicable user fees will apply.

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 EXCERPT 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 G-1-12**).



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](#) below for examples of lining out unused space.

The figure illustrates two examples of PPQ forms where unused space is lined out. The top form is titled "DISINFESTATION AND/OR DISINFECTION TREATMENT" and contains a table with 6 rows and 2 columns. The bottom form is titled "ADDITIONAL DECLARATION" and contains a paragraph of text and a signature line. Both forms have diagonal lines drawn through the unused sections.

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 COMMODITY

ADDITIONAL DECLARATION

The cotton in this shipment originated from areas free from the pink bollworm, *Pectinophora gossypiella*. The cotton bales in this shipment were compressed at a minimum of 28 pounds per cubic foot.

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

ADDITIONAL DECLARATION

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

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

FIGURE 3-5-2: 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


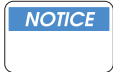
Block	Instructions
TO: THE PLANT PROTECTION ORGANIZATION(S) OF	Enter the approved name from Appendix C of the foreign country and list any transiting countries required by the export summary or official communication by placing each country within parenthesis, for example, (Bolivia).
PLACE OF ISSUE	Enter 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	<p>Enter the date(s) the commodity was inspected.</p> <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p>Never enter dates of a field or growing season inspection or laboratory tests.</p> </div> </div> <div style="display: flex; align-items: center; margin-top: 10px;">  <div style="margin-left: 10px;"> <ul style="list-style-type: none"> ◆ When calculating how many days have passed since the date of inspection, count the date of inspection as day one. ◆ When calculating how many days have passed since the date of inspection when a consignment has multiple dates of inspection, the 30 day time limit begins on the first (earliest) date of inspection. </div> </div>
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 (<i>active ingredient</i>)	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).
DESCRIPTION OF THE CONSIGNMENT	

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

Block	Instructions
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	Enter the authorized point of entry declared by the applicant. If the port is unknown, enter the approved country name.
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 (<i>Type or Print</i>)	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-3-5-11](#) 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) See reverse for additional OMB information. FORM APPROVED OMB NO. 0579-0052

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

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

PART 1 - SHIPPER'S ORIGINAL

FIGURE 3-5-3: 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 name from Appendix C of the foreign country (ies).
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 are based on the foreign export certificate and/or based on additional inspection.
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 (<i>active ingredient</i>)	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.
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).

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

Block	Instructions
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	Enter the point of entry declared by the applicant after ensuring that the port is authorized. If the port is unknown, enter the approved country name.
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 2-1-14**.

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** below.

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. <div style="display: flex; align-items: center; justify-content: center;">  <div style="margin-left: 10px; background-color: #e0f2f1; padding: 5px; border: 1px solid #ccc;"> Use the PCIT security paper for only the original certificate. </div> </div> <p style="text-align: center;">Important</p>
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** below.

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** below.

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
Part 2—Shippers' Copy (white)	3. GIVE copies to the applicant, shipper, or broker
Part 3—Record Copy (white)	1. ATTACH any pertinent information for that specific shipment ¹ 2. SEND the record copy to your supervisor, Export Certification Specialist (ECS), or State Plant Health Director (SPHD) (to whom and when to send record copies is established by the ECS and SPHD; a rule-of-thumb is gather and send forward copies of issued certificates on a weekly basis)
Part 4—Issuing Office Copy (white)	1. ATTACH any pertinent information for that specific shipment ¹ 2. RECORD issuance on the Export Certification Record (see 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**. The date of issuance must always be the actual date the ACO signs the certificate. When replacing a certificate, review the time limits for the country to ensure the original PPQ Form(s) 577 or 579 was issued according to the country's time limits. If the replacement occurs outside of the country's time limit, include an AD referring to the original certificate and the original date of issuance.

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

TABLE 3-5-6: Decide Whether to Replace PPQ Form 577 or 579 Based on Original Issuance

If the original PPQ Form 577 or 579 is:	And:	And the replacement date is:	Then:
Surrendered to the ACO	The consignment is reinspected	→	<ol style="list-style-type: none"> VOID the original PPQ Form 577 or 579 (refer to Record Keeping on page 3-5-13) RETURN all voided certificates (including those ruined while typing or preparing) to the issuing office 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 station¹ based on the new inspection
	The consignment is not reinspected	Within 30 days of inspection or specific country requirements	<ol style="list-style-type: none"> VOID the original PPQ Form 577 or 579 (refer to Record Keeping on page 3-5-13) RETURN all voided certificates (including those ruined while typing or preparing) to the issuing office CHANGE the appropriate entries REPLACE the PPQ Form 577 or 579 at any duty station,¹ with no AD referencing the replacement ATTACH the original or a copy (if the original is returned to the originating office) to the file copy of the new PPQ Form 577 or 579
		Not within 30 days of inspection or specific country requirements ²	<ol style="list-style-type: none"> VOID the original PPQ Form 577 or 579 (refer to Record Keeping on page 3-5-13) RETURN all voided certificates (including those ruined while typing or preparing) to the issuing office CHANGE the appropriate entries REPLACE the PPQ Form 577 or 579 at any duty station,¹ with an AD “This certificate replaces phytosanitary certificate (or phytosanitary certificate for reexport) [number], issued on [date], at [issuing office], because [reason for issuing new PPQ Form 577 or 579].” ATTACH the original or a copy (if the original is returned to the originating office) to the file copy of the new PPQ Form 577 or 579
Not surrendered	The document was already mailed	→	<ol style="list-style-type: none"> CHANGE the appropriate entries REPLACE the PPQ Form 577 or 579 at the originating duty station only,³ with an AD “This certificate replaces phytosanitary certificate (or phytosanitary certificate for reexport) [number], issued on [date], at [issuing office], because [reason for issuing new PPQ Form 577 or 579].”
	The document was lost	→	<ol style="list-style-type: none"> CHANGE the appropriate entries REPLACE the PPQ Form 577 or 579 at the originating duty station only,³ with an AD “This certificate replaces the applicant’s lost original of phytosanitary certificate (or phytosanitary certificate for reexport) [number], issued on [date], at [issuing office].”

- ACOs may have to contact the originating office for supporting documents.
- The original export certificate was issued according to PPQ policy concerning time limits.
- With the use of PCIT, PPQ Forms 577 and 579 can be replaced at any duty station

3

Export Program
Manual

General Procedures

Completing PPQ Form 578

Contents

Introduction	page 3-6-1
Purpose	page 3-6-1
Guidelines for Completing PPQ Form 578	page 3-6-2
Completion	page 3-6-3
Example	page 3-6-4
Continuation Sheets	page 3-6-5
Keeping Records	page 3-6-5
Distribution	page 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 Commodities Eligible for a PPQ 578 section of EXCERPT.

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 EXCERPT or is listed in an IP and all the conditions can be met.

Completion

See **TABLE 3-6-1** below 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	ENTER the authorized point of entry declared by the applicant. If the port is unknown, enter the approved country name.
DESCRIPTION OF CONSIGNMENT	
PRODUCT (<i>Kind, Quantity, and Weight</i>)	ENTER the name of the processed product exactly as it appears in the list of Eligible Processed Products in EXCERPT; 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 OMB control number. The valid OMB control number for this information collection is 0579-0052. The time required to complete this information collection is estimated to average .03 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

FORM APPROVED
OMB NO. 0579-0052


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

FIGURE 3-6-1: 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:

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

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** below.

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](#)).

3

Export Program
Manual

General Procedures

User Fees

Contents

Introduction	page 3-7-2
Federal ACOs	page 3-7-2
State and County ACOs	page 3-7-2
Important PCIT Facts	page 3-7-3
Guidance for Federal ACOs	page 3-7-4
Replacing Export Certificates	page 3-7-10
State and County Guidance for Collecting and Remitting Only the USDA Administrative Fee in PCIT	page 3-7-11
Replacing Export Certificates	page 3-7-15
State and County Guidance for Collecting and Remitting State and County Fees and the USDA Administrative Fee in PCIT	page 3-7-16
Replacing Export Certificates	page 3-7-20
Federal, State, and County Guidance for Collecting and Remitting the USDA Administrative Fee Without PCIT	page 3-7-21
Guidance for State and County Officials	page 3-7-21
PPQ Responsibilities	page 3-7-23
Certificates Issued Worksheet Instructions	page 3-7-25
Checks Collected Worksheet Instructions	page 3-7-27
Handling Refunds	page 3-7-28
Managing Records	page 3-7-30
Monthly Reports	page 3-7-30
Annual Maintenance	page 3-7-30

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](#) below.

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

If the export certificate is:	Then the administrative fee ¹ is:
Issued in PCIT ²	\$6
Issued outside of PCIT	\$12

- 1 The fees remain in effect after fiscal year 2011 until new regulations are finalized.
- 2 Applicants may also obtain the lower administrative fee for PPQ Form 578 if they are using PCIT and have money in their PCIT account.

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 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 3-7-16](#).

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 3-7-21**.

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.



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.



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 To 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

TABLE 3-7-2: User Fees for Export Certificates

If the invoice value is:	And the fiscal year ¹ is:	Then:
Commercial (Equal to or greater than \$1,250)	2011	1. The fee is \$104 2. GO to Step 3 on page 3-7-5
	2012 ²	1. The fee is \$106 2. GO to Step 3 on page 3-7-5
Noncommercial (Less than \$1,250)	2011	1. The fee is \$60 2. GO to Step 3 on page 3-7-5
	2012 ²	1. The fee is \$61 2. GO to Step 3 on page 3-7-5

- 1 A fiscal year begins on October 1 of each calendar year and ends on September 30 of the following calendar year (e.g. fiscal year 2009 is from October 1, 2008 - September 30, 2009).
- 2 The fees remain in effect after 2012 until new regulations are finalized.



Important

- ◆ 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** below.

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.



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: 175-8000-141/0250
- ◆ 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.



- ◆ 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:

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.

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**:

5. Process the submitted application.
6. Ensure the fee is correct before clicking “Issue certificate and charge fee”.
7. 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**:

5. Create an application for Company C.
6. Update applicant to Company C on the General Screen.
7. Submit the application to the duty station.

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

8. Process the submitted application.
9. Ensure the fee is correct before clicking “Issue certificate and charge fee”.
10. Complete the certificate printing process.

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

Collecting User Fees for PPQ Form 578 and Letterhead Certification (Non Animal Statement) in PCIT

PCIT collects the user fee for Letterhead Statements (Non Animal) as well as PPQ Form 578 even though the documents are 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](#).



As foreign regulations become more complex, the number of PPQ Form 578s issued continues to decline. The number of PPQ Form 578s issued does not justify its inclusion in PCIT.

For any eligible commodity, ACOs should continue completing paper PPQ Form 578s or Letterhead Certification (Non Animal Statement). However, PCIT is designed to collect the appropriate fee for these documents. See below for instructions on collecting user fees for PPQ Form 578 and 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.



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.



Important

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.



Important

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



Important

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 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](#) below.

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.



Important

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: 175-8000-141/0250
- ◆ 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.



- ◆ 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**:

5. Process the submitted application.
6. 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**:

5. Create an application for Company F.
6. Update applicant to Company F on the General Screen.
7. Submit the application to the duty station.

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

8. Process the submitted application.
9. Complete the certificate printing process.

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

**Collecting
Administrative
Fee for PPQ
Form 578 in
PCIT**

As foreign regulations become more complex, the number of PPQ Form 578s issued continues to decline. The number of PPQ Form 578s issued does not justify its inclusion in PCIT. For any eligible commodity, ACOs should continue completing paper PPQ Form 578s. If an applicant uses PCIT and has sufficient funds in their account, PCIT has the capacity to collect the appropriate administrative fee for the PPQ Form 578. See below for instructions on collecting user fees for PPQ Form 578 in PCIT:

1. Select “Financial Management.”
2. Search for the company name. If you find the company name, go to number four. 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. Enter the certificate information and click “Save.”



If the applicant uses PCIT and funds their account, then charge the admin fee for the PPQ Form 578 as if the certificate was PCIT generated. If the applicant does **not** fund their account or use PCIT, charge for a certificate issued outside of PCIT.



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

Remitting with PCIT

Step 3: Remit the Administrative Fee

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.



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.



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



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](#) below.

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.



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: 175-8000-141/0250

- ◆ 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.



- ◆ 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 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**:

5. Process the submitted application.
6. On the certificate adjustment screen, click "Enter State/County Fees."
7. Fill in the appropriate fields and click "Save."
8. Complete the certificate printing process.

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

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 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**:

5. Create an application for Company I.
6. Update applicant to Company I on the General Screen.
7. Submit the application to the duty station.

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

8. Process the submitted application.
9. On the certificate adjustment screen, click “Enter State/County Fees.”
10. Fill in the appropriate fields and click “Save.”
11. Complete the certificate printing process.

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

Collecting User Fees for PPQ Form 578 in PCIT

As foreign regulations become more complex, the number of PPQ Form 578s issued continues to decline. The number of PPQ Form 578s issued does not justify its inclusion in PCIT. For any eligible commodity, ACOs should continue completing paper PPQ Form 578s. If an applicant uses PCIT and has sufficient funds in their account, PCIT has the capacity to collect the appropriate administrative fee for the PPQ Form 578. See below for instructions on collecting user fees for PPQ Form 578 in PCIT:

1. Select “Financial Management.”
2. Search for the company name. If you find the company name, go to number four. 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. Enter the certificate information and click “Save.”



If the applicant uses PCIT and funds their account, then charge the admin fee for the PPQ Form 578 as if the certificate was PCIT generated. If the applicant does **not** fund their account or use PCIT, charge for a certificate issued outside of PCIT.



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

Remitting with PCIT

Step 2: Remit All Fees Collected to USDA

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.



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.



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



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 3-7-24**) 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 3-7-26**) provides all the necessary information for remitting checks to the USDA.



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 3-7-26](#) for documenting the receipt and transmittal of USDA administrative fees. Refer to [Checks Collected Worksheet Instructions](#) on [page 3-7-27](#) 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.



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



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.

General Procedures: User Fees

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

Certificates Issued Worksheet

01. _____
(LOCAL ECS)

02. From: _____
(STATE OR COUNTY)

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

SENT BY (SIGNATURE)

PRINTED NAME

TITLE

___ of ___

FIGURE 3-7-1: Certificates Issued Worksheet

Certificates Issued Worksheet Instructions

Block 1 - Fill in the first and last name of your local Export Certification Specialist (ECS)

Block 2 - Fill in the address of the State or County duty station location

Block 3 - Input the date the export certificate was issued

Block 4 - Input 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 - Input the export certificate number

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

Checks Collected Worksheet Instructions

The worksheet contains all the information needed by PPQ to track and account for certificates issued and fees collected.



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.



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 refund any fee.

Use the Refund Request Worksheet shown in **Figure 3-7-3** on **page 3-7-29** 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.

Send the worksheet to Michael Perry by FAX (301-734-7639) or E-mail (Michael.J.Perry@aphis.usda.gov) requesting the refund.



Submit by E-mail

Refund Request Worksheet

Attention: Michael Perry, Email: michael.j.perry@aphis.usda.gov and cc PCIThelpdesk@hp.com
Phone: 301-734-8262

Accounting code: 75-8000-141/0250

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

(Complete only the appropriate payment type below)

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: 75-8000-141/0250

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.

Print Refund Request Worksheet

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.



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 2-1-14**.

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.

4

Export Program
Manual

Special Procedures

Commodity • Lumber

Contents

Introduction [page 4-1-1](#)
Inspection of Containerized Lumber [page 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

4

Export Program
Manual

Special Procedures

Commodity • Cotton

Contents

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

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.

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 cotton¹ 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-4-2-5**) to ascertain that the bales are free from living insects, cottonseed, soil, plant material, or other contaminants. To verify through random sampling that the bales are 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:
1-13	Inspect all units
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

4

Export Program
Manual

Special Procedures

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

Contents

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



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 G](#) for examples of FGIS Forms 921-2.

