



United States
Department of
Agriculture

Animal and
Plant Health
Inspection
Service

Plant Protection and
Quarantine

CITES I-II-III Timber Species Manual



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Parts of *Appendix F, Commodity Recognition and Wood Identification*, are from the *CITES Identification Guide—Tropical Woods*, published by authority of the Minister of Environment, Minister of Supply and Services, Canada, with the collaboration of the United States Department of Agriculture (USDA), Forest Service (FS), and Animal and Plant Health Inspection Service (APHIS).

1

CITES I-II-III Timber
Species Manual

Introduction

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Purpose

The *CITES Appendices I-II-III Timber Species Manual* provides the procedures for the enforcement of the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES) Appendix I, Appendix II, and Appendix III timber species.

As defined by the Convention, the appendices are as follows:

- Appendix I includes those timber species that are the **most** endangered among CITES-listed plants, and are threatened with extinction; CITES generally prohibits commercial international trade in specimens of these species
- Appendix II includes those timber species which are **not** necessarily threatened with extinction, but may become so unless trade in specimens of such species is subject to strict regulation in order to avoid utilization which is incompatible with the species' survival
- Appendix III includes those timber species that have been added at the request of a Party that already regulates trade in the species and that needs the cooperation of other countries to prevent unsustainable or illegal exploitation of the species

Scope

What the Manual Covers

The *CITES I-II-III Timber Species Manual* covers CITES Appendix I, Appendix II, and Appendix III Timber species of the Convention on International Trade in Endangered Species of Wild Fauna and Flora.

The manual is divided into the following chapters:

- *Introduction*
- *Importation of CITES Protected Species*
- *Re-exportation of CITES Protected Timber Species*
- *Violations, Seizures, and Forfeitures*

The *Introduction* provides basic information about the manual, such as the purpose, scope, users, related documents, directions for using the manual, and a description of conventions used throughout the manual.

The *Importation of CITES Protected Species* chapter provides the procedures for verifying and handling importing of articles produced from timber species listed as CITES Appendix I, Appendix II, and Appendix III.

The *Re-exportation of CITES Protected Timber Species* chapter provides the procedures for verifying and handling re-exporting of articles produced from timber species listed as CITES Appendix I, Appendix II, and Appendix III.

The *Violations, Seizures, and Forfeitures* chapter provides the procedures for documenting violations, and seizing and forfeiting of illegally-traded CITES regulated material.

The appendixes provide supplemental information to assist CBP Agricultural Specialists, PPQ Plant Health Safeguarding Specialists, and PPQ Export Certification Specialists who use the manual with carrying out specific duties.

The *Glossary* defines specialized words, abbreviations, and acronyms, and other terms that are used in the difficult or unfamiliar identification of lumber.

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

What the Manual Does Not Cover

The manual **does not** cover the following;

- Information about medicinals and other derivatives that are intended for human consumption and derived from CITES Appendix I, Appendix II, or Appendix III timber species (see the *Miscellaneous and Processed Products Manual*)
- Information about woody species and species that simulate the growth habit of woody species (such as cycads and palms), that are used solely for medicinal or herbal medicines or used solely as horticultural specimens (see the *Miscellaneous and Processed Products Manual*)
- Port policies or guidelines
- Wood identification detailed techniques (see the *CITES Identification Guide—Tropical Woods*)

Users

This manual is written for use by CBP Agricultural Specialists, PPQ Plant Health Safeguarding Specialists, PPQ Export Certification Specialists, and other CBP and PPQ personnel; State cooperators; and collaborators at airports and maritime locations. The experience level of users will vary, but the CBP Agricultural Specialists and PPQ Plant Health Safeguarding Specialists and PPQ Export Certification Specialists have, at minimum, a working knowledge of using PPQ manuals to make regulatory decisions.

Related Documents

Authority

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

- Civil Asset Forfeiture Reform Act of 2000
- Endangered Species Act of 1973 (ESA)¹
- Homeland Security Act of 2002²

1 The Endangered Species Act of 1973 authorizes the USDA to enforce the Convention of International Trade in Endangered Species of Wild Fauna and Flora (CITES).

2 The Homeland Security Act of 2002 authorizes the Department of Homeland Security to enforce Section II of the Endangered Species Act of 1973.

Authority for specific regulatory actions is contained in the Code of Federal Regulations (CFR) Titles 7 and 50. and the Homeland Security Act of 2002.

Code of Federal Regulations

The Code of Federal Regulations (CFR) provide the authority for the regulatory action taken and are enforced by CBP and PPQ. The restrictions and prohibitions listed in this manual are covered by Titles 7 and 50.

Title 7CFR contains the following parts:

- Part 355, for specifics on endangered species regulations concerning plants
- Part 356, for specifics on forfeiture procedures

Title 50CFR, Parts 1 to 199 contains the following parts for regulating endangered species:

- Part 17.12, Endangered and Threatened Plants
- Part 23, Endangered Species Convention
- Part 24, Importation and Exportation of Plants at Designated Ports

Homeland Security Act of 2002

The Homeland Security Act of 2002 contains the following section:

- Title 4, Section 421

Refer to the *Code of Federal Regulations* for the full text of the CFRs listed above. Refer to the full text of the CITES Convention and Decisions and Resolutions of the Conference of the Parties (all are used to make regulatory decisions), at <http://www.CITES.org>.

Application

The *CITES I-II-III Timber Species Manual* contains the policies and guidelines for the tasks associated with regulating CITES Appendix I, Appendix II, and Appendix III timber species. The manual informs CBP Agriculture Specialists, PPQ Plant Health Safeguarding Specialists, PPQ Export Certification Specialists, and their managers with instructions to perform various clearance tasks.

Conventions

Conventions³ used in this manual are established by custom and are widely recognized and accepted. Major conventions used in this manual follow.

Advisories

Advisories are used throughout the *CITES I-II-III Timber Species Manual* to bring important information to your attention. Please carefully review each advisory. The definitions coincide with American National Standards Institute (ANSI), and are in the format shown below:



DANGEROUS indicates that people could **easily** be hurt or killed.



WARNING indicates that people could **possibly** be hurt or killed.



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



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



IMPORTANT indicates helpful information.

Boldface

Boldfaced type is used to emphasize important words throughout this manual. These words are: **always, cannot, do not, does not, except, lacks, must, neither, never, no, nor, not, only, other than.**

Bullets

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

³ In this context, conventions means the devices and techniques used in the manual and **not** the Convention of International Trade in International Trade of Wild Fauna and Flora (CITES).

Change Bars

A black change bar (see left margin) is used to indicate a change and appears on the revised page. Unfortunately, change bars do not always appear when text is merely deleted. Change bars from the previous update are deleted when the chapter or appendix is revised.

Chapters

This manual contains the following chapters: *Introduction*, *Importation of CITES Protected Timber*, *Re-exportation of CITES Protected Timber*, and *Violations, Seizures, and Forfeitures of CITES Protected Timber*.

Contents

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

Control Data

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

Decision Tables

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

TABLE 1-1 How to Use Decision Tables

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

Examples

Examples are used to clarify a point by applying a real-world situation.

EXAMPLE

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

Footnotes

Footnotes comment on or cite a reference to text and are referenced by number. The footnotes used in this manual include general text footnotes, figure footnotes, and table footnotes.

General text footnotes are located at the bottom of the page.

When space on the page allows, table and figure footnotes are located directly below the associated figure or table. However, for multi-page figures or tables that cover the length of a page, footnote numbers and footnote text **cannot** be listed on the same page. To locate figure footnote text or table footnote text, be sure to check the last page and the page following the end of the associated table.

Heading Levels

Within each chapter there are three heading levels. The first heading is indicated by a horizontal line, and the heading follows directly below and across both the left and right columns. The second heading is in the right-hand column with text beginning below. The third heading is in the left-hand column and the text is in the right-hand column.

Highlighting and Hypertext Links

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

EXAMPLE

See [Figure 2-1 on page 2-4](#).

Indentions

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

Italics

The following items are italicized throughout the CITES I-II-III Timber Species Manual:

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

Numbering Scheme

A two-level numbering scheme is used in this manual for figures, pages, and tables. The first number represents the chapter. The second number represents the page, figure, or table. This numbering scheme allows for identifying and updating. Dashes are used in page numbering to differentiate page numbers from decimal points.

Transmittal Number

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

EXAMPLE

10/2010-15 is the transmittal number for this update and is located in the control data on the pages in this chapter.

10 is the month the update was issued

2010 is the year the update was issued

15 is the number (the original new edition was 01 plus 14 updates)

Using the Manual

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

EXAMPLE

To find information on the species identified as CITES Appendix I, Appendix II, and Appendix III timber species, see [Step 1: Confirm the Identity of the Timber or Articles](#) on page 2-5.

Reporting Problems With or Suggestions for the Manual

Use [Table 1-2](#) to report problems, situations, disagreements, or improvements which directly affect the contents of this manual,

TABLE 1-2 Reporting Problems With or Suggestions for the CITES I-II-III Manual

If you:	Then:
Are not able to access the on-line manual	CONTACT deborah.j.briggs@aphis.usda.gov in the Manuals Unit or call 240-529-0357
Have a situation that requires an immediate response regarding a procedure or regulatory action	<ol style="list-style-type: none"> 1. PPQ CONTACT your PPQ Botanist 2. If the PPQ Botanist is not available or is unable to answer your question, then contact the National CITES Specialist timothy.j.torbett@aphis.usda.gov or the National CITES Coordinator john.veremis@aphis.usda.gov 3. Be sure to include your name, e-mail address, and phone number
	CBP contact the field office liaison through the chain of command
Disagree with a policy, procedure, or regulatory action identified in the manual	<ol style="list-style-type: none"> 1. PPQ CONTACT your PPQ Botanist 2. If the Botanist is not available or is unable to answer your question, then contact the National CITES Specialist timothy.j.torbett@aphis.usda.gov or the National CITES Coordinator john.veremis@aphis.usda.gov
	CBP contact the field office liaison through the chain of command
Have a suggestion for improving the formatting of the manual (design, layout, composition), grammar, or spelling	CONTACT deborah.j.briggs@aphis.usda.gov in the Manuals Unit or call 240-529-0357

Manual Updates

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

Immediate update revisions to the manual are issued and distributed via e-mail to CBP Agricultural Specialist and all PPQ employees.

Each immediate update contains the following information:

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

Ordering Additional Manuals and Revisions

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

2

CITES I-II-III Timber
Species Manual

Importation of CITES Protected Species

Procedures

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Introduction

This chapter provides the guidelines for handling the importation of CITES Appendix I, Appendix II, and Appendix III protected species. These guidelines are to be used for the following:

- Confirming that the commodity is in a form which is regulated
- Determining which permits and/or certificates are required
- Verifying that the documents are valid

- Inspecting the commodity to verify that the quantity in the shipment matches the quantity listed on the CITES document
- Instructing the user on how to validate a CITES document
- Distributing and filing the paperwork



Use these guidelines in conjunction with 7CFR 319.40 (see the “Wood and Other Forest Products (Articles of the Timber and Lumber Industry)” section of the [Miscellaneous and Processed Products Manual](#) and the Plant Protection Act. When applying these guidelines, first apply the regulations that prevent the entry of plant pests. In addition to a USDA-APHIS ePermits-issued *Protected Plant Permit*, many wood and forest products also require *PPQ Form 597, Import Permit for Plants and Plant Products* (see also *PPQ Form 585, Application to Import Timber or Timber Products*).

Preparation

As with other port documents, copies of CITES documents **must** also be filed in an organized, consistent manner. The CITES files and copies maintained at your port are important in case the originals become lost or destroyed. An accessible filing system will also enable you to comply with requests for information made by other government and non-government agencies and the general public through the Freedom of Information Act (FOIA).

Filing System

If you already have a filing system for retaining CITES records in place at your port, then review these instructions to be sure your system is functional. If you **do not** have a filing system in place, then follow the instructions below.

To set up a filing system, do as follows:

1. Decide on the filing system that is most practical for your location. Select one of the following methods to keep the records complete and accessible:
 - File alphabetically by permittee's name
 - File chronologically by month and year
2. Select the documents to be filed. At a minimum, you **must** file the following in the order listed below:
 - A. CITES document (**must** be a validated copy)
 - B. Customs entry
 - C. Dimensional specification sheets (if applicable)
 - D. Invoice/packing list
 - E. Lading bill or air waybill
 - F. Phytosanitary Certificate (if required)

After filing the documents, you **must** maintain each file for a minimum of five years, counting from the date the importation occurred.

EXAMPLE A file **must** be maintained until January 24, 2013 for an importation that occurred on January 24, 2008.

Procedures

The procedures for handling the importation of CITES Appendix I, Appendix II, and Appendix III protected timber species are summarized in [Figure 2-1](#).

1. Confirm that the commodity is a CITES Appendix I, Appendix II, or Appendix III protected timber species.
2. Determine if the form of the commodity imported is protected by CITES.
3. Determine if you have the authority to validate the shipment.
4. Determine which CITES documents **must** accompany the shipment.
5. Collect all relevant documents associated with the importation.
6. Verify that the CITES document accompanying the importation is authentic and acceptable.
7. Verify that the USDA-APHIS ePermits-issued *Protected Plant Permit*, has **not** expired.
8. Compare shipping documents with CITES documents to confirm the quantities are authorized.
9. Inspect the shipment to make sure the quantities are authorized.
10. If the shipment is in order, then validate the CITES documents by stamp and endorsement.
11. Distribute and file the endorsed documents.

FIGURE 2-1 Summary of Procedures for Handling the Importation of CITES Appendix I, Appendix II, and Appendix III Protected Timber Species

Follow the steps below when handling the importation of CITES Appendix I, Appendix II, and Appendix III protected timber species used for lumber or other wood products.

Step 1: Confirm the Identity of the Timber or Articles

Currently, there are 6 CITES Appendix I species, 22 Appendix II taxa (18 species and 4 genera), and 9 CITES Appendix III species used for lumber or other wood products. The most frequently used common names are shown beside the scientific names listed below. For a list of other common names, see [Table 2-2 on page 2-10](#).

CITES Appendix I Species

The CITES Appendix I protected species are as follows:

- *Abies guatemalensis* (Guatemalan fir)
- *Araucaria araucana* (monkey puzzle tree)
- *Dalbergia nigra* (Brazilian rosewood)
- *Fitzroya cupressoides* (alerce)
- *Pilgerodendron uviferum* (pilgerodendron)
- *Podocarpus parlatorei* (Parlatore's podocarp)

CITES Appendix II Species

The CITES Appendix II protected species are as follows:

- *Aniba rosaeodora* (Brazilian rosewood)
- *Bulnesia sarmientoi* (galacwood)
- *Caesalpinia echinata* (pernambuco)
- *Caryocar costaricense* (ajillo)
- *Dalbergia* spp. (Madagasy rosewoods)



Effective June 12, 2013, *Dalbergia* spp. was listed as Appendix II for populations of Madagascar.

- *Dalbergia cochinchinensis* (Thailand rosewood)



Effective June 12, 2013, *Dalbergia cochinchinensis*, *Dalbergia granadillo*, *Dalbergia retusa*, and *Dalbergia stevensonii* were listed as Appendix II.

- *Dalbergia granadillo* (Granadillo rosewood)
- *Dalbergia retusa* (black rosewood)
- *Dalbergia stevensonii* (Honduras rosewood)

- *Diospyros* spp. (Madagasy ebonies)



Effective June 12, 2013, *Diospyros* spp. was listed as Appendix II for populations of Madagascar.

- *Gonystylus* spp. (ramin)
- *Guaiacum* spp. (lignum vitae)
- *Oreomunnea pterocarpa* (gavilan)
- *Osyris lanceolata* (African sandalwood)
- *Pericopsis elata* (afrormosia)
- *Platymiscium pleiostachyum* (cristobal graradillo)
- *Prunus africana* (African rosewood)
- *Pterocarpus santalinus* (red sandalwood, redsanders)
- *Senna meridionalis* (taraby)



Effective June 12, 2013, *Senna meridionalis* was listed as Appendix II.

- *Swietenia humilis* (Pacific Coast mahogany)
- *Swietenia macrophylla* (bigleaf mahogany)
- *Swietenia mahogani* (Caribbean mahogany)

CITES Appendix III Species

The CITES Appendix III protected species are as follows:

- *Cedrela fissilis* (Argentine cedar)
- *Cedrela lilloi* (cedro)
- *Cedrela odorata* (Spanish cedar)
- *Dalbergia darienensis*
- *Dipteryx panamensis* (almendro)
- *Magnolia liliifera* var. *obovata* (magnolia)
- *Pinus koraiensis* (Korean pine)
- *Podocarpus neriifolius* (podocarp)
- *Tetracentron sinense* (tetracentron)

Shipping Documents Review

To determine that the importation is of a CITES Appendix I, Appendix II, or Appendix III timber species, review the shipping documents. Regulations require CITES plants be identified to their genus and species by one of the following:

- Label
- Invoice, or packing list, or tag
- Other document accompanying the shipment

For a complete list of flora protected by CITES, see the [CITES Appendixes](#) on the [CITES Web site](#).

CITES protected timber may be manifested or invoiced by a trade name or a local name. If you are given a common name that you **do not** recognize or is **not** listed in [Figure 2-2 on page 2-10](#), and you want to confirm the scientific name of what is imported or you want to determine whether the wood is listed as protected, then go to the following CITES Web site: <http://www.CITES.org/Eng/resources/species.html>.



The CITES Web site listed above **does not** include all common names for CITES-regulated species. The importer or the importer's agent is responsible for providing you with the scientific name of the timber species traded.

CITES Listed Species Database

Follow these steps to use the CITES-listed species database:

1. In the left column of the screen, click "Common name" and "Find it".
2. Enter the common name (faster search) or part of the name (slower search).
3. At "Select a language" select "All" (default).
4. At "Select a country" select "All" (default).
5. Click on the "Search" button.
6. Select a common name from the list, then click on the "Display Details" button.

For timber species commodity recognition and a synopsis of wood identification, see [Appendix F](#). For detailed instructions on how to identify wood of CITES regulated species, see the *CITES Identification Guide—Tropical Woods* guide.

Urgent Interception Identification

If after inspecting the wood or articles and reviewing the entry paperwork, you are still unable to determine the identity of the wood or articles or suspect or question that the article is **not** as identified on the manifest or invoice, then do as follows:

1. Contact the PPQ Botanist ¹(see [Table 2-1](#)) that services your port to determine if taking a sample of the wood is necessary.
2. You may be directed (by the PPQ Botanist) to sample the commodity and send the sample to either a PPQ Area Identifier specializing in CITES wood identification or the Forest Products Laboratory.
3. Complete *PPQ Form 309A, Interception Record*, for URGENT interceptions, and assign a Port Reference Number for each specimen.
4. Enclose the specimen(s) and interception form(s) in an escape-proof package. Affix black and yellow tape to the outside of the package, and ship using an overnight delivery service with tracking capacity.
5. If you have been instructed to send the interception(s) to a PPQ Area Identifier specializing in CITES wood identification, then see [Table 2-1 on page 2-8](#).

TABLE 2-1 List of PPQ Area Identifiers Specializing in CITES Wood Identification

Area	PPQ Area Identifier Specializing in CITES Wood Identification	Phone	FAX
Eastern Region	USDA-APHIS-PPQ Plant Inspection Station Attn: Leo Castaneda, Botanist PO Box 660520 Miami, FL 33266	305/492-1854	305/492-1742
Western Region	USDA-APHIS-PPQ Plant Inspection Station Attn: Jamal Al-Henaid, Botanist 11840 South La Cienega Blvd. Hawthorne, CA 90250	310/725-1916	310/725-1922
<ul style="list-style-type: none"> • Alaska • Colorado • Idaho • Montana • North Dakota (Canadian border ports only) • Utah • Washington • Wyoming 	USDA-APHIS-PPQ Plant Inspection Station Attn: Gayle Van de Kerckhove, Plant Pathologist 835 S. 192nd Street, Suite 1600 SeaTac, Washington 98148-2394	206/878-6600	206/870-8043

¹ To locate the name, phone number, and address of the PPQ Botanist that services your port, see the [Lists of PPQ Identifiers and National Specialists](#).

If you are instructed by the PPQ Area Identifier (specializing in CITES wood identification) to send the interception directly to the Forest Products Laboratory, then follow the packaging directions above and send the package to the following address:

USDA-Forest Products Laboratory
Attn: Alex C. Wiedenhoeft or Michael Wiemann
One Gifford Pinchot Drive
Madison, WI 53726-2398
Phone: 608/231-9341

List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species

TABLE 2-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species

Scientific Name	Common Name	Other Common Names
<i>Abies guatemalensis</i>	Guatemalan fir	abeto mexicano, guayami, Mexican fir, pinabete, plumajatzin, plumajillo de montaña, sapin de Guatemala
<i>Aniba rosaeodora</i>	Brazilian rosewood	bois de Rosenholzbaum, legno di rose, pau-rosa, palo de rosa, rosewood tree
<i>Araucaria araucana</i>	monkey puzzle tree	apeboom, araucaria du Chile, Chilean pine, chilensk tall, Chili pine, Chili tall, Chilie pine, parana pine, pehuen, pilon, pin du Chili, pino, pino araucaria, pino de Chile, pino de Neuquén, pino de Paraná, piñonero, piñón, sapin du Chili
<i>Bulnesia sarmientoi</i>	gaiacwood	bois de gaic, gaiacwood, guajakhoz, guajaco, guajakholz, guayacan, palo balsamo, palo santo, Paraguay-lignum-vitae, true guaiac
<i>Caesalpinia echinata</i>	pernambuco	brasileto, Brazilwood, ibirapitanga, orabutã, pau-Brasil, pau-de-pernambuco, pau-pernambuco, pau-rosado, peachwood, pernambuco-wood
<i>Caryocar costaricense</i>	ajillo	aji, ajo, almendrillo, almendro, almendro de bajo, almendron, cagui, firme, genenè, manu, maqui-maqui cagui, pequia, pequia brava, pete rana do terra firme, petè, pete-rana, plomillo, rana do terra, swari
<i>Cedrela fissilis</i>	Argentine cedar	Central American cedar, cedro, cigar box cedar, rose cedar
<i>Cedrela lilloi</i>	cedro	
<i>Cedrela odorata</i>	Spanish cedar	acajou rouge, akuyari, atoreb, Barbados cedar, Brazilian cedar, British Guiana cedar, British Honduras cedar, cedar, cèdra acajou, cèdre des barbaies, cèdre rouge, cedrela, cedrela wood, cedro, cedro chino, cedro colorado, cedro hembra, cedro macho, cedro obscuro, cedro real, cedro red, cedro rojo, Central American cedar, chujte, cigar-box cedar, cigarbox cedar, Colorado cedro, Cuban cedar, epi, Hondouras cedar, icte, Jamaican cedar, Kalantas, Kapere, Koperi, Kurama, Kurana, Mexican cedar, Nicaraguan cedar, parank, paranka, red cedar, rojas cedar, rosas cedar, South American cedar, Tabasco cedar, tiocuahuitl, Trinidad cedar, Wesindische zedar, West Indian cedar
<i>Dalbergia</i> spp.	rosewoods	Madagasy rosewoods
<i>Dalbergia cochinchinensis</i>	Thailand rosewood	
<i>Dalbergia darriensis</i>	Indian rosewood	
<i>Dalbergia granadillo</i>	Granadillo rosewood	
<i>Dalbergia nigra</i>	Brazilian rosewood	
<i>Dalbergia retusa</i>	black rosewood	cocobolo, cocobolo prieto, funera, granadillo, nambar, palo negro
<i>Dalbergia stevensonii</i>	Honduras rosewood	hagaedwood, Honduras rosewood, honduras palisander
<i>Diospyros</i> spp.	Madagasy ebonies	
<i>Dipteryx panamensis</i>	Almendro	almendra, almendro de montaña, amans, choiba, eboe, ìbu, iqua, Indian almond, sarrapia, tonca, tonka bean, yapo

TABLE 2-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species

Scientific Name	Common Name	Other Common Names
<i>Fitzroya cupressoides</i>	alerce	alerzcholz, fitzroy cypress, lahuan, patagonian cypress
<i>Gonystylus</i> spp.	ramin	ampudji, gaharu, gaheu, gara buaja, kaya garu, lanutanbagio, medang keran, melawis, ramin telur, sang su, seriangun
<i>Guaiacum</i> spp.	lignum vitae	auayacan, palo santo
<i>Magnolia liliifera</i> var. <i>obovata</i>	magnolia	balukhat, baranthuri, boramthuri, champak, giogi, harré, safan, siffo, taungme
<i>Oreomunnea pterocarpa</i>	gavilan	campana, engelhardia pterocarpa, gavián blanco
<i>Osyris lanceolata</i>	African sandalwood	
<i>Pericopsis elata</i>	afromosia	anyeran, asamela, assamela, assemela, awawai, ayin, baracara, benin satinwood, bohala, bohalala, bonsamdua, devils tree, egbi, ejen, golden afromosia, iatobahy do igapo, kokriki, kokrodua, liguminosae, mekoe, mohole. obang, ole, olol pardo, peonio, redbark, satinwood, tento, wahala, yellow satinwood
<i>Pilgerodendron uviferum</i>	Pilgerodendron	Chilean cedar, ciprés, ciprés de Chile, ciprés de Cordillera, ciprés de las Islas Len, cipresso del Cile, cyprès du Chili, lahuan, lanutanbagio, libocedri dell'america meridion, patagonian cypress, patagonian pilgerodendron, ten, thuja tetragona,
<i>Pinus koraiensis</i>	Korean pine	borovica kórejská, borovice korejská, channamu, hong song, Korea-Kiefer, Koreai fenyő, pin de Corée
<i>Platymiscium pleiostachyum</i>	cristobal gradillo	cachimbo, cristóbal, ñambar, roble colorado
<i>Podocarpus neriifolius</i>	podocarp	amanu, black pine, brown pine, bukiti, jati bukit
<i>Podocarpus parlatorei</i>	Parlatore's podocarp	pino blanco, pino del cerro, pino montano
<i>Prunus africana</i>	African rosewood	
<i>Pterocarpus santalinus</i>	red sandalwood, redsanders	atti, chandanam, chandanum, honne
<i>Senna meridionalis</i>	taraby	
<i>Swietenia humilis</i>	Pacific Coast mahogany	caoba, mabu, Pacific mahogany
<i>Swietenia macrophylla</i>	bigleaf mahogany	acajou, acajou Amerique, acajou d'Amerique, acajou du Honduras, Adoa, aguano, American mahogany, Americkaans mahonie, Amerikanns mahonie, ara putange, araputanga, bastard lime, bay-mahogany, baywood, belize mahogany, caòba, Honduras mahogany, mara, mogno
<i>Swietenia mahogani</i>	Caribbean mahogany	acajou, acajou de Cuba, acajou de Saint Domingue, acajou de St. Domingue, acajou des Antilles, aguano, antillen mahogani, bay mahogany, caoba, caoba de santo domingo, caoba dominicana, caobilla, chiculte, cobano, Cuban mahogany, curllet mahogany, Dominican mahogany, echites mahogani, gateado, Jamaica mahogany, Kuba mahogany, maderia, mahogani, mahog, mahogany, mahogany du pays, mahogany petites feuilles, mahok, mahoni, mongo, orura, small-leaf mahogany, West Indian mahogany, West Indies mahogany
<i>Tetracentron sinense</i>	Tetracentron	shui quing shu

Step 2: Confirm the Article Being Imported Is Regulated

CITES annotates some of the listed timber species to include or exclude certain parts and derivatives. To confirm that the listed article being imported is regulated by CITES Appendix I, Appendix II, or Appendix III, inspect the consignment and verify the description of the commodity on the accompanying shipping documents. Then continue, using [Table 2-3](#).

TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III


If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
 IMPORTANT Other woody species and species that simulate the growth characteristics of woody species (such as cycads and palms), used solely for medicinal/herbal medicines or as horticultural specimens are not covered in this manual. See the Miscellaneous and Processed Products Manual or the Plants for Planting Manual .				
<i>Abies guatemalensis</i> (Guatemalan fir)	Any country	All parts and derivatives, including manufactured and finished products ¹	→	The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Aniba rosaeodora</i> (Brazilian rosewood)	Any country	<ul style="list-style-type: none"> • Logs ³ • Lumber ⁴ • Plywood ¹⁹ • Veneer ⁵ 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Extracts	Are finished products containing extracts as ingredients, including fragrances	1. VERIFY by physical inspection that the articles are finished products containing extracts as ingredients, including fragrances 2. The articles are not regulated by CITES; EXIT this manual
			Are other than finished products containing extracts as ingredients	The articles are CITES Appendix II regulated GO to the <i>Miscellaneous and Processed Products Manual</i> to regulate
		Other than logs, lumber, plywood, veneer, or extracts	→	1. VERIFY by physical inspection that the articles are not logs, lumber, plywood, veneer, and extracts 2. The articles are not regulated by CITES; EXIT this manual

TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
<i>Araucaria araucana</i> (Monkey puzzle tree)	Any country	All parts and derivatives, including manufactured and finished products ²	→	The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Bulnesia sarmientoi</i> (gaiacwood)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Plywood¹⁹ • Veneer⁵ 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		<ul style="list-style-type: none"> • Extracts • Powder 	→	The articles are CITES Appendix II regulated GO to the <i>Miscellaneous and Processed Products Manual</i> to regulate
		Other than extracts, logs, lumber, plywood, powder, veneer	→	1. VERIFY by physical inspection that the articles are not extracts, logs, lumber, plywood, powder, or veneer 2. The articles are not CITES regulated; EXIT this manual
<i>Caesalpinia echinata</i> (pernambuco)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Veneer⁵ • Unfinished wood articles to be used for making bows for stringed musical instruments 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, and veneer, or unfinished wood articles for the fabrication of bows for stringed musical instruments	→	1. VERIFY by physical inspection that the articles are not logs, lumber, veneer, or unfinished wood articles for the fabrication of bows for stringed musical instruments 2. The articles are not regulated by CITES; EXIT this manual

TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
<i>Caryocar costaricense</i> (ajillo)	Any country	All parts and derivatives, including manufactured and finished products ⁶	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
<ul style="list-style-type: none"> • <i>Cedrela fissilis</i> (Argentine cedar) • <i>Cedrela lilloi</i> (cedro) • <i>Cedrela odorata</i> (Spanish cedar) 	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Veneer⁵ 	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, or veneer	→	<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Dalbergia</i> spp. ⁷ (Madagasy rosewoods)	Madagascar (includes articles originating in Madagascar that were re-exported from another country)	<ul style="list-style-type: none"> • Logs • Lumber • Veneer 		The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, veneer		<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer sheets 2. The articles are not regulated by CITES; EXIT this manual
	Other than Madagascar		→	<ol style="list-style-type: none"> 1. REVIEW the shipping documents to verify the country of origin is other than Madagascar 2. The articles are not regulated by CITES; EXIT this manual
<i>Dalbergia cochinchinensis</i> (Thailand rosewood)	Any country	<ul style="list-style-type: none"> • Logs • Lumber • Veneer 		The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, or veneer	→	<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual

TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
<i>Dalbergia darienensis</i> (Indian rosewood)	Panama (includes articles originating in Panama that were re-exported from another country)	All parts and derivatives except finished products ready for retail trade ⁸	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 2-23
		Finished products ready for retail trade ⁸	→	1. VERIFY by physical inspection that the articles are finished products ready for retail trade 2. The articles are not regulated by CITES; EXIT this manual
	Madagascar (includes articles originating in Madagascar that were re-exported from another country)	• Logs • Lumber • Veneer	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, and veneer	→	1. VERIFY by physical inspection that the articles are not logs, lumber, veneer 2. The articles are not regulated by CITES; EXIT this manual
	Other than Madagascar and Panama		→	1. REVIEW the shipping documents to verify the country of origin is other than Madagascar and Panama 2. The articles are not regulated by CITES; EXIT this manual
<i>Dalbergia granadillo</i> (Granadillo rosewood)	Any country	• Logs • Lumber • Plywood • Veneer	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, plywood, veneer	→	1. VERIFY by physical inspection that the articles are not logs, lumber, plywood, or veneer 2. The articles are not regulated by CITES; EXIT this manual

TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)





If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
<i>Dalbergia nigra</i> (Brazilian rosewood)	Any country	All parts and derivatives, including manufactured and finished products		The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Dalbergia retusa</i> (black rosewood)	Any country	<ul style="list-style-type: none"> • Logs ³ • Lumber ⁴ • Plywood • Veneer ⁵ 		The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, plywood, veneer		1. VERIFY, by physical inspection, that the articles are not logs, lumber, plywood, or veneer 2. The articles are not regulated by CITES EXIT this manual
<i>Dalbergia stevensonii</i> (Honduran rosewood)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Plywood • Veneer⁵ 		The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, plywood, veneer		1. VERIFY, by physical inspection, that the articles are not logs, lumber, plywood, or veneer 2. The articles are not regulated by CITES; EXIT this manual

TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
<i>Diospyros</i> spp. (Madagasy ebonies)	Madagascar (includes articles originating in Madagascar that were re-exported from another country)	<ul style="list-style-type: none"> • Logs • Lumber • Veneer sheets 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, or veneer sheets	→	<ol style="list-style-type: none"> 1. VERIFY, by physical inspection, that the articles are not logs, lumber, or veneer sheets 2. The articles are not regulated by CITES; EXIT this manual
	Other than Madagascar		→	<ol style="list-style-type: none"> 1. REVIEW the shipping documents to verify the country of origin is other than Madagascar 2. The articles are not regulated by CITES; EXIT this manual
<i>Dipteryx panamensis</i> (almendro)	Any country	All parts and derivatives, including manufactured and finished products ⁹	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Fitzroya cupressoides</i> (alerce)	Any country	All parts and derivatives, including manufactured and finished products ¹⁰	→	The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Gonystylus</i> spp. (ramin)	Any country	All parts and derivatives, including manufactured and finished products ¹¹	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Guaiacum</i> spp. (lignum vitae)	Any country	All parts and derivatives, except finished products packaged and ready for retail trade ¹²	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Finished products packaged and ready for retail trade	→	<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not packaged and ready for retail trade 2. The articles are not regulated by CITES; EXIT this manual

TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
<i>Magnolia liliifera</i> var. obovata (magnolia)	Any country	All parts and derivatives, including manufactured and finished products ¹³	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Oreomunnea pterocarpa</i> (gavilan)	Any country	All parts and derivatives, including manufactured and finished products ¹⁴	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
Osyris lanceolata (African sandalwood)	<ul style="list-style-type: none"> • Burundi • Ethiopia • Kenya • Rwanda • Uganda • United Republic of Tanzania 	All parts and derivatives except finished products packaged and ready for retail trade	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Finished products	Packaged and ready for retail trade	1. VERIFY by physical inspection, that the finished products are packaged and ready for retail sale 2. The articles are not regulated by CITES; EXIT this manual
			Not packaged and ready for retail trade	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Pericopsis elata</i> (afrormosia)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Veneer⁵ 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, or veneer	→	1. VERIFY, by physical inspection, that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Pilgerodendron uviferum</i> (pilgerodendron)	Any country	All parts and derivatives, including manufactured and finished products ¹⁵	→	The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 2-23


TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
<i>Pinus koraiensis</i> (Korean pine)	Any country	<ul style="list-style-type: none"> • Logs • Lumber • Veneer 	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, or veneer	→	1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Platymiscium pleiostachym</i> (cristobal graradillo)	Any country	All parts and derivatives, including manufactured and finished products ¹⁶	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Podocarpus neriifolius</i> (podocarp)	Any country	All parts and derivatives, including manufactured and finished products	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Podocarpus parlatorei</i> (Parlatore's podocarp)	Any country	All parts and derivatives, including manufactured and finished products	→	The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Prunus africana</i> (African rosewood)	Any country	All parts and derivatives including manufactured and finished products	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Pterocarpus santalinus</i> (red sandalwood, redsanders)	Any country	<ul style="list-style-type: none"> • Logs³ • Wood chips 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs or wood chips	→	1. VERIFY by physical inspection that the articles are not logs or wood chips 2. The articles are not regulated by CITES; EXIT this manual
<i>Senna meridionalis</i> (taraby)	Any country	All parts and derivatives including manufactured and finished products	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23

TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
<i>Swietenia humilis</i> (Pacific Coast mahogany)	Any country	All parts and derivatives, including manufactured and finished products ¹⁷	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
<i>Swietenia macrophylla</i> (bigleaf mahogany)	Neotropics ¹⁸ (includes articles originating in the Neotropics that were re-exported from another country), except Brazil or Nicaragua ²⁰	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Plywood¹⁹ • Veneer⁵ 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, plywood, or veneer	→	<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not logs, lumber, plywood, or veneer; then the articles are not regulated by CITES 2. EXIT this manual
	Brazil or Nicaragua ²⁰	→	→	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. CONTACT your regional CITES Specialist²¹ for verification of the CITES documentation 3. If your regional CITES Specialist is not available, then contact the National CITES Coordinator
	Other than Brazil, the Neotropics, or Nicaragua	→	→	<ol style="list-style-type: none"> 1. REVIEW the shipping documents to verify the country of origin is other than Brazil, the Neotropics,¹⁸ or Nicaragua 2. The articles are not regulated by CITES; EXIT this manual
<i>Swietenia mahogani</i> (Caribbean mahogany)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Veneer⁵ 	→	The article is CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 2-23
		Other than logs, lumber, or veneer	→	<ol style="list-style-type: none"> 1. VERIFY, by physical inspection, that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual

TABLE 2-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	And:	Then:
<i>Tetracentron sinense</i> (Tetracentron)	Any country	All parts and derivatives, including manufactured and finished products ²²		The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 2-23

- 1 Includes building material, cabinetmaking material, charcoal, firewood, flooring, food containers, fuel wood, furniture, joinery, light construction material, matches, particleboard, plywood, pulp/paper products, roof shingles, and veneer, etc.
- 2 Includes construction material, flooring, furniture, joinery, plywood, pulp/paper products, railroad ties, and vehicle parts, etc.
- 3 All wood in the rough whether or **not** stripped of bark or sapwood, or roughly squared for processing, notably into sawn wood, pulpwood, or veneer sheets (HS Code 44.03). See [Appendix E, Harmonized System of World Customs Organization \(HS\) Codes](#).
- 4 Wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6mm in thickness (HS Code 44.06, HS Code 44.07). See [Appendix E](#).
- 5 Thin layers or sheets of wood of uniform thickness, usually 6mm or less, usually peeled or sliced for use in making plywood, for veneering furniture, veneer containers, etc. (HS Code 44.08). See [Appendix E](#).
- 6 Includes railroad ties.
- 7 If you are unable to determine that the *Dalbergia* spp. is a species originating in Madagascar, then contact the PPQ Botanist that services your port.
- 8 A finished product packaged and ready for retail trade is a specimen that has been prepared for end use and that requires **no** further alteration to effect its purpose and is in a state fit for being sold directly to or used by the general public.
- 9 Includes agricultural implements, bearings and bushings, barge and dock fenders, boat construction articles, chemical derivatives, cogs and shafts, cross ties, fishing rods, flooring, furniture, heavy construction and pulp mill equipment, railroad ties, sporting goods, tool handles, turnery, and veneer, etc.
- 10 Includes agricultural implements, boat building materials (general), boat masts, boxes and crates, cabinetmaking materials, carvings, cigar boxes, construction materials, cooperages, flooring, food containers, fuel wood, furniture, furniture components, joinery, mathematical instruments, mine timbers, musical instruments, particleboard, pencils, piling, plywood, poles, pulp/paper products, shakes, shingles, sporting goods, toys, and vats, etc.
- 11 Includes brush backs, building materials, ceilings, counter tops, door frames, dowels, flooring, furniture, joinery, mouldings, nonstriking handles (such as brooms and umbrellas), paneling, picture frames, plywood, pool cues and racks, rulers, shoji screens, stair treads, stringers, tool handles, toys, trays, tripods, turnery, venetian blinds, window blinds, and window frames, etc.
- 12 Manufactured products include: bearings and bushings, boat building materials (general), brush backs and handles, bush blocks, farm vehicles, furniture, golf club heads, machinery parts, marine construction material, mathematical instruments, naval architecture, pulley sheaves, railroad ties, shade rollers, sporting goods, tables, textile equipment, turnery, and wheels. Regulating depends on whether or **not** the products are finished, packaged, and ready for retail trade, etc.
- 13 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 14 Includes a variety of uses within the species' natural range. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list, etc.
- 15 Includes flooring, furniture, posts, and timber. (Wood is noted for its longevity in moist environments.)
- 16 Includes furniture, musical instruments, timber, and veneer, etc.
- 17 Includes timber.
- 18 Populations of the Neotropics include the Caribbean, Central America, Mexico, and South America.