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

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

- ◆ The 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



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](#) on [page 4-3-4](#).

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

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



Important

“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.”



Important

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 921-2 Inspection Report–Insects in Grain should be reviewed for the presence of quarantine insects or to determine if the shipment is deemed “infested” under FGIS criteria. Should either situation occur, the shipment must be fumigated according to official procedures before it can be certified.

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

FGIS Treatments

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



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

Determining Eligibility For Certification

ACOs can determine their phytosanitary actions by using [Table 4-3-2](#) on [page 4-3-5](#) for all grain inspected by FGIS.

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

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

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

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

Completion of PPQ Forms 577 or 579 for Grain Products

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

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.



Important

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") <ul style="list-style-type: none"> ◆ (bran) ◆ (brewers dried grains) ◆ (cakes) ◆ (cubes) ◆ (distillers dried grains) ◆ (dried) ◆ (ground) ◆ (feed) ◆ (flakes) ◆ (flour) ◆ (gluten feed) ◆ (gluten meal) ◆ (gluten pellets) ◆ (grits) ◆ (groats) ◆ (malted grain) ◆ (meal) ◆ (middling) ◆ (middling pellets) ◆ (pellets) ◆ (rolled)
10. BOTANICAL NAME OF PLANTS	Enter only the botanical name of the commodities eligible for FGIS inspection: <p><i>Avena sativa, Avena byzantina, Brassica napus, Glycine max, Helianthus annuus, Hordeum vulgare, Lens culinaris, Linum usitatissimum, Oryza sativa, Phaseolus spp.¹ Pisum sativum, Secale cereale, Sorghum bicolor, Triticosecale spp., Triticum aestivum, Triticum compactum, Triticum durum, Vigna radiata, and Zea mays</i></p>

¹ Beans include any commodity designated as "bean" by FGIS on an FGIS Form 921-2.

Other FGIS Documents

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



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

If EXCERPT states that an FGIS certificate is required, use **Table 4-3-5** on **page 4-3-8** to determine if the FGIS certificate presented is acceptable. Examples of some acceptable FGIS certificates are in **Table A-1-1** on **page A-1-2**.

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

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



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

06-8100-1064-MU

Memorandum of Understanding (MOU)

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

Article I - Purpose

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

Article II - Background

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

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

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

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

Article III - Authorities

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

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

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

Article IV - Mutual Responsibilities & Understanding

It is mutually understood and agreed to/that:

- A.** APHIS/PPQ and GIPSA will maintain a working relationship with each other ensuring mutual cooperation and understanding in executing this MOU.
- B.** GIPSA will charge a fee to the applicant for services related to phytosanitary inspection as warranted.

Article V - Aphis Responsibilities

- A.** APHIS/PPQ will specify the specific grains GIPSA and their official service providers can inspect for phytosanitary purposes.
- B.** PPQ will:
 - 1.** Provide technical pest identification training for at least two supervisors from each GIPSA location responsible for activities under this MOU.
 - 2.** Periodically monitor the accuracy of pest identification performed by GIPSA and official service providers; and,
 - 3.** Identify all live insects, larvae, and other pests which cannot be identified by GIPSA.
 - 4.** Provide vials, envelopes, etc., required for the submission of specimens.
- C.** PPQ will be the primary contact point for applicants requesting phytosanitary certification and will provide all necessary information to enable applicants to obtain phytosanitary certification.
- D.** PPQ will not, except under special circumstances (e.g., analysis for plant pathogens, etc.):
 - 1.** Inspect grain at elevators or on waterborne carriers; or
 - 2.** Request official subplot or composite samples of grain.

- E.** PPQ may ask GIPSA to furnish official samples, copies of inspection logs, official grain inspection certificates, or other inspection information (Inspection Report - Insects in Grain, Form FGIS 921-2) for review and will:
- 1.** Issue a Federal Phytosanitary Certificate; or
 - 2.** Inform GIPSA and the 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

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

Applicants requesting phytosanitary inspection services should check the "other closely related services" block on Form GIPSA 907, "Application for Inspection and Weighing Services" and write "phytosanitary." 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

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

Article VIII - Statement of No Financial Obligation

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

Article IX - Limitations of Commitment

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

Article X - Congressional Restriction

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

Article XI - Amendments

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

Article XII - Termination

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

Article XIII - Effective Date and Duration

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

4

Export Program
Manual

Special Procedures

Commodity • Seed

Contents

Sampling Seed	page 4-4-1
Equipment Needed to Sample Seed	page 4-4-1
Steps to Sample Seed	page 4-4-2
Certifying Canadian Produced Seed	page 4-4-6
Option 1	page 4-4-6
Option 2	page 4-4-7
Safety Precautions for Sampling and Inspecting Seed Shipments	page 4-4-7

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** below as a guide.

TABLE 4-4-1: Amount of Seed to Collect from Each Lot¹

If the seed is in:	And the seed is classified as:	Then:
Bags or bulk	Agricultural (Refer to 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 agricultural seed in 7 CFR 361.1)	1. COLLECT 1 pint of seed ² 2. CONTINUE to Step 2
	Other (not listed in list of agricultural seed in 7 CFR 361.1)	
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.



Important

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

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

TABLE 4-4-2: 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 below
Bulk	Compute subsample using 2.B and Table 4-4-3 below

2.A (seed in bags or other non hermetically sealed packages):

If the seed is packaged in bags, use **Table 4-4-3** below to compute how many subsamples to draw. If the number of subsamples you draw **does not** provide enough seed for an adequate sample, draw the additional seed you need.

TABLE 4-4-3: 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 : **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.

- i. Determine the weight of the lot.
- ii. Divide the weight of the lot by 100.
- iii. Take the result obtained by your division (consider this figure as the “equivalent number of bags”) and go back to the previous Substep (**2.A**) to determine how many subsamples to draw. Refer to the example below.

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

Treat the shipment as a single lot:

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

iv. Go to : **Draw the subsample.** below.

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.



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-pelleted portion of the same lot of seed and issue an export certificate based on those results). This would **not** include seed that is merely dusted or coated with ingredients such as rhizobia, dyes, or pesticides. *You can inspect treated seeds because the seeds are visible through the chemical substance.*
3. 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 : **Inspect the sample.** below.

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** below to determine the correct action to take. If the foreign country has specific seed testing requirements, go to : **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.



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 2-1-9](#) for further information.

Certifying Canadian Produced Seed

To facilitate the reexportation of Canadian origin seed, the following options are available:

Option 1

Option 1 will provide the greatest assurance that a commodity meets an importing country's requirements. Therefore, applicants **must** provide the required documentation to allow certification under this option.

1. Use PPQ Form 577 to certify the seed. List Canada as the country of origin.
2. Issue PPQ Form 577 **only** if the applicant provides you with the importing country's phytosanitary requirements for Canadian produced seed. The requirements **must** be in the form of official communication from either the National Plant Protection Organization (NPPO) of the importing country or Canada.
3. You may use the official communication presented by the applicant for certification purposes for 6 months from the date of the document, unless the document states otherwise. Remind applicants to obtain confirmation of a country's import requirements each time they export because import requirements can change at any time.
4. If the importing country requires one of the following phytosanitary actions, you may certify the seed once the requirement(s) has been met.
 - A. Laboratory analysis or testing: **must** be conducted by a United States authorized laboratory.
 - B. Treatment: **must** meet policy and procedures as stated in this manual.

The phytosanitary action **must** be conducted in the United States. **Do not** list phytosanitary actions taken in Canada on PPQ Form 577. **Do not** use phytosanitary actions taken in Canada as the basis for issuing PPQ Form 577.

5. If the country requires phytosanitary actions/measures, **other than** those listed under point 4, **do not** certify the consignment.
6. You **must** inspect the consignment.

7. If an applicant presents import requirements and you determine that the requirements cannot be met, **do not** certify the consignment under either Option 1 or Option 2.

Option 2

Use Option 2 if the applicant cannot obtain the import requirements of the importing country. Caution the applicant that the consignment may **not** meet the phytosanitary requirements of the importing country, may be rejected, and that ES may **not** be able to assist them if a shipment is held or rejected.

1. Use PPQ Form 579 to certify the seed. List Canada as the country of origin.
2. You **must** inspect the consignment.
3. **Do not** include any additional declarations other than “The shipment met the entry requirements of the United States.”

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*)¹
- ◆ Laboratory testing for *Claviceps africana* which **must** include a structural examination at 10x or greater magnification¹

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



Always follow [Safety Precautions for Sampling and Inspecting](#) on page 4-4-7.

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).

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.

4

Export Program
Manual

Special Procedures

Commodity • Seed Potatoes

Contents

Introduction	page 4-5-2
State National Harmonization Program MOU Template	page 4-5-3
Article 1 - Purpose	page 4-5-3
Article 2 - Authority	page 4-5-3
Article 3 - Definitions	page 4-5-3
Article 4 - Uniform Requirements for Seed Certification	page 4-5-4
Article 5 - Cooperator Responsibilities	page 4-5-4
Article 6 - APHIS Responsibilities	page 4-5-5
Article 7 - Statement of No Financial Obligation	page 4-5-5
Article 8 - Security Guidelines	page 4-5-5
Article 9 - Limitation of Commitment	page 4-5-6
Article 10 - Congressional Restriction	page 4-5-6
Article 11 - Review and Amendment	page 4-5-6
Article 12- Termination	page 4-5-6
Article 13 - Effective Date And Duration	page 4-5-6
Article 14 - Temporary Derogation	page 4-5-6
Annex 1: Federal Pest Management Plans	page 4-5-7
Annex 2: Maximum Tolerances, Final Field Test	page 4-5-7
Export Standards for Seed Potatoes	page 4-5-7
Certification Basis	page 4-5-7
Limited Generation System	page 4-5-7
Planting Maintenance	page 4-5-7
Storage Facilities	page 4-5-8
Containers	page 4-5-8
State Authority	page 4-5-8
Responsibilities	page 4-5-8
Official State Seed Potato Certification Agency	page 4-5-8
Participating Growers	page 4-5-9
Requirements for Classes of Certified Seed Potatoes	page 4-5-9
Pre-Nuclear Stock Seed Potatoes	page 4-5-9
Nuclear Stock Seed Potatoes	page 4-5-9
Generation 1—U.S. Export Seed Potatoes	page 4-5-10
Generation 2—U.S. Export Seed Potatoes	page 4-5-10
Generation 3—U.S. Export Seed Potatoes	page 4-5-10
Generation 4—U.S. Export Seed Potatoes	page 4-5-10
Generation 5—U.S. Export Seed Potatoes	page 4-5-11
Refusal, Cancellation, and Rejection	page 4-5-11
Grade and Identification	page 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 [Figure 4-5-1](#) below.

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0	0
Blackleg	0.10	0
Wilts	0.10	0
Total, All Viruses	0.25	0.10
Varietal Mixture	0.10	0

FIGURE 4-5-1: Tolerances for Generation 2—U.S. Export Seed Potatoes

Generation 3—U.S. Export Seed Potatoes

Generation 3 plant material that has met the requirements for Generation 2 or earlier generations will be eligible for certification as Generation 3—U.S. export seed potatoes.

Each planting **must** be visually inspected at least twice and found to be in compliance with the tolerances specified in [Figure 4-5-2](#) below.

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0	0
Blackleg	0.25	0.10
Wilts	0.20	0.10
Total, All Viruses	0.25	0.10
Varietal Mixture	0.25	0.10

FIGURE 4-5-2: Tolerances for Generation 3—U.S. Export Seed Potatoes

Generation 4—U.S. Export Seed Potatoes

Generation 4 plant material that has met the requirements for Generation 3 or earlier generations will be eligible for certification as Generation 4—U.S. export seed potatoes.

Each planting **must** be visually inspected at least twice and found to be in compliance with the tolerances specified in [Figure 4-5-3](#) below.

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0	0
Blackleg	0.50	0.25
Wilts	0.50	0.25
Total, All Viruses	0.50	0.25
Varietal Mixture	0.50	0.25

FIGURE 4-5-3: Tolerances for Generation 4—U.S. Export Seed Potatoes

Generation 5—U.S. Export Seed Potatoes

Generation 5 plant material that has met the requirements for Generation 4 or earlier generations will be eligible for certification as Generation 5—U.S. export seed potatoes.

Each planting **must** be visually inspected at least twice and found to be in compliance with the tolerances specified in **Figure 4-5-4** below.

Factor	First Field Inspection	Second Field Inspection
Bacterial Ring Rot	0	0
Blackleg	1.00	0.50
Wilts	1.00	0.50
Total, All Viruses	1.00	0.50
Varietal Mixture	0.75	0.50

FIGURE 4-5-4: Tolerances for Generation 5—U.S. Export Seed Potatoes

Refusal, Cancellation, and Rejection

Failure to comply with any provision of the U.S. export standards will constitute cause for refusal of certification services, cancellation of any approvals already granted, or rejection of seed potatoes entered for certification as a class of U.S. export seed potatoes.

In addition, the following incidents are specific causes for refusal, cancellation, or rejection.

1. Any field, storage, or other condition an official State seed potato certification agency determines may be detrimental to the U.S. potato industry or to the U.S. seed potato export market, or may hinder or prevent accurate determination of whether the disease, varietal purity, grade, or other requirements of the U.S. export standards have been met.

2. Any seed potatoes entered for certification verified to be infested or infected with a serious pest that is exotic or has a limited distribution in the United States, i.e., PSTVd. Note that gangrene, *Phoma exigua* pv. *foveata*, and wart, *Synchytrium endobioticum*, **do not** occur in the U.S.
3. Any seed potatoes determined to be infested with root-knot nematode, *Meloidogyne* spp.; potato rot nematode, *Ditylenchus destructor*; cyst nematode, *Globodera* spp.; or brown rot, *Ralstonia solanacearum*. U.S. quarantine restrictions **do not** permit the growing of seed potatoes in any golden (cyst) nematode-infested area.
4. The basis for and scope of a refusal, cancellation, or rejection and reinstatement following such actions will be determined by the official State potato certification agency in the State where the U.S. export seed potatoes are produced.

Grade and Identification

U.S. export seed potatoes **must** be:

- ◆ Graded to meet U.S. No. 1 Seed Potato Grade¹
- ◆ Identified by a blue-colored tag
- ◆ Identified by official State certification tags or other official indicia affixed to each container that are approved by the SCTC

1 [United States Standards for Grades of Seed Potatoes](http://www.ams.usda.gov/standards/potatoes.pdf), effective March 27, 1991, reprinted January 1997 are available at the AMS Web site address: <<http://www.ams.usda.gov/standards/potatoes.pdf>>.

5

Export Program
Manual

Special Procedures

Special Programs • Federal-State Cooperative Export Program

Contents

Introduction	page 5-1-1
How States Enter the Federal-State Cooperative Program	page 5-1-2
Basic Requirements and Procedures for Nominating Federal or State Candidates	page 5-1-2
Reaccreditation of ACOs	page 5-1-4
Export Certificate Review Process	page 5-1-4
Inactivation and Reactivation of ACOs	page 5-1-7
Suspension and Reaccreditation of Suspended ACOs	page 5-1-8
Retesting for Initial or Reaccreditation Training	page 5-1-8
Maintenance of the Federal-State Cooperative Export Program	page 5-1-9
Memorandum of Understanding (MOU) for the Program	page 5-1-9
List of Active MOUs for Federal-State Cooperative Programs	page 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.



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 experience¹ 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 sciences² 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.



Important

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 **Step 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 [Table A-1-1](#) on [page-A-1-1](#).
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](#) below 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	07-8301-0058-MU	02/26/2012
Alaska	10-8560-1402-MU	07/20/2015
Arizona	07-8540-0532-MU	11/02/2011
Arkansas	07-8440-1035-MU	10/29/2011
California	07-8520-1116-MU	08/23/2012
Colorado	07-8564-0397-MU	12/07/2011
Connecticut	07-8210-0175-MU	02/14/2012
Delaware	07-8210-0179-MU	02/01/2012
Florida	07-8312-0037-MU	02/22/2012
Georgia	07-8313-0038-MU	02/26/2012
Hawaii	10-8510-1326-MU	03/28/2015
Idaho	07-8568-0529-MU	12/19/2011
Illinois	07-8217-0197-MU	03/11/2012
Indiana	07-8218-0176-MU	05/16/2012
Iowa	10-8450-0891-MU	06/24/2015
Kansas	10-8453-1318-MU	03/28/2015
Kentucky	07-8321-0044-MU	02/12/2012
Louisiana	08-8434-0171-MU	05/31/2013
Maine	07-8223-0043-MU	05/22/2012
Maryland	07-8224-0156-MU	06/01/2012
Massachusetts	07-8225-0173-MU	02/22/2012
Michigan	07-8231-0172-MU	03/26/2012
Minnesota	07-8235-0191-MU	03/11/2012
Mississippi	07-8328-0039-MU	01/25/2012
Missouri	08-8447-0031-MU	07/31/2013
Montana	08-8572-0628-MU	02/20/2013
Nebraska	10-8456-1403-MU	07/27/2015
Nevada	10-8576-1292-MU	08/15/2015
New Hampshire	07-8233-0171-MU	03/15/2012
New Jersey	07-8234-0177-MU	02/26/2012
New Mexico	08-8580-0402-MU	01/24/2013
New York	07-8236-0180-MU	03/15/2012
North Carolina	07-8337-0125-MU	02/22/2012
North Dakota	07-8462-1042-MU	01/25/2012

TABLE 5-1-1: List of Active Federal-State MOUs (continued)

Cooperating State	MOU Number	Date Expires
Northern Mariana Islands	06-8510-1028-MU	09/19/2011
Ohio	07-8230-0170-MU	08/14/2012
Oklahoma	07-8444-0536-MU	11/19/2011
Oregon	08-8584-0530-MU	09/09/2013
Pennsylvania	07-8242-0174-MU	03/07/2012
Rhode Island	07-8244-0181-MU	02/14/2012
South Carolina	07-8345-0041-MU	02/27/2012
South Dakota	09-8459-0097-MU	11/13/2013
Tennessee	07-8347-0042-MU	02/01/2012
Texas	11-8412-1420-MU	10/17/2015
Utah	10-8588-1407-MU	08/12/2015
Vermont	07-8250-0185-MU	03/15/2012
Virginia	07-8251-0178-MU	02/06/2012
Washington	09-8550-0097-MU	12/05/2013
West Virginia	07-8254-0055-MU	03/08/2012
Wisconsin	06-8234-0187-MU	03/11/2012
Wyoming	07-8592-0399-MU	01/18/2012

5

Export Program
Manual

Special Procedures

Special Programs • Mill Certification Program

Contents

Introduction	page 5-2-1
Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union	page 5-2-2
Heat Treatment Declaration	page 5-2-5
Lumber Grading Agencies	page 5-2-5
Heat Treatment Certification Using a Kiln Facility	page 5-2-7
Mill Certification Program Responsibilities	page 5-2-9
Kiln-Dried Coniferous Sawn Wood Going to Non European Union Member States	page 5-2-10
Lumber Grading Agencies	page 5-2-12
Mill Certificate of Kiln Drying	page 5-2-13
Mill Certification Program Responsibilities	page 5-2-15
Debarking and Grub Hole Control of Coniferous Sawn Wood	page 5-2-17
Lumber Grading Agencies	page 5-2-20
Certificate of Debarking and Grub Hole Control	page 5-2-20
Mill Certification Program Responsibilities	page 5-2-22
Kiln-Dried Sawn Hardwood Lumber	page 5-2-23
Biannual Audit Checklist for Certification Programs	page 5-2-30

Introduction

These special procedures provide information about the Memorandums of Understanding (MOUs) PPQ has initiated with numerous lumber grading agencies, who provide the oversight of Mill Certification Programs. The purpose of the MOUs is to facilitate exports of coniferous sawn wood and to address the export concerns of the importing country.

Coniferous sawn wood is an important export from the U.S., which is highly regulated because of various pests, including the pine wood nematode, *Bursaphelenchus xylophilus*. Therefore, the MOUs establish how the wood products will be inspected and treated at the mill and the documentation that the mill will supply to PPQ for export certification of coniferous sawn wood.

Two of the MOUs eliminate the need to issue a PPQ Form 577 for coniferous sawn wood and allow participating lumber mills to issue their own certification for kiln dried coniferous lumber going to Member States of the European Union. The two MOUs are for the following situations:

- ◆ Coniferous sawn wood using heat treatment certification
- ◆ Debarking and grub hole control of coniferous sawn wood

Mill Certification Programs for coniferous sawn wood utilize the MOUs listed below and further detail:

- ◆ ***Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union***
- ◆ ***Kiln-Dried Coniferous Sawn Wood Going to Non European Union Member States***
- ◆ ***Debarking and Grub Hole Control of Coniferous Sawn Wood***
- ◆ ***Biannual Audit Checklist for Certification Programs***

Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union

The Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union is the most widespread of the Mill Certification Programs. This program provides an industry certification system that is officially approved to meet the phytosanitary import requirements of the European Union for coniferous wood from the U.S.

See **Figure 5-2-1** on **page-5-2-3** and **Figure 5-2-2** on **page-5-2-4** for an example of an MOU for a Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union.

Export shipments of wood from lumber mills that are **not** participating in a Mill Certification Program may be certified to Member States of the European Union with PPQ Form 577, if the mill meets the criteria specified in the export summary for the European Union.



Advise 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, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

- a. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspectional personnel shall remain administratively responsible to the Association.
- b. The basic control requirement for coniferous sawn wood under this system is heat treating/kiln drying to the extent that all parts of the wood, including the core, have reached a temperature of at least 133 degrees F (56 degrees C) for 30 minutes.

ARTICLE 4

The Association agrees to/that:

- a. Heat treated/kiln dried coniferous sawn wood shipments shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as 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 5-2-1: Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States (front)

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.

ARTICLE 7

Pursuant to Section 22, Title 41, United States Code, no member or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise there from.

ARTICLE 8

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either party upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ Date _____

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

[Signature] _____ Date _____
Regional Director

FIGURE 5-2-2: Example of MOU for Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States (back)

Heat Treatment Declaration

These special procedures cover the export certification of wood and wood products requiring a heat treatment declaration.

ACOs may record an unmonitored heat treatment on an export certificate when the following conditions apply:

The material presented can be verified as the material represented on the certificate (lot numbers, board feet, etc.).

AND

The material is from a mill approved by the USDA and meets the facility specifications of the Center for Plant Health Science and Technology (CPHST) as noted in T404-e-2;

OR

The material is from a treatment facility certified under the “Certifying Facilities” guidelines in the *Treatment Manual* (section 6-6) and the certification was performed by an APHIS inspector (PPQ, ACO, ALSC).

Lumber Grading Agencies

Official control of Mill Certification Programs is maintained through MOUs established between PPQ and lumber grading agencies. The participating lumber grading agencies formulate, publish, and maintain grading rules, and provide inspection facilities for softwood under the provisions of the American Softwood Lumber Standard.

See **Figure 5-2-3** on **page-5-2-6** for a list of the lumber grading agencies participating in Mill Certification Programs for heat treatment of coniferous sawn wood going to Member States of the European Union.

Special Procedures: Special Programs • Mill Certification Program

Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Going to Member States of the European Union

PPQ Region	Participating Lumber Grading Agency	Lumber Grading Agency Contact
Eastern	Northeastern Lumber Manufacturer's Association, Inc. 272 Tuttle Road, 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

FIGURE 5-2-3: Lumber Grading Agencies Participating in Mill Certification Programs for Heat Treatment of Coniferous Sawn Wood Going to European Union Member States

Heat Treatment Certification Using a Kiln Facility

Lumber exported under a Mill Certification Program for heat treatment of coniferous sawn wood going to Member States of the European Union **must** be accompanied by a mill certificate, “Heat Treatment Certification Using a Kiln Facility.” The mill certificate attests that the wood has been properly heat treated.

Only sawn wood that has been kiln dried according to the provisions of the American Softwood Lumber Standard may be exported under this Mill Certification Program.

(See **Figure 5-2-4** on **page-5-2-8** for an example of Heat Treatment Certification Using a Kiln Facility.)


 <p>TIMBER PRODUCTS INSPECTION</p>	<h2 style="margin: 0;">HEAT TREATMENT CERTIFICATION USING A KILN FACILITY</h2>	<p>CERTIFICATE NUMBER</p>	
<p>NAME AND ADDRESS OF SUPPLYING MILL (or as indicated in DESCRIPTION OF CONSIGNMENT)</p>		<p>NAME AND ADDRESS OF CONSIGNEE</p>	
<p>The lumber described below is certified to have undergone an appropriate heat treatment to achieve a minimum wood core temperature of 56 degrees C for 30 minutes.</p>			
<p>DESCRIPTION OF CONSIGNMENT</p>		<p>VOLUME</p>	
<p>INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT.</p>			
<p>This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No financial liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.</p>			
<p>AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION</p>			
<p>NAME (Print)</p>	<p>SIGNATURE</p>	<p>TITLE</p>	<p>DATE</p>
<p>AGENCY VALIDATION</p>			
<p>SIGNATURE</p>		<p>TITLE</p>	<p>DATE</p>

FIGURE 5-2-4: Example of Heat Treatment Certification Using a Kiln Facility

Mill Certification Program Responsibilities

When an MOU establishes a Mill Certification for heat treatment of coniferous sawn wood going to Member States of the European Union, the lumber grading agencies, the participating lumber mills, and the PPQ regional offices each have stipulated responsibilities. These program responsibilities are listed below for the following:

- ◆ **Lumber Grading Agencies**
- ◆ **Lumber Mills**
- ◆ **PPQ Regional Offices**

Lumber Grading Agencies

The responsibilities of lumber grading agencies, as stipulated in the MOUs, are as follows:

- ◆ Perform a monthly check of Mill Certification Program's quality control
- ◆ Maintain copies of issued certificates
- ◆ Maintain a list of designated personnel at each participating lumber mill who are approved to issue mill certificates
- ◆ Maintain signed agreements with participating lumber mills
- ◆ Provide training to participating lumber mills' inspectors
- ◆ Validate mill certificates

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 5-2-7**)
- ◆ Send issued mill certificates to the lumber grading agency for final review and validation
- ◆ Treat all shipments of coniferous sawn wood moving under a Mill Certification Program according to the American Softwood Lumber Standard for heat-treated or kiln-dried wood

PPQ Regional Offices

The responsibilities of the designated PPQ regional offices are as follows:

- ◆ Conduct biannual audits of each lumber grading agency for which an MOU is signed and of its participating lumber mills (see also **Biannual Audit Checklist for Certification Programs** on **page 5-2-30**)
 - ❖ Meet with each lumber grade agency and participating lumber mills to review documentation
 - ❖ Confirm at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certification Program are meeting its conditions
 - ❖ Collect and submit to Export Services (ES) the results of the biannual audit by October 1 of each year (see **Figure 5-2-19** on **page-5-2-30** for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)
- ◆ Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- ◆ Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- ◆ Randomly inspect for conformance to the Mill Certification Program participating lumber mills and shipments of wood at points of export
- ◆ Randomly review the files and records of participating lumber grading agencies

Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Kiln-Dried Coniferous Sawn Wood Going to Non European Union Member States

MOUs and Mill Certification Programs established for kiln-dried coniferous sawn wood going to non European Union Member States are similar to those previously mentioned (for coniferous sawn wood going to Member States of the European Union), yet are different in that they cover **only** kiln-dried coniferous sawn wood.

Wood that has been heat treated or merely debarked is **not** authorized under these MOUs.

See **Figure 5-2-5** on **page-5-2-11** for an example of an MOU for kiln-dried coniferous sawn wood.

12-34-8x-xxx-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)

ARTICLE 1

The Memorandum facilitates the implementation of an officially approved industry certification system to provide an alternative basis for the Federal phytosanitary certification of kiln dried coniferous sawn wood. This program does not apply to European Union (EU) member states.

ARTICLE 2

Authority exists under the Plant Protection Act of Section 431 (a), Public Law 106-224, for the Secretary of Agriculture to cooperate with the States of political subdivisions thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

- a. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspectional personnel shall remain administratively responsible to the Association.
- b. The basic control requirement for coniferous sawn wood under this system is kiln drying to the extent that all parts of the wood have reached a temperature of at least 160 degrees F (71 degrees C) and the moisture content of the wood has been reduced to less than 20 percent by weight.

ARTICLE 4

The Association agrees to/that:

- a. Kiln dried coniferous sawn wood shipments shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as confirming to the certification statement imprinted on the **Mill Certificate of Kiln Drying**. A sample of this certificate is annexed to this document.
- b. Shipments of coniferous sawn wood moving into export channels that have been kiln dried according to the requirements of this system shall have bundles of coniferous wood in the shipment marked "KD" or "Kiln Dried" at the preparing mill.
- c. Maintain signed agreements with participating mills, a register of participating mills, including names and representatives approved to issue **Mill Certificates of Kiln Drying**, and copies of all certificates issued.
- d. Provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.
- e. Make files and records available for review by APHIS in carrying out its responsibilities outlined in Article 5. Records will be retained for 3 years after the close of the Federal fiscal year.

ARTICLE 5

APHIS agrees to monitor the certification system for conformance by conducting random biannual inspections (minimally) at participating companies and at points of export and by reviews Lumber Grading Agency files and records.

FIGURE 5-2-5: Example of MOU for Kiln Dried Coniferous Sawn Wood (front)

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.

ARTICLE 7

Pursuant to Section 22, Title 41, United States Code, no member or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise there from.

ARTICLE 8

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either party upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ Date _____

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

[Signature] _____ Date _____
Regional Director

FIGURE 5-2-6: Example of MOU for Kiln Dried Coniferous Sawn Wood (back)

Lumber Grading Agencies

PPQ established MOUs with lumber grading agencies to facilitate the export certification of kiln dried coniferous sawn wood going to **non** European Union Member States. See **Figure 5-2-7** on **page 5-2-13** for a list of participating lumber grading agencies.

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
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	Jim Matthews Assistant Director of Quality Standards Phone: 503-224-3930 FAX: 503-224-3934

FIGURE 5-2-7: Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying of Coniferous Sawn Wood

Mill Certificate of Kiln Drying

All shipments of kiln-dried coniferous sawn wood certified under these MOUs **must** have mill certificates validated by a participating lumber grading agency. The mill certificates **must** be presented to PPQ for conversion to PPQ Form 577 (see **Figure 5-2-8** on **page-5-2-14** for an example of a Mill Certificate of Kiln Drying).

MILL CERTIFICATE OF KILN DRYING		CERTIFICATE NUMBER	
NAME AND ADDRESS OF SUPPLYING MILL		NAME AND ADDRESS OF CONSIGNEE	
The lumber described below is certified to have been kiln dried to the extent that all parts of the wood have reached a temperature of at least 160 degrees F. (71 degrees C.) and the moisture content is less than 20 percent.			
DESCRIPTION OF CONSIGNMENT		VOLUME	
INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT (<i>Lot number and volume are required</i>).			
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 5-2-8: Example of Mill Certificate of Kiln Drying

Mill Certification Program Responsibilities

When an MOU is entered into establishing a Mill Certification Program for kiln drying of coniferous sawn wood moving to non-European Member States, the lumber grading agencies, the lumber mills, and PPQ each have stipulated responsibilities. These program responsibilities are listed below for the following:

- ◆ *Lumber Grading Agencies*
- ◆ *Lumber Mills*
- ◆ *PPQ 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 5-2-30](#))
 - ❖ Meet with each lumber grading agency and participating lumber mills to review documentation
 - ❖ Confirm at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certificate Program are meeting its conditions
 - ❖ Collect and submit to ES the results of the biannual audit by October 1 of each year (see [Figure 5-2-19](#) on [page-5-2-30](#) for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)
- ◆ Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- ◆ Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- ◆ Randomly inspect for conformance to the Mill Certification Program participating lumber mills and shipments of wood at points of export
- ◆ Randomly review the files and records of participating lumber grading agencies

Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Debarking and Grub Hole Control of Coniferous Sawn Wood

The Mill Certification Program for debarking and grub control of coniferous sawn wood allows for certifying air-dried coniferous sawn wood or kiln-dried sawn wood of *Thuja* spp. going to Member States of the European Union. (See [Figure 5-2-9](#) on [page-5-2-18](#) and [Figure 5-2-10](#) on [page-5-2-19](#) for an example of an MOU for debarking and grub control of coniferous sawn wood.)