- 19 Consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle (HS Code 44.12.13, HS Code 44.12.14, and HS Code 44.12.22). See [Appendix E](#).
- 20 There is a moratorium on the export of *Swietenia macrophylla* (bigleaf mahogany) from Brazil and Nicaragua.
- 21 National CITES Specialist is Timothy Torbett, e-mail timothy.j.torbett@aphis.usda.gov. The National CITES Coordinator is John Veremis, e-mail john.veremis@aphis.usda.gov; FAX 301-734-3560.
- 22 Trade in this species is rare. If you encounter a regulated article that is **not** listed, then contact the Manuals Unit, 240-529-0357, to add the article to this list.

Step 3: Determine Your Authority

If you are **not** certain that your port is designated for the importation of CITES regulated timber, then check the Web site:

- Confirm CBP-designated ports at http://www.aphis.usda.gov/import_export/plants/plant_imports/downloads/cbp.pdf
- Confirm PPQ-designated ports at [Designated CITES Ports and Plant Inspection Stations CITES Staff](#) on page 5-1

If you are located at a CITES-designated port, then continue to [Step 4: Determine Which Documents Are Needed](#).

If you are **not** located at a CITES-designated port, then have the owner or owner's agent arrange to move the shipment under Customs and Border Protection's (CBP) bond to a designated port (at the owner's expense). Notify the designated port of the pending arrival.

See [Table 2-4 on page 2-25](#) to determine which documents are required for the importation of CITES Appendix I timber species.

Step 4: Determine Which Documents Are Needed

To determine which documents are needed for the legal importation of CITES regulated timber, use the appropriate table as follows:

- CITES Appendix I, see [Table 2-4](#)
- CITES Appendix II, see [Table 2-5](#)
- CITES Appendix III, see [Table 2-6](#)



In addition to any import permits and documents listed as required in this manual, additional import permits and other documentation may also be required under 7 CFR 319.40. See the “Wood and Forest Products (Articles of the Timber and Lumber Industry)” section of the [Miscellaneous and Processed Products Manual](#).

Required Documents for Importation of Appendix I Timber Species

The importation of a CITES Appendix I timber species is permitted when presented with appropriate documentation for the following categories of trade:

- Articles derived from trees cut in the wild for non-commercial use (when presented with a CITES management authority-issued *CITES Export Permit* or *Re-export Certificate* designating a source code W for specimens collected from the wild; and a *CITES Import Permit*)
- Articles derived from plantation-grown trees (when presented with a CITES management authority-issued *CITES Export Permit* or *Re-export Certificate* designating either source code A for artificially-propagated material being traded for non-commercial purposes; or source code D for artificially-propagated material being traded for commercial purposes)
- Articles acquired prior to the date the Convention listed the species (when presented with a CITES management authority-issued *CITES Other Certificate* designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices)



Commercial trade in CITES Appendix I species originating from the wild is **prohibited**.

See [Table 2-4 on page 2-25](#) to determine which documents are required for the importation of CITES Appendix I regulated timber species.

TABLE 2-4 Determine Which Documents Are Needed for the Importation of CITES Appendix I Timber Species


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
 <p>IMPORTANT</p> <p>Use these guidelines in conjunction with 7CFR 319.40 (see the “Wood and Other Forest Products (Articles of the Timber and Lumber Industry)” section of the Miscellaneous and Processed Products Manual and the Plant Protection Act. When applying these guidelines, first apply the regulations that prevent the entry of plant pests. In addition to a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, many wood and forest products also require <i>PPQ Form 597, Import Permit for Plants and Plant Products</i> (see also <i>PPQ Form 585, Application to Import Timber or Timber Products</i>).</p>				
<ul style="list-style-type: none"> • <i>Abies guatemalensis</i> (Guatemalan fir) • <i>Araucaria araucana</i> (monkey puzzle tree) • <i>Dalbergia nigra</i> (Brazilian rosewood) • <i>Fitzroya cupressoides</i> (alerce) • <i>Pilgerodendron uviferum</i> (pilgerodendron) • <i>Podocarpus parlatorei</i> (Parlatore's podocarp) 	Any country	Engaged in commercial business ^{1, 2}	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following CITES-issued original ³ Appendix I documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code D for artificially propagated (plantation grown) material being traded for commercial purposes • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory above</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	
		Not engaged in commercial business	→	GO to page 2-26

TABLE 2-4 Determine Which Documents Are Needed for the Importation of CITES Appendix I Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Abies guatemalensis</i> (Guatemalan fir) • <i>Araucaria araucana</i> (monkey puzzle tree) • <i>Dalbergia nigra</i> (Brazilian rosewood) • <i>Fitzroya cupressoides</i> (alerce) • <i>Pilgerodendron uviferum</i> (pilgerodendron) • <i>Podocarpus parlatorei</i> (Parlatore's podocarp) 	Any country	Not engaged in commercial business	<p>Presents both of the following CITES-issued original ³ Appendix I documents:</p> <ul style="list-style-type: none"> • Import Permit • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild <p>OR</p> <p>Presents one of the following CITES management authority-issued original Appendix I documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code A for artificially propagated (plantation grown) material being traded for noncommercial purposes • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory on page 2-2</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

- 1 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 2 Commercial trade in CITES Appendix I species originating from the wild is prohibited.
- 3 A CITES-issued original is defined as an original CITES document issued by a CITES Management Authority or an authority authorized by a CITES Management Authority.

Required Documents for Importation of Appendix II Timber Species

The importation of CITES Appendix II timber species is permitted when presented with the appropriate CITES documentation for the following categories of trade:

- Articles derived from trees cut in the wild
(when presented with a CITES management authority-issued *CITES Export Permit* or *Re-export Certificate* designating source code W for specimens collected from the wild)
- Articles derived from plantation-grown trees
(when presented CITES management authority-issued *CITES Export Permit* or *Re-export Certificate* designating source code A for artificial propagation)
- Articles acquired prior to the date the CITES Convention listed the species
(when presented with a CITES management authority-issued *CITES Other Certificate* designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices)

See [Table 2-5 on page 2-28](#) to determine which documents are required for the importation of CITES Appendix II regulated timber species.

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
 <p>Use these guidelines in conjunction with 7CFR 319.40, and see the Miscellaneous and Processed Products Manual “Wood and Other Forest Products (Articles of the Timber and Lumber Industry)” section, and the Plant Protection Act. When applying these guidelines, first apply the regulations that prevent the entry of plant pests. In addition to a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, many wood and forest products also require <i>PPQ Form 597, Import Permit for Plants and Plant Products</i> (see also <i>PPQ Form 585, Application to Import Timber or Timber Products</i>).</p>				
<ul style="list-style-type: none"> • <i>Aniba rosaeodora</i> (Brazilian rosewood) • <i>Bulnesia sarmientoi</i> (gaiacwood) • <i>Caesalpinia echinata</i> (pernambuco) • <i>Caryocar costaricense</i> (ajillo) 	Any country	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following CITES management authority-issued original Appendix II documents ²:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory above</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Dalbergia</i> spp. (Madagasy rosewoods) 	Madagascar (including articles originating from Madagascar that were re-exported to another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES management authority-issued original ² Appendix II documents: <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	
		Not engaged in commercial business		GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Dalbergia</i> spp. (Madagasy rosewoods) 	Madagascar (including articles originating from Madagascar that were re-exported to another country)	Not engaged in commercial business	<p>Presents one of the following CITES management authority-issued original ² Appendix II documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Dalbergia cochinchinensis</i> (Thailand rosewood) • <i>Dalbergia granadillo</i> (Granadillo rosewood) • <i>Dalbergia retusa</i> (black rosewood) • <i>Dalbergia stevensonii</i> (Honduras rosewood) 	Any country	Engaged in commercial business	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following CITES management authority-issued original ² Appendix II documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	
		Not engaged in commercial business		GO to page 2-31

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Dalbergia cochinchinensis</i> (Thailand rosewood) • <i>Dalbergia granadillo</i> (Granadillo rosewood) • <i>Dalbergia retusa</i> (black rosewood) • <i>Dalbergia stevensonii</i> (Honduras rosewood) 	Any country	Not engaged in commercial business	<p>Presents one of the following CITES management authority-issued original ² Appendix II documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Diospyros</i> spp.³ (Madagasy ebonies) 	Madagascar (including articles originating from Madagascar that were re-exported to another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES management authority-issued original ² Appendix II documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	
		Not engaged in commercial business		GO to page 2-34

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Diospyros</i> spp.³ (Madagasy ebonies) 	Madagascar (including articles originating from Madagascar that were re-exported to another country)	Not engaged in commercial business	<p>Presents one of the following CITES management authority-issued original ² Appendix II documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Gonystylus</i> spp. (ramin) • <i>Guaiacum</i> spp. (lignum vitae) • <i>Oreomunnea pterocarpa</i> (gavilan) 	Any country	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following CITES management authority issued original ² Appendix II documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	
		Not engaged in commercial business		GO to page 2-36

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Gonystylus</i> spp. (ramin) • <i>Guaiacum</i> spp. (lignum vitae) • <i>Oreomunnea pterocarpa</i> (gavilan) 	Any country	Not engaged in commercial business	<p>Presents one of the following CITES management authority-issued original ² Appendix II documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Osyris lanceolata</i> (African sandalwood) 	Burundi, Ethiopia, Kenya, Rwanda, Uganda, United Republic of Tanzania (includes articles originating in Burundi, Ethiopia, Kenya, Rwanda, Uganda, or United Republic of Tanzania and re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES management authority issued original ² Appendix II documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	
		Not engaged in commercial business		GO to page 2-38

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Osyris lanceolata</i> (sandalwood) 	Burundi, Ethiopia, Kenya, Rwanda, Uganda, United Republic of Tanzania (includes articles originating in Burundi, Ethiopia, Kenya, Rwanda, Uganda, or United Republic of Tanzania and re-exported from another country)	Not engaged in commercial business	Presents one of the following CITES management authority-issued original ² Appendix II documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Pericopsis elata</i> (afroormosia) • <i>Platymiscium pleiostachyum</i> (crístóbal, granadillo) • <i>Pterocarpus santalinus</i> (red sandalwood, redsanders) • <i>Senna meridionalis</i> (taraby) • <i>Swietenia humilis</i> (Pacific Coast mahogany) 	Any country	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following CITES management authority-issued original ² Appendix II documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	
		Not engaged in commercial business		GO to page 2-40

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Pericopsis elata</i> (afrormosia) • <i>Platymiscium pleiostachyum</i> (cristóbal, granadillo) • <i>Pterocarpus santalinus</i> (red sandalwood, redsanders) • <i>Senna meridionalis</i> (taraby) • <i>Swietenia humilis</i> (Pacific Coast mahogany) 	Any country	Not engaged in commercial business	<p>Presents one of the following CITES management authority-issued original ² Appendix II documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Swietenia macrophylla</i> ⁴ (bigleaf mahogany)	Neotropics ⁵ (includes articles originating in the Neotropics that were re-exported from another country), except Brazil and Nicaragua ⁶)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ² Appendix II documents: <ul style="list-style-type: none">• Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown)• Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification that the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	
	Brazil or Nicaragua			1. Place the shipment on HOLD 2. CONTACT the National CITES Specialist for verification of the CITES documentation; and if the CITES Specialist is not available CONTACT the National CITES Coordinator

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)





If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Swietenia macrophylla</i> ⁴ (bigleaf mahogany)	Neotropics ⁵ (includes articles originating in the Neotropics that were re-exported from another country), except Brazil and Nicaragua ⁶)	Not engaged in commercial business	Presents one of the following CITES-issued original ² Appendix II documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures
	Brazil and Nicaragua ⁶			<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. CONTACT your Regional CITES Specialist⁷ for verification of the CITES documentation; and if the CITES Specialist is not available, then contact the National CITES Coordinator⁸
				<ol style="list-style-type: none"> 1. REVIEW the shipping documents to verify the country of origin is not from the Brazil, the Neotropics ⁵, Nicaragua 2. If not from Brazil, the Neotropics, Nicaragua, then this article is not regulated by CITES 3. EXIT this manual
	Other than Brazil, Neotropics, Nicaragua			

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Swietenia mahogani</i> (Caribbean mahogany)	Any country	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ² Appendix II documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-5 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Swietenia mahogani</i> (Caribbean mahogany)	Any country	Not engaged in commercial business	Presents one of the following CITES-issued original ² Appendix II documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures

- 1 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 2 A CITES-issued original is defined as an original CITES document issued by a CITES Management Authority or an authority authorized by a CITES Management Authority.
- 3 If you are **not** certain the *Diospyros* spp. is of Madagasy origin, then contact your PPQ Port Botanist.
- 4 Listed by the Convention to include *Swietenia macrophylla* populations of the Neotropics **only**. *Swietenia macrophylla* trees cut in any country other than populations of the Neotropics are **not** regulated by CITES.
- 5 The Neotropics include the Caribbean, Central America, Mexico, and South America. Populations of the Neotropics include articles that originated in the Neotropics but were re-exported from another country.
- 6 There is a moratorium on the export of *Swietenia macrophylla* (bigleaf mahogany) from Brazil and Nicaragua.
- 7 The National CITES Specialist is Timothy Torbett. e-mail timothy.j.torbett@aphis.usda.gov. The National CITES Coordinator is John Veremis, e-mail john.veremis@aphis.usda.gov; FAX 301-734-3560.
- 8 The National CITES Coordinator is John Veremis, e-mail john.veremis@aphis.usda.gov; FAX 301-734-3560.

Required Documents for Importation of Appendix III Timber Species

The importation of CITES Appendix III timber species is permitted when presented with the appropriate documentation issued by a CITES management authority for the following categories of trade:

- Articles derived from trees cut in the wild originating from a country that included the species in Appendix III
(when presented with a CITES management authority-issued *CITES Export Permit* or *Re-export Certificate* designating source code W for specimens collected from the wild)
- Articles derived from trees cut in the wild originating from a country **other than** the country that included the species in Appendix III
(when presented with a CITES management authority-issued *CITES Certificate of Origin* or *Re-export Certificate* designating source code W)
- Articles derived from plantation-grown trees
(when presented with a CITES management authority-issued *CITES Export Permit* or *Re-export Certificate* designating source code A for artificial propagation)
- Articles acquired prior to the date the CITES Convention listed the species
(when presented with a CITES management authority-issued *CITES Other Certificate* designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices)

See [Table 2-6 on page 2-46](#) to determine which documents are required for the importation of CITES Appendix III regulated timber species.

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species


If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
 <p>IMPORTANT</p> <p>Use these guidelines in conjunction with 7CFR 319.40 (see the “Wood and Other Forest Products (Articles of the Timber and Lumber Industry)” section of the Miscellaneous and Processed Products Manual and the Plant Protection Act. When applying these guidelines, first apply the regulations that prevent the entry of plant pests. In addition to a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, many wood and forest products also require <i>PPQ Form 597, Import Permit for Plants and Plant Products</i> (see also <i>PPQ Form 585, Application to Import Timber or Timber Products</i>).</p>				
<ul style="list-style-type: none"> • <i>Cedrela fissilis</i> (Argentine cedar) 	Plurinational State of Bolivia (includes articles originating in the Plurinational State of Bolivia that were re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela fissilis</i> (Argentine cedar) 	Plurinational State of Bolivia (includes articles originating in the Plurinational State of Bolivia that were re-exported from another country)	Not engaged in commercial business	Presents one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela fissilis</i> (Argentine cedar) 	Other than the Plurinational State of Bolivia	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Certificate of Origin² Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela fissilis</i> (Argentine cedar) 	Other than the Plurinational State of Bolivia	Not engaged in commercial business	Presents one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Certificate of Origin² Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela lilloi</i> (Argentine cedar) 	Plurinational State of Bolivia (includes articles originating in the Plurinational State of Bolivia that were re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela lilloi</i> (Argentine cedar) 	Plurinational State of Bolivia (includes articles originating in the Plurinational State of Bolivia that were re-exported from another country)	Not engaged in commercial business	Presents one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela lilloi</i> (Argentine cedar) 	Other than the Plurinational State of Bolivia	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Certificate of Origin² Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela lilloi</i> (Argentine cedar) 	Other than the Plurinational State of Bolivia	Not engaged in commercial business	Presents one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Certificate of Origin² Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela odorata</i> (Spanish cedar) 	Brazil, Colombia, Guatemala, Peru, or Plurinational State of Bolivia (includes articles originating in Brazil, Columbia, Guatemala, Peru, or the Plurinational State of Bolivia that were re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela odorata</i> (Spanish cedar) 	Brazil, Colombia, Guatemala, Peru, or the Plurinational State of Bolivia (includes articles originating in Brazil, Columbia, Guatemala, Peru, or the Plurinational State of Bolivia that were re-exported from another country)	Not engaged in commercial business	Presents one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela odorata</i> (Spanish cedar) 	Other than Brazil, Colombia, Guatemala, Peru, or the Plurinational State of Bolivia	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Certificate of Origin² Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	1. ALLOW the exporter to apply for a <i>Protected Plant Permit</i>
			Has an expired <i>Protected Plant Permit</i>	2. GO to Confirm PPP Valid or Apply for a PPP on page 2-84

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Cedrela odorata</i> (Spanish cedar) 	Other than Brazil, Colombia, Guatemala, Peru, or the Plurinational State of Bolivia	Not engaged in commercial business	Presents one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Certificate of Origin ² Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Dalbergia darienensis</i> 	Panama (includes articles originating in Panama that were re-exported from another country)	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following CITES-issued original ³ Appendix III documents:</p> <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> PLACE the shipment on HOLD GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)


If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Dalbergia darienensis</i> 	Panama (includes articles originating in Panama that were re-exported from another country)	Not engaged in commercial business	<p>Presents one of the following CITES-issued original³ Appendix III documents:</p> <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
	Other than Panama			<ol style="list-style-type: none"> 1. REVIEW the shipping documents to verify the country of origin is other than Panama; this article is not regulated by CITES 2. EXIT this manual

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Dipteryx panamensis</i> (almendro) 	Costa Rica or Nicaragua (includes articles originating in Costa Rica or Nicaragua that were re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	1. ALLOW the exporter to apply for a <i>Protected Plant Permit</i> 2. GO Confirm PPP Valid or Apply for a PPP on page 2-84
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Dipteryx panamensis</i> (almendro) 	Costa Rica or Nicaragua (includes articles originating in Costa Rica or Nicaragua that were re-exported from another country)	Not engaged in commercial business	Presents one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Dipteryx panamensis</i> (almendro) 	Other than Costa Rica or Nicaragua	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> • Certificate of Origin² • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> <i>Dipteryx panamensis</i> (almendro) 	Other than Costa Rica or Nicaragua	Not engaged in commercial business	Presents one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> Certificate of Origin ² Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Magnolia liliifera</i> var. obovata (magnolia)	Nepal (includes articles originating in Nepal that were re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following Appendix III CITES-issued original ³ documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Magnolia liliifera</i> var. obovata (magnolia)	Nepal (includes articles originating in Nepal that were re-exported from another country)	Not engaged in commercial business	Presents one of the following Appendix III CITES-issued original ³ documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Magnolia liliifera</i> var. obovata (magnolia)	Other than Nepal	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following Appendix III CITES-issued original ³ documents: <ul style="list-style-type: none"> • Certificate of Origin² • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a Protected Plant Permit (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Magnolia liliifera</i> var. obovata (magnolia)	Other than Nepal	Not engaged in commercial business	<p>REQUIRE one of the following Appendix III CITES-issued original ³ documents:</p> <ul style="list-style-type: none"> • Certificate of Origin ² • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Pinus koraiensis</i> (Korean pine)	Russian Federation (includes articles originating in the Russian Federation that were re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none">• Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown)• Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	1. ALLOW the exporter to apply for a <i>Protected Plant Permit</i> 2. GO Confirm PPP Valid or Apply for a PPP on page 2-84
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Pinus koraiensis</i> ((Korean pine)	Russian Federation (includes articles originating in the Russian Federation that were re-exported from another country)	Not engaged in commercial business	Presents one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Pinus koraiensis</i> (Korean pine)	Other than Russian Federation	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits issued <i>Protected Plant Permit</i> , and one of the following CITES-issued original ³ Appendix III documents: <ul style="list-style-type: none"> • Certificate of Origin ² • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<i>Pinus koraiensis</i> (Korean pine)	Other than Russian Federation	Not engaged in commercial business	<p>Presents one of the following CITES-issued original ³ Appendix III documents:</p> <ul style="list-style-type: none"> • Certificate of Origin² • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Podocarpus neriifolius</i> (podocarp) • <i>Tetracentron sinense</i> (Tetracentron) 	Nepal (includes articles originating in Nepal that were re-exported from another country)	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits issued <i>Protected Plant Permit</i>, and one of the following Appendix III CITES-issued original ³ documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Podocarpus neriifolius</i> (podocarp) • <i>Tetracentron sinense</i> (Tetracentron) 	Nepal (includes articles originating in Nepal that were re-exported from another country)	Not engaged in commercial business	<p>Presents one of the following Appendix III CITES-issued original ³ documents:</p> <ul style="list-style-type: none"> • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Podocarpus neriifolius</i> (podocarp) • <i>Tetracentron sinense</i> (Tetracentron) 	Other than Nepal	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following Appendix III CITES-issued original³ documents:</p> <ul style="list-style-type: none"> • Certificate of Origin² • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a Protected Plant Permit (see Confirm PPP Valid or Apply for a PPP on page 2-84)
			Has an expired <i>Protected Plant Permit</i>	

TABLE 2-6 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the importer:	Then:
<ul style="list-style-type: none"> • <i>Podocarpus neriifolius</i> (podocarp) • <i>Tetracentron sinense</i> (Tetracentron) 	Other than Nepal	Not engaged in commercial business	<p>REQUIRE one of the following Appendix III CITES-issued original ³ documents:</p> <ul style="list-style-type: none"> • Certificate of Origin ² • Export Permit or Re-export Certificate designating source code W for specimens collected from the wild; or source code A for artificial propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Appropriate Documents Associated with the Shipment on page 2-76
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

- 1 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 2 Some CITES Management Authorities will issue a CITES Export Permit in place of a CITES Certificate of Origin.
- 3 A CITES-issued original is defined as an original CITES document issued by a CITES Management Authority or an authority authorized by a CITES Management Authority.

Step 5: Collect the Appropriate Documents Associated with the Shipment

Collect the following documents associated with the shipment:

- Original CITES Export documents issued by the exporting country's CITES Management Authority
- USDA-issued
- *Protected Plant Permit*, for importers engaged in the commercial trade of CITES listed plants (see [Protected Plant Permit](#) on page A-16 and [PPQ Form 621, Application for Protected Plant Permit to Engage in Business of Importing, Exporting, or Re-exporting...](#) on page A-14)
 - If the importer **does not** have a permit, then you may allow the importer to apply for one (see [Step 7: Ensure the Protected Plant Permit Has Not Expired](#) on page 2-84 and follow the directions for allowing the importer to renew an expired permit)
- Cargo paperwork associated with the shipment (such as bill of lading, air waybill, U.S. Customs entry, invoice, and dimensional specification sheets²)

Timber for Importation that Has Been Re-exported from Another Country

You may encounter CITES regulated timber species, or logs or articles made from regulated timber species and offered for importation that have been re-exported from another country.

EXAMPLE A shipment of Mexican *lignum vitae* (*Guaiaacum officinale*) lumber may be re-exported from Canada to the U.S. In this case, the shipment requires a CITES Re-export Certificate from the Canadian Management Authority.

EXAMPLE A shipment of Peruvian Spanish cedar (*cedrela odorata*) lumber may be re-exported from Bolivia to the U.S. In this case, the shipment requires a CITES Re-export Certificate from the Bolivian Management Authority.

For such re-exported shipments continue using these guidelines, but verify the validity of the Re-export Certificate from the Management Authority in the country from which the shipment is being re-exported rather than a CITES document from where the lumber was cut. Continue to [Step 6: Verify the CITES Document Is Authentic and Acceptable](#) on page 2-77.

² Dimensional specification sheets are used for articles that are imported in quantities expressed in cubic meters, square meters, or board feet, and inventory the size of each piece of lumber or veneer in each bundle shipped. Usually there will be more than one dimensional inventory sheet with each shipment.

Step 6: Verify the CITES Document Is Authentic and Acceptable

Compare the CITES document accompanying the shipment to the [Standard CITES Form](#) on page D-7. Follow the instructions in [Table 2-7 on page 2-77](#) to determine if the CITES document for import of the shipment is valid. Verify the management authority's address (instructions are in *Block 6* and *Block 13*) in [Table 2-7](#).



Do not accept a CITES Permit or Certificate that is altered, modified, or crossed-out unless the modification or crossing out has been authenticated by the stamp and signature of the authority issuing the document.

If you are presented with an altered or questionable CITES document, then place the shipment on HOLD and contact a PPQ Regional Botanist through proper channels for assistance.

TABLE 2-7 Instructions for CITES Permit or Certificate Validation


Standardized Block No.	Instructions
	<p>The heading <i>Standardized Block No.</i> above refers to the block location on a Standard CITES Form. The block numbers may vary according to the difference in format used by each country.</p> <p>Accept a CITES document only if the following information is accurate and complete.</p> <p>A CITES document must be written in one of the three working languages of the Convention (English, French, or Spanish) or must include a full translation into one of these three</p>
1	<p>Permit Number and Type of CITES Document</p> <ol style="list-style-type: none"> 1. VERIFY the CITES document has a permit number or certificate number (the unique control number that identifies the document) 2. VERIFY the type of CITES document presented (Export Permit/Certificate, Certificate of Origin, Re-export Certificate, or Other) corresponds with the category of trade 3. If the CITES document is marked "Other", then the document must indicate the type of certificate such as: "Certificate of Artificial Propagation" (for plantation-grown trees); "Certificate of Origin"; or "Pre-Convention Certificate"

TABLE 2-7 Instructions for CITES Permit or Certificate Validation (continued)



Standardized Block No.	Instructions
2 Expiration Date	<p>VERIFY that the document has not expired. The validity of a CITES document expires at midnight (local time at the place of presentation) on the date indicated on the document. All activities, including but not limited to transport and presentation for import must be completed before that time</p> <div data-bbox="565 506 683 625">  <p>IMPORTANT</p> </div> <div data-bbox="711 499 1398 898"> <p>A CITES Import Permit and a CITES Certificate of Origin may be valid for no more than 12 months from the issuance date.</p> <p>A CITES Export Permit or a CITES Re-export Certificate may be valid for no longer than 6 months after the issuance date. However, if the conditions outlined in 50 CFR §23.73(c)(2) and Section XI of Conference Resolution 12.3 (Rev. CoP 15), Permits and Certificates on page B-4 are met, then the CITES Management Authority in the country of import may extend the validity of an Export Permit or Re-export Certificate beyond the 6 months for timber species.</p> <p>"Other" CITES documents will state the period of validity.</p> <p>See 50 CFR §23.54 for more information on the CITES document expiration period.</p> </div>
3 & 4 Name and Address of Importer and Exporter	<ol style="list-style-type: none"> 1. VERIFY that the complete name and address, including country, of the importer and exporter are on the CITES document; and match the information on the accompanying shipping documents 2. VERIFY that the CITES document designates a U.S. consignee. If the shipment is in-transit to another country, then see page 3-64 <div data-bbox="565 1108 683 1228">  <p>IMPORTANT</p> </div> <div data-bbox="711 1102 1398 1339"> <p>Although 50 CFR 23.73(c)(1) and Section XI of Conference Resolution 12.3 (Rev. CoP 15), Permits and Certificates on page B-4 accommodate for rerouting and a change of destination, this is intended for the sale of logs, lumber, or veneer of CITES Appendix II or III timber species to a U.S. company while a shipment is in transit. The resolution does not apply to a U.S. company utilizing a CITES document issued to a foreign affiliate's address.</p> </div>
5 Special Conditions	<p>VERIFY that the permittee complies with all the conditions on the CITES document</p>
5a Purpose of Transaction	<ol style="list-style-type: none"> 1. VERIFY the purpose of transaction identified either by a written description or by one of the codes in 50CFR §23.23(d) which reflects the nature of the transaction. Most transactions will be commercial with a transaction code T 2. VERIFY the transaction code is compatible with the source code recorded in <i>Block 10</i> <div data-bbox="565 1619 678 1650"> <p>EXAMPLE</p> </div> <div data-bbox="711 1619 1398 1745"> <p>An export permit authorizing commercial trade (purpose of transaction code T) for a wild-collected Appendix I specimen (source code W) would not be valid, except for pre-Convention specimens.</p> </div>
5b Security Stamp Number or Security Number	<p>VERIFY the number listed in <i>Block 5b</i> (on the document) matches the number of the security stamp affixed in <i>Block 13</i>. Some countries may choose to use security paper in lieu of a stamp; the security number found on the face of the document should also be recorded in <i>Block 5b</i></p>

TABLE 2-7 Instructions for CITES Permit or Certificate Validation (continued)

Standardized Block No.		Instructions
6	Name, Address, National Seal/Stamp and Country of Management Authority	VERIFY the name and address of the issuing Management Authority's name and address. Check CITES National Contacts (a directory of names and addresses of all the management authorities) to confirm the name and address matches the name and address listed in this block
7 & 8	Scientific name (genus and species) and common name	1. VERIFY by review of the shipping documents and later by inspection of the commodity, that the scientific name of the commodity recorded on the CITES document matches the scientific name listed in Table 2-3 2. Under certain circumstances, higher taxon names in lieu of the species name may be permitted for Pre-Convention specimens (see 50CFR 23.23.(c)(13)). CONTACT your PPQ Botanist ¹ or National CITES Specialist ² through channels
9	Description of the specimens	VERIFY by review of the shipping documents and later by inspection of the commodity, that the description of the article matches the items being imported
10	Appendix Number and Source	1. VERIFY the CITES Appendix number (of the species being imported) listed and found in Table 2-3 agrees with the Appendix number listed on the CITES document 2. VERIFY the source code for the specimen is correct (see Figure 2-1 on page 2-80)
11	Quantity (including unit)	VERIFY the quantity entered agrees with the quantity declared on the accompanying shipping documents (see Step 8: Verify the Quantities Are Authorized) and by inspection of the commodity (see Step 9: Inspect the Shipment)
13	Permit/certificate issued by Place/Date/Security Stamp, Signature, and Official Seal	1. Verify the following are present: location (city, town, etc.) of the issuing office; date the document was issued; if used, a security stamp; original handwritten signature of a person authorized to sign for the Management Authority; and the embossed seal or ink stamp of the issuing Management Authority 2. VERIFY the date of issuance is either on or prior to the date of lading (date of export). This information can be found on the bill of lading or air waybill 3. If presented with a retrospectively-issued ³ CITES document, then do not accept; CONTACT your PPQ Botanist ¹ or National CITES Specialist ² (see Retrospective CITES Documents on page 2-81)
14	Export Endorsement	1. VERIFY the quantity of specimens actually exported or re-exported is recorded in the same unit of measure as listed in Block 11, Quantity (standard CITES Permit or Certificate) 2. VERIFY the validating stamp or seal and the signature of the inspecting authority at the time of export 3. If presented with a CITES document that lacks the export endorsement, then do not accept. CONTACT a PPQ Botanist ¹ or National CITES Specialist ²
15	Bill of Lading/Air waybill Number	1. VERIFY the number in this block matches the number of the bill of lading or air waybill accompanying the shipment 2. If a bill of lading or air waybill was not available at the time of export or re-export validation, then the number is not required to be recorded on the CITES document

- 1 To locate the name, phone number, and address of the PPQ Botanist that services your port, see the [Lists of PPQ Identifiers and National Specialists](#).
- 2 National CITES Specialist is Timothy Torbett. National CITES Coordinator is John Veremis. E-mail timothy.j.torbett@aphis.usda.gov or john.veremis@aphis.usda.gov.
- 3 A retrospectively-issued CITES document is one that was issued after the date the shipment was exported (date of lading).

The Management Authority **must** indicate on the CITES document the source code of the specimen. See the codes listed in [Figure 2-1](#).

FIGURE 2-1 Specimen Source Codes on CITES Documents

Source of Specimen		Code
Artificially propagated (plantation grown) (see 50CFR §23.40 and 23.64(f))	<ul style="list-style-type: none"> Appendix II or III artificially propagated specimen Appendix I plant specimen artificially propagated for noncommercial purposes (see 50CFR 23.40) 	A
Artificially propagated (plantation grown) for commercial purposes (see 50CFR 23.47 and 23.64(f))	<ul style="list-style-type: none"> Appendix I plant specimens artificially grown for commercial purposes that meet the requirements of 50CFR §23.47 and 23.64(f) 	D
Pre-Convention specimen (see 50CFR §23.45)	(code is to be used in conjunction with another code)	O
Specimen taken from the wild	<ul style="list-style-type: none"> Includes a specimen propagated from a propagule collected from a wild plant, except as provided in §23.64 	W

If a CITES document is presented to you with any of the following conditions, then STOP processing the importation; place the shipment on HOLD; and contact the PPQ National CITES Specialist or the National CITES Coordinator³ for assistance:

- Contains false information
- Is altered or modified
- Is expired⁴
- Is **not** complete (**does not** contain one or more of the items listed in [Table 2-7](#))
- Is to replace a document that was lost, stolen, damaged, or destroyed (see [Replacement CITES Documents](#) on page 2-81)
- Is retrospectively-issued and you have **not** been notified by PPQ of a limited situation to authorize and accept the retrospectively-issued certificate (see [Retrospective CITES Documents](#) on page 2-81)

If the shipment does **not** meet all conditions stated on the document STOP processing the importation; place the shipment on HOLD; and contact the PPQ National CITES Specialist or National CITES Coordinator for assistance. If the CITES document and the shipment are acceptable, then continue to [Step 7: Ensure the Protected Plant Permit Has Not Expired](#).

³ National CITES Specialist is Timothy Torbett. National CITES Coordinator is John Veremis. E-mail timothy.j.torbett@aphis.usda.gov or john.veremis@aphis.usda.gov.

⁴ The validity of a CITES document expires at midnight (local time at the place of presentation) on the date indicated on the document. All activities, including but **not** limited to transport and presentation for import **must** be completed before that time.

Replacement CITES Documents

Unless you were previously notified by PPQ Headquarters or a PPQ National CITES Specialist, you **must** contact the PPQ Botanist ⁵ (through proper channels) to determine if you can accept a replacement document for the shipment.

Lost, damaged, stolen, or accidentally-destroyed CITES documents may be replaced by an issuing Management Authority. To replace a CITES document, a Management Authority may issue either a copy of the original or a re-issued original.

To accept a replacement document, the document **must** be issued in compliance with U.S. regulations.

The following provisions apply to the issuance and acceptance of a replacement CITES document, but **do not** apply to a document that has expired or that requires amendment:

1. The permittee **must** notify the issuing Management Authority that the document was lost, damaged, stolen, or accidentally destroyed.
2. The issuing Management Authority **must** be satisfied that the CITES document was lost, damaged, stolen, or accidentally destroyed.
3. The issuing Management Authority should immediately inform the Management Authority in the country of destination and, for commercial shipments, the Secretariat.
4. If the replacement CITES document is a copy, the copy **must** indicate that it is a “replacement” and a “true copy of the original,” contain a new dated original signature of a person authorized to sign CITES documents for the issuing Management Authority, and give the reason for replacement.
5. If the replacement CITES document is a newly-issued original document, then the new document must indicate that it is a “replacement,” include the number and date of issuance of the document being replaced, and give the reason for replacement.

Retrospective CITES Documents

A retrospective CITES document is one that was issued after the date the shipment was exported; the date the shipment left the country of origin or export (date of lading). Retrospective CITES documents may be issued and accepted **only** in certain limited situations to authorize an export or re-export after that activity has occurred, but before the shipment is cleared for import.

⁵ To locate the name and phone number of your PPQ Botanist, CBP see the [Lists of PPQ Identifiers and National Specialists](#).

Unless you were previously notified by PPQ Headquarters or a PPQ Botanist⁶ of the action to take for the retrospective CITES document, then **do not** accept a retrospectively-issued CITES document. Contact your PPQ Botanist or PPQ National CITES Specialist (through proper channels) to request assistance with issues relating to the acceptance of retrospective documents.

Before an importer/exporter attempts to obtain a retrospective document, refer the importer/exporter to 50CFR §23.53 at <http://www.gpoaccess.gov/cfr/retrieve.html> to help the importer/exporter determine if the shipment meets the criteria for issuance and acceptance of a retrospective CITES document.

The following provisions apply to the issuance and acceptance of a retrospective CITES document:

1. Retrospective documents can **only** be issued after consultation between the Management Authorities in **both** the exporting or re-exporting country and the importing country, including a thorough investigation of circumstances and agreement between them that criteria pertaining to the issuance and acceptance of retrospective documents paragraph have been met. have been met.
2. The exporter or re-exporter and importer were **not** responsible for the irregularities that occurred and have demonstrated one of the following:
 - (i) The Management Authority or officials designated to clear CITES shipments misinformed the exporter or re-exporter or the importer about the CITES requirements. In the United States, this would be an employee of APHIS or CBP (for plants).
 - (ii) The Management Authority unintentionally made a technical error that was **not** prompted by information provided by the applicant when issuing the CITES document.
3. The issuing Management Authority **must** provide all of the following information on any retrospective CITES document: (i) A statement that it was issued retrospectively; (ii) A statement specifying the reason for the issuance; (iii) In the case of a document issued for personal use, a condition restricting the sale of the specimen within 6 months following the import of the specimen.
4. If the importing U.S. Management Authority has agreed to accept the retrospectively-issued CITES document. then a retrospective document may be one of the following:

⁶ To locate the name, phone number, and address of your PPQ Botanist, CBP see the [Lists of PPQ Identifiers and National Specialists](#).

- A. An amended CITES document that can show that the issuing Management Authority made a technical error that was **not** prompted by the applicant.
 - B. A newly-issued CITES document that can show the applicant was misinformed by CITES officials or the circumstances in 50CFR § 23.53(b)(5) (specimens for personal use) apply, and a shipment has occurred **without** a document.
5. In general, **except** when the exporter or re-export and import has demonstrated they were **not** responsible for the irregularities, any person who has been issued a CITES document in the past will **not** be eligible to receive a retrospective document.

Step 7: Ensure the Protected Plant Permit Has Not Expired

A USDA-APHIS [ePermits](#) issued *Protected Plant Permit*, is valid for two years from the date issued. The expiration date is specified on the permit.

All previously-issued *PPQ Form 622, Protected Plant Permit* have now expired and are **not** valid.

Check the expiration date located in the upper right-hand corner of the *Protected Plant Permit*, and the permittee's name.

Confirm the validity of the *Protected Plant Permit* as follows:

Confirm PPP Valid or Apply for a PPP

1. Check [ePermits](#) to see if the importer has a valid *Protected Plant Permit* (PPP).



If the importer is a repeat violator who has disregarded your instructions to secure a *Protected Plant Permit*, then go to [Violations of USDA Regulations](#) on page 4-2 before continuing in this section.

2. If the importer **does not** have an [ePermits](#)-issued *Protected Plant Permit* and is **not** a repeat violator who has disregarded your instructions to secure a *Protected Plant Permit*, then do the following:
 - A. Have the importer go to [ePermits](#), and complete the application for a [PPQ 621: Application for protected plant permit to engage in the business of importing, exporting or re-exporting terrestrial plants or plant products that are protected](#); or
 - B. Give the importer *PPQ Form 621, Application for a Protected Plant Permit to Engage in Business of Importing, Exporting* to apply for a *Protected Plant Permit*.

Once you are satisfied that the importer has submitted the required application to the PPQ Permit Unit, then continue to process the importation.

Step 8: Verify the Quantities Are Authorized

Review the entry paperwork accompanying the shipment to verify the quantity being imported corresponds with the quantity authorized on the CITES document (see *Block 11* on the standard CITES form).

The unit of quantity listed on a CITES document will vary according to the type of article. A list of commodities and the corresponding unit of measure or quantity (as recommended by the Convention or commonly used on CITES documents) follows in [Figure 2-1](#) below.

FIGURE 2-1 List of Commodities and Corresponding Units of Measure

Commodity	Preferred Unit
Dowels	Cubic meters (m ³)
Logs	Cubic meters (m ³) or board feet (bf)
Lumber	Cubic meters (m ³) or board feet (bf)
Miscellaneous (furniture, pool cues, tool handles, and other similar manufactured items)	Cubic meters (m ³), number (no.), or kilograms (kg)
Molding	Cubic meters (m ³)
Musical instruments	Number (no.)
Plywood	Square meters (m ²) or cubic meters (m ³)
Veneer	Square meters (m ²) or cubic meters (m ³)

For articles that are being imported in quantities recorded in units of cubic meters, square meters, or board feet, review the dimensional specification sheets or dimensional inventory tally sheets to more accurately determine the quantity shipped. To verify that the dimensional calculations on the entry papers equal the total quantity recorded on the CITES document, you may need to convert from one unit of quantity to another. See [Appendix C, Conversion Formulas](#).