**XX-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
[ASSOCIATION]
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)**

Relative to

**Preparation and Certification of Coniferous Sawm Wood of Thuja spp. Intended for Export
to the European Member States**

ARTICLE 1

The object of this Memorandum is to facilitate the implementation of an officially approved industry certification system to satisfy provisions of the national legislation of Member States of the European Union (EU) derived from Plant Health Directive 77/93/EEC, as amended, with respect to freedom from bark and grub holes on coniferous sawm wood originating in the United States. This program is applicable to Member States of the EU and to coniferous lumber pertaining to Thuja spp. only.

ARTICLE 2

This Memorandum is entered into by the Service by virtue of authority included in the Plant Protection Act of, Section 431 (a), Public Law 106-224, to cooperate with the States of political subdivision thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.

ARTICLE 3

The cooperating parties agree that:

- a. The overall direction and control of this cooperative program is to be maintained by the Service. Inspectional personnel shall remain administratively responsible to the Association.
- b. The basic control requirement for coniferous sawm wood (Thuja spp. only), including spacers or other attached dunnage, is freedom from bark and grub holes larger than 3mm across associated with shipments, but the following conditions, if existing, shall not disqualify a shipment from certification:
 1. Waney edges from which external bark has otherwise been totally removed
 2. Ingrown bark, in particular, around knots
 3. Bark/pitch pockets, as described in the National Grading Rules
 4. Holes caused by Teredo worms (marine mollusks)
 - 5.

ARTICLE 4

The Association agrees:

- a. That unseasoned or air-dried coniferous sawm wood shipments, if not otherwise covered by a phytosanitary certificate, shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c, below, shall be certified as meeting the wood control requirements of the importing country. A sample of a **Mill Certificate of Debarking and Grub Hole Control** is annexed into this document.
- b. To maintain signed agreements with participating mills, and a registry of participating mills including names of representatives approved to issue certificates of debarking and grub hole control and copies of all certificates issued.

FIGURE 5-2-9: Example of MOU for Debarking and Grub Control of Coniferous Sawm Wood (front)

c. To provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.

ARTICLE 5

The Service agrees:

a. To conduct an orientation program for designated mill inspectors on the plant health requirements of receiving countries pertaining to coniferous wood.

b. To monitor the certification system for conformance via random biannual inspection at participating mills, points of export, and reviews of Association files and records.

ARTICLE 6

This Memorandum is to define in general terms, the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation to serve as a basis for expenditures. No transfer of Federal funds shall be involved under this Memorandum.

ARTICLE 7

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of the parties or by either party upon 30 days written notice to the other party.

ASSOCIATION
[LUMBER GRADING AGENCY NAME]
[NAME AND TITLE OF AGENCY REPRESENTATIVE]

[Signature] _____ Date _____

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

[Signature] _____ Date _____
Regional Director

FIGURE 5-2-10: Example of MOU for Debarking and Grub Control of Coniferous Sawn Wood (back)

Lumber Grading Agencies

See **Figure 5-2-11** for a list of lumber grading agencies participating in the Mill Certification Program for debarking and grub control of coniferous sawn wood. These lumber grading agencies may certify air-dried coniferous sawn wood or kiln-dried sawn wood of *Thuja* spp.

Lumber Grading Agency	Lumber Grading Agency Contact
California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, #200 Novato, 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: 206-747-6542 FAX: 206-746-5522
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

FIGURE 5-2-11: List of Lumber Grading Agencies Participating in Mill Certification Programs for Kiln Drying, Debarking, and Grub Hole Control

Certificate of Debarking and Grub Hole Control

This Mill Certification Program allows for the certification of debarking and grub hole control for coniferous sawn wood of **only** *Thuja* spp. going to Member States of the European Union. Air-dried coniferous sawn wood **must** have mill certification that the wood is free from bark and grub holes larger than 3 millimeters in diameter. The mill certificates **must** be presented to PPQ for conversion to PPQ Form 577 (see **Figure 5-2-12** on **page-5-2-21** for an example of the Certificate for Debarking and Grub Hole Control).

CERTIFICATE OF DEBARKING AND GRUB HOLE CONTROL Issued in the U.S.A.		CERTIFICATE NUMBER <hr/> BILL OF LADING NUMBER
NAME AND ADDRESS OF SUPPLYING MILL	NAME AND ADDRESS OF CONSIGNEE <i>(Optional)</i>	
DESCRIPTION OF CONSIGNMENT <small>INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT (Lot number and volume are required).</small>		VOLUME
Description area		Volume area
<p><i>The lumber in this shipment has been examined by a mill inspector or other authorized person and found to have been stripped of its bark and to be free of grub holes; and, to the best of his/her knowledge and belief, to be in conformance with the import requirements of the receiving country.</i></p> <p>-----</p> <p><i>This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.</i></p>		
AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION		
NAME <i>(Print)</i>	SIGNATURE	TITLE
AGENCY VALIDATION		
AUTHORIZED SIGNATURE	TITLE	DATE

FIGURE 5-2-12: Example of Certificate of Debarking and Grub Hole Control

Mill Certification Program Responsibilities

When an MOU is entered into to establish a Mill Certification Program for debarking and grub hole control of *Thuja* spp. going to Member States of the European Union, the lumber grading agency, the participating lumber mills, and the PPQ offices each have stipulated responsibilities. These program responsibilities are listed below for the following:

- ◆ ***Lumber Grading Agencies***
- ◆ ***Lumber Mills***
- ◆ ***PPQ 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 5-2-30**) as follows:
 - ❖ Meet with each lumber grade agency and participating lumber mills to review documentation
 - ❖ Confirm at participating lumber mills or at points of export that the shipments of coniferous sawn wood moving under a Mill Certificate Program are meeting its conditions
 - ❖ Collect and submit to ES the results of the biannual audit by October 1 of each year (see **Figure 5-2-19** on **page-5-2-30** for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs)
- ◆ Designate personnel to conduct biannual audits and randomly inspect lumber grade agencies and their lumber mills participating in a Mill Certification Program
- ◆ Maintain in the regional office those MOUs for Mill Certification Programs established in the region
- ◆ Randomly inspect conformance to the Mill Certification Program participating lumber mills and shipments of wood at points of export for
- ◆ Randomly review the files and records of participating lumber grading agencies

Audit results are used to support Mill Certification Programs when foreign countries inquire about program validity.

Kiln-Dried Sawn Hardwood Lumber

The Mill Certification Program allows for certifying kiln-dried sawn hardwood lumber. See **Figure 5-2-13** on **page-5-2-24** through **Figure 5-2-18** on **page-5-2-29** for details.

Agreement No. 07-8100-1173-MU

MEMORANDUM OF UNDERSTANDING
BETWEEN
NATIONAL HARDWOOD LUMBER ASSOCIATION (COOPERATOR)
AND
UNITED STATES DEPARTMENT OF AGRICULTURE (USDA)
ANIMAL AND PLANT HEALTH INSPECTION SERVICE (APHIS)
PLANT PROTECTION AND QUARANTINE (PPQ)

ARTICLE 1 - PURPOSE

The purpose of this Memorandum of Understanding (MOU) is to facilitate the implementation of an APHIS-approved and industry-issued certification system with respect to the Certification of Kiln Drying Sawn Hardwood Lumber.

ARTICLE 2 – BACKGROUND

Many foreign countries have adopted measures requiring the kiln drying and certification of all sawn hardwood lumber originating in the United States to prevent the introduction and establishment of pests. To facilitate exports of bark-free sawn hardwood lumber shipments, APHIS initiated this MOU with the National Hardwood Lumber Association (NHLA) to develop and oversee the United States Kiln Drying Sawn Hardwood Lumber Certification Program.

ARTICLE 3 - AUTHORITIES

APHIS is authorized by the Plant Protection Act, Sec. 431 (a), Public Law 106-224, to cooperate with other Federal agencies, the governments of foreign countries, international organizations or associations, states and their political subdivisions, farmers' associations and similar organizations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests and diseases.

ARTICLE 4 – MUTUAL RESPONSIBILITIES

The Cooperator and APHIS mutually agree/understand to/that:

1. The overall direction and control of this cooperative program is to be maintained by APHIS. Inspection of the sawn hardwood lumber shall be performed by industry-certified personnel and shall remain administratively responsible to the NHLA.
2. The basic control requirement for sawn hardwood lumber under this system is kiln drying to the extent that all parts of the lumber have been reduced to less than 20 percent moisture by weight.

FIGURE 5-2-13: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 1)

Agreement No. 07-8100-1173-MU

3. Employee(s) responsible for this work will be under the general program direction of APHIS and NHLA. Supervision of personnel will be provided by their employing organization and they will be subject to their employing organization's rules and regulations, except to the extent that NHLA personnel will conduct inspections following USDA regulations and standards.

ARTICLE 5 – COOPERATOR RESPONSIBILITIES

The Cooperator agrees to/that:

1. Designate Mark Barford, Executive Manager, Memphis, Tennessee, as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU. Mr. Barford can be contacted by telephone at 901.377.1818 Ext. 101.

2. Kiln dried sawn hardwood lumber shipments shall be inspected by an industry-certified inspector of the NHLA and subject to the terms of Item 4 below. Kiln dried sawn hardwood lumber requirements are regulated by the NHLA Board of Managers. NHLA inspectors shall ensure that kiln dried sawn hardwood lumber bundles are properly numbered and conform to the certification statement that the inspected lumber has been kiln dried resulting in all parts of the lumber having a moisture content of less than 20% at the conclusion of the kiln drying process. This certification statement appears in the body of the Kiln Drying Sawn Hardwood Lumber Certificate. Each shipment of kiln dried sawn hardwood lumber shall include a corresponding Kiln Drying Sawn Hardwood Lumber Certificate with the manifest. Refer to Attachment 1 for a sample Certificate of Kiln Drying, Sawn Hardwood Lumber.

3. Maintain signed agreements with participating facilities; a register of participating facilities, including names of representatives approved to issue Certificates of Kiln Drying; a register of employees who are authorized to authenticate the certificates; copies of all certificates issued; and a web accessible register of participating facilities and corresponding approved representatives for issuing and approving certificates.

4. Provide on-site inspections to check the capabilities of all participating facilities. The inspectors shall inspect each participating facility's equipment and the skills of the kiln operators. The inspectors shall be skilled with all four kiln types: direct heat, indirect heat, direct steam, and indirect steam. Monthly reviews of the individual Kiln Drying Certification Program shall be made through regular quality control checks by the Cooperator. Additionally:

4.1. Inspections shall be performed by industry-certified inspectors that are independent of the treatment facilities and thoroughly competent in the inspection of kilns and the species of wood being inspected.

4.2. Inspections of participating facilities and treated inventory shall be performed in each month that a shipment is scheduled. The Cooperator ensures that facilities will

FIGURE 5-2-14: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 2)

Agreement No. 07-8100-1173-MU

request inspections as necessary. The inspections shall consist of document verification, including the board feet amount of kiln dried (KD) lumber produced each month; kiln treatment records review; moisture testing and lot number verification on the bundle bands of a representative sample of the facility's production inventory at the time of inspection; review of inspection and segregation practices of treated wood; and provide written reports to the inspected facility.

4.2.1. When the first audit results in failure/reported non-compliance of a certified facility:

4.2.1.1 The inspector shall notify the non-compliant facility with a letter of non-compliance within three (3) business days of inspection.

4.2.1.2 Within 15 days of the written non-compliant notification to the inspected facility, the inspector shall submit a written analysis of the problem and proposed solutions to the non-compliant facility.

4.2.1.3 The non-compliant facility will be re-inspected 45 calendar days after the written non-compliant notification to determine if the proposed solutions have been implemented by the inspected facility and are sufficient to resolve the non-compliance issues.

4.2.2. If during the 45-day re-inspection period, a second audit results in failure/reported non-compliance, the facility shall be removed from the certification program. One year after removal from the certification program, a facility may re-apply for certification.

5. Ensure that inspected facilities make files and records, including inspection reports, relating to APHIS certification responsibilities as outlined in Article 6 available for review by APHIS.

6. Retain inspection records for three years after the close of the Federal fiscal year in which the inspection occurred.

ARTICLE 6 – APHIS RESPONSIBILITIES

APHIS agrees to/that:

1. Designate John Tyrone Jones, II, Export Specialist, as its authorized representative who shall be responsible for collaboratively administering the activities conducted under this MOU. Mr. Jones can be reached at 301.734.8860.

2. Complete an audit of the NHLA Program annually. A written report of audit findings will be submitted to the NHLA within 21 business days after completion of the audit.

FIGURE 5-2-15: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 3)

Agreement No. 07-8100-1173-MU

3. As part of the bi-annual inspections, APHIS will ensure that agencies independent of the mills (product) have been approved by the NHLA Board of Managers as lumber grading agencies and that their inspectors are industry-certified. Each lumber grading agency must have met the resource and checks and balance requirements of the NHLA Board of Managers in order to qualify as a lumber grading agency. Additionally, the APHIS inspector will review the files and records of the industry-certified inspectors and that the industry-certified inspectors have been fully trained and certified by the NHLA. Training for industry-certified inspectors includes the proper calibration of the kiln; placement and number of probes; use of moisture meters; proper recording and filing of product and inspection information; positioning of product within the kiln; storage of the product; review of shipment documentation; verification of training documentation and competence; and identifying suspect (fraudulent) shipment documentation.

4. Monitor the certification system for conformance by conducting bi-annual inspections (minimum) at participating facilities as well as corresponding points of export. Local PPQ officers will be responsible for scheduling the bi-annual inspections. Regional and headquarters staff will verify completion of the bi-annual inspections and maintain the inspection schedule records.

5. Generate and distribute inspection reports to the inspected facility; the respective PPQ regional office; and to the Phytosanitary Issues Management Office at headquarters in Riverdale, MD. Facilities failing inspection shall receive a written preliminary inspection report within seven (7) days of the inspection. The inspection report shall include recommendations to achieve compliant status. Final and complete reports shall be distributed to the aforementioned parties within 21 business days after completion of the audit.

ARTICLE 7 – STATEMENT OF NO FINANCIAL OBLIGATION

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

ARTICLE 8 – LIMITATIONS OF COMMITMENT

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

FIGURE 5-2-16: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 4)

Agreement No. 07-8100-1173-MU

ARTICLE 9 – CONGRESSIONAL RESTRICTION

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

ARTICLE 10 – AMENDMENTS

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

ARTICLE 11 – TERMINATION

This MOU may be terminated by either party upon thirty (30) days written notice to the other party.

ARTICLE 12 - EFFECTIVE DATE AND DURATION

This MOU will become effective upon date of final signature and will continue for a period of five years.

NATIONAL HARDWOOD LUMBER ASSOCIATION

Mark Barford
Executive Manager

Date

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

Paul R. Eggert
Associate Deputy Administrator

Date

FIGURE 5-2-17: Example of MOU for Kiln-Dried Sawn Hardwood Lumber (page 5)

Biannual Audit Checklist for Certification Programs

See **Figure 5-2-19** below for an example of a Biannual Audit Checklist for Mill Certification Programs.

BIANNUAL AUDIT CHECKLIST FOR THE WOOD MILL CERTIFICATION PROGRAMS

DATE OF AUDIT: _____

AGENCY or MILL AUDITED/address:

CONTACT PERSON/ phone number:

MOU(s) Audited	(check)
Coniferous Sawn Wood for Heat Treatment Moving to European Union (EU)	<input type="checkbox"/>
Kiln Drying MOU	<input type="checkbox"/>
Debarking, and Grub Hole Control of Thuja sp to European Union (EU)	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>

AUDIT RESULTS:	Yes	No	N/A
Agency maintains the signed agreements (MOU's) with the participating mills:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency maintains a list of participating mills and their representatives that are approved to issue mill certificates:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintains copies of all certificates issued:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training provided to mill inspectors:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency maintains a list of Lumber Grading Agency employees eligible to validate mill certificates:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency completes monthly review of the Certification Programs:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Milled products shipped meet conditions of the programs:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

COMMENTS: _____

AUDITOR'S SIGNATURE: _____ DATE: _____

PRINT NAME: _____ OFFICE: _____

FIGURE 5-2-19: Example of Biannual Audit Checklist for Mill Certification Programs



Appendix A

Internal Communication

Contents

Internal Communication [page A-1-1](#)
 State and County [page A-1-2](#)
 Export Certification Specialist (ECS) or State Plant Health Director (SPHD) [page A-1-2](#)
 Regional Program Managers (RPM) [page A-1-2](#)
 Export Services (ES) [page 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 the pertinent information, **and**
- ◆ Refer it to the proper person for assistance

For questions, concerns, and suggestions relating to the export program, follow the contact protocol in [Table A-1-1](#) on [page A-1-1](#).

TABLE A-1-1: Contact Protocol for Assistance With Export Certification

If you are:	Then your first contact is:	Then your second contact is:	Then your third ¹ contact is:	Then your fourth contact is:	Then your last contact is:
A PPQ Authorized Certification Official (ACO)	Supervisor	ECS	SPHD	RPM	ES
A State or county ACO	Supervisor or SPRO	ECS	SPHD	RPM	ES
An applicant	State, County, or Federal ACO	ECS	SPHD	RPM	ES

1 Each SPHD's office may have specific instructions on who the contact person is in that office. Follow the contact information provided by your SPHD's office.

Additional guidance for obtaining assistance is provided below. To contact:

State and County

- ◆ Look up local listings for State agriculture officials
- ◆ In California, contact your county agricultural office
- ◆ [National Plant Board website](#)

Export Certification Specialist (ECS) or State Plant Health Director (SPHD)

- ◆ EXCERPT: under *Export Certification Specialists*
- ◆ [Export Certification Specialist contact page](#)



Each SPHD's office may have specific instructions on who the contact person is in that office. Follow the contact information provided by your SPHD's office.

Regional Program Managers (RPM)

- ◆ Eastern Region RPM: 919-855-7314 or 919-855-7300
- ◆ Western Region RPM: 970-494-7500

Export Services (ES)

- ◆ General number: 301-734-8262
- ◆ EXCERPT: In the Messages and Alerts section there is a listing of ES staff, their areas of responsibility, and their contact information



Appendix B

EXCERPT Database

Contents

Introduction	page B-1-1
Navigating EXCERPT	page B-1-2
Messages and Alerts	page B-1-2
Export Summary Inquiry	page B-1-2
Recent Export Summary Changes	page B-1-2
Commodities Eligible for PPQ Form 578	page B-1-3
Commodities Ineligible for Certification	page B-1-3
Protected Flora	page B-1-3
PPQ Designated CITES Ports for Plants by State	page B-1-3
Export Certification Specialists (ECSs)	page B-1-3
Keyword Search of Export Summaries	page B-1-3
Change Password	page B-1-3
Help Using EXCERPT	page B-1-3
PPQ Manuals (i.e. Export Program Manual and Treatment Manual)	page B-1-3
Scientific and Common Names of Plants	page B-1-4
EXCERPT Subscription and User Fees	page B-1-4
EXCERPT's Backup Websites	page B-1-4
National Plant Board (United States)	page B-1-4
International Plant Protection Convention (IPPC)	page B-1-4
North American Plant Protection Organization (NAPPO)	page B-1-4
Accessing EXCERPT	page B-1-4
EXCERPT Accounts	page B-1-4
Primary Website	page B-1-5
Backup Websites	page B-1-5
EXCERPT Emergency Response Plan	page B-1-5
Notification of the Emergency Response Plan	page B-1-5
Responsibilities of Emergency Response Locations	page B-1-5
List of Export Certification Specialists	page B-1-6

Introduction

The Export Certification Project (EXCERPT) is a database containing summaries of the phytosanitary import requirements of foreign countries. This information can be retrieved by authorized government officials and subscribers. EXCERPT is maintained through a cooperative agreement between PPQ and Purdue University's Center for Environmental and Regulatory Information Systems (CERIS).

CERIS provides technical support; Export Services (ES) is responsible for the information contained in EXCERPT.

Navigating EXCERPT

The EXCERPT home page provides the following choices:

- ◆ [Messages and Alerts](#) on page B-1-2
- ◆ [Export Summary Inquiry](#) on page B-1-2
- ◆ [Recent Export Summary Changes](#) on page B-1-2
- ◆ [Commodities Eligible for PPQ Form 578](#) on page B-1-3
- ◆ [Commodities Ineligible for Certification](#) on page B-1-3
- ◆ [Protected Flora](#) on page B-1-3
- ◆ [PPQ Designated CITES Ports for Plants by State](#) on page B-1-3
- ◆ [Export Certification Specialists \(ECSs\)](#) on page B-1-3
- ◆ [Keyword Search of Export Summaries](#) on page B-1-3
- ◆ [Change Password](#) on page B-1-3
- ◆ [Help Using EXCERPT](#) on page B-1-3
- ◆ [PPQ Manuals \(i.e. Export Program Manual and Treatment Manual\)](#) on page B-1-3
- ◆ [Scientific and Common Names of Plants](#) on page B-1-4
- ◆ [EXCERPT Subscription and User Fees](#) on page B-1-4
- ◆ [EXCERPT's Backup Websites](#) on page B-1-4
- ◆ [National Plant Board \(United States\)](#) on page B-1-4
- ◆ [International Plant Protection Convention \(IPPC\)](#) on page B-1-4
- ◆ [North American Plant Protection Organization \(NAPPO\)](#) on page B-1-4

Messages and Alerts

The *Messages and Alerts* section contains contact information for the ES staff, immediate or impending changes to a country's import requirements, and overarching policy changes.

As a general rule, information will remain in *Messages and Alerts* for **only** 30 days.

Export Summary Inquiry

The Export Summary Inquiry allows you to search the individual country and search by product requirements, general information, or subsidiary information.

Recent Export Summary Changes

The recent export summary changes feature allows the user to review changes made within the last 33 days.

Commodities Eligible for PPQ Form 578

The *Commodities Eligible for a PPQ Form 578* section lists the **only** processed commodities eligible for a PPQ Form 578.

Commodities Ineligible for Certification

The *Commodities Ineligible for Certification* section lists processed plant products ineligible for any type of export certificate. This list is **not** all-inclusive.

Protected Flora

The *Protected Flora* section lists the commodities regulated by the Endangered Species Act (ESA) and/or the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). This list is not all inclusive.

PPQ Designated CITES Ports for Plants by State

The *PPQ Designated CITES Ports* section directs the user to a list of PPQ ports that are allowed to certify commodities regulated by ESA or CITES.

Export Certification Specialists (ECSs)

The ECS section directs the user to a State drop-down list. Select the corresponding State to view the ECS's contact information and area of responsibility.

Keyword Search of Export Summaries

The *Keyword Search of Export Summaries* section allows users to search the EXCERPT database for information. Instructions for using the search function are included on the web page.

Change Password

The *Change Password* section allows users to change their password.



Important

If more than one person uses the same password, do **not** change the password without notifying all the personnel using that password.

Help Using EXCERPT

The *Help Using EXCERPT* section provides guidance on how to navigate EXCERPT.

PPQ Manuals (i.e. Export Program Manual and Treatment Manual)

The *PPQ Manuals* section directs the user to all PPQ manuals.

Scientific and Common Names of Plants

The *Scientific and Common Names of Plants (Ag. Handbook 505)* section provides a link to the Germplasm Resources Information Network (GRIN) database.

EXCERPT Subscription and User Fees

The *EXCERPT Subscription and User Fees* section provides information on how the public and other governmental agencies can obtain access to EXCERPT.

EXCERPT's Backup Websites

Refer to [Backup Websites](#) on **page B-1-5**.

National Plant Board (United States)

The *National Plant Board (NPB)* section directs the user to the NPB website.

International Plant Protection Convention (IPPC)

The *IPPC* section directs the user to the IPPC website.

North American Plant Protection Organization (NAPPO)

The *NAPPO* section directs the user to the NAPPO website.

Accessing EXCERPT

EXCERPT Accounts

Refer requests for an EXCERPT account to your ECS. ECSs should contact Julie Clapp, Export Specialist, by email at Julie.L.Clapp@aphis.usda.gov. Provide the following information:

- ◆ Name
- ◆ Address
- ◆ Type of plant health official (ACO, SPRO, SPHD, etc.)
- ◆ E-mail address
- ◆ Phone number
- ◆ Affiliation (State, County, or Federal)

All other entities may subscribe by contacting Joe Hegarty, CERIS at 765-494-4967 or e-mail jhegarty@ceris.purdue.edu. For technical support, contact CERIS by email at excerpt@ceris.purdue.edu or phone at 765-494-4967.

Primary Website

Users access EXCERPT at the following URL:

<http://excerpt.ceris.purdue.edu>.

Backup Websites

If the primary website is unavailable, access EXCERPT at the following URLs:

<http://minorleague.ceris.purdue.edu>

<http://ceris.nlm.nih.gov>

Do **not** use these URLs at any other time. Regular EXCERPT user names and passwords will not work at the backup websites. Users may obtain the backup user name and password from the “EXCERPT back web sites” link on the primary web site. This information must be obtained prior to the primary website being unavailable.

EXCERPT Emergency Response Plan

The *EXCERPT Emergency Response Plan* is designed to provide information to government officials when EXCERPT is unavailable. Government officials will contact their respective ECS.

Notification of the Emergency Response Plan

When the emergency response plan is activated:

1. CERIS will notify ES and subscribers when EXCERPT is down.
2. ES will send an email to *PPQ All Employees* when the plan is activated.
3. ECSs will notify Federal, State, and County users.
4. CERIS will notify ES and subscribers when EXCERPT is back online.
5. ES will send an email to *PPQ All Employees* when EXCERPT is back on line.
6. ECSs will notify ACOs when EXCERPT is back online.

Responsibilities of Emergency Response Locations

Emergency response locations need the following items:

- ◆ Computer with web browser
- ◆ Phone
- ◆ Updated EXCERPT backup CD

List of Export Certification Specialists

While the emergency response plan is activated, ACOs need to contact their nearest ECS to obtain export information. ACOs should limit their inquiries to immediately needed information. Requests for routine information should be processed after the emergency response plan is deactivated.

If you **do not** get a response, contact any other ECS listed in another location.

Visit the [Export Certification Specialist \(ECS\) contact page](#) to locate your nearest ECS during a deployment of the emergency response plan.



Appendix C

List of Countries

Contents

Introduction [page C-1-1](#)
 List of Approved Country Names and EXCERPT Summary References [page C-1-1](#)

Introduction

This appendix contains an alphabetical list of approved country names and EXCERPT summary references. Use this appendix to determine the approved country name, to enter on any export certificate and the EXCERPT summary reference.



The approved name of the country is the country name entered on export certificates based on ISO Standard 3166-2 and is found in the first column of [Table C-1-2](#) on [page C-1-2](#).

To determine the EXCERPT summary reference and approved country name, refer to [TABLE C-1-1](#) below.

TABLE C-1-1: Identify EXCERPT Summary References and Approved Country Names

If:	Then:
You find the approved country name listed in the first column of Table C-1-2 on page C-1-2	GO to the import requirements in EXCERPT
You do not find the approved country name listed in the first column	CONTACT your Export Certification Specialist (ECS) for guidance using the contact protocol in Table A-1-1 on page A-1-1

List of Approved Country Names and EXCERPT Summary References

Use [Table C-1-2](#) on [page C-1-2](#) to identify approved names and EXCERPT summary references. The EXCERPT Summary Reference names in the second column are linked directly to the EXCERPT summary database.

TABLE C-1-2: Approved Country Names and EXCERPT Summary References

Approved Country Name	EXCERPT Summary Reference
A	
Afghanistan	Afghanistan
Åland Islands	European Union
Albania	Albania
Algeria	Algeria
Andorra	Andorra
Angola	Inter-African Group
Anguilla	Anguilla
Antarctica	Antarctica
Antigua and Barbuda	Antigua and Barbuda
Argentina	Argentina
Armenia	The Former Soviet Republics
Aruba	Aruba
Australia	Australia/Nauru
Austria	European Union
Azerbaijan	The Former Soviet Republics
B	
Bahamas	Bahamas
Bahrain	Bahrain
Bangladesh	Bangladesh
Barbados	Barbados
Belarus	The Former Soviet Republics
Belgium	European Union
Belize	Belize
Benin	Inter-African Group
Bermuda	Bermuda
Bhutan	Bhutan
Bolivia, Plurinational State of	Bolivia
Bonaire, Saint Eustatius and Saba	Bonaire, Saint Eustatius and Saba Islands
Bosnia and Herzegovina	Former Republics of Yugoslavia
Botswana	Inter-African Group
Bouvet Island	Bouvet Island
Brazil	Brazil
British Indian Ocean Territory	British Indian Ocean Territory
Brunei Darussalam	Brunei Darussalam
Bulgaria	European Union
Burkina Faso	Inter-African Group

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**TABLE C-1-2: Approved Country Names and EXCERPT Summary References
(continued)**

Approved Country Name	EXCERPT Summary Reference
Burundi	Inter-African Group
C	
Cambodia	Cambodia
Cameroon	Inter-African Group
Canada	Canada
Cape Verde	Cape Verde
Cayman Islands	Cayman Islands
Central African Republic	Inter-African Group
Chad	Inter-African Group
Chile	Chile
China	China
Christmas Island	Christmas Island
Cocos (Keeling) Islands	Australia/Nauru
Colombia	Colombia
Comoros	Comoros
Congo	Inter-African Group
Congo, Democratic Republic of the	Inter-African Group
Cook Islands	Cook Islands/Niue
Costa Rica	Costa Rica
Côte D'ivoire	Inter-African Group
Croatia	Croatia
Cuba	Cuba
Curaçao	Curaçao
Cyprus	European Union
Czech Republic	European Union
D	
Denmark	European Union
Djibouti	Djibouti
Dominica	Dominica
Dominican Republic	Dominican Republic
E	
Ecuador	Ecuador
Egypt	Egypt
El Salvador	El Salvador
Equatorial Guinea	Inter-African Group
Eritrea	Eritrea
Estonia	European Union

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**TABLE C-1-2: Approved Country Names and EXCERPT Summary References
(continued)**

Approved Country Name	EXCERPT Summary Reference
Ethiopia	Ethiopia
F	
Falkland Islands (Malvinas)	Falkland Islands
Faroe Islands	Faroe Islands
Fiji	Fiji
Finland	European Union
France	European Union
French Guiana	French Guiana
French Polynesia	French Polynesia
French Southern Territories	French Southern Territories
G	
Gabon	Inter-African Group
Gambia	Inter-African Group
Georgia	The Former Soviet Republics
Germany	European Union
Ghana	Inter-African Group
Gibraltar	Gibraltar
Greece	European Union
Greenland	Greenland
Grenada	Grenada
Guadeloupe	Guadeloupe
Guatemala	Guatemala
Guernsey	European Union
Guinea	Inter-African Group
Guinea-Bissau	Inter-African Group
Guyana	Guyana
H	
Haiti	Haiti
Heard Island and McDonald Islands	Heard and McDonald Islands
Holy See (Vatican City State)	European Union
Honduras	Honduras
Hong Kong	Hong Kong
Hungary	Hungary
I	
Iceland	Iceland
India	India
Indonesia	Indonesia