Continue to [Step 9: Inspect the Shipment](#), to confirm the actual quantity shipped.

Step 9: Inspect the Shipment

In addition to inspecting for plant pests, physically inspect the shipment to assess the actual quantity being imported.

You may have to overcome the following difficulties in assessing the volume of material in the shipment:

- Accessibility of containerized cargo
- Bundles containing CITES-regulated material or timber are commingled with non-CITES material or timber
- Bundles of lumber or veneer consisting of boards or sheets of various sizes
- Enormity of the shipment
- Identity of the pallets comprising the shipment

To inspect a representative sample of the shipment, assess the quantity of the shipment, and review the invoice, packing list, or dimensional specification sheets accompanying the consignment. Then determine the quantity of the representative unit (such as box, bundle, carton, etc.) of the shipment to sample. Continue to [Table 2-8](#) below.

TABLE 2-8 Determine the Quantity of a Representative Unit for Inspection

If:	Then:
Quantity recorded on the CITES document is by weight	VERIFY that the weight of the unit you chose to inspect matches the unit's weight as listed on the invoice or packing list
Quantity recorded on the CITES document is by number of pieces	VERIFY that the number of pieces in the unit you chose to inspect matches the unit's number of pieces as listed on the invoice or packing list
Quantity recorded on the CITES document is in cubic meters, square meters, or board feet	CONDUCT a dimensional piece count ¹ to verify that the quantity of the unit you chose to inspect matches the quantity listed for that unit on the invoice, packing list, or dimensional specification sheet
Quantity found by your physical inspection of a representative sample does not match the quantity listed on the invoice, packing list, or dimensional specification sheet	<ol style="list-style-type: none"> 1. SELECT another representative unit for inspection 2. REPEAT the procedures listed above to determine the extent of the discrepancy

1 To perform a dimensional piece count, you **must** measure each piece in the inspectional unit either by length and width; or by length, width, and height (thickness) and then multiply the subtotal by the number of pieces in the unit to calculate the total quantity of the unit. See [Conversion Formulas](#) for assistance.

Continue to [Table 2-9 on page 2-87](#) to determine the action to take based on your inspection.

TABLE 2-9 Determine Action Based on Inspection Results

If your inspection confirms:	Then:
Quantity is equal to or less than the quantity listed on the CITES documents	CONTINUE to Step 10: Validate the CITES Documents With Stamp and Endorsement
Quantity is in excess of the quantity listed on the CITES document	<p>Shipment is in violation of CITES regulations and is subject to seizure and forfeiture</p> <ol style="list-style-type: none"> 1. SEE Violations, Seizures, and Forfeitures, for forfeiture procedures. If you have questions regarding the violations, seizures, and forfeitures procedures, then CONTACT the PPQ Botanist that services your port ¹ (through proper channels) 2. In addition to seizure and forfeiture of the shipment, the importer may be subject to civil or criminal penalties. COMPLETE <i>PPQ Form 518, Report of Violation</i>, to document the violation. SEND a copy of the 518 to the National CITES Coordinator ²
Enterable articles are commingled with unauthorized (CITES regulated articles that are not recorded on the CITES document)	<ol style="list-style-type: none"> 1. SEPARATE or SUPERVISE the separation of the enterable and unauthorized articles 2. PROCESS the authorized articles accordingly. GO to Step 10: Validate the CITES Documents With Stamp and Endorsement 3. CONTINUE to the next row for Unauthorized articles (CITES regulated articles that are not recorded on the CITES document)
Unauthorized articles (CITES regulated articles that are not recorded on the CITES document)	<p>Shipment is in violation of CITES regulations and is subject to seizure and forfeiture</p> <ol style="list-style-type: none"> 1. SEE Violations, Seizures, and Forfeitures, for forfeiture procedures. If you have questions regarding the violations, seizures, and forfeitures procedures, then CONTACT the PPQ Botanist that services your port ¹ (through proper channels) 2. In addition to seizure and forfeiture of the shipment, the importer may be subject to civil or criminal penalties. COMPLETE <i>PPQ Form 518, Report of Violation</i>, to document the violation. SEND a copy of the 518 to the National CITES Coordinator ²

- 1 To locate the name, phone number, and address of the PPQ Botanist that services your port, CBP see the [Lists of PPQ Identifiers and National Specialists](#).
- 2 John Veremis, National CITES Coordinator, e-mail john.veremis@aphis.usda.gov; FAX 301-734-3560.

Step 10: Validate the CITES Documents With Stamp and Endorsement

If the shipment and permits comply with CITES and U.S. import regulations, then endorse the front of the **original** CITES document. Use your DHS-CBP Agriculture Specialist's "Action Authorized" stamp. This stamp **must** bear your port location. Sign your name in ink, and write your badge number and the date.

In addition to the original CITES document, the importer or the importer's agent **must** give you two photocopies of the original. **Never** accept a poor quality copy or facsimile. A legible copy of the original CITES document is crucial. If the importer should choose to re-export all or part of this shipment in the future, then the exporter will need this document to prove that the timber or articles entered legally. Endorse the front of the copies the same as you endorse the original. **Do not** endorse the back of the copies.



Being able to read the quantity on the endorsed copies is imperative. **Never** cover critical fields of the CITES document with the DHS-CBP-Agriculture Specialist's stamp.

Step 11: Distribute the CITES Documents

Distribute the CITES documents as follows:

- Forward the original, endorsed documents to the following office:

U.S. Fish and Wildlife Service
Division of Management Authority
4401 North Fairfax Drive, Room 700
Arlington, VA 22203

- Return a legible, endorsed copy of the CITES documents to the importer or the importer's agent
- Keep a copy of the CITES documents and place in your port files (see [Preparation](#) on page 2-2)



CITES files **must** be retained for five years. See [Filing System](#) on page 2-3 for directions to maintaining a CITES file.

3

CITES I-II-III Timber
Species Manual

Re-exportation of CITES Protected Timber Species

Procedures

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Introduction

This chapter provides the guidelines for handling the re-exportation of CITES Appendix I, Appendix II, and Appendix III regulated timber species. These guidelines are to be used for the following:

- Confirming that the commodity being re-exported is in a form which is regulated
- Determining which permits and/or certificates are required for re-export
- Verifying that the documents are valid
- Inspecting the commodity to verify that the quantity in the re-export shipment matches the quantity listed on the CITES document
- Instructing the user on how to validate a CITES document
- Distributing and filing the paperwork

PPQ Plant Health Safeguarding Specialists and Export Certification Specialists should use the guidelines in this chapter in conjunction with the phytosanitary requirements of the country of final destination. (See the *Export Program Manual* and EXCERPT for these requirements.)



A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Regulated Timber Species can **only** be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III regulated timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export **only** if all CITES requirements have been satisfied.

Preparation

As with other port documents, copies of CITES documents **must** also be filed in an organized, consistent manner. The CITES files and copies maintained at your port are important in case the originals become lost or destroyed. An accessible filing system will also enable you to comply with requests for information made by other government and non-government agencies, and the general public through the Freedom of Information Act (FOIA).

Filing System

If you already have a filing system for retaining CITES records in place at your port, please review these instructions to be sure your system is functional. If you **do not** have a filing system in place, then follow the instructions on the next page.

To set up a filing system, do as follows:

1. Decide on the filing system that is most practical for your location. Select one of the following methods to keep the records complete and accessible:
 - File alphabetically by permittee's name
 - File chronologically by month and year
2. Select the documents to be filed. At a minimum, you **must** file the following in the order listed below:
 - A. CITES document (**must** be a validated copy)
 - B. Dimensional specification sheets (if applicable)
 - C. Invoice/packing list
 - D. Lading bill or air waybill
 - E. Phytosanitary Certificate (if required)

After you set up your filing system, you **must** maintain each file for a minimum of five years, counting from the date the re-exportation occurred.

EXAMPLE	A file must be maintained until January 24, 2014 for a re-exportation that occurred on January 24, 2009.
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Procedures

The procedures for handling the re-exportation of CITES Appendix I, Appendix II, and Appendix III regulated timber species are summarized in **Figure 3-1**.

1. Confirm that the commodity is a CITES Appendix I, Appendix II, or Appendix III protected timber species.
2. Determine if the form of the commodity being re-exported is regulated by CITES.
3. Determine if you have the authority to validate the shipment for re-export.
4. Determine which CITES documents **must** accompany the shipment.
5. Collect all relevant documents associated with the re-exportation.
6. Verify that the CITES document accompanying the re-exportation is authentic and acceptable.
7. Verify that the USDA-APHIS ePermits-issued *Protected Plant Permit*, has **not** expired.
8. Compare shipping documents with CITES documents to confirm quantities are authorized.
9. Inspect the shipment to make sure quantities are authorized.
10. If the shipment is in order, then validate the CITES documents by stamp and endorsement.
11. Distribute and file the endorsed documents.

FIGURE 3-1 Summary of Procedures for Handling the Re-exportation of CITES Appendix I, Appendix II, and Appendix III Regulated Timber Species

CITES Contacts

Some circumstances are identified in this chapter as requiring contacting the PPQ Botanist that services your port, and others require contacting the National CITES Specialist or the National CITES Coordinator.

If after reading the procedures in this chapter, PPQ Officers still have a CITES-related question regarding a shipment, then first contact the PPQ Botanist that services your port.

If the PPQ Botanist is **not** available or is unable to answer your question, then contact the National CITES Specialist, Timothy Torbett, timothy.j.torbett@aphis.usda.gov, or the National CITES Coordinator, John Veremis, john.veremis@aphis.usda.gov. Include your name, phone number, and e-mail address when contacting the National CITES Specialist or the National CITES Coordinator.



The person making a CITES-related inquiry should include his or her name, phone number, and e-mail address so that the CITES Specialist or CITES Coordinator is able to reply or obtain additional details.

Continue on to the steps below when handling the re-exportation of CITES Appendix I, Appendix II, and Appendix III regulated timber species used for lumber or other wood products.

Step 1: Confirm the Identity of Timber or Articles

Currently, there are 6 CITES Appendix I species, 22 CITES Appendix II taxa (18 species and 4 genera), and 9 CITES Appendix III species used for lumber or other wood products. The most frequently used common names (if any) are shown beside the scientific names that follow. For a list of other common names, see [Figure 3-2 on page 3-10](#).

Appendix I Timber Species

The CITES Appendix I regulated species are as follows:

- *Abies guatemalensis* (Guatemalan fir)
- *Araucaria araucana* (monkey puzzle tree)
- *Dalbergia nigra* (Brazilian rosewood)
- *Fitzroya cupressoides* (alerce)
- *Pilgerodendron uviferum* (pilgerodendron)
- *Podocarpus parlatorei* (Palatore's podocarp)

Appendix II Timber Species

The CITES Appendix II regulated species or genera are as follows:

- *Aniba rosaeodora* (Brazilian rosewood)
- *Bulnesia sarmientoi* (gaiacwood)
- *Caesalpinia echinata* (pernambuco)
- *Caryocar costaricense* (ajillo)
- *Dalbergia* spp. (Madagasy rosewoods)



Effective June 12, 2013, *Dalbergia* spp. populations of Madagascar were added to CITES Appendix II.



Effective June 12, 2013, *Dalbergia cochinchinensis*, *Dalbergia granadillo*, *Dalbergia retusa*, and *Dalbergia stevensonii* from all countries were added to CITES Appendix II.

- *Dalbergia cochinchinensis* (Thailand rosewood)
- *Dalbergia granadillo* (Granadillo rosewood)
- *Dalbergia retusa* (black rosewood)
- *Dalbergia stevensonii* (Honduras rosewood)

- *Diospyros* spp. (Madagasy ebonies)



Effective June 12, 2013, *Diospyros* spp. populations of Madagascar were added to CITES Appendix II.

- *Gonystylus* spp. (ramin)
- *Guaiacum* spp. (lignum vitae)
- *Oreomunnea pterocarpa* (gavilan)
- *Osyris lanceolata* (African sandalwood)
- *Pericopsis elata* (afroformosa)
- *Platymiscium pleiostachyum* (cristobal, granadillo)
- *Prunus africana* (African cherry, stinkwood)
- *Pterocarpus santalinus* (red sandalwood, red sanders)
- *Senna meridionalis* (taraby)



Effective June 12, 2013, *Senna meridionalis* was added to CITES Appendix II.

- *Swietenia humilis* (Pacific Coast mahogany)
- *Swietenia macrophylla* (bigleaf mahogany)
- *Swietenia mahogani* (Caribbean mahogany)

Appendix III Timber Species

The CITES Appendix III regulated species are as follows:

- *Cedrela fissilis* (Argentine cedar)
- *Cedrela lilloi* (cedro)
- *Cedrela odorata* (Spanish cedar)
- *Dalbergia darienensis*
- *Dipteryx panamensis* (almendro)
- *Magnolia liliifera* var. *obovata* (magnolia)
- *Pinus koraiensis* (Korean pine)
- *Podocarpus neriifolius* (podocarp)
- *Tetracentron sinense* (tetracentron)

Shipping Documents Review

To confirm that the re-exportation is of a CITES Appendix I, Appendix II, or Appendix III timber species, review the shipping documents. Regulations require CITES plants be identified to their genus and species by one of the following:

- Label
- Invoice, or packing list, or tag
- Other document accompanying the shipment

For a complete list of flora regulated by CITES, see the [CITES Appendices](#) on the [CITES Web site](#).

CITES regulated timber may be manifested or invoiced by a trade name or a local name. If you are given a common name that you **do not** recognize or is **not** listed in [Figure 3-2](#), and you want to confirm the scientific name of what is being re-exported or you want to determine whether the wood is listed as regulated, then check the CITES species database on the [CITES Web site](#).



The CITES Web site listed above **does not** include all common names for CITES-regulated species. The exporter or the exporter's agent is responsible for providing you with the scientific name of the timber species traded.

CITES Listed Species Database

Follow the steps listed below to use the CITES-listed species database:

1. In the left column of the screen, click on "Common name" and "Find it."
2. Enter the common name (faster search), or enter part of the name (slower search).
3. At "Select a language" select "All" (default).
4. At "Select a country" select "All" (default).
5. Click on the "Search" button.
6. Select a common name from the list, then click on the "Display details" button.

For timber species commodity recognition and a synopsis of wood identification, see [Appendix F](#). For detailed instructions on how to identify wood of CITES regulated species, see the *CITES Identification Guide-Tropical Woods* guide.

Urgent Interception Identification

If after inspecting the wood or articles and reviewing the entry paperwork, you are still unable to determine the identity of the wood or articles, or suspect or question that the article is **not** as identified on the manifest or invoice, then do as follows:

1. Contact the PPQ Botanist¹ that services your port to determine if taking a sample of the wood is necessary.
2. You may be directed (by the PPQ Botanist), to sample the commodity and send the sample to either a PPQ Area Identifier specializing in CITES wood identification, or to the Forest Products Laboratory.
3. Complete *PPQ Form 309A, Interception Record*, for URGENT interceptions, and assign a Port Reference Number for each specimen.
4. Enclose the specimen(s) and interception form(s) in an escape-proof package. Affix black and yellow tape to the outside of the package, and ship using an overnight delivery service with tracking capacity.
5. If you have been instructed to send the interception(s) to a PPQ Area Identifier specializing in CITES wood identification, then see [Figure 3-1](#).

TABLE 3-1 List of PPQ Area Identifiers Specializing in CITES Wood Identification

Area	PPQ Identifier Specializing in CITES Wood Identification	Phone	FAX
Eastern Region	USDA-APHIS-PPQ Plant Inspection Station Attn: Leo Castaneda, Botanist PO Box 660520 Miami, FL 33266	305/492-1854	305/492-1742
Western Region	USDA-APHIS-PPQ Plant Inspection Station Attn: Jamal Al-Henaid, Botanist 11840 South La Cienega Blvd. Hawthorne, CA 90250	310/725-1916	310/725-1922
<ul style="list-style-type: none"> • Alaska • Colorado • Idaho • Montana • North Dakota (Canadian border ports only) • Utah • Washington • Wyoming 	USDA-APHIS-PPQ Plant Inspection Station Attn: Gayle Van de kerckhove, Plant Pathologist 835 S. 192nd Street, Suite 1600 SeaTac, Washington 98148-2394	206/878-6600	206/870-8043

¹ To locate the name and phone number of your PPQ Botanist, PPQ see the *Plant Inspection Station Manual*.

6. If you are instructed by the PPQ Area Identifier (specializing in CITES wood identification), to send the interception directly to the Forest Products Laboratory, then follow the packaging directions above and send the package to the following address:

USDA-Forest Products Laboratory
Attn: Alex C. Wiedenhoeft or Michael Wiemann
One Gifford Pinchot Drive
Madison, WI 53726-2398

Phone: 608/231-9341

List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species

TABLE 3-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species

Scientific Name	Common Name	Other Common Names
<i>Abies guatemalensis</i>	Guatemalan fir	abeto mexicano, guayami, Mexican fir, pinabete, plumajatzin, plumajillo de montaña, sapin de Guatemala
<i>Aniba rosaeodora</i>	Brazilian rosewood	bois de rose Rosenholzbaum, legno di rose, palo de rosa, rosewood tree
<i>Araucaria araucana</i>	monkey puzzle tree	apeboom, araucaria du Chile, Chilean pine, chilensk tall, Chili pine, Chili tall, Chile pine, parana pine, pehuen, pilon, pin du Chili, pino, pino araucaria, pino de Chile, pino de Neuquén, pino de Paraná, piñonero, piñón, sapin du Chili
<i>Bulnesia sarmientoi</i>	gaiacwood	bois de gaic, guajaco, guajakholz, guayacan, palo balsamo, palo santo, Paraguay-lignum-vitae, true guaiac
<i>Caesalpinia echinata</i>	pernambuco	brasileto, Brazilwood, ibirapitanga, orabutã, pau-de-pernambuco, pau-Brasil, pau-de-pernambuco, pau-rosada, peachwood, pernambuco-wood
<i>Caryocar costaricense</i>	ajillo	aji, ajo, almendrillo, almendro, almendro de bajo, almendron, cagui, firme, genenè, manu, maqui-maqui cagui, pequia, pequia brava, pete rana do terra firme, petè, pete-rana, plomillo, rana do terra, swari
<i>Cedrela fissilis</i>	Argentine cedar	Central American cedar, cedro, cigar box cedar, rose cedar
<i>Cedrela lilloi</i>	cedro	
<i>Cedrela odorata</i>	Spanish cedar	
<i>Dalbergia</i> spp.	rosewoods	Madagasy rosewoods
<i>Dalbergia cochinchinensis</i>	Thailand rosewood	
<i>Dalbergia darienensis</i>	Indian rosewood	
<i>Dalbergia granadillo</i>	Granadillo rosewood	
<i>Dalbergia nigra</i>	Brazilian rosewood	babia rosewood, bahia rosewood, caa-biuna, cabeuna, cabiuna, cabiuna do mato, cabiuna rajada, comore, camboriuna, caviuna, jacaranda, jacaranda cabiuna, jacaranda de Brasil, jacaranda wood, jacaranda-da-bahia, jacaranda-preto, jacaranda-rajado, jacaranda-roxo, jacarandaholz, jacaradanda de Brasil, legno di jacaranda, maera de palisandro, marnut, palisander, Rio rosewood
<i>Dalbergia retusa</i>	Nicaraguan rosewood	cocobolo, cocobolo prieto, funera, granadillo, nambar, palo negro

TABLE 3-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species (continued)

Scientific Name	Common Name	Other Common Names
<i>Dalbergia stevensonii</i>	Honduran rosewood	hagaedwood, Honduras rosewood, honduraspalisander
<i>Diospyros</i> spp.	ebonies	Madagasy ebonies
<i>Dipteryx panamensis</i>	almendro	almendra, almendro de montaña, amans, choiba, eboe, îbu, iqua, Indian almond, sarrapia, tonca, tonka bean, yapo
<i>Fitzroya cupressoides</i>	alerce	alerzcholz, fitzroy cypress, lahuan, patagonian cypress
<i>Gonystylus</i> spp.	ramin	ampudji, gaharu, gaheu, gara buaja, kaya garu, lanutanbagio, medang keran, melawis, ramin telur, sang su, seriangun
<i>Guaiacum</i> spp.	lignum vitae	guayacan, palo santo
<i>Magnolia liliifera</i> var. obovata	magnolia	balukhat, baranthuri, boramthuri, champak, giogi, harré, safan, siffo, taungme
<i>Oreomunnea pterocarpa</i>	gavilan	campana, engelhardia pterocarpa, gavilán blanco
<i>Osyris lanceolata</i>	African sandalwood	
<i>Pericopsis elata</i>	afrormosia	anyeran, asamela, assamela, assemela, awawai, ayin, baracara, benin satinwood, bohala, bohalala, bonsamdua, devils tree, egbi, ejen, golden afrormosia, iatobahy do igapo, kokriki, kokrodua, liguminosae, mekoe, mohole. obang, ole, olel pardo, peonio, redbark, satinwood, tento, wahala, yellow satinwood
<i>Pilgerodendron uviferum</i>	pilgerodendron	Chilean cedar, ciprés, ciprés de Chile, ciprés de Cordillera, ciprés de las Islas Len, cipresso del Cile, cyprès du Chili, lahuan, lanutanbagio, libocedri dell'america meridion, patagonian cypress, patagonian pilgerodendron, ten, thuja tetragona,
<i>Pinus koraiensis</i>	Korean pine	borovica kórejská, borovice korejská, channamu, Korea-Kiefer, Koreai fenyő, hong song, pin de Corée
<i>Platymiscium pleiostachyum</i>	cristobal graradillo	cachimbo, cristóbal, ñambar, roble colorado
<i>Podocarpus neriifolius</i>	podocarp	amanu, black pine, brown pine, bukiti, jati bukit
<i>Podocarpus parlatorei</i>	Parlatore's podocarp	pino blanco, pino del cerro, pino montano
<i>Prunus africana</i>	African rosewood	
<i>Pterocarpus santalinus</i>	red sandalwood, redsanders	atti, chandanam, chandanum, honne
<i>Senna meridionalis</i>	taraby	
<i>Swietenia humilis</i>	Pacific Coast mahogany	caoba, mabu, Pacific mahogany
<i>Swietenia macrophylla</i>	bigleaf mahogany	acajou, acajou Amerique, acajou d'Amerique, acajou du Honduras, adoa, aguano, American mahogany, Americkaans mahonie, Amerikanns mahonie, ara putange, araputanga, bastard lime, bay-mahogany, baywood, belize mahogany, caöba, Honduras mahogany, mara, mogno,

TABLE 3-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species (continued)

Scientific Name	Common Name	Other Common Names
<i>Swietenia mahogani</i>	Caribbean mahogany	acajou, acajou de Cuba, acajou de Saint Domingue, acajou de St. Domingue, acajou des Antilles, aguano, antillen mahogani, bay mahogany, caoba, caoba de santo domingo, caoba dominicana, caobilla, chiculte, cobano, Cuban mahogany, curlet mahogany, Dominican mahogany, echites mahagoni, gateado, Jamaica mahogany, Kuba mahogany, maderia, mahagoni, mahog, mahogany, mahogany du pays, mahogany petites feuilles, mahok, mahoni, mongo, orura, small-leaf mahogany, West Indian mahogany, West Indies mahogany
<i>Tetracentron sinense</i>	tetracentron	shui quing shu

Step 2: Confirm the Article Being Re-exported Is Protected

CITES annotates some of the listed timber species to include or exclude certain parts and derivatives. To confirm that the listed article being re-exported is regulated by CITES Appendix I, Appendix II, or Appendix III, inspect the consignment and verify the description of the commodity on the accompanying shipping documents. Then continue to [Table 3-3](#).

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III


If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
 <p>Other woody species and species that simulate the growth characteristics of woody species (such as cycads and palms), used solely for medicinal/herbal medicines or as horticultural specimens are not covered in this manual. See the Miscellaneous and Processed Products Manual or the Plants for Planting Manual.</p>				
<i>Abies guatemalensis</i> (Guatemalan fir)	Any country	All parts and derivatives, including manufactured and finished products ¹	→	Articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Aniba rosaeodora</i> (Brazilian rosewood)	Any country	• Logs ³ • Lumber ⁴ • Plywood ²¹ • Veneer ⁵	→	Articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Extracts	Are finished products containing extracts as ingredients, including fragrances	1. VERIFY by physical inspection that the articles are finished products containing extracts as ingredients, including fragrances 2. The articles are not regulated by CITES; EXIT this manual
			Are other than finished products containing extracts as ingredients	Articles are CITES Appendix II regulated GO to the <i>Miscellaneous and Processed Products Manual</i> to regulate
		Other than extracts, logs, lumber, plywood, veneer, or extracts	→	1. VERIFY by physical inspection that the articles are not extracts, logs, lumber, plywood, or veneer 2. The articles are not regulated by CITES; EXIT this manual

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
<i>Araucaria araucana</i> (Monkey puzzle tree)	Any country	All parts and derivatives, including manufactured and finished products ²	→	Articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Bulnesia sarmientoi</i> (gaiacwood)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Plywood²¹ • Veneer⁵ 	→	Articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		<ul style="list-style-type: none"> • Extracts • Powder 	→	Articles are CITES Appendix II regulated GO to the <i>Miscellaneous and Processed Products Manual</i> to regulate
		Other than extracts, logs, lumber, plywood, powder, or veneer	→	1. VERIFY by physical inspection the articles are not extracts, logs, lumber, plywood, powder, or veneer 2. They are not regulated by CITES; EXIT this manual
<i>Caesalpinia echinata</i> (pernambuco)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Veneer⁵ • Unfinished articles to be used for making bows for musical instruments⁶ 	→	Articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, and veneer, and unfinished wood articles for the fabrication of bows for stringed musical instruments	→	1. VERIFY by physical inspection the articles are not logs, lumber, or veneer or unfinished articles for the fabrication of bows for stringed musical instruments 2. The articles are not regulated by CITES; EXIT this manual
<i>Caryocar costaricense</i> (ajillo)	Any country	All parts and derivatives, including manufactured and finished products ⁷	→	Articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)







If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
<i>Cedrela fissilis</i> (Argentine cedar)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Veneer⁵ 		The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, or veneer		<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Cedrela lilloi</i> (cedro)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Veneer⁵ 		The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, or veneer		<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Cedrela odorata</i> (Spanish cedar)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Veneer⁵ 		The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, or veneer		<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)



If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
<i>Dalbergia</i> spp. (Madagasy rosewoods)	Madagascar (includes articles originating in Madagascar that were re-exported from another country)	<ul style="list-style-type: none"> • Logs • Lumber • Veneer 		The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, veneer		<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer sheets 2. The articles are not regulated by CITES; EXIT this manual
	Other than Madagascar			<ol style="list-style-type: none"> 1. REVIEW the shipping documents to verify the country of origin is other than Madagascar 2. The articles are not regulated by CITES; EXIT this manual
<i>Dalbergia cochinchinensis</i> (Thailand rosewood)	Any country	<ul style="list-style-type: none"> • Logs • Lumber • Veneer 		The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, and veneer		<ol style="list-style-type: none"> 1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
<i>Dalbergia darienensis</i>	Panama (includes articles originating in Panama that were re-exported from another country)	All parts and derivatives except finished products ready for retail trade ⁸	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 3-24
		Finished products ready for retail trade ⁸	→	1. VERIFY by physical inspection that the articles are finished products ready for retail trade 2. The articles are not regulated by CITES; EXIT this manual
	Other than Panama		→	1. REVIEW the shipping documents to verify the country of origin is other than Panama 2. The articles are not regulated by CITES; EXIT this manual
<i>Dalbergia granadillo</i> (rosewood)	Any country	<ul style="list-style-type: none"> • Logs • Lumber • Plywood • Veneer sheets 		The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, plywood, and veneer	→	1. VERIFY by physical inspection that the articles are not logs, lumber, plywood, and veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Dalbergia nigra</i> (Brazilian rosewood)	Any country	<ul style="list-style-type: none"> • Logs³ • Lumber⁴ • Plywood • Veneer⁵ 	→	The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, plywood, and veneer	→	1. VERIFY by physical inspection that the articles are not logs, lumber, plywood, and veneer 2. The articles are not regulated by CITES; EXIT this manual

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
<i>Dalbergia retusa</i> (black rosewood)	Any country	<ul style="list-style-type: none"> • Logs ³ • Lumber ⁴ • Plywood ⁹ • Veneer ⁵ 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, plywood, veneer	→	<ol style="list-style-type: none"> 1. VERIFY, by physical inspection, that the articles are not logs, lumber, plywood, or veneer 2. The articles are not regulated by CITES EXIT this manual
<i>Dalbergia stevensonii</i> (Honduran rosewood)	Any country	<ul style="list-style-type: none"> • Logs ³ • Lumber ⁴ • Plywood ⁹ • Veneer ⁵ 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, or veneer	→	<ol style="list-style-type: none"> 1. VERIFY, by physical inspection, that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Diospyros</i> spp. (Madagasy ebonies)	Madagascar (includes articles originating in Madagascar that were re-exported from another country)	<ul style="list-style-type: none"> • Logs ³ • Lumber ⁴ • Veneer⁵ 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, or veneer sheets	→	<ol style="list-style-type: none"> 1. VERIFY, by physical inspection, that the articles are not logs, lumber, or veneer sheets 2. The articles are not regulated by CITES; EXIT this manual
	Other than Madagascar	→	→	<ol style="list-style-type: none"> 1. REVIEW the shipping documents to verify the country of origin is other than Madagascar 2. The articles are not regulated by CITES; EXIT this manual

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
<i>Dipteryx panamensis</i> (almendro)	Any country	All parts and derivatives, including manufactured and finished products ¹⁰	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Fitzroya cupressoides</i> (alerce)	Any country	All parts and derivatives, including manufactured and finished products ¹¹	→	The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Gonystylus</i> spp. (ramin)	Any country	All parts and derivatives, including manufactured and finished products ¹²	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Guaiacum</i> spp. (lignum vitae)	Any country	All parts and derivatives, except finished products packaged and ready for retail trade ¹³	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Finished products packaged and ready for retail trade	→	1. VERIFY by physical inspection that the articles are not finished products packaged and ready for retail trade 2. The articles are not regulated by CITES; EXIT this manual
<i>Magnolia liliifera</i> var. obovata (magnolia)	Any country	All parts and derivatives, including manufactured and finished products ¹⁴	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Oreomunnea pterocarpa</i> (gavilan)	Any country	All parts and derivatives, including manufactured and finished products ¹⁵	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
<i>Osyris lanceolata</i> (African sandalwood)	Burundi, Ethiopia, Kenya, Rwanda, Uganda, United Republic of Tanzania (includes articles that originated in the countries above that were re-exported from another country)	All parts and derivatives except finished products packaged and ready for retail trade	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Finished products packaged and ready for retail trade	→	1. VERIFY by physical inspection that the articles are finished products packaged and ready for retail trade 2. The articles are not regulated by CITES; EXIT this manual
	Other than Burundi, Ethiopia, Kenya, Rwanda, Uganda, United Republic of Tanzania		→	1. REVIEW the shipping documents to verify the country of origin is other than Burundi, Ethiopia, Kenya, Rwanda, Uganda, United Republic of Tanzania 2. The articles are not regulated by CITES; EXIT this manual
<i>Pericopsis elata</i> (afroformosia)	Any country	• Logs ³ • Lumber ⁴ • Veneer ⁵	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, or veneer	→	1. VERIFY, by physical inspection, the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Pilgerodendron uviferum</i> (pilgerodendron)	Any country	All parts and derivatives, including manufactured and finished products ¹⁶	→	The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 3-24

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
<i>Pinus koraiensis</i> (Korean pine)	Any country	<ul style="list-style-type: none"> • Logs • Lumber • Veneer 		The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, or veneer	→	1. VERIFY by physical inspection that the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Platymiscium pleiostachym</i> (cristobal graradillo)	Any country	All parts and derivatives, including manufactured and finished products ¹⁷	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Podocarpus neriifolius</i> (podocarp)	Any country	All parts and derivatives, including manufactured and finished products ¹⁸	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Podocarpus parlatoresi</i> (Parlatore's podocarp)	Any country	All parts and derivatives, including manufactured and finished products ¹⁹	→	The articles are CITES Appendix I regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Prunus africana</i> (African cherry, stinkwood)	Any country	All parts and derivatives including finished products packaged and ready for retail sale	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Pterocarpus santalinus</i> (red sandalwood, redsanders)	Any country	<ul style="list-style-type: none"> • Logs³ • Wood chips 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs or wood chips	→	1. VERIFY by physical inspection that the articles are not logs or wood chips 2. The articles are not regulated by CITES; EXIT this manual

TABLE 3-3 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	And:	Then:
<i>Senna meridionalis</i> (taraby)	Any country	All parts and derivatives including manufactured and finished products	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Swietenia humilis</i> (Pacific Coast mahogany)	Any country	All parts and derivatives, including manufactured and finished products ¹⁹	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
<i>Swietenia macrophylla</i> (bigleaf mahogany)	Neotropics ²⁰ (includes articles originating in the Neotropics that were re-exported from another country)	<ul style="list-style-type: none"> • Logs ³ • Lumber • Plywood ²¹ • Veneer ⁵ 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, plywood, or veneer	→	<ol style="list-style-type: none"> 1. VERIFY by physical inspection, that the articles are not logs, lumber, plywood, or veneer 2. The articles are not regulated by CITES; EXIT this manual
	Other than the Neotropics		→	<ol style="list-style-type: none"> 1. REVIEW the shipping documents to verify the country of origin is other than the Neotropics 2. The articles are not regulated by CITES; EXIT this manual
			→	
<i>Swietenia mahogani</i> (Caribbean mahogany)	Any country	<ul style="list-style-type: none"> • Logs ³ • Lumber ⁴ • Veneer ⁵ 	→	The articles are CITES Appendix II regulated GO to Step 3: Determine Your Authority on page 3-24
		Other than logs, lumber, or veneer	→	<ol style="list-style-type: none"> 1. VERIFY, by physical inspection, the articles are not logs, lumber, or veneer 2. The articles are not regulated by CITES; EXIT this manual
<i>Tetracentron sinense</i> (tetracentron)	Any country	All parts and derivatives, including manufactured and finished products ²²	→	The articles are CITES Appendix III regulated GO to Step 3: Determine Your Authority on page 3-24

- 1 Includes building material, cabinetmaking material, charcoal, firewood, flooring, food containers, fuel wood, furniture, joinery, light construction material, matches, particleboard, plywood, pulp/paper products, roof shingles, and veneer, etc.
- 2 Includes construction material, flooring, furniture, joinery, plywood, pulp railroad ties, and vehicle parts, etc.
- 3 All wood in the rough whether or **not** stripped of bark or sapwood, or roughly squared for processing, notably into sawn wood, pulpwood, or veneer sheets (HS Code 44.03). See [Appendix E, Harmonized System of World Customs Organization \(HS\) Codes](#).
- 4 Wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6mm in thickness (HS Code 44.06, HS Code 44.07). See [Appendix E](#).
- 5 Thin layers or sheets of wood of uniform thickness, usually 6mm or less, usually peeled or sliced for use in making plywood, for veneering furniture, veneer containers, etc. (HS Code 44.08). See [Appendix E](#).
- 6 Unfinished articles to be used for making bows for musical instruments.
- 7 Includes railroad ties, etc.
- 8 A finished product packaged and ready for retail trade is a specimen that has been prepared for end use and that requires **no** further alteration to effect its purpose and is in a state fit for being sold directly to or used by the general public.
- 9 Consisting solely of sheets of wood, each ply not exceeding 6mm in thickness, and with at least one outer ply of tropical wood or nonconiferous wood. (HS Code 44)
- 10 Includes agricultural implements, bearings and bushings, barge and dock fenders, boat construction articles, chemical derivatives, cogs and shafts, cross ties, fishing rods, flooring, furniture, heavy construction and pulp mill equipment, railroad ties, sporting goods, tool handles, turnery, and veneer, etc.
- 11 Includes agricultural implements, boat building materials (general), boat masts, boxes and crates, cabinetmaking materials, carvings, cigar boxes, construction materials, cooperages, flooring, food containers, fuel wood, furniture, furniture components, joinery, mathematical instruments, mine timbers, musical instruments, particleboard, pencils, piling, plywood, poles, pulp/paper products, shakes, shingles, sporting goods, toys, and vats, etc.
- 12 Includes brush backs, building materials, ceilings, counter tops, door frames, dowels, flooring, furniture, joinery, mouldings, nonstriking handles (such as brooms and umbrellas), paneling, picture frames, plywood, pool cues and racks, rulers, shoji screens, stair treads, stringers, tool handles, toys, trays, tripods, turnery, venetian blinds, window blinds, and window frames, etc.
- 13 *Guaiacum* spp. products include: bearings and bushings, boat building materials (general), brush backs and handles, bush blocks, farm vehicles, furniture, golf club heads, machinery parts, marine construction material, mathematical instruments, naval architecture, pulley sheaves, railroad ties, shade rollers, sporting goods, tables, textile equipment, turnery, and wheels, etc. Regulating depends on whether or **not** they are finished products and packaged and ready for retail trade.
- 14 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit at 240-529-0357 to add the article to this list.
- 15 Includes a variety of uses within the species' natural range. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 16 Includes flooring, furniture, posts, and timber, etc. (Wood is noted for its longevity in moist environments.)
- 17 Includes furniture, musical instruments, timber, and veneer, etc.
- 18 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 19 Includes timber.
- 20 The Neotropics include the Caribbean, Central America, Mexico, and South America.
- 21 Consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle (HS Code 44.12.13, HS Code 44.12.14, and HS Code 44.12.22). See [Appendix E](#).
- 22 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.

Step 3: Determine Your Authority

If you are **not** certain that your port is designated for the re-exportation of CITES regulated timber, then check the appropriate designated CITES ports list:

- Confirm [CBP-designated CITES ports](#)
- Confirm [PPQ-designated CITES ports](#) (see [Designated CITES Ports and Plant Inspection Stations CITES Staff](#) on page 5-1)

If you are located at a CITES-designated port, then continue to [Step 4: Determine Which Documents Are Needed](#).

If you are **not** located at a CITES-designated port, then you are **not** authorized to certify the CITES re-export shipment. Provide the re-exporter with the option of having the owner or owner's agent arrange to move the shipment to a designated port (at the owner's expense), and give the name and location of the port. Notify the designated port of the pending arrival.



Currently 50CFR §24 lists the log and lumber ports as designated **only** for the **importation** of CITES regulated timber species. The CFR will eventually be amended to include exportation and re-exportation. In the interim, all ports approved for the importation of logs and lumber are also approved for the exportation and re-exportation of CITES regulated timber species.

Continue to [Step 4: Determine Which Documents Are Needed](#) on page 3-25.

Step 4: Determine Which Documents Are Needed

To determine which documents are needed for the legal re-exportation of CITES regulated timber, use the appropriate table as follows:

- CITES Appendix I, see [Table 3-4](#)
- CITES Appendix II, see [Table 3-5](#)
- CITES Appendix III, see [Table 3-6](#)



In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the [Export Program Manual](#) and EXCERPT.

Required Documents for Re-exportation of Appendix I Timber Species

The re-exportation of CITES Appendix I timber species is permitted when presented with the appropriate CITES documentation for the following categories of trade:

- Articles derived from trees cut in the wild for non-commercial use (when presented with a USFWS-issued *CITES Re-export Certificate* and a CITES Import Permit)
- Articles derived from plantation-grown trees (when presented with a USFWS-issued *CITES Re-export Certificate* designating either source code A for artificially-propagated material being traded for non-commercial purposes; or source code D for artificially-propagated material being traded for commercial purposes)
- Articles acquired prior to the date the Convention listed the species (when presented with a USFWS-issued *CITES Other Certificate* designating Pre-Convention specimens; and designating the date of acquisition or certification that the specimens were acquired before the date first included in the CITES appendices)



Commercial trade in CITES Appendix I species originating from the wild is **prohibited**.

See [Table 3-4 on page 3-26](#) to determine which documents are required for the re-export of CITES Appendix I regulated timber species.