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**TABLE C-1-2: Approved Country Names and EXCERPT Summary References
(continued)**

Approved Country Name	EXCERPT Summary Reference
Iran, Islamic Republic of	Iran
Iraq	Iraq
Ireland	European Union
Isle of Man	European Union
Israel	Israel
Italy	European Union
J	
Jamaica	Jamaica
Japan	Japan
Jersey	European Union
Jordan	Jordan
K	
Kazakhstan	The Former Soviet Republics
Kenya	Kenya
Kiribati	Kiribati
Korea, Democratic People's Republic of	Democratic Peoples Republic of Korea
Korea, Republic of	Republic of Korea
Kosovo, Republic of	Kosovo
Kuwait	Kuwait
Kyrgyzstan	Kyrgyzstan
L	
Lao People's Democratic Republic	Lao People's Democratic Republic
Latvia	European Union
Lebanon	Lebanon
Lesotho	Inter-African Group
Liberia	Inter-African Group
Libyan Arab Jamahiriya	Libyan Arab Jamahiriya
Liechtenstein	Switzerland/Liechtenstein
Lithuania	European Union
Luxembourg	European Union
M	
Macao	Macao
Macedonia, The former Yugoslav Republic of	Former Republics of Yugoslavia
Madagascar	Madagascar
Malawi	Malawi
Malaysia	Malaysia
Maldives	Maldives

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**TABLE C-1-2: Approved Country Names and EXCERPT Summary References
(continued)**

Approved Country Name	EXCERPT Summary Reference
Mali	Inter-African Group
Malta	European Union
Marshall Islands	Marshall Islands
Martinique	Martinique
Mauritania	Inter-African Group
Mauritius	Mauritius
Mayotte	Mayotte
Mexico	Mexico
Micronesia, Federated States of	Federated States of Micronesia
Moldova	The Former Soviet Republics
Monaco	European Union
Mongolia	Mongolia
Montenegro	Montenegro
Montserrat	Montserrat
Morocco	Morocco
Mozambique	Inter-African Group
Myanmar	Myanmar
N	
Namibia	Namibia
Nauru	Australia/Nuaru
Nepal	Nepal
Netherlands	European Union
New Caledonia	New Caledonia
New Zealand	New Zealand
Nicaragua	Nicaragua
Niger	Inter-African Group
Nigeria	Nigeria
Niue	Cook Islands/Niue
Norfolk Island	Australia/Nauru
Norway	European Union
O	
Oman	Oman
P	
Pakistan	Pakistan
Palau	Palau
Palestinian Territory	Palestinian Territory
Panama	Panama

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**TABLE C-1-2: Approved Country Names and EXCERPT Summary References
(continued)**

Approved Country Name	EXCERPT Summary Reference
Papua New Guinea	Papua New Guinea
Paraguay	Paraguay
Peru	Peru
Philippines	Philippines
Pitcairn	Pitcairn
Poland	European Union
Portugal	European Union
Q	
Qatar	Qatar
R	
Réunion	Réunion
Romania	European Union
Russian Federation	The Former Soviet Republics
Rwanda	Inter-African Group
S	
Saint Barthélemy	European Union
Saint Helena, Ascension and Tristan Da Cunha	European Union
Saint Kitts and Nevis	Saint Kitts and Nevis
Saint Lucia	Saint Lucia
Saint Martin	European Union
Sint Maarten	Sint Maarten
Saint Pierre and Miquelon	Saint Pierre and Miquelon
Saint Vincent and the Grenadines	Saint Vincent and the Grenadines
Samoa	Samoa
San Marino	European Union
Sao Tome and Principe	Sao Tome and Principe
Saudi Arabia	Saudi Arabia
Senegal	Inter-African Group
Serbia	Serbia
Seychelles	Seychelles
Sierra Leone	Inter-African Group
Singapore	Singapore
Slovakia	European Union
Slovenia	European Union
Solomon Islands	Solomon Islands
Somalia	Inter-African Group
South Africa	South Africa

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**TABLE C-1-2: Approved Country Names and EXCERPT Summary References
(continued)**

Approved Country Name	EXCERPT Summary Reference
South Georgia and the South Sandwich Islands	Falkland Islands
Spain	European Union
Sri Lanka	Sri Lanka
Sudan	Sudan
Suriname	Suriname
Svalbard and Jan Mayen	Norway/Svalbard and Jan Mayen Islands
Swaziland	Inter-African Group
Sweden	European Union
Switzerland	Switzerland/Liechtenstein
Syrian Arab Republic	Syria
T	
Taiwan	Taiwan
Tajikistan	The Former Soviet Republics
Tanzania, United Republic of	Tanzania
Thailand	Thailand
Timor-Leste	Timor-Leste
Togo	Inter-African Group
Tokelau	Tokelau
Tonga	Tonga
Trinidad and Tobago	Trinidad and Tobago
Tunisia	Tunisia
Turkey	Turkey
Turkmenistan	The Former Soviet Republics
Turks and Caicos Islands	Turks and Caicos Islands
Tuvalu	Tuvalu
U	
Uganda	Uganda
Ukraine	The Former Soviet Republics
United Arab Emirates	United Arab Emirates
United Kingdom	European Union
Uruguay	Uruguay
Uzbekistan	The Former Soviet Republics
V	
Vanuatu	Vanuatu
Venezuela, Bolivarian Republic of	Venezuela
Viet Nam	Viet Nam
Virgin Islands, British	British Virgin Islands

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**TABLE C-1-2: Approved Country Names and EXCERPT Summary References
(continued)**

Approved Country Name	EXCERPT Summary Reference
W	
Wallis and Futuna	Wallis and Futuna Islands
Western Sahara	Western Sahara
Y	
Yemen	Yemen
Z	
Zambia	Zambia
Zimbabwe	Inter-African Group

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Appendix C: List of Countries
List of Approved Country Names and EXCERPT Summary References

A
B
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M
N
O
P
Q
R
S
T
U
V
W
X
Y
Z



Appendix D

Phytosanitary Certificate Issuance & Tracking (PCIT)

Contents

Introduction	page D-1-1
Features	page D-1-2
PCIT Facts	page D-1-3
PCIT Tips	page D-1-3
Training Website	page D-1-4
Available Assistance	page D-1-4

Introduction

The [Phytosanitary Certificate Issuance and Tracking \(PCIT\)](#) 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 EXCERPT, 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

- ◆ Webinars for industry and government users are hosted on the [PCIT APHIS website](#)

Additional webinars for all user groups will be conducted in the future.

- ◆ [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

Conference calls to set up new users can be arranged for APHIS offices, cooperators, and industry by contacting the helpdesk.

- ◆ National and Regional Program Managers:
 - ❖ Christian Dellis: 301-734-5233;
christian.b.dellis@aphis.usda.gov
 - ❖ Michael Perry: 240-529-0264;
michael.j.perry@aphis.usda.gov
 - ❖ Eastern Region Export Program Manager, Laney Campbell:
(919) 855-7314
 - ❖ Western Region Export Program Manager, Craig Southwick:
(970) 494-7578



Appendix E

Responsibilities

Contents

Applicants	page E-1-1
Authorized Certification Officials (ACOs)	page E-1-2
Export Certification Specialists (ECSs)	page E-1-3
Trade Specialists	page E-1-4
Regional Program Managers (Export Certification and Trade)	page E-1-5
Export Services (ES)	page E-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), EXCERPT and other databases, such as the Germplasm Resources Information Network (GRIN) database. Notify ES of needed changes and updates to the information. Maintain the emergency response plan for EXCERPT.
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 regional program manager (RPM), and ES¹ 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.

¹ Export Services, USDA-APHIS-PPQ, 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301-734-8262; FAX 301-734-7639.

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.**)
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.

Regional Program Managers (Export Certification and Trade)

Regional Program 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 F

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 certificates¹
- ◆ 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 certificates²
- ◆ 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 below in **Figure F-1-1** on **page-F-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

11. In the Central Contractor Registration (CCR) system?
 Yes
 No

If there are any changes to your EFT information, please complete the State and County Fee Remittance Worksheet and submit to the information to the contacts listed on the form. Note: If you have changes to your EFT information and are registered in CCR, please update your EFT information in the CCR database.

12. Federal Identification Number -

13. Bank Routing Number 14. Bank Account Number

15. Bank Name

Checking Account
 Savings Account

Signature _____ Date

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 F-1-1: Initial Setup for State and County Fee Remittance Worksheet



Appendix G

Supplemental Forms

Contents

Introduction	page G-1-1
AMS Form FV 146, Certificate of Quality and Condition (Processed Foods)	page G-1-2
AMS Form FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance	page G-1-3
AMS Form FV 149, Certificate of Quality and Condition (Processed Foods) Continuous Inspection	page G-1-4
AMS Form FV 294, Report on Sanitary Inspection	page G-1-5
APHIS Form 47, Transmittal and Receipt for Accountable Items	page G-1-6
APHIS Form 94, Record of Public Funds Received	page G-1-7
FGIS Form 921-2, Inspection Report–Insects in Grain	page G-1-9
Held Shipment Worksheet	page G-1-10
Guidance for Submitting Held Shipment Worksheet	page G-1-11
PPQ Form 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport	page G-1-12
Purpose of PPQ Form 576	page G-1-13
Instructions to Complete PPQ Form 576	page G-1-13

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 G-1-1](#) for an example of AMS Form FV 146CS (9-92).

UNITED STATES DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS)		Please refer to this certificate by number and inspection office.
This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one year, or both (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.		A- DATE
APPLICANT	ADDRESS	
RECEIVER OR BUYER	ADDRESS	
SOURCE OF SAMPLES	PRODUCT INSPECTED	
CODE MARKS ON CONTAINERS		
PRINCIPAL LABEL MARKS		
GRADE:		
REMARKS:		
<i>Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.</i>		
ADDRESS OF INSPECTION OFFICE		SIGNATURE OF INSPECTOR
FV-146CS (11-01) (Previous edition dated 09-00 may be used.)		ORIGINAL

FIGURE G-1-1: Example of AMS Form FV 146CS (9-92), Certificate of Quality and Condition (Processed Foods) (blank)

AMS Form FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance

AMS Form FV 147, Certificate of Quality and Condition (Processed Foods) Quality Assurance may be used in place of inspection. See [Figure G-1-2](#) for an example of AMS Form FV 147CS (9-92).


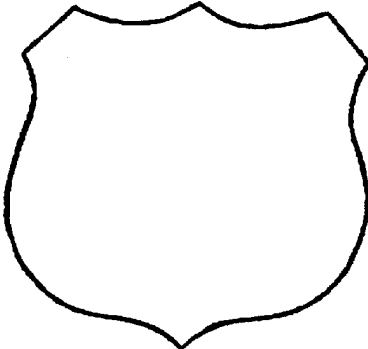

UNITED STATES DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE		Please refer to this certificate by number and inspection office. D- 000000
 CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS)		
<h1>QUALITY ASSURANCE</h1>		DATE
<p>This certificate is receivable in all courts of the United States as prime facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: Any person who knowingly falsely make, issue, after, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one year, or both (7 U.S.C. 1622 (h)). The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.</p>		
APPLICANT	ADDRESS	
RECEIVER OR BUYER	ADDRESS	
CODE MARKS ON CONTAINERS	PRODUCT INSPECTED	
PRINCIPAL LABEL MARKS		
		
GRADE:		
REMARKS:		
<p><i>Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.</i></p>		
		SIGNATURE OF INSPECTOR
ADDRESS OF INSPECTION OFFICE		
FORM FV-147CS (9-92) U.S. GPO: 1992-333-648		

FIGURE G-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 G-1-3](#) for an example of AMS Form FV 149CS (9-92).

UNITED STATES DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE		Please refer to this certificate by number and inspection office. K-00000
CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS)		
		
<h1>CONTINUOUS INSPECTION</h1>		
<p>This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one year, or both (7 U.S.C. 1622 (h)). The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.</p>		DATE
APPLICANT	ADDRESS	
RECEIVER OR BUYER	ADDRESS	
CODE MARKS ON CONTAINERS	PRODUCT INSPECTED	
PRINCIPAL LABEL MARKS		
		
GRADE:		
REMARKS:		
<p><i>Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.</i></p>		
ADDRESS OF INSPECTION OFFICE		SIGNATURE OF INSPECTOR
FORM FV-149CS (9-92) U.S. GPO: 1994-523-112		

FIGURE G-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 G-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 G-1-4: Example of AMS Form FV 294 (5-84), Report on Sanitary Inspection (blank)

APHIS Form 47, Transmittal and Receipt for Accountable Items

TRANSMITTAL AND RECEIPT FOR ACCOUNTABLE ITEMS				USDA-APHIS	1. DATE PREPARED
<p>ISSUING OFFICE: Complete applicable items 1 through 9. Original and one copy to accompany the items to the receiving office. Retain one copy. RECEIVING OFFICE: Complete items 11 through 15 and return original to issuing office in item 3.</p>					
2. TO:			3. FROM:		
4. ACCOUNTABLE FORMS ENCLOSED					
A. FORM NO.	B. TITLE	C. QUANTITY	D. UNIT OF ISSUE	E. SERIAL NOS. <i>(Inclusive)</i>	
				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. <i>(Inclusive)</i>			
		FROM	THROUGH		
7. REMARKS					
8. SIGNATURE OF ISSUING OFFICIAL			9. TITLE		10. DATE
ACKNOWLEDGMENT OF RECEIPT <i>I acknowledge receipt of the above items except as noted in item 11 below.</i>					
11. EXCEPTIONS					
<input type="checkbox"/> 12. "X" IF EXPIRED CREDIT CARDS ARE ATTACHED	13. SIGNATURE OF ACCOUNTABLE OFFICER		14. TITLE		15. DATE RECEIVED
APHIS FORM 47 (APR 2001)			<i>Previous editions may be used.</i>		

FIGURE G-1-5: Example of APHIS Form 47, Transmittal and Receipt for Accountable Items (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 G-1-7: APHIS Form 94 (Reverse)

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? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Enter certificate number(s):			
<i>If all the pertinent information is in PCIT, only submit this form</i>			
Copies of the following should be attached, if pertinent to the consignment:			
<ul style="list-style-type: none"> • 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			
<p>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.</p> <p>ES- 05/2010-01</p>			

FIGURE G-1-9: Held Shipment Worksheet

Guidance for Submitting Held Shipment Worksheet

Submit the worksheet illustrated in [Figure G-1-9](#) on [page-G-1-10](#) to ES using the contact protocol ([Table A-1-1](#) on [page-A-1-1](#)) 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


<small>No phytosanitary certificate can be issued until an application is completed (7 CFR 353)</small>		<small>FORM APPROVED OMB NO. 0579-0052</small>	
UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		FOR OFFICIAL USE ONLY	
ATTACHMENT SHEET FOR PHYTOSANITARY CERTIFICATE OR PHYTOSANITARY CERTIFICATE FOR REEXPORT		1. ADDENDUM TO NO: <div style="text-align: center; font-weight: bold; font-size: 1.2em;">FPC</div>	
		2. DATE:	3. PAGE NO:
			
<p>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.</p>			
4. ADDITIONAL INFORMATION:			
5. NAME OF AUTHORIZED OFFICER: <i>(Type or Print)</i>		6. SIGNATURE OF AUTHORIZED OFFICER:	
<small>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.</small>			
<small>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.</small>			
<small>PPQ FORM 576 APR 2005</small>			

FIGURE G-1-10: 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).