TABLE 3-4 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix I Timber Species



If the article traded comes from:	And the country of origin is:	And the permittee is:	And the exporter:	Then:
<div>  <p>In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the Export Program Manual (XPM) and EXCERPT.</p> <p>A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Regulated Timber Species can only be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Protected Timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export only if all CITES requirements have been satisfied.</p> </div>				
<ul style="list-style-type: none"> • <i>Abies guatemalensis</i> (Guatemalan fir) • <i>Araucaria araucana</i> (monkey puzzle tree) • <i>Dalbergia nigra</i> (Brazilian rosewood) • <i>Fitzroya cupressoides</i> (alerce) • <i>Pilgerodendron uviferum</i> (pilgerodendron) • <i>Podocarpus parlatorei</i> (Parlatore's podocarp) 	Any country	Engaged in commercial business ^{1, 2}	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following USFWS-issued CITES Appendix I re-export documents^{3, 4}:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code D for artificially propagated (plantation grown) material being traded for commercial purposes • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 3-53)
			Has an expired <i>Protected Plant Permit</i>	
		Not engaged in commercial business		GO to page 3-27

TABLE 3-4 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix I Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the exporter:	Then:
<ul style="list-style-type: none"> • <i>Abies guatemalensis</i> (Guatemalan fir) • <i>Araucaria araucana</i> (monkey puzzle tree) • <i>Dalbergia nigra</i> (Brazilian rosewood) • <i>Fitzroya cupressoides</i> (alerce) • <i>Pilgerodendron uviferum</i> (pilgerodendron) • <i>Podocarpus parlatorei</i> (Parlatore's podocarp) 	Any country	Not engaged in commercial business	<p>Presents both of the following CITES Appendix I documents:</p> <ul style="list-style-type: none"> • USFWS-issued CITES Re-export Certificate^{3, 4} designating source code W for specimens collected from the wild • Import Permit issued by the Management Authority in the country of destination <p>OR</p> <p>Presents one of the following USFWS-issued CITES Appendix I re-export documents^{3, 4}:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code A for artificially propagated (plantation grown) material being traded for noncommercial purposes • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the first date included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

- 1 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 2 Commercial trade in CITES Appendix I species originating in the wild is **prohibited**.
- 3 If *Block 5, Special Conditions*, of the USFWS-issued CITES Re-export Certificate so states, then a CBP/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Re-export Certificate).

- 4 USFWS-DMA is phasing in the issuance of CITES permits and certificates on security paper. The original **must** accompany the shipment. If the permittee intends to export once, then the permittee will be issued a single original certificate. If the permittee intends to export more than one shipment, then the permittee will be issued multiple originals.

Required Documents for Re-exportation of Appendix II Timber Species

The re-exportation of CITES Appendix II timber species is permitted when presented with the appropriate CITES documentation for the following categories of trade:

- Articles derived from trees cut in the wild
(when presented with a USFWS-issued *CITES Re-export Certificate*)
- Articles derived from plantation-grown trees
(when presented with a USFWS-issued *CITES Re-export Certificate* designating source code A for artificial propagation)
- Articles acquired prior to the date the CITES Convention listed the species
(when presented with a USFWS-issued *CITES Other Certificate* designating Pre-Convention specimens; and designating the date of acquisition or certification that the specimens were acquired before the date first included in the CITES appendices)

See **Table 3-5 on page 3-29** to determine which documents are required for the re-exportation of CITES Appendix II regulated timber species.

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
 <p>In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the Export Program Manual (XPM) and EXCERPT. A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Regulated Timber Species can only be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Regulated Timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export only if all CITES requirements have been satisfied.</p>				
<ul style="list-style-type: none"> • <i>Aniba rosaeodora</i> (Brazilian rosewood) • <i>Bulnesia sarmientoi</i> (gaiacwood) • <i>Caesalpinia echinata</i> (pernambuco) • <i>Caryocar costaricense</i> (ajillo) 	Any country	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following USFWS-issued CITES Appendix II re-export documents ²:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see important advisory above</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 3-53)
			Has an expired <i>Protected Plant Permit</i> ³	GO to page 3-30
		Not engaged in commercial business	→	

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Aniba rosaeodora</i> (Brazilian rosewood) • <i>Bulnesia sarmientoi</i> (gaiacwood) • <i>Caesalpinia echinata</i> (pernambuco) • <i>Caryocar costaricense</i> (ajillo) 	Any country	Not engaged in commercial business	<p>Presents one of the following USFWS-issued CITES Appendix II re-export documents²</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> <i>Dalbergia</i> spp. (Madagasy rosewoods) 	Madagascar (including articles originating in Madagascar that were re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following USFWS-issued CITES Appendix II re-export documents ² : <ul style="list-style-type: none"> Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 3-53)
			Has an expired <i>Protected Plant Permit</i> ³	
		Not engaged in commercial business		GO to page 3-32

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> <i>Dalbergia</i> spp. 	Madagascar (including articles that originated in Madagascar that were re-exported from another country)	Not engaged in commercial business	Presents one of the following USFWS-issued CITES Appendix II re-export documents ² : <ul style="list-style-type: none"> Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES re-export document	1. PLACE the shipment on HOLD 2. CONTACT a PPQ Botanist ⁴ for assistance

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Dalbergia cochinchinensis</i> (Thailand rosewood) • <i>Dalbergia granadillo</i> (Granadillo rosewood) • <i>Dalbergia retusa</i> (black rosewood) • <i>Dalbergia stevensonii</i> (Honduras rosewood) • <i>Gonystylus</i> spp.(ramin) • <i>Guaiaacum</i> spp. (lignum vitae) • <i>Oreomunnea pterocarpa</i> (gavilan) 	Any country	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following USFWS-issued CITES Appendix II re-export documents ²:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a Protected Plant Permit	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 3-53)
			Has an expired Protected Plant Permit ³	
		Not engaged in commercial business		GO to page 3-34

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Dalbergia cochinchinensis</i> (Thailand rosewood) • <i>Dalbergia granadillo</i> (Granadillo rosewood) • <i>Dalbergia retusa</i> (black rosewood) • <i>Dalbergia stevensonii</i> (Honduras rosewood) • <i>Gonystylus</i> spp.(ramin) • <i>Guaiaacum</i> spp. (lignum vitae) • <i>Oreomunnea pterocarpa</i> (gavilan) 	Any country	Not engaged in commercial business	<p>Presents one of the following USFWS-issued CITES Appendix II re-export documents²</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Osyris lanceolata</i> (African sandalwood) 	Burundi, Ethiopia, Kenya, Rwanda, Uganda, United Republic of Tanzania (includes articles originating in Burundi, Ethiopia, Kenya, Rwanda, Uganda, or United Republic of Tanzania and re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following USFWS-issued CITES Appendix II re-export documents ² : <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 3-53)
			Has an expired <i>Protected Plant Permit</i> ³	
		Not engaged in commercial business		GO to page 3-36

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Osyris lanceolata</i> (African sandalwood) 	<ul style="list-style-type: none"> • Burundi • Ethiopia • Kenya • Rwanda • Uganda • United Republic of Tanzania <p>(includes articles originating in Burundi, Ethiopia, Kenya, Rwanda, Uganda, or United Republic of Tanzania and re-exported from another country)</p>	<p>Not engaged in commercial business</p>	<p>Presents one of the following USFWS-issued CITES Appendix II re-export documents ²</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29</p>	<p>GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51</p>

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Pericopsis elata</i> (afromosia) • <i>Platymiscium pleiostachyum</i> (crisobal graradillo) • <i>Prunus africana</i> (African rosewood) • <i>Pterocarpus santalinus</i> (red sandalwood, redsanders) • <i>Senna meridionalis</i> (taraby) • <i>Swietenia humilis</i> (Pacific Coast Mahogany) 	Any country	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following USFWS-issued CITES Appendix II re-export documents ²:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a Protected Plant Permit	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 3-53)
			Has an expired Protected Plant Permit ³	
		Not engaged in commercial business		GO to page 3-38

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Pericopsis elata</i> (afroormosia) • <i>Platymiscium pleiostachyum</i> (crisobal graradillo) • <i>Prunus africana</i> (African rosewood) • <i>Pterocarpus santalinus</i> (red sandalwood, redsanders) • <i>Senna meridionalis</i> (taraby) • <i>Swietenia humilis</i> (Pacific Coast Mahogany) 	Any country	Not engaged in commercial business	<p>Presents one of the following USFWS-issued CITES Appendix II re-export documents²</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Swietenia macrophylla</i> ⁵ (bigleaf mahogany) 	Neotropics ⁶ (includes articles originating in the Neotropics that were re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following USFWS-issued CITES Appendix II re-export documents ² : <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 3-53)
			Has an expired <i>Protected Plant Permit</i> ³	
		Not engaged in commercial business		GO to page 3-40

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Swietenia macrophylla</i> (bigleaf mahogany) 	Neotropics ⁶ (includes articles originating in the Neotropics that were re-exported from another country)	Not engaged in commercial business	<p>Presents one of the following USFWS-issued CITES Appendix II re-export documents ²</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
	Other than the Neotropics ⁶		<p>Presents either one:</p> <ul style="list-style-type: none"> • Generic Certificate of Origin • Other conclusive proof of origin 	<ol style="list-style-type: none"> 1. REVIEW the shipping documents to verify that the shipment is not from the Neotropics 2. If the article is not from the Neotropics, then the article is not regulated by CITES 3. EXIT this manual
			Lacks the required document listed in the cell above (does not have conclusive proof of origin)	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. CONTACT a PPQ Botanist ⁴ for assistance

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)


If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> • <i>Swietenia mahogani</i> (Caribbean mahogany) 	Any country	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following USFWS-issued CITES Appendix II re-export documents ²:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification that the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 3-53)
			Has an expired <i>Protected Plant Permit</i> ³	
		Not engaged in commercial business		GO to page 3-41

TABLE 3-5 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)

If the article traded comes from:	And the country of origin is:	And the permittee is:	And the re-exporter:	Then:
<ul style="list-style-type: none"> <i>Swietenia mahogani</i> (Caribbean mahogany) 	Any country	Not engaged in commercial business	<p>Presents one of the following USFWS-issued CITES Appendix II re-export documents ²:</p> <ul style="list-style-type: none"> Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-29</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> PLACE the shipment on HOLD GO to Violations, Seizures, and Forfeitures on page 4-1

- Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- If *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then a CBP/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Certificate).
- The validity of a CITES document expires at midnight (local time at the place of presentation) on the date indicated on the document. All activities, including but **not** limited to transport and presentation for import **must** be completed before that time.
- PPQ to locate the name of the PPQ Botanist that services your port, see Appendix C in the *Plant Inspection Stations Manual*.
- Listed by the Convention to include *Swietenia macrophylla* (bigleaf mahogany) populations of the Neotropics **only**. *Swietenia macrophylla* populations cut in any other country are not regulated by CITES.
- The Neotropics includes the Caribbean, Central America, Mexico, and South America.

Required Documents for Re-exportation of Appendix III Timber Species

The re-exportation of CITES Appendix III timber species is permitted when presented with the appropriate documentation for the following categories of trade:

- Articles derived from trees cut in the wild
(when presented with a USFWS-issued *CITES Re-export Certificate*)
- Articles derived from plantation-grown trees
(when presented with a USFWS-issued *CITES Re-export Certificate* designating source code A for Artificial Propagation)
- Articles acquired prior to the date the CITES Convention listed the species
(when presented with a USFWS-issued *CITES Other Certificate* designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before being the date first included in the CITES appendices)

See **Table 3-6 on page 3-44** to determine which documents are required for the re-exportation of CITES Appendix III timber species.

TABLE 3-6 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species


If the timber species is:	And the country of origin is:	And the permittee is:	And the exporter:	Then:
<div>  <p>IMPORTANT</p> </div> <p>In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the Export Program Manual (XPM) and EXCERPT. A Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Protected Timber Species can only be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Protected Timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export only if all CITES entry requirements have been satisfied.</p>				
<ul style="list-style-type: none"> • <i>Cedrela fissilis</i> (Argentine cedar) • <i>Cedrela lilloi</i> (cedro) • <i>Cedrela odorata</i> (Spanish cedar) 	Any country	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following USFWS-issued CITES Appendix III re-export documents ²:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see advisory above</p>	<p>Step 5: Collect the Documents Associated with the Shipment on page 3-51</p>
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	<ol style="list-style-type: none"> 1. ALLOW the exporter to apply for a <i>Protected Plant Permit</i>
			Has an expired Protected Plant Permit	<ol style="list-style-type: none"> 2. GO to Confirm PPP Valid or Apply for a PPP on page 3-53)
		Not engaged in commercial business	→	GO to page 3-45

TABLE 3-6 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the exporter:	Then:
<ul style="list-style-type: none"> • <i>Cedrela fissilis</i> (Argentine cedar) • <i>Cedrela lilloi</i> (cedro) • <i>Cedrela odorata</i> (Spanish cedar) 	Any country	Not engaged in commercial business	<p>Presents one of the following USFWS-issued CITES Appendix III re-export documents:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-44</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

TABLE 3-6 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species (continued)


If the timber species is:	And the country of origin is:	And the permittee is:	And the exporter:	Then:
• <i>Dalbergia darienensis</i>	Panama (includes articles originating in Panama that were re-exported from another country)	Engaged in commercial business ¹	Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i> , and one of the following USFWS-issued CITES Appendix III re-export documents ³ :	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			<ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-44</p>	
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see Confirm PPP Valid or Apply for a PPP on page 3-53)
			Has an expired <i>Protected Plant Permit</i>	
		Not engaged in commercial business		GO to page 3-47

TABLE 3-6 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species (continued)


If the timber species is:	And the country of origin is:	And the permittee is:	And the exporter:	Then:
<ul style="list-style-type: none"> <i>Dalbergia darienensis</i> 	Panama (includes articles originating in Panama that were re-exported from another country)	Not engaged in commercial business	Presents one of the following USFWS-issued CITES Appendix III re-export documents ³ : <ul style="list-style-type: none"> Re-export Certificate with designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-44	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
	Other than Panama		Presents either one: <ul style="list-style-type: none"> Generic Certificate of Origin Other conclusive proof of origin A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table	1. REVIEW the shipping documents to verify the article is not from Panama 2. If the shipment is not from Panama, then the article is not regulated by CITES 3. EXIT this manual
			Lacks the conclusive proof of origin	1. PLACE the shipment on HOLD 2. CONTACT a PPQ Botanist ⁴ for action

TABLE 3-6 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species (continued)


If the timber species is:	And the country of origin is:	And the permittee is:	And the exporter:	Then:
<ul style="list-style-type: none"> <i>Dalbergia retusa</i> (Nicaraguan rosewood) 	Guatemala or Panama (includes articles originating in Guatemala or Panama that were re-exported from another country)	Not engaged in commercial business	Presents one of the following USFWS-issued CITES Appendix III re-export documents ³ : <ul style="list-style-type: none"> Re-export Certificate with designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-44	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
	Other than Guatemala or Panama		Presents either one: <ul style="list-style-type: none"> Generic Certificate of Origin Other conclusive proof of origin A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table	1. REVIEW the shipping documents to verify the article is not from Guatemala or Panama 2. If the shipment is not from Guatemala or Panama, then the article is not regulated by CITES 3. EXIT this manual
			Lacks the conclusive proof of origin	1. PLACE the shipment on HOLD 2. CONTACT a PPQ Botanist ⁴ for action

TABLE 3-6 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species (continued)


If the timber species is:	And the country of origin is:	And the permittee is:	And the exporter:	Then:
<ul style="list-style-type: none"> • <i>Dipteryx panamensis</i> (almendro) • <i>Magnolia liliifera</i> var. obovata (magnolia) • <i>Pinus koraiensis</i> (Korean pine) • <i>Podocarpus neriifolius</i> (podocarp) • <i>Tetracentron sinense</i> (Tetracentron) 	Any country	Engaged in commercial business ¹	<p>Presents a USDA-APHIS ePermits-issued <i>Protected Plant Permit</i>, and one of the following USFWS-issued CITES Appendix III re-export documents ^{2, 3}:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-44</p>	<p>Step 5: Collect the Documents Associated with the Shipment on page 3-51</p>
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1
			Lacks a <i>Protected Plant Permit</i>	1. ALLOW the exporter to apply for a <i>Protected Plant Permit</i>
			Has an expired <i>Protected Plant Permit</i>	<ol style="list-style-type: none"> 2. GO to Confirm PPP Valid or Apply for a PPP on page 3-53)
		Not engaged in commercial business		GO to page 3-50

TABLE 3-6 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species (continued)

If the timber species is:	And the country of origin is:	And the permittee is:	And the exporter:	Then:
<ul style="list-style-type: none"> • <i>Dipteryx panamensis</i> (almendro) • <i>Magnolia liliifera</i> var. obovata (magnolia) • <i>Pinus koraiensis</i> (Korean pine) • <i>Podocarpus neriifolius</i> (podocarp) • <i>Tetracentron sinense</i> (Tetracentron) 	Any country	Not engaged in commercial business	<p>Presents one of the following USFWS-issued CITES Appendix III re-export documents ³:</p> <ul style="list-style-type: none"> • Re-export Certificate designating source code W for specimens collected from the Wild, or source code A for Artificial Propagation (plantation grown) • Other Certificate designating Pre-Convention specimens; and designating the date of acquisition or certification the specimens were acquired before the date first included in the CITES appendices <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory on page 3-44</p>	GO to Step 5: Collect the Documents Associated with the Shipment on page 3-51
			Lacks the required CITES document	<ol style="list-style-type: none"> 1. PLACE the shipment on HOLD 2. GO to Violations, Seizures, and Forfeitures on page 4-1

- 1 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 2 The validity of a CITES document expires at midnight (local time at the place of presentation) on the date indicated on the document. All activities, including but **not** limited to transport and presentation for import **must** be completed before that time.
- 3 If *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then a CBP/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Certificate).
- 4 PPQ to identify the name of the PPQ Botanist that services your port, see Appendix C in the *Plant Inspection Stations Manual*.

Step 5: Collect the Documents Associated with the Shipment

Check to see if *Block 5, Special Conditions*, of the USFWS-issued CITES Re-export Certificate or Other Certificate requires that the permittee attach a copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin.

If so, then as part of the re-export validation process, you **must** verify that the CITES Appendix I, Appendix II, or Appendix III regulated timber or articles were originally legally imported into the U.S. The permittee **must** provide you with a legible copy of a valid foreign CITES Export Permit or Certificate that was previously endorsed (stamped, released, signed, and dated by a PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist) at the CITES-designated port where the shipment was originally imported.



In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the [Export Program Manual \(XPM\)](#) and EXCERPT.

A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Regulated Timber Species can **only** be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Regulated Timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export **only** if all CITES requirements have been satisfied.

Collect the following valid documents associated with the shipment:

- CITES Re-export Certificate or CITES Other Certificate (FWS Form 3-201A) issued by U.S. Fish & Wildlife Service-Division of Management Authority (USFWS-DMA)
- If the condition in *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then the permittee **must** provide you with a legible copy of a valid foreign CITES Export Permit or Certificate that was previously endorsed (stamped, released, signed, and dated by a PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist) at the CITES-designated port where the shipment was originally imported
- If the re-exporter is engaged in a commercial business, a copy of the USDA-APHIS ePermits-issued *Protected Plant Permit*, for the re-exporter to engage in the commercial trade of CITES listed plants (see [Protected Plant Permit](#) on page A-16). If the re-exporter **does not** have a permit, you may allow the re-exporter to apply for one (see [Step 6: Ensure the Documents Have Not Expired](#) on page 3-53; and follow the directions for allowing the re-exporter to apply for a new *Protected Plant Permit*)

- Cargo paperwork associated with the shipment (such as bill of lading, air waybill, invoice, and dimensional specification sheets²)

² Dimensional specification sheets (or dimensional tally inventory sheets) are used for articles that are imported in quantities expressed in cubic meters, square meters, or board feet, and inventory the size of each piece of lumber or veneer in each bundle shipped. Usually there will be more than one dimensional inventory sheet with each shipment.

Step 6: Ensure the Documents Have Not Expired

The USDA-APHIS [ePermits Protected Plant Permit](#) is valid for two years from the date issued. The expiration date is specified on the permit.

To verify that the documents have **not** expired, check the upper right-hand corner of the USDA-issued *Protected Plant Permit*, and *Block 2* of the *CITES Re-export Certificate* or *CITES Other Certificate*.

The validity of a CITES document expires at midnight (local time at the place of presentation) on the date indicated on the document. All activities, including but **not** limited to transport and presentation for import **must** be completed before that time.

A new application is required for both first-time applicants and upon expiration of the currently-held *Protected Plant Permit*.

Confirm PPP Valid or Apply for a PPP

1. Check [ePermits](#) to see if the exporter or re-exporter has a valid Protected Plant Permit.



If the exporter is a repeat violator who has disregarded your instructions to secure a Protected Plant Permit, then go to [Violations, Seizures, and Forfeitures](#) on page 4-1 before continuing in this section.

2. If the exporter or re-exporter **does not** have a Protected Plant Permit and is **not** a repeat violator or if the permit is missing or expired, then do the following:
 - A. Give the importer [PPQ Form 621, Application for Protected Plant Permit to Engage in Business of Importing, Exporting, or Re-exporting...](#) to apply for a Protected Plant Permit or go to [ePermits](#).
 - B. Have the exporter complete the application.
3. Collect a check from the importer for \$70, made payable to “Plant Protection and Quarantine”.
4. Mail the completed PPQ Form 621 application along with the \$70 check to the following address:

USDA-APHIS-PPQ
PPQ Permit Unit
4700 River Road, Unit 136
Riverdale, MD 20737-1236

Once you are satisfied that the exporter or re-exporter has submitted the required application and fee, then continue to [Renewal of an Expired CITES Re-export Certificate](#).

**Renewal of an
Expired CITES
Re-export
Certificate**

If the CITES Re-export Certificate has expired, then stop processing the re-export. Have the permittee contact the U.S. Fish & Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, VA 22203, to have the permittee's CITES Re-export Certificate or Other Certificate reissued.

Step 7: Confirm the Legal Importation

Confirm the articles have been legally imported. If the CITES Re-export Certificate, *Block 5, Special Conditions*, requires the permittee to attach a validated and endorsed (CBP-AS stamped) copy of the CITES Export Permit or Certificate from the country of origin³ or the country of last re-export, then confirm a legible, validated, endorsed copy is attached.

If the copy of the CITES Export Permit or Re-export Certificate presented to you is illegible or **does not** bear the stamp and signature of CBP-AS, then request the permittee or broker provide you with a legible, validated, endorsed copy.

If a legible, validated and endorsed copy of the export permit or re-export certificate is **not** provided or if you learn the importation is illegal, then the shipment may be subject to forfeiture. Contact a PPQ Botanist⁴ for assistance.

³ The country where the article originated.

⁴ PPQ to identify the name of the Botanist that services your port, see *Appendix C* in the *Plant Inspection Stations Manual*.

Step 8: Verify the CITES Re-export Certificate Is Authentic and Acceptable

Compare the CITES document accompanying the shipment to the official examples of USFWS-issued [CITES Documents](#) on page D-1.



IMPORTANT

Do not accept a CITES Re-export Certificate that is altered, modified, or crossed-out unless the modification or crossing out has been authenticated by the stamp and signature of the authority issuing the document.

If you are presented with an altered or questionable CITES Re-export Certificate, then place the shipment on HOLD and contact your PPQ Botanist for assistance.

See the instructions in [Table 3-7](#) to determine if the CITES document for re-export is valid. [Table 3-7](#) is a summary of the information required on a CITES Permit or Certificate and **does not** cover extra information required on the specific types of documents. Complete coverage of this information can be found in [50CFR §23.23\(e\)](#).

TABLE 3-7 Instructions for the Export or Re-export Validation of CITES Permits or Certificates Issued by USFWS

Block		Information entered by	Instructions
The heading <i>Block</i> above refers to the block location on a USFWS-issued CITES document			
 IMPORTANT		Accept a CITES document only if the following information is accurate and complete.	
	EXPORT PERMIT RE-EXPORT CERTIFICATE OTHER CERTIFICATE	Division of Management Authority (DMA)	1. VERIFY the type of CITES document presented (Export Permit, Re-export Certificate, or Other Certificate) corresponds with the category of trade 2. If the CITES document is marked "Other Certificate", then the document must indicate the type of certificate (see block 9), such as "Certificate of Artificial Propagation" (for plantation-grown trees); "Certificate of Origin"; or "Pre-Convention Certificate)
	Page ____ of ____	DMA	VERIFY the total number of document pages are presented to you for export validation
1	Original Permit/ Certificate No.	DMA	VERIFY the certificate or permit number listed on the first page matches the certificate or permit number listed all subsequent pages of the document (such as continuation sheets and/or inventory sheets)
2	Valid until	DMA	VERIFY the certificate has not expired. A CITES Re-export Certificate is valid for 6 months from the date of issuance. The validity of a CITES document expires at midnight (local time at the place of presentation) on the date indicated on the document. All activities, including but not limited to transport and presentation for import must be completed before that time.

TABLE 3-7 Instructions for the Export or Re-export Validation of CITES Permits or Certificates Issued by USFWS (continued)

Block		Information entered by	Instructions
3	Permittee (name and address, country)	DMA	<p>VERIFY the permittee's name and address matches the exporter's name and address declared on the accompanying shipping documents (bill of lading air waybill, booking confirmation document, etc.)</p> <p>CITES permits/certificates are not transferable; therefore the name and address of the exporter or re-exporter declared on the shipping documents must match the permittee's name and address</p>
4	Consignee (name and address, country)	Permittee (for partially completed documents; see Block 5) or DMA (for DMA-completed documents)	<p>VERIFY the consignee's name and address matches the information listed on the accompanying shipping documents (bill of lading, air waybill, booking confirmation, etc.)</p>
5	Special Conditions	DMA	<ol style="list-style-type: none"> 1. REVIEW the special conditions with which the permittee must comply to use this document 2. If this block directs the permittee to complete specific portions of the certificate, then you must VERIFY the blocks are complete and correct (see example below) 3. If this block instructs the permittee to attach a copy of the CITES document used to import the article into the U.S., then FOLLOW the guidelines in Step 7: Confirm the Legal Importation <p>EXAMPLE <i>Permittee must complete Block 4, Consignee, and Block 11, Quantity.</i></p>
5a	Purpose of Transaction	DMA	<ol style="list-style-type: none"> 1. VERIFY the purpose of transaction identified by a written description or by one of the codes in 50CR §23.23(d) reflects the nature of the transaction. Most transactions will be commercial with a transaction code T 2. VERIFY the transaction code is compatible with the source code recorded in <i>Block 10</i> <p>EXAMPLE <i>A CITES Export Permit authorizing commercial trade (purpose of transaction code T) for a wild-collected Appendix I specimen (source code W) would not be valid, except for Pre-Convention specimens.</i></p>
6	U.S. Management Authority	DMA	<ol style="list-style-type: none"> 1. CONFIRM the U.S. Management Authority address reads: U.S. Fish and Wildlife Service Division of Management Authority 4401 North Fairfax Drive, Room 212 Arlington, VA 22203-3247 2. VERIFY the document bears an ink stamp and original signature from the U.S. Management Authority 3. COMPARE the issuance date in this block (6) to the expiration date in <i>Block 2</i> (a USFWS CITES certificate is valid for 6 months)

TABLE 3-7 Instructions for the Export or Re-export Validation of CITES Permits or Certificates Issued by USFWS (continued)


Block		Information entered by	Instructions
7/8	Common Name and Scientific name (genus and species) of Animal or Plant	DMA	VERIFY by review of the shipping documents (and later by inspection of the commodity), the common name and scientific name recorded matches what is being re-exported
9	Description of the part or derivative, including identifying marks or numbers	DMA	VERIFY by review of the shipping documents (and later by inspection of the commodity), the description and identifying marks match what is being recorded in this block
10	Appendix No. and Source	DMA	VERIFY the CITES Appendix number (of the species being re-exported) listed and found in Table 3-3 agrees with the Appendix number listed on the CITES document
11	Quantity (including units)	Permittee (for partially completed documents; see Block 5) or DMA (for DMA-completed documents)	<ol style="list-style-type: none"> 1. VERIFY the quantity listed agrees with the quantity declared on the invoice and cargo papers accompanying the shipping documents 2. If <i>Block 5, Special Conditions</i>, directs the permittee to use a specific unit of quantity, or if <i>Block 9, Description of Specimens</i>, denotes the unit of quantity in the description of the commodity, then VERIFY that the specified unit of quantity is also in this block (11) 3. If the accompanying paperwork declares quantities other than directed, then see Appendix C, Conversion Formulas 4. If the instructions in <i>Block 5</i> direct the permittee to attach a copy of the CITES document used to import the commodity, then COMPARE the quantity listed in this block with the quantity listed on the attached foreign CITES document <div style="display: flex; align-items: center;">  <div style="background-color: #e0f2f1; padding: 10px; margin-left: 10px;"> <p>The quantity listed in <i>Block 11</i> must not exceed the quantity listed on the attached foreign CITES document. If this occurs, then STOP processing the shipment.</p> </div> </div> <ol style="list-style-type: none"> 5. If the quantity listed in this block exceeds the quantity listed on the attached foreign CITES document, then STOP processing the shipment and give the permittee the opportunity to remove excess material and present you with an new CITES Re-export Certificate
12	Country of Origin Permit/Certificate No. Date of Issue	Permittee (for partially completed documents; see Block 5) or DMA (for DMA-completed documents)	If <i>Block 5, Special Conditions</i> , requires a copy of the foreign CITES import document be attached, then VERIFY the country of origin, the permit or certificate number, and the date of issuance on the attached document coincides with the information recorded in this block
13	Export/Re-export Endorsement:	PPQ	ENTER the total quantities of specimens being exported/ re-exported in this block (See <i>Block 7</i> to obtain the quantity)

TABLE 3-7 Instructions for the Export or Re-export Validation of CITES Permits or Certificates Issued by USFWS (continued)

Block		Information entered by	Instructions
14	Bill of Lading/Air Waybill Number Port of Exportation/ Re-exportation Total No. of Shipping Containers	PPQ	ENTER the bill of lading/air waybill number (if available); port of exportation or re-exportation and total number of shipping containers
15	This document valid only with inspection official's ORIGINAL stamp, signature and date in this block	PPQ	STAMP with your original stamp, sign, and date

If a CITES Re-export Certificate is presented to you with incomplete or inaccurate information or the document has expired⁵, then **STOP** processing the re-exportation. Place the shipment on HOLD and contact your PPQ Botanist⁶ for assistance.

If the CITES document is acceptable, then continue to *Step 9: Inspect the Shipment*.

⁵ The validity of a CITES document expires at midnight (local time at the place of presentation) on the date indicated on the document. All activities, including but **not** limited to transport and presentation for import **must** be completed before that time.

⁶ To identify the name of the PPQ Botanist that services your port, see *Appendix C* in the *Plant Inspection Stations Manual*.

Step 9: Inspect the Shipment

Inspect the shipment to assess the actual quantity of material being re-exported. You may have to overcome the following difficulties in assessing the volume of material being shipped:

- Accessibility of containerized cargo
- Bundles of lumber consisting of boards or sheets of various sizes
- Enormity of the shipment
- Identity of the pallets comprising the shipment

When the size of commercial shipments makes impossible the inspection of the entire consignment to assess its quantity, then review the invoice, packing list, or dimensional specification sheets accompanying the consignment and determine the quantity of a representative unit (such as box, bundle, carton, etc.), for the shipment. Continue to [Table 3-8](#) below.

TABLE 3-8 Determine the Quantity of a Representative Unit for Inspection

If:	Then:
Quantity recorded on the USFWS-issued CITES document is by weight	VERIFY that the weight of the unit you chose to inspect matches the unit's weight as listed on the invoice or packing list
Quantity recorded on the USFWS-issued CITES document is by number of pieces	VERIFY that the number of pieces in the unit you chose to inspect matches the unit's number of pieces as listed on the invoice or packing list
Quantity recorded on the USFWS-issued CITES document is in cubic meters, square meters, or board feet	CONDUCT a dimensional piece count ¹ to VERIFY the quantity of the unit you chose to inspect matches the quantity listed for that unit on the invoice, packing list, or dimensional specification sheet
Quantity as found by your physical inspection of a representative sample does not match the quantity listed on the invoice, packing list, or dimensional specification sheet	<ol style="list-style-type: none">1. SELECT another representative sample to inspect2. REPEAT the procedures listed above to determine the extent of the overage

¹ To perform a dimensional piece count, you **must** measure each piece in the inspectional unit either by length and width; or by length, width, and height (thickness); and then multiply the subtotal by the number of pieces in the unit to calculate the total quantity of the unit. See [Appendix C, Conversion Formulas](#) for assistance.

Continue to [Table 3-9](#) to determine the action to take based on your inspection.

TABLE 3-9 Determine the Action Based on the Inspection Results

If your inspection confirms:	Then:
Exporter or re-exporter deliberately attempted to mislead you or concealed unauthorized articles	<ol style="list-style-type: none"> 1. In addition to seizure and forfeiture of the shipment, the importer may be subject to civil or criminal penalties. COMPLETE PPQ Form 518, Report of Violation (see Appendix A for instructions) to document the violation 2. CONTACT a PPQ Botanist¹ to report the violation
Quantity is equal to or less than the quantity listed on the USFWS-issued CITES Certificate	CONTINUE to Step 10: Validate the CITES Documents With Stamp and Endorsement
Quantity in excess of the quantity listed on the USFWS-issued CITES Certificate	<ol style="list-style-type: none"> 1. Shipment is in violation of CITES Regulations and is subject to seizure and forfeiture. SEE Violations, Seizures, and Forfeitures, for forfeiture procedures 2. CONTACT a PPQ Botanist for assistance with forfeiture procedures
Unauthorized articles (CITES regulated articles that are not recorded on the CITES document)	<ol style="list-style-type: none"> 1. Shipment is in violation of CITES Regulations and is subject to seizure and forfeiture. SEE Violations, Seizures, and Forfeitures for forfeiture procedures 2. CONTACT a PPQ Botanist for assistance with forfeiture procedures

- 1 PPQ to identify the PPQ Botanist that services your port, see *Appendix C* in the *Plant Inspection Stations Manual*.

Step 10: Validate the CITES Documents With Stamp and Endorsement

The CITES Re-export Certificate **is not** valid until a PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist completes *Blocks 13, 14, and 15* of this form. If the shipment complies with the USFWS-issued CITES Re-export Certificate and the procedures listed in *Steps 1 through 9* of this chapter, then endorse the **original** CITES document. Use your “USDA-APHIS-PPQ Inspected and Released” or “USDA-APHIS-PPQ Released” stamp. The stamp **must** bear your port location. **Sign** your name in ink, and write your badge number and the date. Validate by stamping and endorsing the re-export certificate blocks as shown in [Table 3-10](#).

TABLE 3-10 Instructions for Validation and Endorsement of CITES Re-export Certificate

Block	Completed by	Instructions
13	Export/Re-export Endorsement	PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist
14	Bill of Lading/ Air Waybill Number	PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist
	Port of Exportation/ Re-exportation	
	Total No. of Shipping Containers	
15	Inspecting Official's Stamp, Signature, and Date	PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist

Step 11: Distribute the CITES Documents

When *Block 5, Special Conditions*, states the permittee **must** attach a copy of the foreign CITES Export Permit or Certificate, then distribute as follows:

1. Send the validated **original** USFWS-issued CITES Certificate with a copy of the foreign CITES Export Permit or Certificate attached, to the permittee with the following instructions:
 - A. Permittee is to forward the documents with the shipment (documents must accompany shipment).
 - B. Permittee may make and keep a photocopy of the documents.
2. Send a **copy** of the validated original USFWS-issued CITES Certificate with a copy of the foreign CITES Export Permit or Certificate attached, to the following office:

U.S. Fish and Wildlife Service
Division of Management Authority
4401 North Fairfax Drive, Room 700
Arlington, VA 22203

3. Keep a **copy** of the validated original USFWS-issued CITES Certificate with a copy of the foreign CITES Export Permit or Certificate attached, in the port file.



CITES files **must** be retained for five years. See [Filing System](#) on page 2-3 for directions on how to set up and maintain files.

Transportation and Exportation (T&E) of CITES Appendix I, Appendix II, Appendix III Regulated Timber Species

Canada or Mexico

Follow the steps listed below when releasing the shipment for transportation and exportation (T&E) of CITES Appendix I, Appendix II, or Appendix III regulated timber species to Canada or Mexico:

1. Verify that the shipment is accompanied by CBP Form 7512 or other accepted in-bond document.
2. Stamp the CBP paperwork, “Released for Exportation.”
Do not stamp the CITES document; this will be done by the Canadian or Mexican authorities.
3. Apply any necessary safeguards.
4. Allow the shipment to proceed.



If the CBP paperwork designates both a U.S. Company (middle man) and a Canadian or Mexican consignee, then review the CITES document to verify that the consignee is actually Canadian or Mexican and **not** U.S. If the CITES document declares a U.S. company as the consignee, then the T&E **must** be handled as a CITES re-export.

Immediate Exportation (IE) of CITES Appendix I, Appendix II, Appendix III Regulated Timber Species

Follow these steps for the immediate exportation (IE) of CITES Appendix I, Appendix II, and Appendix III regulated timber species:

1. Verify the shipment is accompanied by CBP Form 7512 or other accepted export document.
2. Stamp the CBP paperwork, “Released for Exportation.”
Do not stamp the CITES document; this will be done by the authorities at the country of destination.
3. Apply any necessary safeguards.
4. Allow the shipment to proceed.

4

CITES I-II-III Timber
Species Manual

Violations, Seizures, and Forfeitures

Procedures

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Introduction

This chapter provides the procedures for processing violations of CITES Appendix I, Appendix II, and Appendix III protected timber species, and for seizure and forfeiture of CITES regulated timber species (including articles made from protected timber).

Procedures

The procedures which follow have been established to report violations and initiate seizure and forfeiture for regulated plants, including their parts and derivatives when offered for or traded in contravention CITES.

CITES Contacts

Some circumstances are identified in this chapter as requiring contacting the PPQ Botanist that services your port, and others require contacting the National CITES Specialist or the National CITES Coordinator.

If after reading the procedures in this chapter, CBP Officers still have a CITES-related question regarding a shipment, then contact the CBP field office liaison through the chain of command. Include your name, phone number, and e-mail address. If after reading the procedures in this chapter, PPQ Officers still have a CITES-related question regarding a shipment, then first contact the PPQ Botanist that services your port.

If the PPQ Botanist is **not** available or is unable to answer your question, then contact the National CITES Specialist, Timothy Torbett timothy.j.torbett@aphis.usda.gov, or the National CITES Coordinator, John Veremis (john.veremis@aphis.usda.gov). Include your name, phone number, and e-mail address when contacting the National CITES Specialist or the National CITES Coordinator.



The person making a CITES-related inquiry should include his or her name, phone number, and e-mail address so that the National CITES Specialist or the National CITES Coordinator is able to reply or obtain additional details.

Violations of USDA Regulations

Violations of USDA species regulations concerning CITES plants (7CFR 355) will generally result in the issuance of *PPQ Form 518, Report of Violation*.

Repeat violations of 7CFR 355 or deliberate attempts to circumvent regulations will result in seizure and forfeiture of CITES regulated material. To determine if seizure and forfeiture is warranted, verify that the violator is a repeat offender or deliberately attempted to circumvent regulations. Contact

the PPQ National CITES Specialist¹ or National CITES Coordinator for advice. CBP Agriculture Specialists (CBP-AS) **must** go through proper channels.

EXAMPLE

If a violator's *Protected Plant Permit* is revoked and the violator attempts to import, export, or re-export CITES regulated material, then seizure and forfeiture is warranted.

Step 1: Determine if a Violation of USDA Regulations Concerning CITES Regulated Plants Exists

A violation of the USDA regulations concerning CITES regulated plants exists when a party (importer, exporter, or re-exporter) commits one or more of the following:

- Engages in commercial business as an importer, exporter, or re-exporter **without** a USDA-APHIS ePermits-issued *Protected Plant Permit*
- Fails to notify CBP or PPQ promptly upon the arrival or prior to the export or re-export of regulated material, by such means as a manifest, Customs' (CBP) entry, invoice, or waybill, with the genus and species of the regulated material listed
- Fails to provide the genus and species of regulated material by such means as a tag, invoice, or packing list, or identification on the shipping container
- Fails (for any person engaged in business as an importer, exporter, or re-exporter) to maintain records for the trade of regulated material for a period of five years
- Fails or denies (for any person engaged in business as an importer, exporter, or re-exporter) to provide CBP or PPQ access to examine such records or inventory of regulated material
- Moves regulated material from the Customs' (CBP) area (pertaining to imports) or from the designated port (pertaining to exports or re-exports) **without** submitting the original CITES document to CBP or PPQ for validation (for re-exported material when the CITES certificate is **not** endorsed, then the foreign CITES management authority may seize the property)

If there are other violations in addition to those listed above, then continue to *Violations of CITES Regulations*.

¹ The National CITES Specialist is Timothy Torbett, timothy.j.torbett@aphis.usda.gov; and the National CITES Coordinator is John Veremis, john.veremis@aphis.usda.gov.

Step 2: Complete PPQ Form 518, Notice of Violation

See *PPQ Form 518, Report of Violation* on page A-9 for an example, and [page A-10](#) for directions on completing the form. If the PPQ Form 518 is available on-line, then complete the form electronically as appropriate.

Violations of CITES Regulations

Violations of CITES regulations (50CFR 23, 24 and 16 USC 1538) for plants (including their parts or derivatives) listed by the Convention will generally result in both a report of violation (*PPQ form 518, Report of Violation*), and seizure and forfeiture of the illegally-traded material.

Step 1: Confirm a Violation of CITES Exists and Warrants Seizure and Forfeiture

A violation of CITES regulations exists when a party (importer, exporter, or re-exporter) does one or more of the following:

- Imports², exports³, re-exports⁴, or possesses plants listed in CITES Appendix I, Appendix II, or Appendix III, with invalid CITES documentation or **without** a CITES document
- Imports, exports, or re-exports regulated plants in quantities that exceed the quantity recorded on the CITES permit or certificate
- Imports, exports, or re-exports regulated plants into or out of a port that has **not** been designated for the movement of such plants

To confirm that a violation exists and warrants forfeiture and seizure of the timber or articles, see [Table 4-1](#).

2 (Importer, importing, importation) to land on, bring into, introduce into, or attempt to land on, bring into, or introduce into any place subject to the jurisdiction of the United States.
3 (Exporter, exporting, exportation) to carry, send, take, transport, or otherwise remove, or attempt to carry, send, take, transport or otherwise remove from any place subject to the jurisdiction of the United States.
4 (Re-exporter, re-exporting, re-exportation) to export following importation.

TABLE 4-1 Confirm the Violation Warrants Seizure and Forfeiture









If you have:	And the:	And you determine:	Then:
Attempt to import into the United States with an invalid CITES document or without a CITES document			1. CONTINUE processing the violation and complete <i>PPQ Form 518, Notice of Violation</i> ; seizure and forfeiture is warranted 2. GO to Step 2: Hold the Regulated Timber or Articles Only and Notify Parties
Attempt to import into the United States and the importer claims the CITES document was lost or destroyed during shipping			1. PLACE the shipment on HOLD; do not proceed with seizure and forfeiture 2. CONTACT a PPQ Botanist for assistance ¹
Attempt to export or re-export from the United States with an invalid CITES document or without a valid CITES document		Person is knowledgeable ²	1. CONTINUE processing the violation and complete <i>PPQ Form 518, Notice of Violation</i> ; seizure and forfeiture is warranted 2. GO to Step 2: Hold the Regulated Timber or Articles Only and Notify Parties
	Re-exporter presents regulated articles to you for the purpose of inquiring about CITES ³	There is no deliberate attempt to defraud or violate the regulations	PROVIDE the person with the required information to obtain the necessary CITES documents; seizure and forfeiture is not warranted
Attempt to import, export, or re-export regulated material through a non-designated port		Person is knowledgeable ¹	1. CONTINUE processing the violation and complete <i>PPQ Form 518, Notice of Violation</i> ; seizure and forfeiture is warranted 2. GO to Step 2: Hold the Regulated Timber or Articles Only and Notify Parties
	Person is unaware of the designated port requirement ⁴	There is no obvious attempt to defraud or violate the regulations	PROVIDE the person with the required information and allow to arrange to have the shipment rerouted to a designated port at the owner's expense
Evidence that a permit, certificate, or other official document was altered or forged to gain advantage			1. CONTINUE processing the violation and complete <i>PPQ Form 518, Notice of Violation</i> ; seizure and forfeiture is warranted
Quantities in excess of the quantity recorded on the CITES document			2. GO to Step 2: Hold the Regulated Timber or Articles Only and Notify Parties
Unauthorized regulated material (CITES regulated articles that are not recorded on the CITES document)			

TABLE 4-1 Confirm the Violation Warrants Seizure and Forfeiture (continued)

If you have:	And the:	And you determine:	Then:
Violation other than listed in the cells above			1. STOP processing the violation 2. CONTACT a PPQ Botanist through proper channels

- 1 To identify the name of the PPQ Botanist that services your port, see the [Lists of Identifiers and National Specialists](#).
- 2 Consider a person knowledgeable if any of the following apply: the person was given prior information regarding CITES regulations; is a *Protected Plant Permit (PPP)* holder; deliberately attempted to conceal CITES-regulated material; or is a repeat violator.
- 3 The lack of a CITES document by a re-exporter may be due, in part to a lack of knowledge about the regulations.
- 4 An attempt to import or re-export through a non-designated port may be due, in part to the person's lack of knowledge about the regulations.

Step 2: Hold the Regulated Timber or Articles Only and Notify Parties

If you have **not** already done so, then place the material moving in violation of CITES regulations on HOLD. Notify all parties involved that the material is **not** to be moved **without** CBP's or PPQ's permission.

Be sure non-CITES material or timber in the same shipment as CITES-regulated material and timber has been separated. **Do not** keep non-CITES material with held CITES material.

Continue to [Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation](#).

Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation

If the same wood or article as the property on hold is sold in the United States, then use the price asked by the nearest retailer to estimate the value. If the same wood or article as the property on hold is **not** sold in the United States or if impractical to contact a retailer, then use the material's invoiced value.

Continue to [Step 4: Start the Forfeiture Procedures](#).

Step 4: Start the Forfeiture Procedures

The forfeiture procedures will allow you to seize (gain legal custody) and take possession of the material, and to facilitate prosecution by CBP, PPQ, or USFWS-Division of Management Authority (DMA).

After you have obtained the value of the material, then see [Table 4-2](#) to determine the forfeiture procedures to use.

TABLE 4-2 Determine Forfeiture Procedures to Use for Seized Timber or Articles

If:	And you estimate the value of the seized material to be:	Then:
Seized timber or articles	\$10,000 or less	GO to Forfeiture Procedures for Seizures Valued at \$10,000 or Less
	More than \$10,000	GO to Forfeiture Procedures for Seizures Valued Greater than \$10,000

Once [PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \\$10,000 or Less](#) or [PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \\$10,000](#) is completed and issued to the owner of the material, then the status of the material moves from held to seized and is now officially in the custody of CBP or PPQ.

When the seizure is valued at \$10,000 or less, follow these steps and continue processing the violation:

1. Allow the owner to either waive title (by completing [PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property](#)) to the material moving in violation of the legislation or to challenge the forfeiture of that material.
2. Advise the owner that the material becomes forfeited after 21 days.
3. Complete [PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \\$10,000 or Less](#) (see the examples on [page A-21](#) and [page A-26](#); instructions for completing the *Part 1* on [page A-22](#), and *Part 5* on [page A-27](#)) for material seized under CITES legislation.

Then do as follows:

- A. Verify that the file number is listed on all applicable forms (see [Filing System for Violations, Seizures, and Forfeitures](#) on page 4-19).
- B. Make certain to record the date and time of posting PPQ Form 624: in *Block 7* of *Part 1-PPQ Headquarters*, and in *Block 7a* of *Part 5-PPQ/CBP Port Worksheet*.
 - i. **Immediately** post PPQ Form 624, *Part 3-Port Copy (for posting)* at the CBP or PPQ office (where the material was seized) in a conspicuous place that is accessible to the public; and keep *Part 3-Port Copy* posted for 21 days.
 - ii. Make certain you enter the appropriate dates and times in *Blocks 6* and *7* on *Part 5-PPQ/CBP Port Worksheet* of PPQ Form 624.

Forfeiture Procedures for Seizures Valued at \$10,000 or Less

4. Distribute PPQ Form 623 and PPQ Form 624 as follows:

- A. If the owner or owner's agent is present and signs *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*, then distribute the forms as follows:
- Hand Part 2 of PPQ Form 623 to the owner or agent
 - File Part 1 of PPQ Form 623 in the CBP or PPQ port file
 - Keep Part 4 of PPQ Form 624 in the port file (**not** necessary to provide the owner or agent with this copy)
 - Continue to 5. on *page 4-8*
- B. If the owner or owner's agent is present and **did not** sign PPQ Form 623 or is **not** present, then send PPQ form 624, *Part 4-Owner*, by **Certified or Registered Mail with Return Receipt Requested** together with the following, to all persons believed to be owners or to have an interest in the seized material⁵:
- *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property, Part 2*
 - *PPQ Form 625 Claim and Bond*
 - *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*
- C. Make certain you enter the appropriate dates and times in *Blocks 6 and 7 on Part 5-PPQ/CBP Port Worksheet* of PPQ Form 624.



Important

If the owner or owner's agent is present and requests a copy of *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*, then make a photocopy of *Part 4* and give the photocopy to the owner or owner's agent. You **must** also send the **original** *Part 4-Owner*, PPQ Form 624 to the owner or owner's agent by **Certified or Registered Mail with Return Receipt Requested** to comply with the regulations.



Important

If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

5. Send (using overnight shipment with next-day delivery) *Part 1-PPQ Headquarters* **original** PPQ Form 624, and if applicable, the signed PPQ Form 623, to the National CITES Coordinator at the following address:

⁵ Those that may have an interest include interested parties such as the owner's agent, shipping line, or supplier. These people are identified on PPQ Form 624, *Part 4* (worksheet), *Block 6*.

National CITES Coordinator
USDA-APHIS-PPQ
4700 River Road, Unit 52, 4D-04.20
Riverdale, MD 20737-1236

6. File and retain the following completed forms:
- A. After 21 days, remove, file, and retain the posted *Part 3-Port Copy* of PPQ Form 624.
 - B. File and retain *Part 5-PPQ/CBP Port Worksheet* copy of PPQ Form 624, to know what has happened, who was notified, and when the next step is to be taken. Update *Part 5* as necessary.
 - C. Make certain that all relevant documents have been collected and filed; and update the documents in the file as necessary.

For detailed instructions on completing forms for seizures valued at \$10,000 or less, see the following in [Appendix A](#):

- PPQ Form 621, [page A-14](#) through [page A-15](#)
- PPQ Form 623, [page A-18](#) through [page A-20](#)
- PPQ Form 624, *Part 1*, [page A-21](#) through [page A-24](#)
- PPQ Form 624, *Part 5-PPQ/CBP Port Worksheet*, [page A-26](#) through [page A-29](#)
- PPQ Form 625, [page A-37](#) through [page A-38](#)
- PPQ Form 626, [page A-39](#) through [page A-40](#)

If you need additional guidance, contact the PPQ Botanist at your port or the PPQ Botanist whose area of coverage services your port ⁶.

Continue to *Step 5: Safeguard the Seized Timber or Articles*.

**Forfeiture
Procedures for
Seizures
Valued Greater
than \$10,000**

When the seizure is valued greater than \$10,000, follow these forfeiture procedures, then continue processing the violation:

1. Complete *PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000*. (See the examples on [page A-30](#) and [page A-34](#); and the instructions in **Table A-4 on page A-31** and in **Table A-5 on page A-35**).
2. Make certain you enter the appropriate dates in *Block 7 PPQ Form 624A, Part 1 through 4*.

⁶ CBP see the [Lists of PPQ Identifiers and National Specialists](#). PPQ see the *Plant Inspection Stations Manual*.

3. Make certain you enter the appropriate dates in *Blocks 6 and 7 of PPQ Form 624A, Part 5-PPQ/CBP Port Worksheet*.
4. Proofread the completed *PPQ Form 624A* to ensure that there are **no** inaccuracies or omissions.
5. Make sure that all relevant documents have been collected and filed. Update the file as necessary.
6. Write a narrative report of all relevant facts and circumstances of the violation, as follows:
 - Include the names of any witnesses
 - Cite the laws believed to have been violated
 - Prepare the narrative report on CBP or PPQ letterhead
 - *CBP or PPQ letterhead **must** be dated and bear your name, signature, and title*
 - *CBP or PPQ Letterhead **must** be used since the seizure will be brought before a U.S. District Court by the U.S. Attorney's Office*

If you need additional guidance, contact your PPQ Botanist through proper channels.

7. The Officer signs the *PPQ Form 624A*. Assemble the following documents for **overnight shipment** to the USDA National CITES Coordinator:
 - Narrative report **original** (written by CBP Agriculture Specialist, or PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist)
 - *PPQ Form 624A, Part 1-PPQ Headquarters* **original**
 - Correspondence and documents that accompanied the shipment
8. Send (via **overnight** shipment for next-day delivery) the assembled documents (identified in 7, above), to the following address:

National CITES Coordinator
USDA-APHIS-PPQ
4700 River Road, Unit 52, 4D-04.20
Riverdale, MD 20737-1236

9. Use **Certified** or **Registered Mail** with **Return Receipt Requested** to send the following forms to all persons believed to be owners or to have an interest in the seized material⁷:

- *PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000, Part 4-Owner only*
- *PPQ form 626, Petition for Remission or Mitigation of Forfeiture*

10. Retain the *PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000, Part 2-PPQ/CBP Port File* and *Part 5-PPQ/CBP Port Worksheet* in your Port file for five years.



If multiple owners or agents are identified, then you may send photocopies of the forms in lieu of the actual forms.

For detailed instructions on completing forms for seizures valued greater than \$10,000, see the following in [Appendix A](#):

- [PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \\$10,000](#) on page A-30 through [page A-33](#)
- [PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \\$10,000](#) on page A-30 through [page A-36](#)
- [PPQ Form 626, Petition for Remission or Mitigation of Forfeiture](#) on page A-39 through [page A-40](#)

Go to [Step 5: Safeguard the Seized Timber or Articles](#) on page 4-12.

⁷ Those that may have an interest include interested parties such as owner's agent, shipping line, or supplier. These people are identified on *PPQ Form 624A, Part 5, Block 6*.

Step 5: Safeguard the Seized Timber or Articles



Notify all parties involved that the seized material is **not** to be moved without CBP's or PPQ's permission.

Request for Services to Transport, Store, and/or Dispose of Shipments

Safeguard the seized protected timber or articles until the material leaves your (CBP Agriculture Specialist (CBP-AS), PPQ Plant Health Safeguarding Specialist (PHSS), or PPQ Export Certification Specialist (PPQ ECS)) care. Make sure that **no** part of the shipment is lost.

Forfeiture procedures can take a lengthy amount of time and considerable storage costs may accumulate. When material is seized after being placed on hold pending final U.S. Government forfeiture, the CBP-AS, PPQ-PHSS, or PPQ-ECS **must immediately** contact the proprietor of the facility and inquire if there is room to continue to store the shipment at the facility and if storage fees apply to CBP or PPQ.

If any of the following conditions apply, then **immediately** complete a *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments*:

- Room is **not** available to store the shipment at the port facility
- Storage fees apply to USDA-PPQ at the port facility where the seized items are being stored

Go to http://www.aphis.usda.gov/import_export/plants/manuals/ports/downloads/request_for_services.pdf to obtain a fillable copy of the *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments*. See [page A-4](#) for an example and instructions on completing the request.

Fax the completed *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments* to:

Attention: National CITES Coordinator
FAX # 301-734-3560

The contractor will contact the CBP or PPQ Point-of-Contact Officer to schedule an appointment to have the loading of the seized material supervised.

If room is available to store the shipment at the port facility and storage fees **do not** apply, then contact the National CITES Specialist, Timothy Torbett, timothy.j.torbett@aphis.usda.gov, or the National CITES Coordinator, John Veremis, john.veremis@aphis.usda.gov, to determine if other temporary storage is necessary.

For seizures valued at \$10,000 or less, do as follows:

- If you did **not** receive a signed PPQ Form 623, then continue to [Step 6: Forfeit Seized or Abandoned Material Valued at \\$10,000 or Less](#)
- If you did receive a signed PPQ Form 623, then continue to [Step 8: Start the Process for Disposal of Forfeited Material Valued at \\$10,000 or Less](#)

For seizures valued greater than \$10,000, continue to [Step 7: Await Court Decision for Seized or Forfeited Material Valued Greater Than \\$10,000](#).

Step 6: Forfeit Seized or Abandoned Material Valued at \$10,000 or Less

If *PPQ Form 625, Claim and Bond* is **not** received by your office within 20 days⁸ after posting the *Notice of Proposed Forfeiture*, or if the importer or re-exporter **does not** present an acceptable CITES document, then you may forfeit seized or abandoned property valued at \$10,000 or less.

If *PPQ Form 625, Claim and Bond*, is received directly by your office within 20 days after posting the *Notice of Proposed Forfeiture*, then go to [Procedures to Follow Upon Receipt of PPQ Form 625, Claim and Bond](#) on page 4-15.



If *PPQ Form 625, Claim and Bond*, was received by the PPQ Deputy Administrator's Office, then you will be notified by PPQ. If storage is available at the port facility at **no** charge, then continue to safeguard the seizure. You will be notified by PPQ of when the seized property can be forfeited; and you may be asked to serve papers issued by the U.S. Marshals Service.

If a CITES document is presented by an importer or exporter during the forfeiture process, then the document can **only** be accepted if the document was issued in accordance with *Conference Resolution 12.3, Section I*, paragraphs p), and q), (for replacement documents); and Section XIII, paragraphs a), b), and c), (for retrospective issue of permits and certificates). See [Conference Resolution 12.3 \(Rev. CoP 15\), Permits and Certificates](#) on

⁸ The Deputy Administrator may extend the 20-day period with an appropriate statement on the posted notice of proposed forfeiture, if necessary, to allow a person deemed to have an interest in the property at least 10 days to file such a claim and bond after receipt of a notice of proposed forfeiture.

Procedures for Forfeiting Seized Property

page B-4. Contact the National CITES Specialist⁹ or the National CITES Coordinator to assist you with determining if the CITES document is acceptable.

If 20 days after posting *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*, you **did not** receive *PPQ Form 625 Claim and Bond*; or you did **not** receive notification from the PPQ-HQ/Deputy Administrator's office that *PPQ Form 625* was received; or you did **not** receive an acceptable CITES document, then the seized property shall be forfeited as follows:

1. If *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*, was **not** received, then complete *PPQ Form 627, Declaration of Forfeiture*. See the example on [page A-42](#) and the dates recorded on PPQ Form 624 *Part 3-Port Copy*, and *Part 5-PPQ/CBP Port Worksheet*.



Important

If PPQ Form 626 is received prior to the completion of PPQ Form 627, then continue on to [Procedures to Follow Upon Receipt of PPQ Form 626, Petition for Remission or Mitigation of Forfeiture](#) on page 4-16.

If *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*, was signed by the owner or agent, then completing PPQ Form 627 is **not** necessary.

2. Send *Part 2-Owner*, *PPQ Form 627, Declaration of Forfeiture*, by **Certified** or **Registered Mail with Return Receipt Requested**, to the owner(s) of the forfeited material. (If more than one owner, then send *Part 3-Owner* to the additional owner.)



Important

The seized material is now the property of the United States Government.

3. Retain *Part 1-PPQ Port File* copy of PPQ Form 627 in the port file.
4. Record in *Block 6* of *PPQ Form 624, Part 5-PPQ/CBP Port Worksheet*, the date and time you mail PPQ Form 627.

Continue to [Step 8: Start the Process for Disposal of Forfeited Material Valued at \\$10,000 or Less](#) on page 4-17.

⁹ The National CITES Specialist is Timothy Torbett, timothy.j.torbett@aphis.usda.gov; and the National CITES Coordinator is John Veremis, john.veremis@aphis.usda.gov.

Procedures to Follow Upon Receipt of PPQ Form 625, Claim and Bond

If *PPQ Form 625, Claim and Bond*, is received by your office within 20 days after the date of posting, then do as follows:

1. Record in *Block 6* of *PPQ Form 624, Part 5-PPQ/CBP Port Worksheet*, the date PPQ Form 625 is received.
2. Make a photocopy of PPQ Form 625 and retain the copy in your files.
3. Send the **original** PPQ Form 625 (using **overnight** shipment for next day delivery) to the National CITES Coordinator at the following address:

National CITES Coordinator
USDA-APHIS-PPQ
4700 River Road, Unit 52, 4D-04.20
Riverdale, MD 20737-1236

The National CITES Coordinator will handle referral of PPQ Form 625 to the Deputy Administrator's Office. Continue to HOLD and safeguard the shipment.

4. The forfeiture process is now transferred from an APHIS administrative procedure to the Office of the U.S. District Court in the State where the seizure was made.
5. You will be notified by PPQ Headquarters of when to take custody of the seized or abandoned material. You may be asked to serve papers issued by the U.S. Marshals Service.



If *PPQ Form 625, Claim and Bond*, was received by the PPQ Deputy Administrator's Office, then you will be notified by PPQ Headquarters.

If the shipment is being stored at the port facility, then ask the proprietor if room is available to continue to store the shipment at **no** charge to DHS-CBP or USDA-PPQ (see [Request for Services to Transport, Store, and/or Dispose of Shipments](#) on page 4-12).

Since PPQ Form 625 has been received, the administrative forfeiture procedure ceases; **do not** mail *PPQ Form 627, Declaration of Forfeiture*, to the owner.

If either PPQ Form 625 or PPQ Form 626 has been received, then **do not** continue to [Step 8: Start the Process for Disposal of Forfeited Material Valued at \\$10,000 or Less](#) until you have been notified by PPQ Headquarters to do so.

If **both** PPQ Form 625 and PPQ Form 626 were **not** received or you have been notified by PPQ Headquarters to start the process for disposal, then continue to [Step 8: Start the Process for Disposal of Forfeited Material Valued at \\$10,000 or Less](#).

Procedures to Follow Upon Receipt of PPQ Form 626, Petition for Remission or Mitigation of Forfeiture

If *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*, is received by your office, then do as follows:

1. Record in *Block 6* of *PPQ Form 624, Part 5-PPQ/CBP Port Worksheet*, the date PPQ Form 626 is received.
2. Make a photocopy of PPQ Form 626 and retain the copy in your files.
3. Send the **original** PPQ Form 626 (using overnight shipment for next day delivery), to the National CITES Coordinator at the following address:

National CITES Coordinator
USDA-APHIS-PPQ
4700 River Road, Unit 52, 4D-04.20
Riverdale, MD 20737-1236

The National CITES Coordinator will handle referral of PPQ Form 626 to the Deputy Administrator's Office.

4. Continue to safeguard the seized or forfeited property. A decision will be made by the Deputy Administrator to grant or deny the Petition for Remission or Mitigation of Forfeiture.



If you did **not** receive *PPQ Form 625, Claim and Bond*, but you have received *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*, and you did **not** already issue PPQ Form 627, then modify PPQ Form 627, *Block 6*, by adding, "A decision will be made pursuant to review of the received *Petition for Remission or Mitigation* by the Deputy Administrator." Issue the modified PPQ Form 627. CBP or PPQ **must** continue to safeguard the material until a final decision is made by the Deputy Administrator to grant or deny the petition.

If the shipment is being held at the port facility, then the CBP-AS or PPQ-PHSS or PPQ-ECS **must** immediately contact the proprietor of the port facility and re-inquire if space is still available to continue to store the shipment at **no** charge to DHS-CBP or USDA-PPQ.

If storage fees apply or space is **not** available at the port facility, then to continue to safeguard and store the shipment at the port, then complete the *Request for Services to Store, Transport, and/or Dispose of Seized or Forfeited Shipments* (a fillable request is available at http://www.aphis.usda.gov/import_export/plants/manuals/ports/downloads/request_for_services.pdf). See *Request for Services to Transport, Store, and/or Dispose of Shipments* on page 4-12 for distribution of the completed request.

Do not make arrangements to dispose of the material until you receive notification from PPQ Headquarters to do so. CBP or PPQ **must** continue to HOLD and safeguard the material until final notification.

If PPQ Form 626 is received by the PPQ Deputy Administrator, then you will be notified by PPQ Headquarters.

Step 7: Await Court Decision for Seized or Forfeited Material Valued Greater Than \$10,000

Proceedings for seizures valued greater than \$10,000 are forwarded to the U.S. Attorney's office in the State where the seizure occurred. Disposition of the seized material is decided upon by the U.S. District Court. Depending on case load, the judicial forfeiture process can take several months or longer.



If the shipment is being stored at the port facility, then the CBP-AS or PPQ-PHSS or PPQ-ECS **must** immediately contact the proprietor of the port facility and re-inquire if space is still available to continue to hold the shipment at **no** charge to DHS-CBP or USDA-PPQ.

If storage fees apply or space is **not** available to continue to safeguard and store the shipment at the port, then complete the *Request for Services to Store, Transport, and/or Dispose of Seized or Forfeited Shipments* (a fillable request is available at http://www.aphis.usda.gov/import_export/plants/manuals/ports/downloads/request_for_services.pdf. See *Request for Services to Transport, Store, and/or Dispose of Shipments* on page 4-12 for distribution of the completed request.

If the District Court rules in favor of the Agency that made the seizure, then the seized material becomes the property of the U.S. Government, and can be disposed of. In most cases after the U.S. District Court makes their ruling, the forfeiture process is transferred to the U.S. Marshal's Service. The U.S. Marshals Service (**not** CBP or PPQ) finalizes custody and disposal of the forfeited material. You may be asked to serve papers issued by the U.S. Marshals Service.

Step 8: Start the Process for Disposal of Forfeited Material Valued at \$10,000 or Less

Seized material becomes the property of the U.S. Government 21 days after *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*, is posted.

Sixty days after the forfeited material becomes U.S. Government property, CITES Appendix II and Appendix III material is routinely sold at auction. Forfeited CITES Appendix I material **cannot** be sold,

Since forfeited Appendix I material **must** be disposed of by other means, contact the PPQ National CITES Specialist, Timothy Torbett, e-mail timothy.j.torbett@aphis.usda.gov, or the National CITES Coordinator, John Veremis, e-mail john.veremis@aphis.usda.gov, to discuss disposal options.

Request Transport, Storage, and Disposal of Forfeited Material

Complete and send a *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments* for forfeited CITES Appendix I, Appendix II, and Appendix III, as follows:

1. Fill out a *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments*. (See the example *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments* on page A-4.)
2. Note whether there is space available to continue to store the forfeited material for approximately 60 more days and the daily storage charge. (If you have not already done so, then contact the port facility where the shipment is being stored to obtain this information.)
 - A. If the shipment is already being held in contract storage, then **do not** complete another *Request for Services to Store, Transport, and/or Dispose of Seized or Forfeited Shipments* as the National CITES Coordinator will use the initial form.
3. Fax the completed *Request for Services to Store, Transport, and/or Dispose of Seized or Forfeited Shipments* to the National CITES Coordinator:

Attention: National CITES Coordinator
FAX: 301-734-3560

4. The contractor will contact the CBP or PPQ Point-of-Contact Officer to schedule an appointment to have the loading of the forfeited material supervised.

Maintenance of CITES Documents

The CBP Agriculture Specialists, PPQ Plant Health Safeguarding Specialists, or PPQ Export Certification Specialists at the port should file and maintain associated CITES documents for the following reasons:

- Facilitate a civil or criminal proceeding
- Give immediate access to prior actions taken on seized material (in case you are asked questions about a particular action)
- Identify repeat offenders

Filing System for Violations, Seizures, and Forfeitures

To set up a filing system for violations, seizures, and forfeitures paperwork, use the following process:

1. Give each shipment found in violation of the legislation a separate file.
2. Label each file by first listing your port name, then the last two digits of the year followed by a hyphen, then the seizure number. The seizure number starts with 01 for the first seizure of the year. Each subsequent seizure will be numbered consecutively.

EXAMPLE

The Port of Miami's first file for 2006 would be: Miami 06-01.

The second file would be numbered Miami 06-02.

3. Place *Part 5-PPQ/CBP Port Worksheet*, of *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*, in the front of each file and update as necessary. Add all applicable forms, such as the following:
 - *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property* (if used)
 - *PPQ Form 625, Claim and Bond* (if used)
 - *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture* (if used)
 - *PPQ Form 627, Declaration of Forfeiture* (if used)
 - Other relevant documents (i.e., Officer's Statement)

Retain each file for 5 years after the last documented action is taken.

5

CITES I-II-III Timber
Species Manual

Designated CITES Ports

Directory of CITES Ports and Plant Inspection Stations CITES Staff

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Designated CITES Ports and Plant Inspection Stations CITES Staff [page 5-1](#)

Introduction

The *Designated CITES Ports* chapter contains the list of CITES ports through which CITES commodities may be imported, exported, or re-exported.

Designated CITES Ports and Plant Inspection Stations CITES Staff

Some ports and plant inspection stations can **only** certify specific CITES commodities, which are listed under the *CITES Commodity* column in [Figure 5-1](#).

TABLE 5-1 Designated PPQ CITES Ports Directory

State	CITES Commodity	Address	Phone and Fax	Designated Staff
Alabama	Logs and lumber	USDA-APHIS-PPQ 46114 Sunrise Drive, Bay Minette, AL 36507	Ph: 251/661-2742 Fax: None	Jeffrey Lasiter, PHSS
Arizona	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Plant Inspection Station 9 North Grand Avenue Room 120 Nogales, AZ 85621	Ph: 520/287-6463 Fax: 520/387-0138	Allen Dawson, Plant Pathologist Dan Walega, PHSS
California	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Los Angeles Plant Inspection Station 11840 S. La Cienega Blvd. Hawthorne, CA 90250	Ph: 310/725-1916	Jamal Al-Henaid, Botanist
			Ph: 310/725-1910 Fax: 310/725-1947	Andy Lee, Supervisor
California	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Plant Inspection Station 9777 Via de la Amistad, Rm 140 San Diego, CA 92154	Ph: 562/628-8900 (Long Beach)	Kristen Kaser, Botanist (Long Beach)
			Ph: 619/661-3029 Fax: 619/661-3047	Michael Meadows, Botanist

TABLE 5-1 Designated PPQ CITES Ports Directory (continued)

State	CITES Commodity	Address	Phone and Fax	Designated Staff
California	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Plant Inspection Station 389 Oyster Point Blvd., Suite 2 South San Francisco, CA 94080	Ph: 650/876-9093 Fax: 650/876-9008	Tim Torbett, Botanist, National CITES Specialist Shannon Jarman, Botanist Arthur Berlowitz, OIC
Florida	Logs and lumber	USDA-APHIS-PPQ 1800 Eller Drive, Suite 414 Fort Lauderdale, FL 33116	Ph: 954/356-7080 Fax: 954/356-7113	George Robinson, PHSS Sonia Hernandez, PHSS
Florida	Logs and lumber	USDA-APHIS-PPQ Plant Inspection Station 2431 St. John's Bluff Road South Suite 119 Jacksonville, FL 32246	Ph: 904/620-9501 Fax: 904/620-9496	L. Oscar Vazquez, PHSS
Florida	All CITES regulated plants, plant parts, and derivatives	<i>Deliveries:</i> USDA-APHIS-PPQ Plant Inspection Station 6302 NW 36 Street Miami, FL 33122 <i>Regular USPS Mail:</i> USDA-APHIS-PPQ Plant Inspection Station PO Box 660520 Miami, FL 33266	Ph: 305/492-1854 Fax: 305/492-1742	Leo Castaneda, Botanist
Florida	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Plant Inspection Station 3951 Centerport Street Orlando, FL 32827	Ph: 407/825-4237 Fax: 407/825-4235	Metwaly Sheta, Identifier
Georgia	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Plant Inspection Station Hartsfield Perishable Complex 1270 Woolman Place Atlanta, GA 30354	Ph: 404/76-5-3821 Fax: 404/763-7429	Carlos Perez, OIC
Georgia	Logs and lumber	USDA-APHIS-PPQ 5514 Export Blvd. Garden City, GA 31408-9759	Ph: 912/964-4212 Fax: 912/964-9142	Stephen Davis, OIC Phil Boyd-Robinson, PHSS Tim Brackney, PHSS Wally Harrington, PHSS
Guam	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Plant Inspection Station 17-3306 Neptune Avenue Barrigada, GU 96913	Ph: 671/477-7822 Fax: 671/477-9487	Russell Campbell, Entomologist

TABLE 5-1 Designated PPQ CITES Ports Directory (continued)

State	CITES Commodity	Address	Phone and Fax	Designated Staff
Hawaii	Orchids (for export and re-export only)	USDA-APHIS-PPQ Hilo International Airport Hilo, HI 96720	Ph: 808/933-6930 Fax: 808/933-6932	Ron Tom, Port Director Trudy Hanohano, OIC Lloyd Yoshina, PHSS
Hawaii	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Honolulu Plant Inspection Station Honolulu International Airport 300 Rodgers Blvd., #58 Honolulu, HI 96819	Ph: 808/834-3240 Fax: 808/861-8500	Mark Towata, Botanist
Illinois	Ginseng roots and goldenseal Orchids (for exports and re-exports only)	USDA-APHIS-PPQ 2300 E. Devon, Suite 222 Des Plaines, IL 60018	Ph: 847/699-2418 Fax: 847/699-2429	Rick Gammons, PHSS Scot Saiki, PHSS
Maryland	Ginseng roots and goldenseal Logs and lumber	USDA-APHIS-PPQ 2200 Broening Highway, Rm 140 Baltimore, MD 21224	Ph: 410/631-0073 Fax: 410/631-0069	Matthew Travis, SPHD
Michigan	Imports of all Canadian origin CITES regulated plants, plant parts, and derivatives; and export of all CITES regulated plants destined to Canada	USDA-APHIS-PPQ 11200 Metro Airport Center Drive Suite 140 Romulus, MI 48174 Exports via Detroit and Port Huron	Ph: 734/942-9005 Fax: 734/942-7691	David Dehn, PHSS Sarah Rehberg, PHSS
Mississippi	Logs and lumber	Attn: Identifier USDA-APHIS-PPQ 1815 Popps Ferry Road Biloxi, MS 39532	Ph: 228/223-1207 (Don) Ph: 228/669-6503 (Beth) Fax: 228/731-3961	Don Haynes, PHSS Beth Ann Lotz, PHSS
Missouri	Ginseng roots and goldenseal	USDA-APHIS-PPQ 4300 Goodfellow Blvd. Bldg 102E St. Louis, MO 63074	Ph: 314/389-8420 Fax: 314/389-7640	Brenda Hutchins, PHSS
New Jersey	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Francis Krim Memorial Plant Inspection Station 2500 Brunswick Ave., Bldg. G Linden, NJ 07036 Covers the Port of New York; Elizabeth, NJ; and Newark, NJ	Ph: 908/862-2012 Fax: 908/862-2095	Ana Margina, Botanist

TABLE 5-1 Designated PPQ CITES Ports Directory (continued)

State	CITES Commodity	Address	Phone and Fax	Designated Staff
New York	Imports of all Canadian origin CITES regulated plants, plant parts, and derivatives; and export of all CITES regulated plants destined to Canada	USDA-APHIS-PPQ 29 Liberty Street, Suite 1 Batavia, NY 14020 Exports via Buffalo	Ph: 585/343-9167 xt. 1033 Fax: 585/343-5538	Lewis Tandy, PHSS
New York	Imports of all Canadian origin CITES regulated plants, plant parts, and derivatives; and export of all CITES regulated plants destined to Canada	USDA-APHIS-PPQ 217 West Service Road Champlain, NY 12919 Exports for Rouses Point	Ph: 518/298-5529 Fax: 518/298-5564	Thomas Colarusso, ECS
New York	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ JFK Plant Inspection Station 230-59 International Airport Centers Blvd., Bldg. C, Suite 100, Room 109 Jamaica, NY 11413	Ph: 718-553-3511 Fax: 718/553-3510	Keith Clancy, Botanist
North Carolina	Ginseng roots and goldenseal	USDA-APHIS-PPQ 1809-C Associates Lane Charlotte, NC 28217	Ph: 704/424-1014 Fax: 704/357-1667	William Torres, PHSS
North Carolina	Logs and lumber Venus flytrap export only	USDA-APHIS-PPQ 1815 Gardner Drive Wilmington, NC 28405	Ph: 910/815-4678 Fax: 910/815-4964	Darlene Brown, PHSS Timothy Stevens, PHSS Thomas Allgaier, PHSS
Oregon	Logs and lumber	USDA-APHIS-PPQ 6135 NE 80th Ave., Suite A-5 Portland, OR 97218 Also handles Vancouver, WA	Ph: 503/326-2140 Fax: 503/326-2969	VACANT, Plant Pathologist
Pennsylvania	Logs and lumber	USDA-APHIS-PPQ Navy Yard Corporate Center 3 Crescent Drive, Suite 405 Philadelphia, PA 19112	Ph: 215/218-4971 Fax: 215/218-4974	Stacey Boyd, Entomologist Bruce Cahan, OIC

TABLE 5-1 Designated PPQ CITES Ports Directory (continued)

State	CITES Commodity	Address	Phone and Fax	Designated Staff
Puerto Rico	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Plant Inspection Station 150 Central Sector Bldg. C2, Warehouse #3 Carolina, PR 00979	Ph: 787/253-7850 Fax: 787/253-2514	Timothy Hall, Entomologist Nisael Nieves, Entomologist Wilfredo Garcia, Plant Pathologist
South Carolina	Logs and lumber	USDA-APHIS-PPQ 4600 Goer Drive, Suite 104 North Charleston, SC 29406	Ph: 843/746-2950 xt. 101 Fax: 843/764-2954	Mary Douglass, OIC
Texas	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Houston Plant Inspection Station 19581 Lee Road Humble, TX 77338	Ph: 281/443-2063 Fax: 281/443-7643	Norma Diaz, Botanist Eric McDonald, Entomologist
Texas	Logs and lumber	USDA-APHIS-PPQ 120 San Francisco Bridge II Complex, Bldg. 5, Room 505 Laredo, TX 78040	Ph: 956/726-2225 Fax: 956/726-2322	Willis Gentry, Botanist
Texas	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ <i>Deliveries:</i> Plant Inspection Station 100 Los Indios Blvd. Los Indios, TX 78567 <i>Regular Mail:</i> USDA-APHIS-PPQ Plant Inspection Station P.O. Drawer Box 399 Los Indios, TX 78567	Ph: 956/399-2085 Fax: 956/399-4001	Elias Gonzalez, OIC Oscar Mireless, Botanist/Plant Pathologist
Virginia	Logs and lumber	USDA-APHIS-PPQ 200 Granby Street, Room 331 Norfolk, VA 23510-1811	Ph: 757/441-3211 Fax: 757/441-3646	Karen Williams, OIC
Washington	Imports of all Canadian origin CITES regulated plants, plant parts, and derivatives; and export of all CITES regulated plants destined to Canada	USDA-APHIS-PPQ Pacific Highway Border Crossing 9901 Pacific Highway Room E202 Blaine, WA 98230	Ph: 360/332-1766 Fax: 360/332-1395	Vacant, Entomologist Stacy Herron, PHSS
Washington	All CITES regulated plants, plant parts, and derivatives	USDA-APHIS-PPQ Plant Inspection Station 835 South 192nd St. Bldg. C, Suite 1600 SeaTac, WA 98148	Ph: 206/878-6600 Fax: 206/870-8043	Michael Creller, Botanist Gayle Van de Kerckhove, Plant Pathologist

TABLE 5-1 Designated PPQ CITES Ports Directory (continued)

State	CITES Commodity	Address	Phone and Fax	Designated Staff
Wisconsin	Ginseng roots and goldenseal	USDA-APHIS-PPQ 4369 South Howell Ave., Suite 201 Milwaukee, WI 53207	Ph: 414/744-6601 Fax: 414/744-6662	Alecia Marson, PHSS



Appendix A

Forms and Permits

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Introduction

This appendix provides the reference list of violations to cite on PPQ forms, and examples and instructions for completing, distributing, and retaining PPQ forms.

Instructions for CBP to Order USDA Forms

CBP Field Offices may order USDA APHIS and PPQ forms by following the procedures below:

1. Check to see if your office has a Director Field Operations (DFO) Customer Identification Number. The number starts with 34HL and has four other numbers.

EXAMPLE

DFO Customer ID number 34HL1111.

2. Obtain a DFO Customer ID by providing the following information to the USDA forms point-of-contact, and sending via e-mail to karen.a.stratchko@aphis.usda.gov and cc to cathy.a.mcduffie@aphis.usda.gov (backup):
 - A. Full name of the person responsible for ordering USDA forms in the DFO Office.
 - B. Full mailing address of the DFO office (**no** P.O. box).
 - C. Telephone number of the point-of-contact in the CBP Field Office.
 - D. Facsimile number of the point-of-contact in the CBP Field Office.

- E. E-mail address of the point-of-contact in the CBP Field Office.
3. A DFO Customer Identification Number will be assigned to the CBP Field Office; and the designated point-of-contact in the CBP Field Office will be notified of the DFO Customer Identification Number.
 4. Once the DFO Customer Identification Number has been assigned, the CBP Field Office person responsible for ordering USDA forms is strongly encouraged to order USDA forms via the Internet at www.bsc.usda.gov.
 5. As a last resort, the CBP Field Office person responsible for ordering USDA forms may FAX the order to the USDA point-of-contact (Ms. Karen Stratchko, FAX 301/734-5319; phone 301/851-2800; or Ms. Cathy McDuffie (Karen's backup); phone 301/851-2626); however, ordering USDA forms by FAX could lead to delays.
 6. The CBP Field Office person ordering USDA forms **must** use the same DFO Customer Identification Number for all forms orders. Order **only** the forms and quantity needed and reorder when necessary. **Do not** order large quantities of USDA forms. Forms take approximately 5-10 days to arrive after receipt of order.

Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments

Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments			
1. Seizure Number (see Forfeiture Number/Port File Number)		PHL-06-03	
2. Description of Commodity (example: rough-sawn lumber)		rough sawn lumber	
3. Quantity and Unit list lumber in cubic meters; list veneer in square meters (examples: 340 cubic meters; 100 square meters; 250 cartons, 40 boxes; 1,500 dowels; 10,000 pieces in 250 boxes; 45 pieces on 15 pallets)		31.32 cubic meters	
4. Common Name of Wood		bigleaf mahogany	
5. Scientific Name of Wood		Swietenia macrophylla	
6. Country of Origin		Belize	
7. Weight in Kilograms		15,600 kgs.	
8. Dimensions of the Shipment measure as one unit, then enter the length, width, and height in feet to determine the truck size needed to transport the shipment		Length	36'
		Width	8'
		Height	5'
9. Value of Shipment		\$ 62,350	
10 a. Is the shipment on pallets?		<input checked="" type="radio"/> YES <input type="radio"/> NO	
10b. If YES, are pallets part of the shipment?		<input checked="" type="radio"/> YES <input type="radio"/> NO	
11. Location of Seized Material name of the facility and complete address		Bay Street Bonded Warehouse 123 Bay Street Philadelphia, PA	
12. CBP or PPQ Point-of-Contact name and phone number		<input checked="" type="radio"/> CBP <input type="radio"/> PPQ John Smith (215)651-2102	
13. Storage Charges Accrued-to-date		\$ 0	
14. Amount the dock, pier, or warehouse will continue to charge on a daily basis		\$ 100	
15. Date the Forfeited Property Valued at \$10,000 or Less can Be Disposed must be the date PPQ Form 627 was sent plus 60 days and not before		will be notified	
If forfeited property is greater than \$10,000 value, then PPQ Headquarters will notify the contractor of the disposal date			

FIGURE A-1 Example of Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments

Purpose

The *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments* worksheet is part of the process to obtain the transportation, storage, and if applicable, disposal cost of seized or forfeited material. See [page 4-12](#) through [page 4-17](#) for additional information,

Instructions

Obtain a fillable copy of *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments* (available at http://www.aphis.usda.gov/import_export/plants/manuals/ports/downloads/request_for_services.pdf), and complete the request as instructed in [Table A-2](#) below.

TABLE A-2 Instructions for Completing Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments

Block		Instructions
1	Seizure Number	ENTER the forfeiture number or port file number
2	Description of Commodity	ENTER a description of the material seized or forfeited
3	Quantity and Unit	LIST the quantity and unit of the material seized
4	Common Name of Wood	LIST the common name of the wood the material or articles are derived
5	Scientific Name	LIST the scientific name of the seized wood
6	Country of Origin	LIST the country where the wood originated
7	Weight in Kilograms	LIST, in kilograms, the weight of the shipment or wood seized or forfeited
8	Dimensions of the Shipment	MEASURE the material seized as one entire unit, and ENTER the dimensions in feet
9	Value of Shipment	LIST the value of the items seized or forfeited
10a	Is the shipment on pallets?	CLICK the appropriate YES or NO button
10b	If YES, are pallets part of the shipment?	If the pallets were removed and seized as part of the shipment then click YES; if not, click NO
11	Location of Seized Material	LIST the name of the facility where the seized material is currently located, and the complete address of the facility
12	CBP or PPQ Point-of-contact	<ul style="list-style-type: none"> • If CBP is the point-of-contact, then CLICK the CBP button and ENTER the CBP point-of-contact's name and phone number • If PPQ is the point-of-contact, then CLICK the PPQ button and ENTER the PPQ point-of-contact's name and phone number

TABLE A-2 Instructions for Completing Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments (continued)

Block		Instructions
13	Storage Charges Accrued-to-date	<ul style="list-style-type: none"> • If there are any storage costs as of today, then LIST the storage costs • If there are no storage costs as of today, then ENTER a 0
14	Amount the dock, pier, or warehouse will continue to charge on a daily basis	ASK the dock, pier, or warehouse how much they will continue to charge each day for storing the shipment
15	Date the Forfeited Property Valued at \$10,000 or Less can Be Disposed	<p>If the shipment is valued at \$10,000 or under, COUNT from the date PPQ Form 627 was sent plus 60 days and ENTER the disposal date</p> <p>If the forfeited property is valued greater than \$10,000, then PPQ Headquarters will notify the contractor of the disposal date</p>

Distribution of Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments

Fax the completed worksheet to the National CITES Coordinator:

Attn: National CITES Coordinator
FAX #301-734-3560

The contractor will contact the CBP or PPQ Point-of-contact Officer to schedule an appointment to have the loading of the forfeited material supervised.

List of Violations

Use the violations listed in [Figure A-3](#) as a reference for the citation of regulations for CITES violations when completing PPQ Form 518, and the seizure and forfeiture forms PPQ Form 623, PPQ Form 624, PPQ Form 624A, and PPQ Form 627.

TABLE A-3 Reference for CITES Violations Citation of Regulations on Applicable PPQ Forms 518, 623, 624, 624A, and 627

Regulation	Violation	Acceptable forms to cite regulation as appropriate
16 USC 1538(c)(1)	Any violation of CITES	<ul style="list-style-type: none">• PPQ Form 518• PPQ Form 623• PPQ Form 624• PPQ Form 624A• PPQ Form 627
50 CFR 23.13	Any violation of CITES	
50 CFR 23.20	Violation involving the CITES document requirement for Appendix I, II, or III specimens in international trade	
50 CFR 23.23	Violation involving the required information on a CITES document	
50 CFR 23.26	Violation involving the validity and acceptance of CITES documents	
50 CFR 23.35	Violation involving the import permit requirement for a CITES Appendix I specimen	
50 CFR 23.36	Violation involving the export permit requirement for a CITES Appendix I, II, or III specimen	
50 CFR 23.37	Violation involving the re-export certificate requirement for a CITES Appendix I, II, or III specimen	
50 CFR 23.38	Violation involving the CITES certificate of origin requirement for a CITES Appendix III specimen	
50 CFR 23.40	Violation involving the certificate requirement for an artificially propagated (plantation grown) CITES Appendix I, II, or III specimen grown for noncommercial purposes, or an Appendix II or III specimen grown for commercial or noncommercial purposes	
50 CFR 23.45	Violations involving the pre-Convention certificate requirement for a CITES Appendix I, II, or III specimen	
50 CFR 23.47	Violation involving the permit requirement for an artificially propagated (plantation grown) CITES Appendix I specimen for commercial purposes	
50 CFR 24.11 & 24.12	Violations involving the import, export, or re-export of any CITES species through a non-designated port	
16 USC 1538(f)(1)		
7CFR 355.11	Violations of the <i>Protected Plant Permit (PPP)</i> requirement for commercial importation, exportation, or re-exportation of CITES species	<ul style="list-style-type: none">• PPQ Form 518¹

TABLE A-3 Reference for CITES Violations Citation of Regulations on Applicable PPQ Forms 518, 623, 624, 624A, and 627 (continued)

Regulation	Violation	Acceptable forms to cite regulation as appropriate
7 CFR 355.20	Violations of the marking and notification requirements for CITES species imported, exported, or re-exported by means other than the mail	
7 CFR 355.21	Violations of the marking and notification requirements for CITES species imported, exported, or re-exported by mail	
7 CFR 355.22(a)	Violations of the requirement to have CITES documentation validated prior to the movement of an import of a CITES species from the Customs inspection area	
7 CFR 355.22(b)	Violations of the requirement to have CITES documentation validated prior to the exportation or re-exportation of a CITES species	
7 CFR 355.23	Violations of the requirements involving record keeping, access, and reports for the commercial importation, exportation, or re-exportation of CITES species	


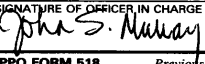
- 1 If the violation warrants seizure and forfeiture, then citation of 7CFR 355 may be used on PPQ Forms 623, 624, 624A, and 627. See [Step 1: Determine if a Violation of USDA Regulations Concerning CITES Regulated Plants Exists](#) on **page 4-3**.

PPQ Form 518, Report of Violation

The information requested is voluntary, and is needed to record your knowledge of possible irregularities under the USDA Plant Protection and Quarantine Program.

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

REPORT OF VIOLATION

3. WHERE INTERCEPTED (City or Port, and State; also county if domestic) Jamaica, New York		SERIAL NO. A 98255	
6. ARTICLE MOVED IN VIOLATION OF REGULATIONS CITES Regulated timber		1. DATE VIOLATION DISCOVERED June 28, 2004	2. VIOLATED - REG./COMPL. AGREEMENT *See Block 15, REMARKS
7. NAME AND BUSINESS ADDRESS OF VIOLATOR (Shipper, caterer, cleaner, garbage handler, servicing agent, broker, ship's agent, etc. Identify which.) Jeffrey's Guitars 140 Pine Ridge Road Delray Beach, FL 33446		4. COUNTRY OF ARTICLE (Include county if domestic) Brazil	
10. NAME AND BUSINESS ADDRESS OF CARRIER DHL 1345 Main Street Memphis, TN 38103		8. IDENTITY OF ARTICLE (Serial No., Waybill No., description, etc.) Guitar parts BL MOLU-82534A36-0	
12. IDENTITY OF CARRIER PLANE Acft. No. DHL Flight No. DL72 SHIP Flag Name ROAD VEHICLE License No.		9. IF NO, VIOLATOR WAS AWARE OF REGULATION <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown If "Yes" - how informed and when?	
14. DISPOSITION OF PEST RISK (i.e., articles named in Item 5 were fumigated, destroyed, etc.) N/A		11. CARRIER WAS AWARE OF REGULATION <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Unknown If "Yes" - how informed and when?	
15. REMARKS (Attach additional sheet, if needed) * 2. VIOLATED REG. 16 USC 1538(c)(i), 7CFR 355.20, 50CFR 23.11, 50 CFR 23.12(a)(i) The violator attempted to import .5 M³ of Dalbergia nigra (Brazilian rosewood) wood without CITES documentation. The wood was not listed as rosewood or Dalbergia nigra on the tag, invoice, packing list, or markings on the shipping container. The importer did not notify CBP. Therefore, the importer failed to provide the genus and species of the regulated material.		13. NAME AND BUSINESS ADDRESS OF CONSIGNEE Same as Block 7	
16. VIOLATOR OR CARRIER'S STATEMENT OF VIOLATION (Attach additional sheet, if needed identify who gave statement) Violator stated he was unaware of the regulations.			
17. OFFICER'S STATEMENT: Must attach a detailed, signed and dated statement. State how the action violated the regulations or compliance agreement cited in Item 2. Describe fully the facts of the violation from discovery through disposition of pest risk including when, who, what, and where.			
18. SIGNATURE OF INITIATING OFFICER 	19. PRINTED NAME OF OFFICER AND WORK UNIT TONY L. JAMES, CARGO	20. DATE REPORT COMPLETED JUNE 28, 2004	
21. OFFICER IN CHARGE COMMENTS (Attach additional sheet, if needed) List Previous Violations: NONE Recommendations: Civil Penalty			
22. SIGNATURE OF OFFICER IN CHARGE 	23. PRINTED NAME OF OFFICER IN CHARGE AND WORK UNIT John S. Murray	24. DATE SIGNED June 28, 2004	

PPQ FORM 518 (MAR 88) Previous editions obsolete.

PART 1 - IES STAFF

FIGURE A-2 Example of PPQ Form 518, Report of Violation

Purpose

PPQ Form 518, *Report of Violation*, as relates to CITES is used to report violations of 7CFR 355, 50CFR 23, and 50CFR 24, and becomes part of the total case file together with the Officer's Statement.

Instructions

Follow the instructions in [Table A-4](#) to complete PPQ Form 518 for CITES violations.

TABLE A-4 Instructions for Completing PPQ Form 518, Report of Violation

Block	Instructions
1	DATE VIOLATION DISCOVERED 1. LIST the date the violation was discovered 2. If discovered after the violation occurred, then EXPLAIN in <i>Block 15, REMARKS</i>
2	VIOLATED-REG/COMPL AGREEMENT CITE the regulations violated; see A-3, Reference for CITES Violations Citation of Regulations on Applicable PPQ Forms 518, 623, 624, 624A, and 627, on page A-A-7
3	WHERE INTERCEPTED LIST the name of the port where the violation occurred
4	ORIGIN OF ARTICLE (include country if domestic) LIST the name of the country where the article originated or the timber was grown
5	ARTICLE MOVED IN VIOLATION OF REGULATIONS LIST the name of the CITES regulated articles
6	IDENTITY OF ARTICLE LIST the waybill number, serial number, etc.
7	NAME AND ADDRESS OF VIOLATOR LIST the violator's name and business address
8	VIOLATOR HAD CHECK the applicable box
	Compliance agreement LEAVE blank; not applicable
	Permit • If the violator had a permit, then CHECK YES • If the violator did not have a permit, then CHECK NO
9	IF NO, VIOLATOR WAS AWARE OF REGULATION COMPLETE as applicable
	If YES, how informed and when COMPLETE as applicable
10	NAME AND BUSINESS ADDRESS OF CARRIER LIST the carrier's name and business address
11	CARRIER WAS AWARE OF REGULATION CHECK the applicable box
12	IDENTITY OF CARRIER COMPLETE as appropriate
13	NAME AND BUSINESS ADDRESS OF CONSIGNEE LIST the name and address of the violator (same as <i>Block 7</i>)
14	DISPOSITION OF PEST RISK LEAVE blank; not applicable

TABLE A-4 Instructions for Completing PPQ Form 518, Report of Violation (continued)


Block		Instructions
15	REMARKS	ENTER any pertinent remarks
16	VIOLATOR OR CARRIER'S STATEMENT OF VIOLATION	<p>If applicable, do the following:</p> <ol style="list-style-type: none"> 1. ASK the violator to provide an explanation of the incident and get a written statement as soon as possible 2. GET statements from the carrier, agent, importer, or any other party involved 3. TITLE the statement "Violator's Statement" or "Agent's Statement", etc., and GIVE the statement an exhibit number and ENTER the words "See attached [Violator/Carrier/Agent/Importer's] Statement" in this block 4. If the person refuses to write a statement, then DO as follows: <ul style="list-style-type: none"> • ASK the person to tell you what happened relative to the violation • WRITE down exactly what the person says • INDICATE the statement was transcribed by you, the officer and use your transcription as the statement 5. If the person gives you only a few brief remarks, then LIST these directly in <i>Block 16</i>
17	OFFICER'S STATEMENT	<div data-bbox="787 1014 896 1140">  <p>Important</p> </div> <div data-bbox="917 1003 1424 1140" style="background-color: #e0f2f1; padding: 5px;"> <p>An Officer's Statement must be written and accompany each completed PPQ Form 518 submitted.</p> </div> <ol style="list-style-type: none"> 1. WRITE your explanation of the violation on a separate sheet of paper and title "Officer's Statement" 2. GIVE this statement an exhibit number 3. DESCRIBE all the facts that resulted in the article listed in <i>Block 5</i> being in violation of the regulation listed in <i>Block 2</i> 4. STATE all the facts including who, what, when, where, how 5. INCLUDE the following information where appropriate: <ul style="list-style-type: none"> • When and where the violation occurred • How the violation occurred • Identify the owner of the regulated articles • Refer to your exhibits and explain their relevance to the case • If you witnessed the violation, state so 6. Officer SIGNS and DATES the statement 7. If more than one officer was involved with the violation, then each officer must WRITE a separate statement
18	SIGNATURE OF INITIATING OFFICER	Initiating officer SIGNS this block
19	PRINTED NAME AND WORK UNIT	PRINT the initiating officer's name and work unit

TABLE A-4 Instructions for Completing PPQ Form 518, Report of Violation (continued)

Block		Instructions
20	DATE REPORT COMPLETED	LIST the date this form is completed
21	OFFICER IN CHARGE COMMENTS	<ol style="list-style-type: none"> LIST any additional information that may help to substantiate the case, such as previous warning letters and dates sent, any known previous civil penalties, case numbers, and dates and amounts of penalties assessed LIST your recommendation for one of the following: <ul style="list-style-type: none"> Warning letter Civil penalty Criminal penalty
22	SIGNATURE OF OFFICER IN CHARGE	Officer-in-charge (Port Director) signs
23	PRINTED NAME OF OFFICER IN CHARGE AND WORK UNIT	PRINT the name and work unit of officer-in-charge (Port Director)
24	DATE SIGNED	LIST the date the officer-in-charge signed <i>Block</i> 22

Distribution of PPQ Form 518

Include *PPQ form 518, the Officer's Statement*, and any other attached statements in the case file in the distribution shown in [Table A-5](#).

TABLE A-5 Distribution of PPQ Form 518 Case File

If you are:	Then:
CBP	SEND through channels
PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist	<ol style="list-style-type: none"> MAKE a copy for your file GIVE or SEND the originals of the entire case file to the Port Director
Port Director	<ol style="list-style-type: none"> If you made a separate statement concerning the violation, then ATTACH the statement to the top of the file GIVE or SEND the entire case file to the Plant Health Director of the State where the violation originated

TABLE A-5 Distribution of PPQ Form 518 Case File

If you are:	Then:
State Plant Health Director	<ol style="list-style-type: none"> 1. ARRANGE the contents of the case file in the following order: <ol style="list-style-type: none"> a. Port Director's Statement b. PPQ Form 518 c. List of Exhibits d. Officer's Statement e. Clear readable copies of all other documents in the file f. Photographs and other physical evidence g. Warning letter or other information about previous violations 2. SEND the entire case file (originals) to Investigative and Enforcement Services at the following address: <p>USDA-APHIS-IES 4700 River Road, Unit 85 Riverdale, MD 20737</p>

PPQ Form 621, Application for Protected Plant Permit to Engage in Business of Importing, Exporting, or Re-exporting...

<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 0579-0076. The time required to complete this information collection is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.</p>		<p>FORM APPROVED OMB NO 0579-0076</p>		
<p>U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE</p>		<p>MAIL COMPLETED APPLICATION WITH CHECK TO:</p>		
<p>APPLICATION FOR PROTECTED PLANT PERMIT TO ENGAGE IN THE BUSINESS OF IMPORTING, EXPORTING OR RE-EXPORTING TERRESTRIAL PLANTS</p> <p>REGULATED BY 50 CFR 17.12 AND 23.23</p>		<p>USDA-APHIS-PPQ-Permit Unit 4700 River Road, Unit 136 Riverdale, Maryland 20737-1236 (877) 770-5990</p>		
<p>INSTRUCTIONS: One copy of this application must be accompanied by a check or money order for \$70.00 made payable to: Plant Protection and Quarantine. In addition, if you are importing wood products, "Regulated under 7 CFR 319.40", please complete PPQ Form 585. If you are importing regulated plant material, please complete PPQ Form 587 in addition to this form.</p>				
<p>1. NAME AND UNITED STATES ADDRESS OF APPLICANT:</p> <p>Woodrow J. Willow 10 S. Main Street Willow, WI 54811</p>		<p>2. NAME OF BUSINESS:</p> <p>WJW Lumber Company, Inc.</p>		
		<p>3. TELEPHONE NO.: 512-555-4321</p>		
		<p>4. FAX NO.: 512-555-4333</p>		
<p>5. FORM OF BUSINESS ("X" one if applying as a business)</p> <p><input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Firm <input type="checkbox"/> Partnership <input type="checkbox"/> Other (specify)</p>				
<p>5(a). Describe the Nature of Your Activities Relating to Importing, Exporting, or Reexporting Plants Regulated by 50 CFR 17.12 and 23.23.</p> <p>Import bigleaf mahogany (<i>Swietenia macrophylla</i>) to manufacture plywood</p>				
<p>5(b). List the Name and Address of Each Partner, Officer, Director, Holder, and Owner of 10% or More of Voting Stock, and Employee in Managerial or Executive Capacity (use plain paper if additional space is needed)</p> <table border="0"> <tr> <td>Woodrow J. Willow 10 S. Main Street Willow, WI 54811</td> <td>Lauren N. Willow 10 S. Main Street Willow, WI 54811</td> </tr> </table>			Woodrow J. Willow 10 S. Main Street Willow, WI 54811	Lauren N. Willow 10 S. Main Street Willow, WI 54811
Woodrow J. Willow 10 S. Main Street Willow, WI 54811	Lauren N. Willow 10 S. Main Street Willow, WI 54811			
<p>6. Address(es) Where Plants Regulated by 50 CFR 17.12 and 23.23 Would be Grown or Stored and Any Other Location Where Activities Related to Such Plants Would be Conducted:</p> <p>10 S. Main Street, Willow, WI 54811</p> <p>5050 Willow Wood Lane, Willow, WI 54811</p>				
<p>7. Street Address Where Books or Records Concerning the Importation, Exportation or Reexporting of Plants Regulated by 50 CFR 17.12 and 23.23 will be kept:</p> <p>10 S. Main Street Willow, WI 54811</p>		<p>8. Name and Address of the Person Authorized to Make Records or Plant Inventories Available for Examination by Inspectors:</p> <p>Lauren N. Willow 10 S. Main Street Willow, WI 54811</p> <p>Telephone Number (include Area Code): 512-555-4321</p>		
<p>I hereby certify that the information in this application is complete and accurate to the best of my knowledge and belief. WARNING: Any alteration, forgery, or unauthorized use of this document is subject to civil penalties of up to \$250,000 (7 U.S.C 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 1001) False Statement:</p>				
<p>9. SIGNATURE (partner or officer if a business)</p> <p><i>Lauren N. Willow</i></p>		<p>10. DATE</p> <p>7-31-05</p>		
<p>PPQ FORM 621 (NOV 2004) Previous edition is obsolete.</p>				

FIGURE A-3 Example of PPQ Form 621, Application for Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-exporting Terrestrial Plants

Purpose

PPQ Form 621, Application for Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-exporting Terrestrial Plants, is used to apply for a USDA-APHIS ePermits-issued *Protected Plant Permit*.

Instructions

The application for a PPQ Protected Plant Permit may be completed online via USDA-APHIS [ePermits](#) or by going to ePermits (printing a copy of [PPQ Form 621](#), completing the application, and mailing along with the fee to the USDA-APHIS-PPQ Permit Unit, 4700 River Road, Unit 136, Riverdale, Maryland 20737-1236.

CBP see [Confirm PPP Valid or Apply for a PPP](#) on **page 2-84** for instructions.

PPQ see [Confirm PPP Valid or Apply for a PPP](#) on **page 3-53** for instructions.

Distribution of PPQ Form 621

Application is submitted on-line via ePermits or by completing a paper application and mailing the completed PPQ Form 621 along with the \$70 check to the following address:

USDA-APHIS-PPQ
PPQ Permit Unit
4700 River Road, Unit 136
Riverdale, MD 20737-1236

Protected Plant Permit



 Animal and Plant Health Inspection Service	 Plant Protection & Quarantine		
<p>United States Department of Agriculture Animal and Plant Health Inspection Service 4700 River Road Riverdale, MD 20737</p> <p>Protected Plant Permit To engage in the business of importing, exporting, or reexporting terrestrial plants regulated by 50 CFR 17.12 or 23.23 (Threatened or Endangered Species)</p>			
<p><small>This permit was generated electronically via the ePermits system</small></p>			
<p>PERMITTEE NAME: Herme L. Perme CONTACT: Herme L. Perme ADDRESS: 12345 Main Street Adel, IA 50003-4491 MAILING ADDRESS: 12345 Main Street Adel, IA 50003-4491 PHONE: 515-555-5555 FAX: 515-555-5566</p>	<p>PERMIT NUMBER: P355-08-00554 APPLICATION NUMBER: P621-081024-001 DATE ISSUED: 10/31/2008 EXPIRES: 10/31/2010</p>		
<table border="1" style="width: 100%;"><tr><td style="text-align: center;">SPECIAL INSTRUCTIONS TO INSPECTORS NONE</td></tr></table>		SPECIAL INSTRUCTIONS TO INSPECTORS NONE	
SPECIAL INSTRUCTIONS TO INSPECTORS NONE			
<p>PERMIT CONDITIONS</p> <p>A copy of this permit (including all conditions) must accompany all shipments authorized under this permit. Upon arrival in the United States, the articles and shipping container(s) are subject to inspection by officials of Customs and Border Protection, Agriculture Inspection (CBP-AI) or Plant Protection and Quarantine (PPQ). Convention on International Trade of Endangered Species (CITES) documentation must be obtained prior to importing, exporting or reexporting Threatened or Endangered Species.</p> <p>1. If you are importing live plant material for planting, you may also need a permit to import plants or plant products. Please see the following site for a list of plants and plant parts intended for planting that require a permit: http://www.aphis.usda.gov/plant_health/permits/permit_plantmaterials.shtml</p> <p>END OF PERMIT CONDITIONS</p>			
<p><small>Permit Number P355-08-00554</small></p>			
<table border="1" style="width: 100%;"><tr><td style="width: 60%; vertical-align: top;"><p>THIS PERMIT HAS BEEN APPROVED ELECTRONICALLY BY THE FOLLOWING PPQ HEADQUARTER OFFICIAL VIA EPERMITS.</p><p style="text-align: center;"><i>Ian X. Samples</i></p><p>Ian X. Samples</p></td><td style="width: 40%; vertical-align: top;"><p>DATE</p> <p>11/03/2008</p></td></tr></table>		<p>THIS PERMIT HAS BEEN APPROVED ELECTRONICALLY BY THE FOLLOWING PPQ HEADQUARTER OFFICIAL VIA EPERMITS.</p> <p style="text-align: center;"><i>Ian X. Samples</i></p> <p>Ian X. Samples</p>	<p>DATE</p> <p>11/03/2008</p>
<p>THIS PERMIT HAS BEEN APPROVED ELECTRONICALLY BY THE FOLLOWING PPQ HEADQUARTER OFFICIAL VIA EPERMITS.</p> <p style="text-align: center;"><i>Ian X. Samples</i></p> <p>Ian X. Samples</p>	<p>DATE</p> <p>11/03/2008</p>		
<p><small>WARNING: Any alteration, forgery or unauthorized use of this Federal Form is subject to civil penalties of up to \$250,000 (7 U.S.C. 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. 1001)</small></p>			
<p><small>Page 1 of 1</small></p>			

FIGURE A-4 Example of a Protected Plant Permit (ePermits)

Purpose

The *Protected Plant Permit* (PPP) is one document required for importers, exporters, and re-exporters to engage in the commercial trade of CITES-listed or ESA-listed plants.

All USDA-APHIS e-Permits issued *Protected Plant Permits* are valid for two years from the date issued. The expiration date is located in the upper right-hand corner of the ePermit.

All previously-issued *PPQ Form 622, Protected Plant Permits* have expired and are **no** longer valid.

Instructions

The applicant **must** first complete and submit *PPQ Form 621, Application for Protected Plant Permit to Engage in Business of Importing, Exporting, or Re-exporting...* to apply for a *Protected Plant Permit*.

The application for a PPQ Protected Plant Permit may be completed online via USDA-APHIS [ePermits](#) or by going to ePermits (printing a copy of *PPQ Form 621*, completing the application, and mailing along with the fee to the USDA-APHIS-PPQ Permit Unit, 4700 River Road, Unit 136, Riverdale, Maryland 20737-1236. See PPQ Form 621 [Instructions](#) on **page A-15**.

CBP see [Confirm PPP Valid or Apply for a PPP](#) on **page 2-84** for additional information.

PPQ see [Confirm PPP Valid or Apply for a PPP](#) on **page 3-53** for additional information.

Distribution of ePermits Protected Plant Permit

The *Protected Plant Permit* (PPP), is generated electronically via ePermits and is issued to the permittee by the PPQ Permit Unit. The PPP is part of the paperwork presented to CBP or PPQ at the time of import, export, or re-export of CITES or ESA material.

Retain a copy of the PPP in your port file for the standard time period (5 years).

PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property

The following example is for seizures valued at \$10,000 or less.

Filing of this waiver is voluntary, and waives the requirement for formal notice at each step of the legal proceedings (7 CFR 356).		See reverse side for additional information.	FORM APPROVED CHS NO. 0579-0076
U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE			FILE NO. Miami 04-03
WAIVER OF FORFEITURE PROCEDURES BY OWNER OF SEIZED PROPERTY			
1. The property described below was seized by the U. S. Department of Agriculture on (date) <u>06/28/04</u> at (time) <u>1430</u> at (place) <u>Pier 17, Port of Miami</u> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <u>Miami, Florida</u> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.			
2. DESCRIPTION OF PROPERTY			
Common Name	Scientific Name	Number of Plants or Parts	
Bigleaf Mahogany	<i>Swietenia macrophylla</i>	30 cubic meters	
3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS (include any identifying numbers)			
10 bundles of lumber stenciled BLC in red paint			
4. THIS PROPERTY WAS SEIZED BECAUSE			
The CITES document presented had expired			
THIS WAS IN VIOLATION OF <u>16 USC 1538(c)(i), 50CFR 23.11, 50 CFR 23.12(a)(ii)</u>			
5. PLANTS NOW LOCATED AT		6. ARRIVED ON (Carrier)	7. WAYBILL NO.
Pier 17, Port of Miami		<u>06/24/04</u>	<u>MOLU37560 A7-5</u>
I hereby voluntarily abandon the plants listed above to the U.S. Government.			
I understand that the following are my rights concerning the above listed property:			
<p>1. The right to challenge a forfeiture action brought by the United States Government. This is done by filing a claim to the property and a bond in the amount of \$250., with sureties to be approved by the Deputy Administrator, Plant Protection and Quarantine. I understand that in case of condemnation of the articles so claimed, I, as obligor, shall pay all the costs and expenses of the proceedings to obtain such condemnation. Any claim and bond challenging the forfeiture action must be received in the above mentioned Plant Protection and Quarantine Office within 20 days after the posting of a copy of a notice of seizure and proposed forfeiture and shall state claimant's interest in the property.</p> <p>2. The right to file a petition for remission or mitigation of forfeiture with the Deputy Administrator, Plant Protection and Quarantine, Animal and Plant Health Inspection Services, U. S. Department of Agriculture, Room 302-E Administration Building, Washington, DC 20250, in accordance with the procedures in 7 CFR 356.7 (copy of this section of the regulation is reproduced on the reverse of this form). This does not allow the remission or mitigation of plants that are without documentation required under 50 CFR Chapter I.</p>			
I have read and understand the rights stated above and knowingly waive all my claims to, interests in, and further rights or proceedings relative to such plants, including the right to challenge forfeiture actions and the right to petition for remission or mitigation of forfeiture.			
8. NAME AND ADDRESS OF OWNER(S)			
Frederick Bowman, Bowman's Lumber Company, 167 Industry Blvd., Delray Beach, FL 33446			
9. SIGNATURE OF OWNER(S)		10. DATE	
<i>Frederick Bowman</i>		<u>06/28/04</u>	
11. SIGNATURE OF WITNESS		12. DATE	
<i>Douglas Bowman</i>		<u>06/28/04</u>	
13. DISPOSITION OF PLANTS			
Lumber on HOLD and Safeguarded at Pier 17, Port of Miami			
PPQ FORM 623 (JUN 89)		PART 1 - PPQ PORT FILES	

FIGURE A-5 Example of PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property

Purpose

PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property, is used to allow the owner to waive title to the material moving in violation of the legislation. This form is used for seizures valued at \$10,000 or less.

Instructions

Complete PPQ Form 623 as shown in **Table A-1** below.

TABLE A-1 Instructions for Completing PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property (for seizures valued at \$10,000 or less)

Block	Instructions	
	FILE NO.	List the port file number (see Filing System for Violations, Seizures, and Forfeitures)
1	The property described below was seized by the U.S. DA on <i>[date]</i> at <i>[time]</i> at <i>[place]</i>	<ol style="list-style-type: none"> 1. LIST the date and time CBP or PPQ determines a shipment warrants forfeiture procedure and verifies the physical location of the shipment as either in a CBP- or PPQ-owned, leased, or approved facility, or within a Customs bonded operation (seizure date) 2. LIST the name of the port, city and State where the seizure occurred 3. LIST the city and state where the property is being held
2	DESCRIPTION OF PROPERTY	<ol style="list-style-type: none"> 1. LIST the common name of the wood the article or lumber is derived from 2. LIST the scientific name of the wood the article is derived from 3. LIST the quantity seized (number of pieces, cubic meters, squares meters, etc. according to commodity)
3	DESCRIPTION OF PROPERTY...	<ol style="list-style-type: none"> 1. MODIFY this block by crossing out or lining out the words "OTHER THAN PLANTS" 2. WRITE a description of the article (include identifying marks. serial number, etc.)
4	THIS PROPERTY WAS SEIZED BECAUSE	WRITE a description of the violation <div style="border: 1px solid black; padding: 5px; display: inline-block;"> EXAMPLE The CITES document presented has expired. </div>
	THIS WAS IN VIOLATION OF	WRITE the CFR number and USC number of the regulation violated (see List of Violations on page A-7 , Figure A-3)
5	PLANTS NOW LOCATED AT	LIST the location of the plants, plant parts, or derivatives (such as wood, lumber, or articles made from wood)
6	ARRIVED ON	LIST the carrier's name
7	WAYBILL NO	LIST the waybill number
8	NAME AND ADDRESS OF OWNER(S)	Owner COMPLETES this block and LISTS name and address
9	SIGNATURE OF OWNER(S)	Owner SIGNS this block
10	DATE	Owner LISTS the date signed

TABLE A-1 Instructions for Completing PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property (for seizures valued at \$10,000 or less) (continued)

Block		Instructions
11	SIGNATURE OF WITNESS	CBP Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist SIGNS as a WITNESS to the owner signing <i>Block 9</i> ; otherwise, another person should sign as witnessing the signing of <i>Block 9</i>
12	DATE	Witness (to the signing of <i>Block 9</i>) ENTERS the date <i>Block 11</i> is signed
13	DISPOSITION OF PLANTS	CBP Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist RECORDS the status of the seizure EXAMPLE Lumber is on HOLD at Pier 17.

Distribution and Retention of PPQ Form 623

Distribute and retain PPQ Form 623 as follows:

- If the owner or owner's agent is present and signs *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*, then distribute the form as follows:
 - FILE *Part 1* in the Port file and retain for 5 years
 - GIVE *Part 2* to the owner or agent
- If the owner or owner's agent is present but will **not** sign the form or is **not** present, then send *PPQ Form 623, Waiver of Forfeiture* by **Certified** or **Registered Mail** with **Return Receipt Requested**, together with the following forms to all persons believed to be the owner or owners or to have an interest in the seized material¹:
 - *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less, Part 4-Owner*
 - *PPQ Form 625, Claim and Bond*
 - *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*

¹ Those that may have an interest include interested parties such as the owner's agent, shipping line, or supplier. These people are identified in *PPQ Form 624, Part 5-PPQ/CBP Port Worksheet, Block 6*.

PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less

PPQ Form 624, Parts 1 through 4

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE					FILE NO. MI 07-53
NOTICE FOR SEIZURE AND PROPOSED FORFEITURE OF PROPERTY VALUED AT \$10,000 OR LESS					
<p>1. The property described below was seized by USDA or <u>OHS</u> (please circle one) on (date), April 19, 2007 at (time), 1300 at (place), Pier 12, Port of Miami and is now in the custody of an Officer of PPQ or <u>CBP</u> (please circle one) at, Miami, Florida This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.</p>					
2. DESCRIPTION OF PROPERTY					
Common Name	Origin	Scientific Name	Appendix Number	Source (Artificially Propagated or Wild)	Number of Plants, Parts, or Weight
Ramin	Malaysia	Gonystylus sp.	II	Wild	1,158 cubic meters
<p>3. DESCRIPTION OF PROPERTY (Include any identifying numbers)</p> <p>Wooden dowels 100,000 pieces 100 boxes marked "Order No. 04-07643"</p>					
<p>4. THIS PROPERTY WAS SEIZED BECAUSE</p> <p>The owner attempted to import without the required CITES document.</p> <p>THIS WAS IN VIOLATION OF 16 USC 1538(c)(1); 50CFR 23.11; 50CFR 23.12(a)(iii)</p>					
<p>5. NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY</p> <p>Herman Patterson H.P. Hardwood, Inc. 1726 Steward Street Miami, FL 33132</p>					
<p>6. THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7 CFR 356.2 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY</p> <p>\$ 1,790</p> <p>Any person claiming the seized property may file, with the office specified in Item 1 above, a claim to the property and a bond in the amount of \$250, with sureties to be approved by the Deputy Administrator, conditioned that in case of condemnation of the articles so claimed the obligor shall pay all the costs and expenses of the proceedings to obtain such condemnation. Any claim and bond must be received in such office within 20 days after posting of the notice of proposed forfeiture and shall state claimant's interest in the property. The Deputy Administrator may extend the 20-day period with an appropriate statement on the posted notice of proposed forfeiture, if necessary, to allow a person deemed to have an interest in the property at least 10 days to file such a claim and bond after receipt of a notice of proposed forfeiture.</p> <p>Any person having an interest in the property specified in Item 1 above may file a petition for remission or mitigation of forfeiture in accordance with procedures in 7 CFR 356.7. This does not allow remission or mitigation of plants that are without documentation required under 50 CFR Chapter 1.</p> <p>The Animal and Plant Health Inspection Service shall take appropriate action in accordance with 7 CFR 356 and the Civil Asset Forfeiture Reform Act of 2000.</p>					
<p>7. NOTICE POSTED</p> <p>DATE 04/19/07 TIME 1500</p>		<p>8. PRINT NAME OF OFFICER</p> <p>Maria Ramirez</p>		<p>9. SIGNATURE OF OFFICER</p> <p><i>Maria Ramirez</i></p>	
<p>PPQ FORM 624 (OCT 2006)</p> <p style="text-align: right;">PART 1 - PPQ HEADQUARTERS</p>					

FIGURE A-6 Example of PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less (Part 1; Parts 2 through 4 are duplicates)

Purpose

PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less (OCT 2006), is now issued for seizures whose value is \$10,000 or less **only**, and is used to notify the violator of the intended forfeiture of the violator's seized property. PPQ Form 624 is a multi-part (5-page) carbon form. Parts 2 through 4 are duplicates of Part 1; Part 5 is a port worksheet. (See *PPQ Form 624, Part 5-PPQ/CBP Port Worksheet*.)



Do not use or modify PPQ Form 624 for seizures greater than \$10,000 value.

Use the new form, *PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000*, for seizures over \$10,000 value. See [page A-30](#).

Previous editions of PPQ Form 624 are obsolete.

Instructions for Completing PPQ Form 624, Parts 1 through 4

Complete *PPQ Form 624, Part 1* (Parts 2, 3, and 4 are duplicates) as shown in [Table A-2](#) for seizure and proposed forfeitures valued at \$10,000 or less.

TABLE A-2 Instructions for Completing PPQ Form 624, Notice for Seizure and Proposed Forfeiture Valued at \$10,000 or Less

Block		Instructions
	FILE NO.	ENTER the port file number (see <i>Filing System for Violations, Seizures, and Forfeitures</i>)
1	The property described below was seized by USDA or DHS.....	1. If PPQ seized the article or lumber, then circle USDA 2. If CBP seized the article or lumber, then circle DHS
	on (date)..... at (time).....	After you verify this shipment warrants forfeiture and is placed in a CBP- or PPQ-owned, leased, or approved facility or is within a Customs-bonded operation, then ENTER the date you are completing this form (completion of this form constitutes seizure)
	at...	LIST the name of the place (pier, port, etc.) where the seizure occurred
	and is now in the custody of an Officer of PPQ or CBP	1. If the property is in the custody of a PPQ Officer, then circle PPQ 2. If the property is in the custody of a CBP Officer, then circle CBP
	at...	ENTER the name of the city and State where the seized property is being held

TABLE A-2 Instructions for Completing PPQ Form 624, Notice for Seizure and Proposed Forfeiture Valued at \$10,000 or Less (continued)

Block	Instructions	
2	DESCRIPTION OF PROPERTY	
	Common Name	LIST the common name of the wood that the article or lumber is derived
	Origin	LIST the wood's country of origin
	Scientific Name	LIST the scientific name of the wood that the article is derived
	Appendix Number	LIST the wood's CITES Appendix number (I, II, III)
	Source	1. If the wood is from plantation-grown trees, then LIST "Artificially Propagated" 2. If the wood is from trees in the wild, then LIST "Wild"
3	DESCRIPTION OF PROPERTY (include any identifying numbers)	LIST a description of the article and any identifying marks (such as stencil marks, order number, box markings, serial number, etc.)
4	THIS PROPERTY WAS SEIZED BECAUSE	LIST a description of the violation EXAMPLE The owner attempted to import regulated wood without the required CITES document.
	THIS WAS IN VIOLATION OF	LIST the CFR number and USC number of the regulation violated (see List of Violations , Figure A-3)
5	NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY	LIST the owner's name (person or company) and address
6	THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7 CFR 356.2 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY \$	1. If the same wood or articles as those seized are sold in the U.S., then LIST the estimated value (of those sold) at the nearest retail store (see Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation on page 4-6) 2. If the same wood or articles are not sold in the U.S., then LIST the invoiced amount
7	NOTICE POSTED DATE/TIME	ENTER the date and time the notice is posted at the port
8	PRINT NAME OF OFFICER	PRINT the name of the officer who seized the article and completed this form
9	SIGNATURE OF OFFICER	Officer completing form SIGNS

Instructions

Instructions for completing *PPQ Form 624, Part 5-PPQ/CBP Port Worksheet* are on [page A-26](#).