The PPQ 576 attachment sheet **cannot** be used for PPQ Form 578.

Instructions to Complete PPQ Form 576

Refer to [Table G-1-1](#) on [page-G-1-14](#).

TABLE G-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	<p>ENTER the additional information. Be sure to first reference the corresponding section of the PPQ 577 or PPQ 579. If more than one section is included on the attachment sheet, a single horizontal line will indicate the start of another section. Line out any unused portions of the form (see example below).</p> <div data-bbox="643 791 1403 1031" style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p>4. Additional Information</p> <p>Block 10. Botanical Names of Plants <i>Acer Saccharum</i> <i>Zea Mays</i></p> <hr style="border-top: 1px dashed black;"/> <p>Additional Declaration The plants are free from <i>Mycosphaerella schoenoprasii</i> and <i>Ditylenchus dipsaci</i>.</p> <hr style="border-top: 1px solid black;"/> <p>5. Name of Authorized Officer 6. Signature of Authorized Officer</p> </div>
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.

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 [7CFR 353.6](#), and who is designated by USDA-APHIS-PPQ to conduct phytosanitary field inspections of seed crops to serve as a basis for the issuance of export certificates [[7CFR 353.1](#)].

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 are referenced in EXCERPT and **must** be used when completing export certificates. See [Appendix C, List of Countries](#) on [page C-1-1](#) for a cross-referenced list. Approved names are also published in the International Standard, [ISO 3166](#).

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 N° 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, 2008].

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 2-1-4](#).

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 Free 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 N° 15](#), 2009].

duty station. The official work location of an ACO.

ELISA. Enzyme Linked Immuno-Sorbent Assay ([RSPM No. 3](#), Potatoes). [NAPPO, 2004].

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 N° 3, 1996].

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 Project (EXCERPT). An electronic database that provides current information on the plant import requirements of foreign countries. Also includes other related reference lists such as processed products, ineligible products, endangered species, Export Certification Specialists (ECS), designated CITES ports, recent summary changes, messages and alerts.

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. Export summaries are housed in EXCERPT.

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 N° 15, 2002; revised ICPM, 2005].

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 N° 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**.



inspector. Person authorized by a National Plant Protection Organization to discharge its functions [FAO, 1990].

integrity (of a consignment). Composition of a consignment as described by its Phytosanitary Certificate or other officially acceptable document, maintained without loss, addition or substitution. [CPM, 2007].

intended use. Declared purpose for which plants, plant products, or other regulated articles are imported, produced, or used [ISPM N° 16, 2002].

interception (of a consignment). The refusal or controlled entry of an imported consignment due to failure to comply with phytosanitary regulations [FAO, 1990; revised FAO, 1995].

interception (of a pest). The detection of a pest during inspection or testing of an imported consignment [FAO, 1990; revised CEPM, 1996].

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].

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 N° 15, 2009].

laboratory. A public or private facility that calibrates, tests, identifies or conducts diagnoses ([RSPM No. 9](#), Lab accreditation). [NAPPO, 2004].

lead time. Amount of time needed to inspect or examine a shipment before its shipping date. (Some countries interpret shipping date as the date a commodity physically leaves the exporting country.)

legislation. Any act, law, regulation, guideline or other administrative order promulgated by a government [ISPM N° 3, 1996].

Letter of Credit. A document issued by a bank authorizing an 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 N° 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 N° 3, 2005].



microplantlet. Plantlet produced *in vitro* on a defined medium ([RSPM No. 3](#), Potatoes). [NAPPO, 2003].

microtuber. A tuber produced *in vitro* (RSPM No. 3, Potatoes). [NAPPO, 2004].

middlings. A by-product of flour milling comprising several grades of granular particles containing different proportions of endosperm, bran, and germ.

minituber. A tuber produced in a protected environment from pathogen-free parent material ([RSPM No. 3](#), Potatoes). [NAPPO, 2003].

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 EXCERPT.

official control. The active enforcement of mandatory phytosanitary regulations and the application of mandatory phytosanitary procedures with the objective of eradication or containment of quarantine pests or for the management of regulated non-quarantine pests (see Glossary Supplement N° 1) [ICPM, 2001].

Official State Seed Potato Certification Agency. A State agency duly authorized by State law to provide seed potato certification services. See also [Commodity • Seed Potatoes](#) on [page 4-5-1](#).

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](#), Potatoes). [NAPPO, 2003].

pathogen. Micro-organism causing disease [ISPM N° 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 N° 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 N° 10](#), 1999].

pest record. A document providing information concerning the presence or absence of a specific pest at a particular location at a certain time, within an area (usually a country) under described circumstances [CEPM, 1997].



pest risk. That level and probability of harm a plant pest could cause in an endangered area, which a national plant protection organization identifies by the performance of a pest risk analysis or other internationally acceptable plant risk assessment process ([RSPM No. 3, Potatoes](#)). [NAPPO, 2004].

Pest Risk Analysis (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 judgement 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 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 CEPMP, 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 EXCERPT for a list of processed products that are eligible for certification. EXCERPT will indicate which certificate the commodity is eligible for.

propagative plant material. Plants or plant parts for planting or multiplication (RSPM No. 3, Potatoes). [NAPPO, 2004].

propagules. Any plant part used for asexual propagation (RSPM No. 3, Potatoes). [NAPPO, 2004].

protocol. The plan for communicating questions, concerns, and unresolved issues about export certification. See [Table A-1-1](#) on [page A-1-1](#).

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; CEPMP, 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 (RPP0). 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, Potatoes](#)). [NAPPO, 2004].

Seed potatoes. Potato plantlets, plants, microtubers, minitubers, tubercles and tubers.

seeds. A commodity class for seeds for planting or intended for planting and **not** for consumption or processing (see grain) [FAO, 1990; revised ICPM, 2001].

shipment. As a working definition for export certification purposes, shipment means one exportation of commodities, from one 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](#).

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 CEPMP, 1999].

surveillance. An official process which collects and records data on pest occurrence or absence by survey, monitoring or other procedures [CEPMP, 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 CEPMP, 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, 2004].

World Trade Organization (WTO). The global international organization dealing with the rules of trade between nations (see also [WTO web site](#)).

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*.

Index



A

Abbreviations, list of [Glossary-1-1](#)

Acceptable inspection certificates [3-4-2](#), [3-4-3](#)

Accountability system [3-7-30](#)
definition of [Glossary-1-1](#)

Accreditation
definition of [Glossary-1-1](#)

ACH Vendor Enrollment Worksheet [3-7-29](#)

Additional Declaration (AD)
definition of [Glossary-1-1](#)

Advance notices [1-1-8](#)

Advisories [1-1-5](#)

Affiliated Island, definition of [Glossary-1-2](#)

Agents
definition of [Glossary-1-2](#)

Agreements Services Center [5-1-9](#)

Agricultural Marketing Service (AMS)
definition of [Glossary-1-2](#)

Agricultural seed
definition of [Glossary-1-2](#)

Ambrosia [4-3-3](#)

American National Standards Institute (ANSI) [1-1-5](#)

American Softwood Lumber Standard [5-2-5](#), [5-2-7](#),
[5-2-9](#)

AMS Forms
FV 146, Certificate of Quality and Condition (Pro-
cessed Foods) [G-1-2](#)
FV 147, Certificate of Quality and Condition (Pro-
cessed Foods) Quality Assurance [G-1-3](#)
FV 149, Certificate of Quality and Condition (Pro-
cessed Foods) Continuous Inspection [G-1-4](#)

FV 294, Report on Sanitary Inspection [G-1-5](#)

Animal and Plant Health Inspection Service [1-1-2](#)

APHIS Forms
94, Record of Public Funds Received [3-7-9](#)

Application for Inspection and Certification of
Domestic Plants and Plant Products for Export
(PPQ Form 572)
definition of [Glossary-1-2](#)

Approved name
definition of [Glossary-1-2](#)

Area freedom. See Pest free area.

Artificially propagated, definition of [Glossary-1-3](#)

Attachment sheets [3-5-4](#)

Authorized Certification Official (ACO) [2-1-15](#)
accreditation [2-1-2](#)
definition of [Glossary-1-3](#)

B

Bacterial ring rot [4-5-8](#), [4-5-10](#), [4-5-11](#)

Baled compressed cotton [4-2-1](#)

Biannual audit checklist for mill certification
programs [5-2-30](#)

Blackleg [4-5-10](#), [4-5-11](#)

Boldfacing [1-1-6](#)

Botanical name of plants [3-5-9](#), [3-5-12](#)

Brown rot [4-5-12](#)

Bulk shipments [4-4-4](#)

Bulleted lists [1-1-6](#)

Bursaphelenchus xylophilus [5-2-1](#)

C

Cashier's checks [3-7-6](#), [3-7-11](#), [3-7-16](#)

Castor beans [4-3-3](#)

Caution, as an advisory [1-1-5](#)

Center for Environmental and Regulatory Information Systems (CERIS) [B-1-1](#)

CERIS. See Center for Environmental and Regulatory Information Systems.

Certificate
 acceptable inspection [3-4-3](#)
 definition of [Glossary-1-4](#)
 for reexport (PPQ Form 579) [3-5-10](#)
 inspection, definition of [Glossary-1-10](#)
 of debarking and grub hole control [5-2-21](#), [5-2-22](#)
 phytosanitary (PPQ Form 577) [3-5-6](#), [Glossary-1-15](#)
 State phytosanitary, definition of [Glossary-1-21](#)

Certificate of Quality and Condition (Processed Foods)
 example of AMS Form FV 146 [G-1-2](#)
 example of AMS Form FV 147 [G-1-3](#)
 example of AMS Form FV 149 [G-1-4](#)

Certified checks [3-7-6](#), [3-7-11](#), [3-7-16](#)

Certified true copy [3-5-12](#), [3-5-15](#), [Glossary-1-4](#)

Certifying a commodity [3-1-3](#)

Certifying entity [4-5-4](#)

Certifying official. See Authorized Certification Official (ACO). [Glossary-1-3](#)

Certifying seed treatments [2-1-17](#)

Chapters, meaning in the XPM [1-1-6](#)

Clavibacter michiganensis subsp. *sepedonicus* [4-5-8](#)

Collect user fees [3-7-9](#), [3-7-14](#), [3-7-19](#)

Commercial terms
 not listing or referring to on PPQ Form 577 [4-3-6](#)

Communication
 internal [A-1-1](#)

Compressed cotton [4-2-1](#)

Concerns, contacts for [A-1-1](#)

Confidentiality [2-1-4](#), [3-5-2](#)
 definition of [Glossary-1-4](#)

Coniferous sawn wood [5-2-1](#)

Consignment
 definition of [Glossary-1-4](#)
 in transit, definition of [Glossary-1-4](#)
 See also Shipment. [Glossary-1-4](#)

Contacts for obtaining assistance [A-1-1](#)

Containerized oak lumber [4-1-1](#)

Containers
 for sampling seed [4-4-4](#)
 for U.S. export seed potatoes [4-5-8](#)

Control data [1-1-6](#), [1-1-10](#)

Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
 artificially propagated, definition of [Glossary-1-3](#)
 definition of [Glossary-1-5](#)

Conventions [1-1-5](#)

Cooperating agencies [2-1-9](#)

Cooperator responsibilities [4-5-4](#)

Cooperator, definition of [Glossary-1-5](#)

Cotton [4-2-1](#)

Cottonseed [4-3-3](#)

Coveralls [4-4-4](#)

Crotalaria [4-3-3](#)

Cyst nematode [4-5-12](#)

D

Dangerous, as an advisory [1-1-5](#)

Debarking [5-2-17](#)

Debarking and grub hole control of coniferous sawn wood [5-2-2](#)

Decision tables, how to use [1-1-6](#)

Definitions, list of [Glossary-1-1](#)

Deputy Administrator of PPQ [5-1-2](#)

Distinguishing marks [3-5-9](#), [3-5-13](#)

Distribution
 PPQ Form 577 [3-5-14](#)
 PPQ Form 578 [3-6-6](#)



PPQ Form 579 [3-5-15](#)

Ditylenchus destructor [4-5-12](#)

Domestic products, definition of [Glossary-1-6](#)

Dust mask [4-4-4](#)

Dyes [4-4-4](#)

E

Edible mushrooms [3-3-2](#)

Egypt [4-3-3](#)

Eligibility for certification
based on origin and destination [3-3-4](#)
based on protected status [3-3-5](#)

Emergency Response Plan
list of locations [B-1-6](#)
responsibilities of EXCERPT users and
facilitators [B-1-5](#)

Endangered Species Act (ESA)
definition of [Glossary-1-7](#)

Environmental Protection Agency (EPA) [2-1-17](#)

Errors
major, on export certificates [5-1-6](#)
minor, on export certificates [5-1-7](#)

European Union (EU)
certification of debarking and grub hole
control [5-2-20](#)
heat treatment of coniferous sawn wood going to
Member States of [5-2-2](#), [5-2-5](#), [5-2-9](#)
kiln dried coniferous lumber going to Member
States of [5-2-2](#)

Export certificate review process [5-1-4](#)

Export Certification Project (EXCERPT)
definition of [Glossary-1-7](#)
home page [B-1-2](#)
how to access [B-1-4](#)
overview [Glossary-1-7](#)
primary web site [B-1-5](#)
what is [B-1-1](#)

Export Certification Specialist (ECS)
definition of [Glossary-1-8](#)

Export Services (ES)
as a unit within USDA [1-1-2](#)
contact information for [E-1-3](#)

definition of [Glossary-1-8](#)

Export standards for seed potatoes [4-5-7](#)

Export summary
definition of [Glossary-1-8](#)

Exporter
use of State phytosanitary certificates [3-3-5](#)

Eye protection [4-4-4](#)

F

Fabaceae [4-3-3](#)

Federal Grain Inspection Service (FGIS)
definition of [Glossary-1-8](#)
official sampling and inspecting conducted
by [2-1-9](#)

Federal Grain Standards Act [4-3-1](#)

Federal-State Cooperative Program [5-1-1](#)
how to enter [5-1-2](#)
maintaining [5-1-9](#)
Memorandum of Understanding [5-1-9](#)

FGIS Forms
921-2, Inspection Report-Insects in Grain for Mar-
itime Containers [G-1-9](#)

FOIA. See Freedom of Information Act.