Distribution and Retention of PPQ Form 624, Parts 1 through 4

Distribute and retain *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*, as follows:

1. Send (using overnight shipping for next-day delivery) *Part 1-PPQ Headquarters* to the following address:

National CITES Coordinator
USDA-APHIS-PPQ
4700 River Road, Unit 52, 4D.04.20
Riverdale, MD 20737-1236
2. Place *Part 2-PPQ/CBP Port File* in the PPQ or CBP port file.
3. Post *Part 3-Port Copy (for posting)* at the port; after the posting period of 21 days has ended, then remove and place this copy in the PPQ or CBP port file.
4. Mail *Part 4-Owner* together with following forms, to all persons believed to be owners or to have an interest in the seized material² with a **Return Receipt Requested**:
 - *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*
 - *PPQ Form 625, Claim and Bond*
 - *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*



If the owner or owner's agent is present and requests a copy of *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*, then make a photocopy of *Part 4 -Owner* and give the photocopy to the owner or owner's agent. You **must** also send the **original** *Part 4-Owner* of PPQ Form 624, to the owner or owner's agent by **Certified** or **Registered Mail** with **Return Receipt Requested** to comply with the regulations.



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

² Those that may have an interest include interested parties such as owner's agent, shipping line, or supplier. These people are identified on PPQ Form 624, *PPQ Form 624, Part 5-PPQ/CBP Port Worksheet*, Block 6.

5. Use and maintain *Part 5* as the port worksheet. Continue to *Instructions for Completing PPQ Form 624, Part 5-PPQ/CBP Port Worksheet* on **page A-27**, and *Distribution and Retention of PPQ Form 624A, Part 5-PPQ/CBP Port Worksheet* on **page A-36**.

Appendix A: Forms and Permits

PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less

PPQ Form 624, Part 5-PPQ/CBP Port Worksheet

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE					FILE NO.			
NOTICE FOR SEIZURE AND PROPOSED FORFEITURE OF PROPERTY VALUED AT \$10,000 OR LESS					MI 07-53			
<p>1. The property described below was seized by USDA or DHS (please circle one) on (date) April 19, 2007 at (time) 1300 at (place) Pier 12, Port of Miami and is now in the custody of an Officer of PPQ or CBP (please circle one) at Miami, Florida This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.</p>								
2. DESCRIPTION OF PROPERTY								
Common Name	Origin	Scientific Name	Appendix Number	Source (Artificially Propagated or Wild)	Number of Plants, Parts, or Weight			
Ramin	Malaysia	Gonystylus sp.	II	Wild	1,158 cubic meters			
<p>3. DESCRIPTION OF PROPERTY (Include any identifying numbers) Wooden dowels 100,000 pieces 100 boxes marked "Order No. 04-07643</p>								
<p>4. THIS PROPERTY WAS SEIZED BECAUSE The owner attempted to import without the required CITES document.</p> <p>THIS WAS IN VIOLATION OF 16 USC 1538(c)(1); 50CFR 23.11; 50CFR 23.12(a)(iii)</p>								
<p>5. APPRAISED VALUE \$ 1,790</p> <p>BASIS OF APPRAISAL Invoiced value</p>								
6. NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLES SEIZED		INSERT DATE IN BLOCKS THAT APPLY						
		PPQ 623 SIGNED	PPQ 624 SENT	PPQ 625		PPQ 626	PPQ 627 SENT	
Henry Patterson			04/19/07	Sent	Received	04/19/07	05/09/07	
7. RECORD OF STEPS COMPLETED								
<p>a. PPQ 624 Posted.....</p> <p>b. PPQ 624 Removed (a. + 21 days).....</p> <p>c. Deadline for receiving PPQ 625 (a. + 20 days).....</p> <p>d. PPQ 627 Declaration of Forfeiture prepared and sent (not before c.).....</p> <p>e. Property forfeited to the United States of America for disposition according to law (not before d.).....</p> <p>Retain this form and copies of PPQ Forms 623, 624 (Part 2 and 5), 625, 626, 627, and any other documents applicable to this shipment for 5 years.</p>						DATE	TIME	INITIALS
						04/19/07	1500	ML
						05/10/07	1500	ML
						05/09/07	1500	ML
						05/09/07	1500	ML

PPQ FORM 624
(OCT 2006)

PART 5 - PPQ/CBP PORT WORKSHEET

FIGURE A-7 Example of PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property (Part 5-PPQ/CBP Port Worksheet)

Purpose

PPQ Form 624, Part 5-PPQ/CBP Port Worksheet of *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less* is used to document which forms have been sent and received, who was notified, and the date the next step is to be taken.

Instructions for Completing PPQ Form 624, Part 5-PPQ/CBP Port Worksheet

Complete *Part 5-PPQ/CBP Port Worksheet* of *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*, as directed in **Table A-3**. (See also [Forfeiture Procedures for Seizures Valued at \\$10,000 or Less](#) on **page 4-7**.)

TABLE A-3 Instructions for Completing PPQ Form 624, Part 5-PPQ/CBP Port Worksheet

Block		Instructions
	FILE NO.	<i>Blocks 1-4 have been filled out during the process of completing Part 1</i>
1	The property described below was seized by USDA or DHS...on (date)...at (time)...at (place)...and is now in the custody of PPQ or CBP (please circle one) at...	
2	DESCRIPTION OF PROPERTY Common Name/Origin/Scientific Name/Appendix Number/Source (Artificially Propagated or Wild)/ Number of Plants, Parts, or Weight	
3	DESCRIPTION OF PROPERTY OTHER THAN PLANTS	
4	THIS PROPERTY WAS SEIZED BECAUSE THIS WAS IN VIOLATION OF	
5	APPRAISED VALUE \$	LIST the appraised value of the seizure from <i>Part 1-Headquarters, Block 6</i>
	BASIS OF APPRAISAL	LIST the source of the appraised value (see Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation on page 4-6)

TABLE A-3 Instructions for Completing PPQ Form 624, Part 5-PPQ/CBP Port Worksheet (continued)

Block		Instructions
6	NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLE SEIZED	LIST the names of all persons believed to be owners or to have an interest in the seized material
	INSERT DATE IN BLOCKS THAT APPLY	
	PPQ 623 SIGNED	<ul style="list-style-type: none"> If PPQ Form 623 was returned signed by the violator, then LIST the date received If PPQ Form 623 not signed and returned from the violator, then draw a line through the block
	PPQ 624 SENT	<ul style="list-style-type: none"> If PPQ Form 624 was sent to the violator, then LIST the date sent If not sent to the violator, then draw a line through the block
	PPQ 625 SENT	<ul style="list-style-type: none"> If PPQ Form 625 was sent to the violator, then LIST the date sent If not sent to the violator, then draw a line through the block
	PPQ 625 RECEIVED	<ul style="list-style-type: none"> If PPQ Form 625 was returned signed from the violator, then enter the date received If PPQ Form 625 was not signed and returned from the violator, then draw a line through the block
	PPQ 626 SENT	<ul style="list-style-type: none"> If PPQ Form 626 was sent to the violator, then LIST the date sent If not sent to the violator, then draw a line through the block
	PPQ 626 RECEIVED	<ul style="list-style-type: none"> If PPQ Form 626 was returned signed from the violator, then ENTER the date received If PPQ Form 626 was not signed and returned from the violator, then draw a line through the box
7	RECORD OF STEPS COMPLETED	
	a. PPQ 624 mailed by registered or certified mail to person(s) identified in 6 above	LIST the date and time PPQ Form 624 was posted, and INITIAL the corresponding block
	b. PPQ 624 Removed (a + 21 days) Date/Time/Initials	LIST the date and time PPQ Form 624 was removed (date listed in <i>Block 7a</i> plus 21 days), and INITIAL the corresponding block
	c. Deadline for receiving PPQ 625 (a + 20 days)	LIST the date and time PPQ Form 625 must be received (date sent + 20 days), and INITIAL the corresponding block
	d. PPQ 627 Declaration of Forfeiture prepared and sent (not before c)	LIST the date and time PPQ Form 627 was sent, and INITIAL the corresponding block
	e. Property forfeited to the United States of America for disposition according to law (not before d)	LIST the date and time the property is forfeited, and INITIAL the corresponding block

Distribution and Retention of PPQ Form 624, Part 5-PPQ/CBP Port Worksheet

File and retain the completed yellow *Part 5-PPQ/CBP Port Worksheet* of *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less* in the port file, and retain for 5 years.

PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000

PPQ Form 624A, Part 1 through 4


U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE				FILE NO. MI 07-60	
NOTICE FOR SEIZURE OF PROPERTY VALUED GREATER THAN \$10,000					
1. The property described below was seized by USDA or <u>DHS</u> (please circle one) on (date) <u>May 3, 2007</u> at (time) <u>1030</u> at (place) <u>Pier 16 Port of Miami</u> and is now in the custody of an Officer of PPQ or <u>CBP</u> (please circle one) at <u>Miami, Florida</u> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.					
2. DESCRIPTION OF PROPERTY					
Common Name	Origin	Scientific Name	Appendix Number	Source (Artificially Propagated or Wild)	Number of Plants, Parts, or Weight
Bigleaf mahogany	Nicaragua	Swietenia macrophylla	II	Wild	15.2 cubic meters
3. DESCRIPTION OF PROPERTY (Include any identifying numbers) Dimension mahogany lumber; 8 bundles stenciled with "ITT" (International Tropical Timber) in red on the end grain. Bill of lading MOLU-6758326-A-02					
4. THIS PROPERTY WAS SEIZED BECAUSE The owner attempted to import without the required CITES document. THIS WAS IN VIOLATION OF 16 USC 1538(c)(1); 50CFR 23.12.(a)(3)					
5. NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY Frederick Hartman International Tropical Timber (ITT) 2735 Wood Lane Miami, FL 33312					
6. THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7 CFR 356.2 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY \$ 14,700					
Any person having an interest in the property specified in Item 1 above may file a petition for remission or mitigation of forfeiture in accordance with procedures in 7 CFR 356.7. This does not allow remission or mitigation of plants that are without documentation required under 50 CFR Chapter 1. The Animal and Plant Health Inspection Service shall take appropriate action in accordance with 7 CFR 356 and the Civil Asset Forfeiture Reform Act of 2000.					
7. NOTICE SENT		8. PRINT NAME OF OFFICER		9. SIGNATURE OF OFFICER	
DATE 5-3-07	TIME 1045	Maria Sanchez			
PPQ FORM 624A (OCT 2006)		PART 1 - PPQ HEADQUARTERS			

FIGURE A-8 Example of PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000
(Part 1; Parts 2 through 4 are duplicates)

Purpose

PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000 is used to notify the violator of the intended forfeiture of the violator's seized property when the value is over \$10,000. PPQ Form 624A is a multi-part (5-page) carbon form. *Parts 2 through 4* are duplicates of *Part 1*; *Part 5* is used as a port worksheet.



PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000 is a new form and **must** be used for seizures over \$10,000 value.

Do not modify or use *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*, for seizures greater than \$10,000 value.

Instructions for Completing PPQ Form 624A, Parts 1-4

Complete *PPQ Form 624A, Part 1* (*Parts 2 through 4* are duplicates) according to the instructions in **Table A-4**. (See also [Forfeiture Procedures for Seizures Valued Greater than \\$10,000](#) on **page 4-9** for detailed instructions.)

TABLE A-4 Instructions for Completing PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000, Part 1 (Parts 2-4 are duplicates)

Block		Instructions
	FILE NO.	LIST the port file number (see Filing System for Violations, Seizures, and Forfeitures)
1	The property described below was seized by USDA or DHS	1. If PPQ seized the article or lumber, then circle USDA 2. If CBP seized the article or lumber, then circle DHS
	on (date) at (time)	After you verify this shipment warrants forfeiture and is placed in a CBP- or PPQ-owned, leased, or approved facility or is within a Customs-bonded operation, then LIST the date and time you are completing this form (completion of this form constitutes seizure)
	at (place).	LIST the name of the place (pier, port, etc.) where the seizure occurred
	and is now the custody of an Officer of PPQ or CBP	1. If the property is in the custody of a PPQ Officer, then CIRCLE PPQ 2. If the property is in the custody of a CBP Officer, then CIRCLE CBP
	at.....	LIST the name of the city and State where the seized property is being held

TABLE A-4 Instructions for Completing PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000, Part 1 (Parts 2-4 are duplicates)

Block	Instructions	
2	DESCRIPTION OF PROPERTY	
	Common Name	LIST the common name of the wood that the article or lumber is derived
	Origin	LIST the wood's country of origin
	Scientific Name	LIST the scientific name of the wood that the article is derived
	Appendix Number	LIST the wood's CITES Appendix number (I, II, or III)
	Source (Artificially Propagated or Wild)	1. If the wood is from plantation-grown trees, then LIST "Artificially Propagated" 2. If the wood is from trees in the wild, then LIST "Wild"
	Number of Plants, Parts, or Weight	LIST the quantity seized (number of pieces, cubic meters, square meters, etc. according to commodity)
3	DESCRIPTION OF PROPERTY (include any identifying numbers)	LIST a description of the article and any identifying marks (such as stencil marks, order number, box markings, serial number, etc.)
4	THIS PROPERTY WAS SEIZED BECAUSE	ENTER a description of the violation EXAMPLE The owner attempted to import regulated wood without the required CITES document.
	THIS WAS IN VIOLATION OF	ENTER the CFR section and USC section of the regulation violated (see List of Violations , Figure A-3)
5	NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY	LIST the owner's name (person or company) and address
6	THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7CFR 356.2 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY \$	1. If the same wood or articles as those seized are sold in the U.S., then LIST the estimated value (of those sold) at the nearest retail store (see Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation on page 4-6) 2. If the same wood or articles are not sold in the U.S., then LIST the invoiced amount
7	NOTICE SENT	ENTER the date and time the notice is sent to the owner or company
8	PRINT NAME OF OFFICER	PRINT the name of officer seizing the wood or articles and completing this form
9	SIGNATURE OF OFFICER	Officer completing the form SIGNS

Distribution and Retention of PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000, Parts 1-4

Distribute Parts 1 through 4 of *PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000*, as listed below (see [Forfeiture Procedures for Seizures Valued Greater than \\$10,000](#) on **page 4-9** for more information):

1. Assemble the following documents:

- *PPQ Form 624A, Part 1-PPQ Headquarters* **original**
- Narrative report **original** (written by CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist)
- Correspondence and documents that accompanied the shipment

Send the documents (using **overnight shipment** for next day delivery) to the following address:

National CITES Coordinator
USDA-APHIS-PPQ
4700 River Road, Unit 52, 4D-04.20
Riverdale, MD 20737-1236

2. Mail by Certified or Registered Mail with Return Receipt Requested, the following forms to all persons believed to be owners or to have an interest in the seized material³:

- *PPQ Form 624A, Part 4-Owner*
- *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

3. File the *PPQ Form 624A Part 2-PPQ/CBP Port File*, and *Part 5-PPQ/CBP Port Worksheet*, **original in the port files and retain for 5 years.**



If the owner or owner's agent is present and requests a copy of the PPQ Form 624A, then make a photocopy of *Part 4-Owner* and give the photocopy to the owner or owner's agent. You **must** also send the **original** *Part 4* of PPQ Form 624A to the owner or owner's agent by **Certified or Registered Mail with Return Receipt Requested** to comply with the regulations.

³ Those that may have an interest include interested parties such as the owner's agent, shipping line, or supplier. These people are identified on the PPQ Form 624A, *Part 5-PPQ/CBP Port Worksheet, Block 6*.

PPQ Form 624A, Part 5-PPQ/CBP Port Worksheet

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE				FILE NO. MI 07-60		
NOTICE FOR SEIZURE OF PROPERTY VALUED GREATER THAN \$10,000						
1. The property described below was seized by USDA or DHS (please circle one) on (date) <u>May 3, 2007</u> at (time) <u>1030</u> at (place) <u>Pier 16 Port of Miami</u> and is now in the custody of an Officer of PPQ or CBP (please circle one) at <u>Miami, Florida</u> This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.						
2. DESCRIPTION OF PROPERTY						
Common Name	Origin	Scientific Name	Appendix Number	Source (Artificially Propagated or Wild)	Number of Plants, Parts, or Weight	
Bigleaf Mahogany	Nicaragua	Swietenia macrophylla	II	Wild	15.2 cubic meters	
3. DESCRIPTION OF PROPERTY (include any identifying numbers) Dimension mahogany lumber; 8 bundles stenciled with "ITT" (International Tropical Timber) in red on the end grain. Bill of lading MOLU-6758326-A-02						
4. THIS PROPERTY WAS SEIZED BECAUSE The owner attempted to import without the required CITES document. THIS WAS IN VIOLATION OF 16 USC 1538(c)(1); 50CFR 23.12(a)(3)						
5. APPRAISED VALUE \$ 14,700 BASIS OF APPRAISAL Invoiced amount						
6. NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLES SEIZED			PPQ 624A SENT	PPQ 626 SENT	PPQ 626 RECEIVED	
Frederick Hartman			5-3-07	5-3-07		
7. RECORD OF STEPS COMPLETED						
a. PPQ 624A mailed by registered or certified mail to person(s) identified in #6 above..... b. Date of final disposition of forfeited property according to law, or transfer of custody of property to other U.S. Government Agency (fill in name of agency)..... Retain this form and copies of PPQ 624A (Parts 2 and 5), 626, and any other documents applicable to this shipment for 5 years.				DATE	TIME	INITIALS
				7-3-07	1045	THB

PPQ FORM 624A (OCT 2006) PART 5 - PPQ/CBP PORT WORKSHEET

FIGURE A-9 Example of PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000 (Part 5-PPQ/CBP Port Worksheet)

Purpose

PPQ Form 624A, Part 5-PPQ/CBP Port Worksheet, is a port worksheet used to document the seizure's appraised value and appraisal source, which forms have been sent and received, and who was notified.

Instructions for Completing PPQ Form 624A, Part 5-PPQ/CBP Port Worksheet

Complete *PPQ Form 624A, Part 5-PPQ/CBP Port Worksheet*, as shown in **Table A-5**.

TABLE A-5 Instructions for Completing PPQ Form 624A, Part 5-PPQ/CBP Port Worksheet

Block		Instructions
FILE NO.		VERIFY <i>Blocks 1 through 4 of Part 5 -PPQ/CBP Port Worksheet</i> are filled in (<i>previously completed for Part 1</i>)
1	The property described below was seized by USDA or DHS on...	
2	DESCRIPTION OF PROPERTY Common Name/Origin/Scientific Name/ Appendix Number/Source (Artificially Propagated or Wild)/Number of Plants, Parts, or Weight	
3	DESCRIPTION OF PROPERTY (include any identifying numbers)	
4	THIS PROPERTY WAS SEIZED BECAUSE THIS WAS IN VIOLATION OF	
5	APPRAISED VALUE \$	LIST the appraised value (see <i>Part 1, Block 6</i> of PPQ Form 624A)
	BASIS OF APPRAISAL	LIST the source of the appraisal (see Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation on page 4-6)
6	NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLES SEIZED	LIST the names of all persons believed to be owners or to have an interest in the seized material
	PPQ 624A SENT	LIST the date <i>PPQ Form 624A, Part 4-Owner</i> was mailed
	PPQ 626 SENT	LIST the date <i>PPQ Form 626, Petition for Remission or Mitigation of Forfeiture</i> of Forfeiture was mailed to the violator
	PPQ 626 RECEIVED	If PPQ Form <i>PPQ Form 626, Petition for Remission or Mitigation of Forfeiture</i> , is signed and returned from the violator, then LIST the date PPQ Form 626 is received

TABLE A-5 Instructions for Completing PPQ Form 624A, Part 5-PPQ/CBP Port Worksheet (continued)

Block	Instructions
7	RECORD OF STEPS COMPLETED
	a. PPQ 624A mailed by registered or certified mail to person(s) listed in 6., above List the date and time <i>Part 4-Owner</i> is mailed to the person(s) listed in <i>Block 6</i> of PPQ Form 624A, and INITIAL in the corresponding block
	b. Date of final disposition of forfeited property according to law, or transfer of custody of property to other U.S. Government Agency (fill in name of agency) When you receive notification of final disposition of the property, or notification the custody is transferred to another government agency, then LIST and the name of the government agency on the dotted line, and LIST the date and time, and INITIAL in the corresponding block
	RETAIN this form and copies of PPQ Form 624A (Parts 2, 3, and 5), PPQ Form 626, and any other documents applicable to this shipment for 5 years.

Distribution and Retention of PPQ Form 624A, Part 5-PPQ/CBP Port Worksheet

File the yellow *Part 5-PPQ/CBP Port Worksheet*, of *PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000*, in the port file and retain for 5 years.

PPQ Form 625 Claim and Bond

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 0679-0076. The time required to complete this information collection is estimated to average .50 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Filing of this claim and bond is required for return of seized property. Information shall be transmitted to the U.S. Attorney for forfeiture proceedings in the U.S. District Court (7 CFR 356).

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

FORM APPROVED
OMB NO. 0679-0076

FILE NO.

CLAIM AND BOND

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 0679-0076. The time required to complete this information collection is estimated to average .50 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.

1. I, _____, hereby file a claim and bond as specified in 7 CFR 356.4(c)(2). My interest in this property is as follows:

2. LIST OR SCHEDULE CONTAINING A DESCRIPTION OF SEIZED ARTICLES, CLAIM FOR WHICH IS COVERED BY THE WITHIN BOND.

THE FOREGOING LIST IS CORRECT

3. CLAIMANT

4. ATTEST

5. ATTEST

6. I understand that this claim and bond does not entitle me to possession of the property. I also understand that in case of condemnation of the articles claimed, the claimant shall pay all costs and expenses of the proceeding to obtain such condemnation.

PPQ FORM 625
(JUN E 2000)

Previous edition may be used.

FIGURE A-10 Example of PPQ Form 625, Claim and Bond

Purpose

PPQ form 625, Claim and Bond, is used for seizures valued at \$10,000 or less as part of a legal process in which the owner of the seized property attempts to regain custody of the property.



A bonded release will **not** be made if such an action would frustrate the purpose of the Act or Convention. As an example, 7CFR 356 **does not** allow the release of CITES regulated plants that are without the documentation required under 50CFR Chapter I.

Instructions

The CBP Agriculture Specialist (CBP-AS), PPQ Plant Health Safeguarding Specialist (PPQ-PHSS) or PPQ Export Certification Specialist (PPQ-ECS) lists the Port file number in the *FILE NO.* block. **Do not** complete any other blocks on this form.

If the owner decides to file a Claim and Bond, then the owner will complete the form.

Distribution of PPQ Form 625

Seizures Valued at \$10,000 or Less

If the owner or owner's agent signs *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*, then *PPQ Form 625, Claim and Bond*, is **not** sent.

If the owner or owner's agent is present and will **not** sign *PPQ Form 623* or is **not** present, then send *PPQ Form 625, Claim and Bond*, together with the following documents, by **Certified** or **Registered Mail** with **Return Receipt Requested** to the owner or owner's agent at the last known address:

- *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*
- *Part 4-Owner of PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*
- *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

Keep or make a copy of *PPQ Form 625* and *PPQ Form 626* for the port file prior to sending.

PPQ Form 626, Petition for Remission or Mitigation of Forfeiture

<small>Filing of this petition is required for remission or mitigation of seized property. Information will be used in determining whether the petition is granted or denied (7 CFR 356).</small>		<small>FORM APPROVED OMB NO. 0579-0076</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 0579-0076. The time required to complete this information collection is estimated to average .50 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.</small>			
U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		FILE NO.	
PETITION FOR REMISSION OR MITIGATION OF FORFEITURE			
TO:		1. DATE AND TIME OF SEIZURE	
USDA-APHIS Plant Protection and Quarantine		2. PLACE OF SEIZURE	
City		State and Zip Code	
3. DESCRIPTION OF PROPERTY			
4. NAME AND ADDRESS OF PETITIONER			
5. EVIDENCE OF YOUR INTEREST IN THE PROPERTY SUCH AS CONTRACTS, BILLS OF SALE, INVOICES, CERTIFICATES OF TITLE, ETC., <i>(Please attach copies of any documents)</i>			
6. STATEMENT OF ALL FACTS AND CIRCUMSTANCES RELIED UPON BY THE PETITIONER TO JUSTIFY REMISSION OR MITIGATION OF THE FORFEITURE			
7. SIGNATURE OF PETITIONER OR PETITIONERS ATTORNEY AT LAW <i>(If a business, the signature must be that of a partner, officer, or attorney at law)</i>		8. DATE SIGNED	
<small>PPQ FORM 626 (APR 2000)</small>			
<small>Previous edition may be used.</small>			

FIGURE A-11 Example of PPQ Form 626, Petition for Remission or Mitigation of Forfeiture

Purpose

PPQ Form 626, Petition for Remission or Mitigation of Forfeiture, can be used by the owner or owner's agent in the process of attempting to have the Deputy Administrator grant relief of the forfeited property. This form is used for seizures valued at \$10,000 or less, and for seizures valued greater than \$10,000.



Important

Remission and mitigation will **not** be made if such an action would frustrate the purpose of the Act or Convention. As an example, 7CFR 356 **does not** allow for remission or mitigation with respect to CITES regulated plants that are without the documentation required under 50CFR Chapter I.

Instructions

The CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist lists the Port file number in the block labeled *FILE NO.* **Do not** complete any remaining blocks on this form. (If the owner decides to file the petition, then the owner completes the form.)

Distribution of PPQ Form 626

Seizures Valued at \$10,000 or Less

For seizures valued at \$10,000 or less if the owner signs PPQ Form 623, then *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*, is **not** sent.

If the owner or owner's agent is present and **did not** sign PPQ Form 623, or is **not** present, then the The CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist will send *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture* together with the following documents, by **Certified** or **Registered Mail with Return Receipt Requested** to all persons believed to be owners or agents:

- *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*
- *PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less, Part 4-Owner*
- *PPQ Form 625, Claim and Bond*

Keep or make a copy of PPQ Form 625 and PPQ Form 626 for the port file prior to sending.



Important

If multiple owners or agents are identified, then you may send photocopies of the identified forms in lieu of the actual forms or blocks.

**Seizures Valued
Greater than
\$10,000**

For seizures valued greater than \$10,000, the CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist will send *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*, together with the *Part 4-Owner*, of *PPQ Form 624A, Notice for Seizure of Property Valued Greater Than \$10,000*, by **Certified** or **Registered Mail** with **Return Receipt Requested** to all persons believed to be owners or agents at the last known address.

Keep or make a copy for the port file prior to sending.



If multiple owners or agents are identified, then you may send photocopies of the identified forms in lieu of the actual forms or blocks.

PPQ Form 627, Declaration of Forfeiture

This example below is for seizures valued at \$10,000 or less.


U. S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE DECLARATION OF FORFEITURE		FILE NO. Miami 04-02
1. The property described below was seized by the U. S. Department of Agriculture on (date) <u>07/06/04</u> at (time) <u>1330</u> at (place) <u>Pier 12, Port of Miami</u> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <u>Miami, Florida</u> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.		
2. DESCRIPTION OF PROPERTY		
Common Name	Scientific Name	Number of Plants or Parts
Ramin	Gonystylus sp.	1.158 cubic meters
3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS (Include any identifying numbers) Wooden dowels, 100,000 pieces, 100 boxes, marked: Order No. 04-07643		
4. THIS PROPERTY WAS SEIZED BECAUSE The owner attempted to import without the required CITES document. THIS WAS IN VIOLATION OF 16 USC 1538(c)(1), 50CFR 23.11, 50 CFR 23.12(a)(iii)		
5. A NOTICE OF SEIZURE AND PROPOSED FORFEITURE WAS POSTED AT THE PLANT PROTECTION AND QUARANTINE OFFICE AT (location) <u>Miami, Florida</u> FROM (date & time) <u>07/06/04 1430</u> TO (date & time) <u>07/27/04 1430</u>		
6. COPIES OF THE NOTICE WERE MAILED OR HANDED TO THE FOLLOWING PERSONS (Show alleged interest in seized property) Henry Pattison, Owner, H.P. Hardwood, Inc.		
7. In response to the above stated notice, no proper claim and bond were received within the 20 days specified in 7 CFR 356.4(c)(2). Therefore, all potential claimants are deemed to admit the truth of the allegations of the notice.		
8. The above described property is hereby ordered condemned and is forfeited to the United States of America for disposition according to law.		
9. SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICER 		10. DATE <u>07/27/04</u>
PPQ FORM 627 (APR 84)		PART 1 - PPQ PORT FILE

FIGURE A-12 Example of PPQ Form 627, Declaration of Forfeiture (for forfeitures valued at \$10,000 or less)

Purpose

PPQ Form 627, Declaration of Forfeiture, is used to take custody of seized material that is valued at \$10,000 or less.

Instructions

Forfeitures Valued at \$10,000 or Less

For forfeitures valued at \$10,000 or less, complete PPQ Form 627 as instructed in [Table A-6](#).

TABLE A-6 Instructions for Completing PPQ Form 627, Declaration of Forfeiture

Block	Instructions
FILE NO.	LIST the port file number (see Filing System for Violations, Seizures, and Forfeitures)
1 The property...	LIST in the appropriate blanks the date, time, place, city, and State where the property was seized
2 DESCRIPTION OF PROPERTY	
Common Name	LIST the common name of the article/wood seized
Scientific Name	LIST the scientific name of the article/wood seized
Number of Plants or Parts	LIST the number of plants or parts seized (see Conversion Formulas)
3 DESCRIPTION OF PROPERTY...	List a description of the article seized
4 THIS PROPERTY WAS SEIZED BECAUSE	LIST the reasons the articles were seized
THIS WAS IN VIOLATION OF	LIST the CFR section and USC section of the regulation violated (see List of Violations on page A-7 , Figure A-3)
5 A NOTICE OF SEIZURE AND PROPOSED FORFEITURE WAS POSTED AT THE PLANT PROTECTION AND QUARANTINE OFFICE	
AT	LIST the location the notice was posted (city, State)
FROM	LIST the date and time the notice was posted
TO	LIST the date and time the notice was removed
6 COPIES OF THE NOTICE WERE MAILED OR HANDED TO THE FOLLOWING PERSONS	1. LIST each person's name, interest in property, and business name that copies of the notice were mailed or given to 2. If the owner or owner's agent requests a copy of PPQ Form 627, then MAKE a photocopy and GIVE the owner or owner's agent the photocopy. You must also send the owner or owner's agent the original PPQ Form 627 by Certified or Registered Mail with Return Receipt Requested to comply with regulations
7 In response....	LEAVE blank; do not write in this block

TABLE A-6 Instructions for Completing PPQ Form 627, Declaration of Forfeiture (continued)

Block		Instructions
8	The above...	LEAVE blank; do not write in this block
9	SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICER	CBP Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Agriculture Specialist SIGNS this block
10	Date	LIST the date <i>Block 9</i> is signed

Distribution and Retention of PPQ Form 627

After 21 days, distribute and retain PPQ Form 627 as follows:

- File *Part 1* in the port file and retain for 5 years
- Send *Part 2* and *Part 3* by **Certified** or **Registered Mail** with **Return Receipt Requested**, to the owner or owners of the seized material at their last known address



If the owner or owner's agent requests a copy of PPQ Form 627, then make a photocopy and give the owner or owner's agent the photocopy. You **must** also send the **original Parts 2 and 3** to the owner or owner's agent by **Certified** or **Registered Mail** with **Return Receipt Requested**, to comply with regulations.



If multiple owners or agents are identified, then you may send photocopies of the identified forms in lieu of the actual forms or blocks.



Appendix B

Resolutions of CITES Conference of the Parties

Contents

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Conference Resolution 10.13 (Rev. CoP 15) Implementation of the Convention for Timber Species [page B-1](#)

Conference Resolution 12.3 (Rev. CoP 15), Permits and Certificates [page B-4](#)
Annex 1, Information that Should Be Included in CITES Permits and Certificates [page B-17](#)

Annex 2, Standard CITES Form [page B-18](#)

Introduction

This appendix contains the text of two current CITES Conference Resolutions which apply to CITES Appendix I, Appendix II, and Appendix III protected timber species. The CITES Conference is a biennial gathering of CITES member countries where the members review how a treaty is working, resolve policy issues, and determine which lists of species need amending.

Conference Resolution 10.13 (Rev. CoP 15) Implementation of the Convention for Timber Species

An excerpt from Conference Resolution 10.13 (Rev. CoP15), Implementation of the Convention for Timber Species, is shown in [Figure B-1](#) on page B-2.

To view all [CITES Conference Resolutions](#), go to the [CITES Web site](#).

Regarding parts and derivatives

- c) the following definitions be applied with respect to annotations in the CITES Appendices:
- i) Logs
All wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing, notably into sawn wood, pulpwood or veneer sheets (HS code 44.03¹);
 - ii) Sawn wood
Wood simply sawn lengthwise or produced by a profile-chipping process. Sawn wood normally exceeds 6 mm in thickness (HS code 44.06¹, HS code 44.07¹);
 - iii) Veneer sheets
Thin layers or sheets of wood of uniform thickness, usually 6 mm or less, usually peeled or sliced, for use in making plywood, for veneering furniture, veneer containers, etc. (HS code 44.08¹); and
 - iv) Plywood
Consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle (HS code 44.12.13¹, HS code 44.12.14¹, and HS code 44.12.22¹); and
- d) for the purpose of annotations in the Appendices for parts and derivatives of species traded as timber, definitions to be used should, to the extent possible, be based on the tariff classifications of the Harmonized System of the World Customs Organization;

Regarding amendment proposals for timber species

- e) proposals for the inclusion of timber species in Appendix II or III indicate clearly which parts and derivatives should be regulated; and
- f) where these parts and derivatives are not logs, sawn wood and veneer sheets, the proponent also propose the relevant amendment to Resolution Conf. 12.3 (Rev. CoP14) if the procedures for extending the period of validity of, and/or changing the destination on, the export permit or re-export certificate should apply;

Regarding the definition of 'artificially propagated'

- g) timber or other parts or derivatives of trees grown in monospecific plantations be considered as being artificially propagated in accordance with the definition contained in Resolution Conf. 11.11 (Rev. CoP15);

FIGURE B-1 Excerpt from CITES Conference Resolution 10.13 (Rev. CoP15), Implementation of the Convention for Timber Species (page 1 of 2)

Regarding improvement of public understanding of the role of the Convention in the conservation of timber species

- h) Parties consider any possible deleterious conservation and trade impacts before they impose stricter domestic measures on trade in timber specimens of species included in Appendix II or III; and
- i) Management Authorities work with governmental agencies (including local governments), non-governmental organizations, industry and the general public to develop and provide information on the objectives, provisions and implementation of the Convention to counter the misconception that the inclusion of species in the Appendices represents a ban on the trade in specimens of these species, and to disseminate the message that international trade and utilization of timber species included in Appendices II and III are generally permitted and can be beneficial;

Regarding timber species of concern

- j) the range States pay particular attention to internationally traded timber species within their territories for which the knowledge of the biological status and silvicultural requirements gives cause for concern; and

Regarding the establishment of export quotas for timber species

- k) whilst fully respecting the requirements of paragraphs 2 (a) and 3 of Article IV of the Convention, Parties exporting timber specimens from species listed in Appendix II consider establishing voluntary annual national export quotas for such exports.

* Amended at the 13th, 14th and 15th meetings of the Conference of the Parties.

- 1 HS refers to the Harmonized System of the World Customs Organization describing and coding goods in trade. The codes referred to in this document for timber include the following:

44.03 Wood in the rough, whether or not stripped of bark or sapwood, or roughly squared

44.06 Railway or tramway sleepers of wood

44.07 Wood sawn or chipped lengthwise, sliced or peeled, whether or not planed, sanded or finger-jointed, of a thickness exceeding 6 mm

44.08 Veneer sheets and sheets for plywood (whether or not spliced) and other wood sawn lengthwise, sliced or peeled, whether or not planed, sanded or finger-jointed, of a thickness not exceeding 6 mm

44.12.13 Plywood consisting solely of sheets of wood, each ply not exceeding 6 mm in thickness, and with at least one outer ply of tropical wood specified in Subheading Note 1 below[†]

44.12.14 Plywood consisting solely of sheets of wood, each ply not exceeding 6 mm in thickness, and with at least one outer ply of non-coniferous wood

44.12.22 Other (meaning one ply, or more, that is greater than 6 mm in thickness), with at least one outer ply of non-coniferous wood, and with at least one ply of tropical wood specified in Subheading Note 1 below^{††}

[†] Subheading Note 1: For the purposes of subheadings 44.03.41 to 44.03.49, 44.07.24 to 44.07.29, 44.08.31 to 44.08.39, and 44.12.13 to 44.12.99, the expression 'tropical wood' means one of the following types of wood:

Abura, Acajou d'Afrique, Afrormosia, Ako, Alan, Andiroba, Aningré, Avodiré, Azobé, Balau, Balsa, Bossé clair, Bossé foncé, Cativo, Cedro, Dabema, Dark Red Meranti, Dibétou, Doussié, Framiré, Freijo, Fromager, Fuma, Geronggang, Ilomba, Imbuia, Ipé, Iroko, Jaboty, Jelutong, Jequitiba, Jongkong, Kapur, Kempas, Keruing, Kosipo, Kotibé, Koto, Light Red Meranti, Limba, Louro, Maçaranduba, Mahogany, Makoré, Mandioqueira, Mansonia, Mengkulang, Meranti Bakau, Merawan, Merbau, Merpauh, Mersawa, Moabi, Nangon, Nyatoh, Obeche, Okoumé, Onzabili, Orey, Ovengkol, Ozigo, Padauk, Paldao, Palissandre de Guatemala, Palissandre de Para, Palissandre de Rio, Palissandre de Rose, Pau Amarelo, Pau Marfim, Pulai, Punah, Quaruba, Ramin, Sapelli, Saqui-Saqui, Sepetir, Sipo, Sucupira, Suren, Teak, Tauari, Tiama, Tola, Virola, White Lauan, White Meranti, White Seraya, Yellow Meranti.

FIGURE B-2 Excerpt from CITES Conference Resolution 10.13 (Rev. CoP15) (continued page 2 of 2)

Conference Resolution 12.3 (Rev. CoP 15), Permits and Certificates

An excerpt from Conference Resolution 12.3 (Rev. CoP 15), Permits and Certificates, is shown in the figures below.

To view 12.3 in its entirety, and all CITES Conference Resolutions, see <http://www.cites.org/eng/res/index.php>.