Food and Agriculture Organization (FAO) of the
United Nations
definition of [Glossary-1-8](#)

Foreign phytosanitary certificate, stamping [3-4-3](#)

Foreign products, definition of [Glossary-1-8](#)

Free of regulated pests [4-5-4](#)

Freedom of Information Act (FOIA)
confidentiality [2-1-4](#)
officer [2-1-5](#)
requests [E-1-4](#)

FV Forms
146, Certificate of Quality and Condition (Pro-
cessed Foods) [G-1-2](#)
147, Certificate of Quality and Condition (Pro-
cessed Foods) Quality Assurance [G-1-3](#)
149, Certificate of Quality and Condition (Pro-
cessed Foods) Continuous Inspection [G-1-4](#)
294, Report on Sanitary Inspection [G-1-5](#)

G

Gangrene [4-5-12](#)

Generation 1 plant material [4-5-10](#)

Generation 2 plant material [4-5-10](#)

Genetically Modified Organism (GMO) [2-1-7](#)

Globodera spp [4-5-12](#)

Golden nematode [4-5-12](#)

Golden Nematode Management Plan [4-5-7](#)

Grade
not listing or referring to on PPQ Form 577 [4-3-6](#)

Grain Inspection, Packers and Stockyards Administration (GIPSA) [2-1-7](#)
definition of [Glossary-1-9](#)
Office of International Affairs [2-1-7](#)

Greenhouse or controlled environment
production [4-5-9](#)

Growing season inspection
definition of [Glossary-1-9](#)

Grub hole control [5-2-17](#)

H

Handling held exports worksheet [G-1-10](#)

Heat treatment of coniferous sawn wood to European Union [5-2-2](#)

Held export shipments [G-1-11](#)

Hermetically sealed containers [4-4-2](#)

Highlighting, meaning in the XPM [1-1-7](#)

Hybrid, definition of [Glossary-1-10](#)

Hypergeometric table [3-4-4](#)

I

Immediate updates [1-1-9](#)

Import permit (IP)
definition of [Glossary-1-10](#)

Import requirements [3-3-6](#)

Important, as an advisory [1-1-6](#)

Inactivation of ACOs [5-1-7](#)

Intentions, meaning in the XPM [1-1-8](#)

Inspecting
plants or plant products [3-4-5](#)
recording results [3-4-12](#)

Inspection certificates
acceptable [3-4-3](#)
definition of [Glossary-1-10](#)

Inspection results, recording [3-4-12](#)

Intended uses
not listing or referring to on PPQ Form 577 [4-3-6](#)

International Plant Protection Convention (IPPC)
definition of [Glossary-1-11](#)
general information [2-1-8](#)
information included in EXCERPT [B-1-4](#)
international model of phytosanitary certificates
established by [2-1-6](#)
standards established by [1-1-4](#)

International Standards for Phytosanitary Measures (ISPMs)
definition of [Glossary-1-11](#)

In-vitro production [4-5-9](#)

Italicized brackets, meaning in the ECM [1-1-8](#)

K

Kiln facility [5-2-7](#)

L

label, pressure sensitive, [4-4-4](#)

Lead time
definition of [Glossary-1-11](#)

Legislative and Public Affairs [2-1-5](#)

Letter of credit
definition of [Glossary-1-12](#)
policy [2-1-8](#)

Limited generation system
definition of [4-5-3](#), [Glossary-1-12](#)
export certification of seed potatoes [4-5-7](#)



Line selected hill units [4-5-3](#)

Lumber

containerized oak, special procedures [4-1-1](#)
 grading agencies [5-2-1](#), [5-2-5](#), [5-2-20](#)
 grading agencies participating in mill certification programs
 for heat treatment of sawn wood [5-2-6](#)
 for kiln drying of coniferous sawn wood [5-2-13](#)
 grading certificates, debarking and grub hole control example [5-2-21](#)
 mills [5-2-9](#)

M

Major errors on export certificates [5-1-6](#)

Manual

suggestions [1-1-10](#)

Masking tape [4-4-4](#)

Meloidogyne spp [4-5-12](#)

Memorandum of Understanding (MOU)

debarking and grub control of coniferous sawn wood [5-2-17](#)
 definition of [Glossary-1-12](#)
 Federal-State cooperative program [5-1-1](#), [5-1-9](#)
 kiln-dried lumber [5-2-10](#)
 list of active Federal-State MOUs [5-1-13](#)

Microtubers

as seed potatoes intended for planting [4-5-3](#)
 definition of [Glossary-1-13](#)
 for pre-nuclear stock seed potatoes [4-5-9](#)

Mill certificate of kiln drying [5-2-14](#), [5-2-15](#)

Mill certification program [5-2-1](#)

for debarking and grub hole control of coniferous sawn wood [5-2-17](#)
 for heat treatment of coniferous sawn wood to European Union Countries [5-2-2](#)
 responsibilities [5-2-9](#)

Minitubers

as seed potatoes intended for planting [4-5-3](#)
 definition of [Glossary-1-13](#)
 for nuclear stock seed potatoes [4-5-9](#)

Minneapolis Financial Services Branch [3-7-10](#), [3-7-14](#), [3-7-19](#)

Minor errors on export certificates [5-1-7](#)

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](#), [3-7-16](#)

Monitoring

definition of [Glossary-1-13](#)
 See also Treatment.

Mushroom spawn [3-3-2](#), [3-3-3](#)

Mushrooms, edible [3-3-2](#)

N

Names, list of approved countries, islands, and dependencies [C-1-1](#)

National Plant Board [B-1-4](#)

National Plant Protection Organization (NPPO)

definition of [Glossary-1-13](#)
 official communication from [3-1-3](#)
 PPQ delegated as [1-1-5](#)

National Seed Health System [2-1-2](#)

Nematode

cyst [4-5-12](#)
 golden [4-5-12](#)
 pine wood [5-2-1](#)
 potato rot [4-5-12](#)
 root-knot [4-5-12](#)

Nominating State officials for Federal-State Cooperative Program [5-1-2](#)

Non-quarantine pest

definition of [Glossary-1-13](#)
 regulated, definition of [Glossary-1-19](#)

North American Plant Protection Organization (NAPPO)

definition of [Glossary-1-13](#)
 information included in EXCERPT [B-1-4](#)
 standards established by [1-1-4](#)

Notice

as an advisory [1-1-5](#)
 meaning in the XPM [1-1-5](#)

Nuclear stock seed potatoes [4-5-9](#)

Numbered lists, meaning in the XPM [1-1-8](#)

Numbering scheme, meaning in the XPM [1-1-8](#)

O

Oats, seed sampling [4-4-3](#)

- Official communication [3-1-3](#)
- Official indicia [4-5-12](#)
- Official State Seed Potato Certification Agency, definition of [Glossary-1-14](#)
-
- P**
- Party country, definition of [Glossary-1-14](#)
- Pelletized seed [4-4-7](#)
- Pellets, definition of [Glossary-1-14](#)
- Personal checks [3-7-6](#), [3-7-11](#), [3-7-16](#)
- Pest
 definition of [Glossary-1-14](#)
 non-quarantine, definition of [Glossary-1-13](#)
 quarantine, definition of [Glossary-1-19](#)
 regulated non-quarantine, definition of [Glossary-1-19](#)
- Pest free area (PFA), definition of [Glossary-1-14](#)
- Pest free place of production, definition of [Glossary-1-14](#)
- Pest free production site, definition of [Glossary-1-14](#)
- Pesticides [4-4-4](#)
- Phoma exigua* pv. *foveata* [4-5-12](#)
- Phytosanitary Certificate
 definition of [Glossary-1-15](#)
 model letter documenting errors on [5-1-5](#)
 PPQ Form 577 [3-5-6](#)
 State, definition of [Glossary-1-21](#)
- Phytosanitary Certificate for Reexport
 PPQ Form 579 [3-5-10](#)
- Phytosanitary Certificate Issuance and Tracking (PCIT)
 as a related database [1-1-4](#)
- Phytosanitary Certificate Issuance and Tracking System (PCIT)
 general information [D-1-1](#)
- Phytosanitary Issues Management (PIM) [1-1-2](#)
- Pine wood nematode [5-2-1](#)
- Place of production, definition of [Glossary-1-16](#)
- Plant product, processed, definition of [Glossary-1-18](#)
- Plant products, definition of [Glossary-1-16](#)
- Plant Protection Act
 as enabling legislation [1-1-4](#)
 violations of [2-1-6](#)
- Plant Protection and Quarantine (PPQ) [1-1-2](#)
 definition of [Glossary-1-16](#)
- Plantlets
 as seed potatoes intended for planting [4-5-3](#)
 definition of [Glossary-1-16](#)
 for pre-nuclear stock seed potatoes [4-5-9](#)
- Plants
 definition of [Glossary-1-17](#)
 for planting, definition of [Glossary-1-17](#)
 in vitro, definition of [Glossary-1-17](#)
 terrestrial, definition of [Glossary-1-21](#)
- Plastic gloves [4-4-4](#)
- Point of entry. See Authorized port.
- Policy
 genetically modified organisms [2-1-7](#)
 retaining forms [2-1-14](#)
 seed sampling, laboratory analyses and time limits [2-1-9](#)
 time limits [2-1-15](#)
 treatments [2-1-16](#)
 user fees [2-1-18](#)
- Port, authorized, definition of [Glossary-1-3](#)
- Post harvest test [4-5-4](#)
- Potato Necrotic Virus Management Plan [4-5-7](#)
- Potato plantlets [4-5-3](#)
- Potato rot nematode [4-5-12](#)
- Potatoes, seed, definition of [Glossary-1-20](#)
- PPQ (Plant Protection and Quarantine), definition of [Glossary-1-16](#)
- PPQ Forms
 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export [3-2-1](#)
 definition of [Glossary-1-2](#)
 distribution of [3-2-5](#)
 See also Application for Inspection and Certification of Domestic Plants and Plant Products for Export (PPQ Form 572).
 576, Attachment Sheet for Phytosanitary Certificate or Phytosanitary Certificate for Reexport attachment to PPQ Form 577 [3-5-14](#)

attachment to PPQ Form 579 [3-5-15](#)
 completion of [G-1-14](#)
 example of [G-1-12](#)
 purpose of [G-1-13](#)
 use of [3-5-4](#)

577, Phytosanitary Certificate
 definition of [Glossary-1-17](#)
 distribution of [3-5-14](#)
 example of [3-5-7](#)
 purpose of [3-5-6](#)

578, Export Certificate, Processed Plant Products
 completion of [3-6-3](#)
 example of [3-6-4](#)
 See also Export Certificate, Processed Plant Products (PPQ Form 578).

579, Phytosanitary Certificate for Reexport
 distribution of [3-5-15](#)
 example of [3-5-11](#)
 purpose of [3-5-10](#)
 See also Phytosanitary Certificate for Reexport (PPQ Form 579).

Practically free
 definition of [Glossary-1-18](#)
 working definition of [3-4-7](#)

Pre-nuclear stock seed potatoes [4-5-9](#)

Privacy Act [2-1-5](#)

Privacy requirements [4-5-5](#)

Problems with the XPM, reporting [1-1-10](#)

Processed plant product, definition
 of [Glossary-1-18](#)

Processed plant products certificate (PPQ Form 578)
 general information [3-6-1](#)

Processed products [B-1-3](#)

Production site, pest free
 definition of [Glossary-1-14](#)

Products
 domestic, definition of [Glossary-1-6](#)
 foreign, definition of [Glossary-1-8](#)

Propagated, artificially, definition of [Glossary-1-3](#)

Protected plants
 determining if regulated by CITES and ESA [3-3-5](#)

Protocol
 definition of [Glossary-1-18](#)
 table to determine [A-1-1](#)

Purdue University
 EXCERPT responsibilities [B-1-4](#)

Q

Quarantine pest, definition of [Glossary-1-19](#)

Questions

about the manual [1-1-10](#)
 contacts for [A-1-1](#)

R

Ragweed [4-3-3](#)

Ralstonia solanacearum [4-5-12](#)

Reaccreditation

of ACOs [5-1-4](#)
 of suspended ACOs [5-1-8](#)
 training exam [5-1-8](#)

Reactivation of ACOs [5-1-7](#)

Recording inspection results [3-4-12](#)

Refunds for unused Federal plant export certificates [3-7-29](#)

Regional Program Managers [E-1-5](#)

Regional Standards for Phytosanitary Measures (RSPM) [1-1-5](#)

Regulated non-quarantine pest, definition
 of [Glossary-1-19](#)

Report on Sanitary Inspection
 example of AMS Form FV 294 [G-1-5](#)

Reporting problems with the XPM [1-1-10](#)

Responsibilities

Authorized Certification Officials (ACOs) [E-1-2](#)
 Export Certification Specialists (ECSs) [E-1-3](#)
 Export Services (ES) [E-1-6](#)
 exporter or shipper [E-1-1](#)
 Regional Program Managers [E-1-5](#)
 Trade Specialists [E-1-4](#)

Restriction, definition of [Glossary-1-20](#)

Retesting of examinees [5-1-8](#)

Review process for export certificates [5-1-4](#)

Revisions to manuals [1-1-8](#)

Rhizobia [4-4-4](#)

Ricinus communis [4-3-3](#)



Root-knot nematode [4-5-12](#)

Russia [4-3-3](#)

S

Safety precautions and procedures [4-4-7](#)

Section
meaning in the XPM [1-1-8](#)

Security guidelines [4-5-5](#)

Seed
agricultural
definition of [Glossary-1-2](#)
vegetable
definition of [Glossary-1-22](#)

Seed Certification Technical Committee
(SCTC) [4-5-8](#)

Seed potatoes
definition of [4-5-3](#), [Glossary-1-20](#)
special procedures [4-5-1](#)

Seed sampling
special procedures [4-4-1](#)

Seed sampling, laboratory analyses and time
limits [2-1-9](#)

Seed treatment [2-1-17](#)

Seeds
inspecting [4-4-7](#)

Shipment
definition of [Glossary-1-20](#)
See also consignment.

Sizes
not listing or referring to on PPQ Form 577 [4-3-6](#)

Square-edged criteria [4-1-1](#)

Stamping foreign phytosanitary certificates [3-4-3](#)

State certification tags [4-5-12](#)

State phytosanitary certificate
definition of [Glossary-1-21](#)
exporter use of [3-3-5](#)

State/National Harmonization Program for Seed
Potatoes [4-5-3](#)

Stem cuttings [4-5-3](#)

Storage facilities [4-5-8](#)

Subsamples [4-4-2](#) to [4-4-4](#)

Suggestions
contacts for [A-1-1](#)
for improving the manual [1-1-10](#)

Summary
definition of [Glossary-1-8](#)

Supplemental forms [G-1-1](#)

Suspension of ACOs [5-1-8](#)

Synchytrium endobioticum [4-5-12](#)

T

Tables, how to use [1-1-6](#)

Terrestrial plants, definition of [Glossary-1-21](#)

Thuja [5-2-20](#), [5-2-22](#)

Time limits [2-1-15](#)

Tissue culture potatoes [4-5-4](#)

Tolerances
for generation 2-U.S. export seed
potatoes [4-5-10](#)
for generation 3-U.S. export seed
potatoes [4-5-10](#)
for generation 4-U.S. export seed
potatoes [4-5-11](#)
for generation 5-U.S. export seed
potatoes [4-5-11](#)

Trade names
not listing or referring to on PPQ Form 577 [4-3-6](#)

Trade Specialists [E-1-4](#)

Transmittals, definition of [1-1-9](#)

Traveler's checks [3-7-6](#), [3-7-11](#), [3-7-16](#)

Treated seeds [4-4-4](#)

Treatment Manual [3-4-8](#)

Treatments [2-1-16](#)
definition of [Glossary-1-22](#)
heat [5-2-2](#)

Trier [4-4-1](#), [4-4-4](#), [4-4-5](#)

Tubercles
as seed potatoes intended for planting [4-5-3](#)
definition of [Glossary-1-22](#)



Tubers

- as seed potatoes intended for planting [4-5-3](#)
- definition of [Glossary-1-22](#)

U

USDA Cyber Security Manual Series 3500 [4-5-5](#)

USDA Departmental Manual (DM)

- 3515, Privacy Requirements [4-5-5](#)
- 3525, USDA Internet Use and E-Mail Security [4-5-5](#)

USDA internet use and e-mail security [4-5-5](#)

User fees [2-1-18](#)

- collecting [3-7-5](#)
- monthly reports [3-7-30](#)
- refunds and credits [3-7-29](#)
- remitting collected [3-7-2](#), [3-7-28](#)

V**Vegetable seed**

- definition of [Glossary-1-22](#)

W

Warning, as an advisory [1-1-5](#)

Wart, potato [4-5-12](#)

Wheat grain [4-3-3](#)

Wilts [4-5-10](#), [4-5-11](#)

Wood

- coniferous sawn [5-2-1](#)
- definition of [Glossary-1-22](#)
- mill certification program for heat treatment of coniferous sawn wood [5-2-2](#)
- mill certification programs for coniferous sawn wood [5-2-30](#)

World Trade Organization (WTO), definition of [Glossary-1-22](#)

WTO. See World Trade Organization.

X**XPM**

- definition of [Glossary-1-22](#)
- suggestions [1-1-10](#)
- users, assumed experience [1-1-4](#)
- what is not covered [1-1-4](#)