I. Regarding standardization of CITES permits and certificates

AGREES that:

- a) to fulfil the requirements of Article VI and relevant Resolutions, export and import permits, re-export and pre-Convention certificates, certificates of origin and certificates of captive breeding and artificial propagation (except where phytosanitary certificates are used for this purpose) should include all the information specified in Annex 1 of the present Resolution;
- b) Permits and certificates may be issued in paper format or electronic format provided all Parties involved have agreed with the electronic format;
- c) every form, whether issued in an electronic or paper format, should be issued in one or more of the working languages of the Convention (English, Spanish or French) and in the national language if it is not one of the working languages;
- d) every form should indicate which type of document it is (e.g. import or export permit, re-export or pre-Convention certificate, etc.);
- e) if a permit or certificate form, whether issued in an electronic or paper format includes a place for the signature of the applicant, the absence of the handwritten signature or in case of electronic forms any electronic equivalent should render the permit or certificate invalid; and
- f) if an annex is attached to a permit or certificate as an integral part of it, this and the number of pages should be clearly indicated on the permit or certificate, and each page of the annex should include the following:
 - i) the number of the permit or certificate and its date of issue; and
 - ii) the signature, handwritten, and the stamp or seal, preferably embossed, or their electronic equivalent, of the authority issuing the document; and

RECOMMENDS that:

- a) Parties wishing to modify their permit and certificate forms, to reprint existing documents or to introduce new documents, first ask the Secretariat for advice;
- b) Parties adapt the contents and, to the extent practicable, the format of their permits and certificates to the standard form attached to the present Resolution as Annex 2;
- c) Parties using or developing electronic permits and certificates, adopt the standards recommended in the *CITES electronic permitting toolkit*;
- d) the Secretariat, subject to availability of external funding, organize the printing of permit and certificate forms on security paper for Parties that request it;
- e) to avoid abusive or fraudulent use, the Parties not use forms for their internal-trade certificates that are identical to CITES forms;
- f) for tracking and annual reporting purposes, permit and certificate numbers be limited, if possible, to 14 characters in the format:

WWxxYYYYYY/zz

where WW represents the last two digits of the year of issuance; xx represents the two-letter ISO code of the country; YYYYYY represents a six-digit serial number; and zz represents two digits or letters, or a combination of a digit and a letter, that a Party may use for national informational purposes;

- g) Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:
 - T** Commercial
 - Z** Zoo
 - G** Botanical garden
 - Q** Circus or travelling exhibition

FIGURE B-3 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 1 of 12)

- S** Scientific
- H** Hunting trophy
- P** Personal
- M** Medical (including biomedical research)
- E** Educational
- N** Reintroduction or introduction into the wild
- B** Breeding in captivity or artificial propagation
- L** Law enforcement / judicial / forensic;

- h) The term 'hunting trophy', as used in this Resolution, means a whole animal, or a readily recognizable part or derivative of an animal, specified on any accompanying CITES permit or certificate, that:
 - i) is raw, processed or manufactured;
 - ii) was legally obtained by the hunter through hunting for the hunter's personal use; and
 - iii) is being imported, exported or re-exported by or on behalf of the hunter, as part of the transfer from its country of origin, ultimately to the hunter's State of usual residence.
- i) the following codes be used to indicate the source of the specimens:
 - W** Specimens taken from the wild.
 - R** Ranched specimens: specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood.
 - D** Appendix-I animals bred in captivity for commercial purposes in operations included in the Secretariat's Register, in accordance with Resolution Conf. 12.10 (Rev. CoP15), and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention.
 - A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP15), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III).
 - C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5.
 - F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof.
 - U** Source unknown (**must be justified**)
 - I** Confiscated or seized specimens
 - O** Pre-Convention specimens;
- j) the terms and codes used on permits and certificates to indicate the type of specimen being traded conform to those provided in the Secretariat's most recent *Guidelines for the preparation and submission of CITES annual reports* and that the units of measurement used also conform to these Guidelines;
- k) all Parties consider the development and use of electronic permits and certificates;
- l) all Parties, when using paper permits and certificates, consider the use of security paper;
- m) Parties that do not already do so affix a security stamp to each permit and certificate;
- n) when a security stamp is affixed to a permit or certificate, it be cancelled by a signature and a stamp or seal, preferably embossed and the number of the stamp also be recorded on the document;

FIGURE B-4 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 2 of 12)

- o) when issuing permits and certificates, the Parties follow the standard nomenclatures adopted by the Conference of the Parties to indicate the names of species [see Resolution Conf. 12.11 (Rev. CoP15)];
- p) Parties that have not yet done so communicate to the Secretariat the names of the persons empowered to sign permits and certificates, as well as three specimens of their signatures, and that all the Parties communicate, within one month of any change thereto, the names of persons who have been added to the list of those already empowered to sign, the names of persons whose signatures are no longer valid and the dates the changes took effect;
- q) when the means of transport used requires a bill of lading or an air way-bill, the number of such document be stated on the permit or certificate;
- r) each Party inform the other Parties, direct or through the Secretariat, of any stricter internal measures it has taken under Article XIV, paragraph 1 (a), of the Convention, and that, when a Party is informed of this, it refrain from issuing permits and certificates that run counter to these measures;
- s) when a permit or certificate has been cancelled, lost, stolen or destroyed, the issuing Management Authority immediately inform the Management Authority of the country of destination, as well as the Secretariat regarding commercial shipments; and
- t) when a permit or certificate is issued to replace a document that has been cancelled, lost, stolen or destroyed, or that has expired, it indicate the number of the replaced document and the reason for the replacement;

II. Regarding export permits and re-export certificates

AGREES that a re-export certificate should also specify:

- a) the country of origin, the number of the export permit of the country of origin and its date of issue; and
- b) the country of last re-export, the number of the re-export certificate of that country and its date of issue;

or if the case arises:

- c) justification for the omission of any of the aforementioned information;

RECOMMENDS that:

- a) exporters be encouraged to apply for permits shortly before the time of intended export;
- b) Management Authorities require accurate information about the number or quantity of specimens to be exported under each permit and, as far as possible, avoid the issuance of permits where the numbers or quantities do not accurately reflect what will actually be exported;
- c) in cases where a replacement is requested for a permit that has not been used, the replacement be issued only if the original has been returned to the issuing authority, unless the original is reported as lost. In the latter case, the issuing Management Authority should notify the Management Authority of the country of destination that the original permit has been cancelled and replaced;
- d) if an exporter claims to have used a permit to export a smaller number or quantity of specimens than the amount authorized on the export permit, and requests another permit to export the remainder, the Management Authority obtain proof of the number or quantity already exported before issuing any new permit (such as a copy of the validated export permit or confirmation from the Management Authority of the country of destination of the number or quantity of specimens that were imported using the original permit);
- e) exported specimens and re-exported specimens not appear on the same document, unless it is clearly indicated which specimens are being exported and which re-exported;
- f) when re-export certificates are issued for specimens whose form has not changed since being imported, the unit of measure used be the same as that used on the permit or certificate accepted when they were imported;

FIGURE B-5 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 3 of 12)

- g) the provisions of Article III, paragraph 3, Article IV, paragraph 4, Article V, paragraph 3, and Article VI, paragraph 2, be understood to mean that an export permit or re-export certificate shall be valid for a period of no more than six months from the date on which it was granted and that it may not be accepted to authorize export, re-export or import except during the period of validity;
- h) after the expiry of the said six-month period of validity, an export permit or re-export certificate be considered as void and of no legal value whatsoever, except in the case referred to in section XI relating to timber species;
- i) no export permit or re-export certificate be issued for a specimen known to have been acquired illegally, even if it has been imported in accordance with the national legislation, unless the specimen has previously been confiscated;
- j) Parties not authorize the import of any specimen if they have reason to believe that it was not legally acquired in the country of origin;
- k) Parties verify the origin of Appendix-I specimens to avoid issuing export permits when the use is for primarily commercial purposes and the specimens did not originate in a CITES-registered breeding operation; and
- l) as far as possible, inspections of documents and shipments be conducted at the time of export. This should be regarded as essential for shipments of live animals;

AGREES that, in the case of plant specimens that cease to qualify for an exemption from the provisions of CITES under which they were exported from their country of origin, the country of origin is deemed to be the first country in which the specimens cease to qualify for the exemption; and

AGREES further that Parties may in such instances, and if considered useful, add the following text in block 5 of re-export certificates: 'Legally imported under an exemption from the provisions of CITES' and additionally it may be stated to which exemption this refers;

III. Regarding import permits

AGREES that an import permit for specimens of species included in Appendix I may carry, among other things, certification that the specimens will not be used for primarily commercial purposes and, in the case of live specimens, that the recipient has suitable facilities to house and care for them; and

RECOMMENDS that:

- a) the provisions of Article III, paragraphs 2 and 4, be understood to mean that an import permit shall be valid for a period of not more than 12 months from the date on which it was granted and that it may not be accepted to authorize import except during the period of validity; and
- b) after the expiry of the said 12-month period of validity, an import permit be considered as void and of no legal value whatsoever;

IV. Regarding pre-Convention certificates

AGREES that a pre-Convention certificate should also specify:

- a) that the specimen covered by the certificate is pre-Convention; and
- b) the date of acquisition of the specimen as defined in Resolution Conf. 13.6 adopted at the 13th meeting of the Conference of the Parties (Bangkok, 2004);

V. Regarding certificates of origin

RECOMMENDS that:

- a) certificates of origin for export of specimens of species listed in Appendix III only be issued by a designated Management Authority or by the competent authority if trade is from a State not a Party to the Convention, and that Parties not accept certificates of origin unless they are issued by such authorities;
- b) the provisions of Article V, paragraph 3, be understood to mean that a certificate of origin shall be valid for a period of not more than 12 months from the date on which it was granted,

FIGURE B-6 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 4 of 12)

and that it may not be accepted to authorize export or import except during the period of validity; and

- c) after the expiry of the said 12-month period of validity, a certificate of origin be considered as void and of no legal value whatsoever;

VI. Regarding travelling-exhibition certificates

RECOMMENDS that:

- a) each Party issue a travelling-exhibition certificate for CITES specimens belonging to a travelling exhibition based in its State, registered with the Management Authority and wishing to transport specimens of CITES species to other States for exhibition purposes only, on the condition that they were legally acquired and will be returned to the State in which the exhibition is based and that they were:
 - i) acquired before 1 July 1975 or before the date of inclusion of the species in any of the Appendices of the Convention;
 - ii) bred in captivity as defined in Resolution Conf. 10.16 (Rev.); or
 - iii) artificially propagated as defined in Resolution Conf. 11.11 (Rev. CoP15);
- b) travelling-exhibition certificates should be based on the model included in Annex 3 of the present Resolution. They should be printed in one or more of the working languages of the Convention (English, Spanish or French) and in the national language if it is not one of these;
- c) travelling-exhibition certificates should contain the purpose code 'Q' and include in block 5, or in another block if the model form is not used, the following language: "The specimen/s covered by this certificate may not be sold or otherwise transferred in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen/s dies/die, is/are stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority";
- d) a separate travelling exhibition certificate must be issued for each live animal;
- e) for travelling exhibitions of specimens other than live animals, the Management Authority should attach an inventory sheet that contains all of the information in blocks 9 to 16 of the model form for each specimen;
- f) travelling-exhibition certificates should be valid for not more than three years from the date on which they were granted to allow multiple imports, exports and re-exports of the individual specimens that they cover;
- g) Parties consider such travelling-exhibition certificates as proof that the specimens concerned have been registered with the issuing Management Authority and allow the movement of such specimens across their borders;
- h) at each border crossing, Parties endorse travelling-exhibition certificates with an authorized stamp and signature by the inspecting official and allow the certificates to remain with the specimens;
- i) Parties check travelling exhibitions closely, at the time of export/re-export and import, and note especially whether live specimens are transported and cared for in a manner that minimizes the risk of injury, damage to health or cruel treatment;
- j) Parties require that specimens be marked or identified in such a way that the authorities of each State into which an exhibition enters can verify that the travelling-exhibition certificates correspond to the specimens being imported;
- k) when, during a stay in a State, an animal in possession of an exhibition gives birth, the Management Authority of that State be notified and issue a Convention permit or certificate as appropriate;
- l) when, during a stay in a State, a travelling-exhibition certificate for a specimen is lost, stolen or accidentally destroyed, only the Management Authority which has issued the document may issue a duplicate. This duplicate paper certificate will bear the same number, if

FIGURE B-7 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 5 of 12)

possible, and the same date of validity as the original document, and contain the following statement: "This certificate is a true copy of the original"; and

- m) Parties include in their annual reports a list of all travelling-exhibition certificates issued in the year concerned;

VII. Regarding phytosanitary certificates

RECOMMENDS that:

- a) any Party having considered the practices governing the issue of its phytosanitary certificates for export of artificially propagated Appendix-II specimens, and having determined that such practices provide adequate assurance that the specimens are artificially propagated [as defined in Resolution Conf. 11.11 (Rev. CoP15)], may consider these documents as certificates of artificial propagation in accordance with Article VII, paragraph 5. Such certificates must include the scientific name of the species and the type and quantity of the specimens and bear a stamp, seal or their electronic equivalent, or other specific indication stating that the specimens are artificially propagated as defined by CITES;
- b) any Party using phytosanitary certificates as certificates of artificial propagation inform the Secretariat and provide copies of the certificates, stamps, seals, etc. that are used; and
- c) phytosanitary certificates be used exclusively for the purpose of export from the country of artificial propagation of the specimens concerned; and

INSTRUCTS the Secretariat to notify the Parties when any Party confirms that it issues phytosanitary certificates for export of artificially propagated plants of Appendix-II species;

VIII. Regarding permits and certificates for species subject to quotas

RECOMMENDS that:

- a) when a Party has voluntarily fixed national export quotas for specimens of species included in Appendix I, for non-commercial purposes, and/or in Appendices II and III, it inform the Secretariat of the quotas before issuing export permits and of any changes thereto as soon as they are made;
- b) each export permit issued for specimens of a species subject to an annual export quota, whether established nationally or by the Conference of the Parties, indicate the total quota that has been established for the year and include a certification that the quota is being complied with. For this purpose Parties should specify the total number or quantity of specimens already exported in the current year (including those covered by the permit in question) and the export quota for the species and specimens that are subject to the quota; and
- c) Parties send to the Secretariat copies of permits, electronic and paper, issued for species subject to quotas if so requested by the Conference of the Parties, the Standing Committee or the Secretariat;

IX. Regarding permits and certificates for crocodilian specimens

RECOMMENDS that:

- a) when trade in tagged crocodilian skins is authorized, the same information as is on the tags be given on the permit or certificate;
- b) in the case of crocodilian species subject to quotas approved by the Conference of the Parties, no permit or certificate for skins be issued before the skins are tagged in accordance with the requirements of the issuing Management Authority and their sizes are recorded;
- c) in the event of mismatches of information within a permit or certificate for crocodilian skins, the Management Authority of the importing Party immediately contact its counterpart in the exporting/re-exporting Party to establish whether this was a genuine error arising from the volume of information required by the present Resolution and Resolution Conf. 11.12 (Rev. CoP15), and that, if this is the case, every effort be made to avoid penalizing those involved in the transaction;

FIGURE B-8 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 6 of 12)

- d) for small crocodilian leather products, Parties consider measures to alleviate the administrative burdens associated with this trade through simplified procedures to issue permits and certificates as provided in Part XII of this Resolution; and
- e) for small crocodilian leather products, Parties that require import permits as a stricter domestic measure should review these requirements in order to determine whether they are effective in achieving the objectives of the Convention to ensure that trade in wild fauna and flora species is not detrimental to their survival;

X. Regarding permits and certificates for coral specimens

RECOMMENDS that:

- a) on permits and certificates issued to authorize trade in specimens of hard corals of the genera included in the most recent CITES list of *Coral taxa where identification to genus level is acceptable*¹, where the species cannot be readily determined, the specimens may be recorded at the genus level. This list is maintained by the Secretariat and may be amended with the concurrence of the Animals Committee;
- b) on permits and certificates for trade in specimens that are readily recognizable as coral rock [as defined in Resolution Conf. 11.10 (Rev. CoP15) Annex], where the genus cannot be readily determined, the scientific name for the specimens should be 'Scleractinia';
- c) any Party wishing to authorize export of coral rock identified to ordinate level only should, in view of the inability to make a non-detriment finding for coral rock pursuant to Article IV, paragraph 2 (a), apply the provisions of Article IV, paragraph 3;
- d) Parties that authorize export of coral rock should:
 - i) establish an annual quota for exports and communicate this quota to the Secretariat for distribution to the Parties; and
 - ii) through their Scientific Authorities, make an assessment (which would be available to the Secretariat on request), based on a monitoring programme, that such export will not affect the role that coral rock has in ecosystems affected by the extraction of such specimens;
- e) on permits and certificates for trade in worked specimens of black coral, where the species cannot be readily determined, the specimens may be recorded at the genus level and, where the genus cannot be readily determined, the scientific name for the given specimens should be 'Antipatharia'; and
- f) raw black coral and live black coral should continue to be identified in trade to species level;

XI. Regarding permits and certificates for timber species included in Appendices II and III with the annotation 'Logs, sawn wood and veneer sheets'

RECOMMENDS that the validity of the export permit or re-export certificate may be extended beyond the normal maximum of six months after the date of issue, on the condition that:

- a) the shipment has arrived in the port of final destination before the date of expiration indicated on the permit or certificate and is being held in Customs bond (i.e. is not considered as imported);
- b) the time extension does not exceed six months from the date of expiration of the permit or certificate and no previous extension has been granted;
- c) the appropriate enforcement personnel has included the date of arrival and the new date of expiration in the box relating to special conditions, or an equivalent place, on the export permit or re-export certificate, certifying the modification with an official stamp or seal and signature or their electronic equivalent;
- d) the shipment is imported for consumption from the port where it was located when the extension was approved and before the new date of expiration; and

FIGURE B-9 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 7 of 12)

- e) a copy of the export permit or re-export certificate as amended in accordance with subparagraph c) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat; and

RECOMMENDS further that any permit or certificate that indicates the complete names and addresses of the (re-)exporter and importer, in conformity with Annex 1, paragraph d), to the present Resolution, not be accepted for import into a country other than the one for which it was issued, except under the following conditions:

- a) the actual quantity of specimens exported or re-exported is included in the designated box on the permit or certificate, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of export or re-export;
- b) the exact quantity referred to under paragraph a) above is imported;
- c) the number of the bill of lading of the shipment is included on the permit or certificate;
- d) the bill of lading of the shipment is presented to the Management Authority together with the original of the permit or certificate at the time of import;
- e) the import takes place within six months after the issue of the export permit or re-export certificate or within 12 months after the issue of a certificate of origin;
- f) the period of validity of the permit or certificate has not already been extended;
- g) the Management Authority of the importing country includes on the permit or certificate, in the box relating to special conditions, or an equivalent place, the following text, certified by its stamp or seal and signature:

"import into [name of country] permitted in accordance with Resolution Conf. 12.3 (Rev. CoP15) (section XI) on [date]"; and

- h) a copy of the permit or certificate as amended in accordance with paragraph g) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat;

XII. Regarding the use of simplified procedures to issue permits and certificates

RECOMMENDS that:

- a) Parties use simplified procedures to issue permits and certificates to facilitate and expedite trade that will have a negligible impact, or none, on the conservation of the species concerned, e.g.:
 - i) where biological samples of the type and size specified in Annex 4 of the present Resolution are urgently required:
 - A. in the interest of an individual animal;
 - B. in the interest of the conservation of the species concerned or other species listed in the Appendices;
 - C. for judicial or law enforcement purposes;
 - D. for the control of diseases transferable between species listed in the Appendices; or
 - E. for diagnostic or identification purposes;
 - ii) for the issuance of pre-Convention certificates in accordance with Article VII, paragraph 2;
 - iii) for the issuance of certificates of captive breeding or artificial propagation in accordance with Article VII, paragraph 5, or for the issuance of export permits or re-export certificates in accordance with Article IV for specimens referred to in Article VII, paragraph 4; and
 - iv) in other cases judged by a Management Authority to merit the use of simplified procedures;

FIGURE B-10 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 8 of 12)

- b) Parties, in order to simplify procedures concerning the issuance of permits and certificates under the circumstances outlined above:
 - i) maintain a register of persons and bodies that may benefit from simplified procedures, as well as the species that they may trade under the simplified procedures;
 - ii) provide to registered persons and bodies partially completed permits and certificates that remain valid for a period of up to six months for export permits, 12 months for import permits or re-export certificates, and three years for pre-Convention certificates and certificates of captive breeding or artificial propagation; and
 - iii) authorize the registered persons or bodies to enter specific information on the CITES document when the Management Authority has included in box 5, or an equivalent place, the following:
 - A. a list of the boxes that the registered persons or bodies are authorized to complete for each shipment; if the list includes scientific names, the Management Authority must have included an inventory of approved species on the face of the permit or certificate or in an attached annex;
 - B. any special conditions; and
 - C. a place for the signature, or its electronic equivalent, of the person who completed the document;
- c) concerning trade in biological samples of the type and size specified in Annex 4 of the present Resolution, where the purpose is among those specified in paragraph a) of this section, permits and certificates be accepted that were validated at the time the documents were granted, rather than at the time a shipment was exported or re-exported provided that the container bears a label, such as a Customs label, that specifies 'CITES Biological Samples' and the CITES document number; and
- d) when processing applications for the export of biological samples of the type and size and for the use specified in Annex 4 to the present Resolution, Scientific Authorities develop generic non-detriment advice that would cover multiple shipments of such biological samples, taking into account the impacts of the collection of the specimens of species included in Appendix I or II to determine whether the export or import of biological samples would be detrimental to the survival of the species;

XIII. Regarding retrospective issue of permits and certificates

RECOMMENDS that:

- a) a Management Authority of an exporting or re-exporting country:
 - i) not issue CITES permits and certificates retrospectively;
 - ii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of exports or re-exports of specimens having left its country without the required CITES documents; and
 - iii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of permits or certificates which at the time of export, re-export or import did not meet the requirements of the Convention;
- b) a Management Authority of an importing country, or of a country of transit or transshipment, not accept permits or certificates that were issued retrospectively;
- c) exceptions from the recommendations under a) and b) above not be made with regard to Appendix-I specimens, and be made with regard to Appendix-II and -III specimens only where the Management Authorities of both the exporting (or re-exporting) and the importing countries are, after a prompt and thorough investigation in both countries and in close consultation with each other, satisfied:
 - i) that the irregularities that have occurred are not attributable to the (re-)exporter or the importer or, in the case of specimens imported or (re-)exported as personal or household effects (for the purposes of the present Resolution this includes live pets travelling with their owner), the Management Authority, in consultation with the relevant

FIGURE B-11 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 9 of 12)

- enforcement authority, is satisfied that there is evidence that a genuine error has been made, and that there was no attempt to deceive; and
- ii) that the export (or re-export) and import of the specimens concerned are otherwise in compliance with the Convention and with the relevant legislation of the countries of export (or re-export) and import;
- d) whenever exceptions are made:
 - i) the permit or certificate clearly indicate that it is issued retrospectively; and
 - ii) the reasons for the relaxation, which should come within the purview of paragraph c) above, are specified in the conditions on the permit or certificate and a copy sent to the Secretariat and also these be listed in the biennial report to the Secretariat;
- e) in cases where retrospective permits are issued for personal or household effects as referred to in subparagraph c) i) above, Parties make provision for penalties and restrictions on subsequent sales within the following six months to be imposed where appropriate to ensure that the power to grant exemptions from the general prohibition on the issue of retrospective permits is not abused; and
- f) the above discretion to issue permits and certificates retrospectively not be afforded to benefit repeat offenders;

XIV. Regarding acceptance and clearance of documents and security measures

RECOMMENDS that:

- a) the Parties refuse to accept permits and certificates if they have been altered (by rubbing out, deleting, scratching out, etc.), modified or crossed out, unless the alteration, modification or crossing-out has been authenticated by the stamp and signature, or its electronic equivalent, of the authority issuing the document;
- b) whenever irregularities are suspected, Parties exchange issued and/or accepted permits or certificates to verify their authenticity;
- c) when a security stamp is affixed to a paper permit or certificate, Parties refuse the document if the security stamp is not cancelled by a signature and a stamp or seal;
- d) Parties refuse to accept any permit or certificate that is invalid, including authentic documents that do not contain all the required information as specified in the present Resolution or that contain information that brings into question the validity of the permit or certificate;
- e) Parties refuse to accept permits and certificates that do not indicate the scientific name of the species concerned (including subspecies when appropriate), except in the case where:
 - i) the Conference of the Parties has agreed that the use of higher-taxon names is acceptable;
 - ii) the issuing Party can show it is well justified and has communicated the justification to the Secretariat;
 - iii) certain manufactured products contain pre-Convention specimens that can not be identified to the species level; or
 - iv) worked skins or pieces thereof of *Tupinambis* species that were imported before 1 August 2000 are being re-exported, in which case it is sufficient to use the indication *Tupinambis* spp.;
- f) Export permits and re-export certificates be endorsed, with quantity, signature and stamp, by an inspecting official, such as Customs, in the export endorsement block of the document. If the export document has not been endorsed at the time of export, the Management Authority of the importing country should liaise with the exporting country's Management Authority, considering any extenuating circumstances or documents, to determine the acceptability of the document;
- g) when a Party refuses to accept a permit or certificate, it will keep the original or electronic copy or, if this is not compliant with its national laws, it will cancel the paper document

FIGURE B-12 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 10 of 12)

indelibly, preferably by perforation, particularly the security stamp, or register the electronic document as cancelled;

- h) when a Party refuses to accept a permit or certificate issued for export or re-export, it immediately inform the exporting or re-exporting country;
- i) when a Party is informed that a permit or certificate it has issued for export or re-export has been refused, it take measures to ensure that the specimens in question do not enter into illegal trade;
- j) Parties ensure that, when the original of a paper permit or certificate is not used by the permittee for the trade authorized, it is returned by the permittee to the issuing Management Authority in order to prevent the illegal use of the document, and in the case of an electronic permit or certificate, notification is sent to the issuing Management Authority and the electronic permit is registered as unused; and
- k) Parties carefully check the e-mails and telefaxes they receive confirming the validity of permits, in order to ensure that the information that appears on them, including the numbers, corresponds to that in the CITES Directory;

RECOMMENDS further that Management Authorities authorize the import of vicuña cloth only if the reverse side of the cloth bears the logotype adopted by the range States of the species, which are signatories to the *Convenio para la Conservación y Manejo de la Vicuña*, and the selvages the words VICUÑA – COUNTRY OF ORIGIN² or if it is cloth containing pre-Convention wool of vicuña; and

URGES the Parties to check with the Secretariat:

- a) when they have serious doubts about the validity of permits accompanying suspect shipments; and
- b) before they accept imports of live specimens of Appendix-I species declared as bred in captivity or artificially propagated; and

XV. Regarding documents for sample collections covered by ATA carnets

RECOMMENDS that:

- a) for the purpose of the procedure described below, the term 'sample collection' refer to collections of legally acquired dead specimens, parts and derivatives of species included in Appendix II or III and of Appendix-I species bred in captivity or artificially propagated for commercial purposes, which are deemed to be Appendix-II specimens, which are not entitled to be sold or otherwise transferred, and that will cross borders for presentation purposes before returning to the country from which such movement was first authorized; and
- b) such sample collections be considered as 'in transit' and may be traded under the special provisions stipulated in Article VII, paragraph 1, as explained in Resolution Conf. 9.7 (Rev. CoP13), on the following conditions:
 - i) sample collections shall be covered by ATA carnets and be accompanied by a standard CITES permit, on which it shall be indicated that the document is a permit or certificate either for 'export', 're-export' or 'other', as appropriate, and, in addition, it shall be clearly specified that the document is issued for a 'sample collection';
 - ii) it shall be specified in block 5, or an equivalent place, that "This document covers a sample collection and is invalid unless accompanied by a valid ATA carnet. The specimen(s) covered by this certificate may not be sold or otherwise transferred whilst outside the territory of the State that 'issued this document.'" The number of the accompanying ATA carnet should be recorded and, if necessary, this may be entered by the Customs or other CITES enforcement official responsible for the endorsement of the CITES document;

² Corrected by the Secretariat after the 15th meeting of the Conference of the Parties to reflect exactly the text of the annotations in the Appendices.

FIGURE B-13 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates (page 11 of 12)

- iii) the name and address (including the country) of the importer and the exporter or re-exporter shall be identical, and in block 5, or an equivalent place, the names of the countries to be visited shall be indicated;
- iv) the date of expiry of such a document shall not be later than that of the ATA carnet accompanying it and the period of validity shall not be more than six months from the date on which it was granted;
- v) at each border crossing, Parties shall verify the presence of the CITES permit or certificate but allow it to remain with the collection, and ensure that the ATA carnet is properly endorsed with an authorized stamp and signature by a Customs official; and
- vi) Parties shall check the CITES permit or certificate and sample collection closely at the time of first export or re-export and on its return, to ensure that the collection was not subject to any change;

AGREES that:

- a) such a permit or certificate shall not be transferable and when, during a stay in a State, it is lost, stolen or accidentally destroyed, only the Management Authority that issued it may issue a duplicate or a new document to replace the original. In the case of a duplicate, it will bear the same number, if possible, and the same date of validity as the original document, and contain the statement "This document is a true copy of the original". In the case of a new document, it will state that it replaces the original bearing the number xx;
- b) if specimens in the collection are stolen, destroyed or lost, the issuing Management Authority of the document shall be immediately informed as well as the Management Authority of the country in which that occurred; and
- c) the usual CITES procedures for export, re-export and import of sample collections shall be followed by those Parties that do not recognize or allow the use of ATA carnets; and

REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 8.16 (Kyoto, 1992) – *Travelling live-animal exhibitions*;
 - b) Resolution Conf. 10.2 (Rev.) (Harare, 1997, as amended at Gigiri, 2000) – *Permits and certificates*; and
 - c) Resolution Conf. 11.6 (Rev. CoP13) (Gigiri, 2000, as amended at Bangkok, 2004) – *Trade in vicuña cloth*.
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FIGURE B-14 Excerpt from CITES Conference Resolution 12.3 (Rev. CoP15), Permits and Certificates
(page 12 of 12)

Annex 1, Information that Should Be Included in CITES Permits and Certificates

Annex 1

Information that should be included in CITES permits and certificates

- a) The full name and the logo of the Convention
 - b) The complete name and address of the Management Authority issuing the permit
 - c) A unique control number
 - d) The complete names and addresses of the exporter and importer
 - e) The scientific name of the species to which the specimens belong (or the subspecies when it is relevant in order to determine in which Appendix the taxon concerned is included) in accordance with the adopted standard nomenclature
 - f) The description of the specimens, in one of the Convention's three working languages, using the nomenclature of specimens distributed by the Secretariat
 - g) The numbers of the marks appearing on the specimens if they are marked or if a Resolution of the Conference of the Parties prescribes marking (specimens from ranches, subject to quotas approved by the Conference of the Parties, originating from operations which breed animals included in Appendix I in captivity for commercial purposes, etc.) or, in the case of marking with microchip transponders, the microchip codes, the name of the transponder manufacturer, and, where possible, the location of the microchip in the specimen
 - h) The Appendix in which the species or subspecies or population is listed. NB: This does not change even if the specimen concerned is deemed to be included in a different Appendix. For example, although specimens of Appendix-I species bred in captivity for commercial purposes are deemed to be specimens of species included in Appendix II, the species remains listed in Appendix I, and this should be specified on the permit or certificate.
 - i) The source of the specimens
 - j) The quantity of specimens and, if appropriate, the unit of measure used
 - k) The date of issue and the date of expiry
 - l) The name of the signatory and his/her handwritten signature for paper permits and certificates or its electronic equivalent for electronic permits and certificates
 - m) The embossed seal or ink stamp of the Management Authority or its electronic equivalent
 - n) A statement that the permit, if it covers live animals, is only valid if the transport conditions comply with the *IATA Live Animals Regulations* or, if it covers plants, with the *IATA Perishable Cargo Regulations*
 - o) The registration number of the operation, attributed by the Secretariat, when the permit involves specimens of a species included in Appendix I that originate from an operation practising breeding in captivity or artificial propagation for commercial purposes (Article VII, paragraph 4), and the name of the operation when it is not the exporter
 - p) The actual quantity of specimens exported, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of the exportation
- To be included in certificates of origin only**
- q) A statement that the specimens originate in the country that issued the certificate.

FIGURE B-15 Annex 1, Information That Should Be Included in CITES Permits and Certifications

Annex 2, Standard CITES Form

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		PERMIT/CERTIFICATE No. <input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:		Original 2. Valid until											
3. Importer (name and address)		4. Exporter/re-exporter (name, address and country)													
3a. Country of import		Signature of the applicant													
5. Special conditions <small>If for live animals, this permit or certificate is valid only if the transport conditions comply with the IATA Live Animals Regulations; if for live plants, with the IATA Perishable Cargo Regulations</small>		6. Name, address, national seal/stamp and country of Management Authority													
5a. Purpose of the transaction (see reverse)		5b. Security stamp no.													
7./8. Scientific name (genus and species) and common name of animal or plant		9. Description of specimens, including identifying marks or numbers (age/sex if live)		10. Appendix no. and source (see reverse)											
11. Quantity (including unit)		11a. Total exported/Quota													
12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***											
12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***											
12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***											
12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***											
* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export) ** Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes *** For pre-Convention specimens															
13. This permit/certificate is issued by:															
Place		Date		Security stamp, signature and official seal											
14. Export endorsement:		15. Bill of Lading/Air waybill number:													
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 30%;">Block</th> <th style="width: 30%;">Quantity</th> </tr> <tr><td>A</td><td></td></tr> <tr><td>B</td><td></td></tr> <tr><td>C</td><td></td></tr> <tr><td>D</td><td></td></tr> </table>		Block	Quantity	A		B		C		D		Port of export Date Signature Official stamp and title			
Block	Quantity														
A															
B															
C															
D															

CITES PERMIT/CERTIFICATE No.

FIGURE B-16 Annex 2, Standard CITES Form (CoP15) (front)

Instructions and explanations

(These correspond to block numbers on the form)

1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.
2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).
3. **Complete** name and address of the importer.
- 3a. The name of the country must be written in full.
4. **Complete** name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.
5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.
- 5a. The following codes should be used: **T** for commercial, **Z** for zoo, **G** for botanical garden, **Q** for circus or travelling exhibition, **S** for scientific, **H** for hunting trophy, **P** for personal, **M** for medical, **E** for education, **N** for reintroduction or introduction into the wild, **B** for breeding in captivity or artificial propagation and **L** for law enforcement / judicial / forensic.
- 5b. Indicate the number of the security stamp affixed in block 13.
6. The name, address and country of the issuing Management Authority should already be printed on the form.
- 7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.
9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.
10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed.
Use the following codes to indicate the source:
W Specimens taken from the wild
R Ranches specimens: specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood.
D Appendix-I animals bred in captivity for commercial purposes in operations included in the Secretariat's Register, in accordance with Resolution Conf. 12.10 (Rev. CoP15), and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention
A Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP15), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)
C Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5
F Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof
U Source unknown (**must be justified**)
I Confiscated or seized specimens
O Pre-Convention specimens (may be used with other source codes).
11. The quantity and units indicated should conform to the most recent version of the *Guidelines for the preparation and submission of CITES annual reports*.
- 11a. Indicate the total number of specimens exported in the current calendar year (1 January to 31 December) (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.
12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated, except in the case of plant specimens that cease to qualify for an exemption from the provisions of CITES. In such instances, the country of origin is deemed to be the country in which the specimens ceased to qualify for the exemption. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-exports;
- 12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.
- 12b. The "No. of the operation" is the number of the registered captive-breeding or artificial propagation operation. The "date of acquisition" is defined in Resolution Conf. 13.6 and is required only for pre-Convention specimens.
13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.
14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.
15. Enter the number of the bill of lading or air way-bill if the method of transport used requires the use of such a document.

The document must be written in one of the three working languages of the Convention (English, Spanish or French) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document unless it is clearly indicated which specimens are being exported and which re-exported.

AFTER USE THIS DOCUMENT MUST BE RETURNED TO A MANAGEMENT AUTHORITY OF THE IMPORTING COUNTRY.

FIGURE B-17 Annex 2, Standard CITES Form (CoP15) (back)

Appendix C

Conversion Formulas

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Conversion Formulas for Timber and Timber Products

Use the following formulas to assist you with verifying that the quantity recorded on the CITES Permit or Certificate matches the quantity invoiced on the accompanying shipping documents.

These conversions should also be made by the importer or exporter so that the total quantity of CITES regulated material recorded on the shipping documents is expressed in the same unit of measurement found on the CITES Permit or Certificate.

Board Feet of Lumber to Cubic Meters

There are 424 board feet per cubic meter. To convert board feet of lumber to cubic meters, divide the board feet of lumber by 424 board feet. See the equation in **Figure C-1** below.

$$\frac{\text{Total board feet of lumber}}{424 \text{ board feet}} = \text{cubic meters of lumber}$$

FIGURE C-1 Formula to Convert Board Feet of Lumber to Cubic Meters

Some countries may express board feet in pie tablares (PT.). Since 1 PT. is equal to one board foot, change the total PT to total board feet of lumber, then continue using the formula in [Figure C-1](#) above to convert to cubic meters of lumber.

EXAMPLE

A shipment of 1000 board feet of lumber arrives at your port. Use the following calculation to convert this shipment to cubic meters of lumber:

$$\frac{(1000 \text{ board feet of lumber})}{(424 \text{ board feet})} = 2.36 \text{ cubic meters of lumber}$$

Cubic Feet of Lumber to Cubic Meters

See [Figure C-2](#) for the conversion formula.

$$\text{cubic feet} \times 0.02832 = \text{cubic meters}$$

FIGURE C-2 Formula to Convert Cubic Feet of Lumber to Cubic Meters



Important

Where: cubic feet of lumber = (lumber length in feet) x (lumber width in feet) x (lumber thickness in feet).

Lumber dimensions in feet = lumber length x width x thickness in inches/12

The conversion of cubic feet of lumber to cubic meters may be difficult because the formula depends upon the multiplication of the number of square meters and the thickness of wood, which could be variable. In this case, the CPB AS, PPQ PHSS, or PPQ ECS should have the permittee perform the conversion and then have the permittee supply the CPB AS, PPQ PHSS, or PPQ ECS with a copy of the calculations.

EXAMPLE

A shipment of 10,000 square feet of lumber approximately 1 inch thick arrives at your port. Use the following calculation to convert this shipment to cubic meters:

$$10,000 \text{ square feet of lumber} \times 1/12 = 833.33 \text{ cubic feet}$$

$$833.33 \times 0.02832 = 23.6 \text{ cubic meters}$$

Conversion Formula for Dowel Rods

Volume of a Cylinder in Inches to Cubic Meters

To convert cubic inches of dowel to cubic meters, use the formula in **Figure C-1**.

$$(\text{Cubic inches of dowel}) \times (.0000164) = \text{cubic meters of dowel}$$

FIGURE C-1 Formula to Convert Volume of a Cylinder in Inches to Cubic Meters



Important

Where volume of cylinder in cubic inches =

$$\pi (3.14) \times (\text{radius of dowel in inches})^2 \times (\text{length of dowel in inches}) \times (\text{total number of dowels})$$

EXAMPLE

A shipment of containing 100,000 ramin dowels (each measure 1/4 inch in diameter by 16 inches in length) arrives at your port. Use the following formula to convert this shipment to cubic meters:

$$\text{Radius} = 1/2 \text{ diameter}$$

$$R = 1/4 = .25 \times 1/2 = .125$$

$$(3.14) \times (.125)^2 \times 16 \text{ inches} \times 100,000 = 78,500 \text{ cubic inches of dowel}$$

$$(78,500 \text{ cubic inches of dowel}) \times (.0000164) = 1.287 \text{ cubic meters of dowel}$$

Conversion Formula for Logs

Volume of a Log

A tape measure and a calculator are needed to estimate the volume of a log. The volume determination requires the officer to do as follows:

1. Take the average diameter of the log by measuring the largest end and smallest end (excluding bark if present) and divide by 2.
2. Divide the average diameter by 2 to calculate the average radius (r).
3. Use the formula for the volume of a cylinder, and insert the average radius of the log (i.e., $3.14 \times r^2 \times \text{length}$).

4. Convert from cubic inches to cubic meters.

1. $\left(\frac{\text{large diameter} + \text{small diameter}}{2} \right) = d$ (average diameter of a log)
2. $\left(\frac{d}{2} \right) = r$ (average radius of a log)
3. $3.14 \times r^2 \times \text{length of log} = \text{volume in cubic inches}$
4. $\text{Volume in cubic inches} \times (.000164) = \text{cubic meter volume}$

TABLE C-2 Formula to Determine the Volume of a Log

EXAMPLE

A log taken from the shipment is 84 inches long. Excluding bark, the large end measures 10 inches and the small end measures 8 inches.

1. $\frac{10 + 8}{2} = 9"$ average diameter
2. $\frac{9"}{2} = 4.5"$ average radius
3. $3.14 \cdot 4.5^2 \cdot 84 = 5341.14$ cubic inch volume
4. $5341.14 \times .0000164 = .0876$ cubic meter volume

Conversion Formulas for Veneer

Square Feet of Veneer to Square Meters

Use the formula below to convert square feet of veneer to square meters.

Where: (square feet of veneer) = (length of veneer in feet) x (width of veneer in feet) and the
(square feet of veneer) x (0.0929) = square meters of veneer

FIGURE C-1 Formula to Convert Square Feet of Veneer to Square Meters

EXAMPLE A shipment of 25,000 square feet of veneer arrives at your port. Use the following calculation to convert this shipment to square meters:

$$(25,000 \text{ square feet of veneer}) \times (0.0929) = 2322.5 \text{ square meters}$$

Square Meters of Veneer to Cubic Meters

Use the formula in [Figure C-1](#) to convert square meters of veneer to cubic meters.

$$(\text{Square meters of veneer}) \times (\text{Veneer thickness in meters}) = \text{Cubic meters of veneer}$$

FIGURE C-1 Formula to Convert Square Meters of Veneer to Cubic Meters



Important

Where: (square meters of Veneer) =
(length of veneer in meters) x (width of veneer in meters)

veneer thickness in meters= (veneer thickness in millimeters) /1000

This conversion formula depends on the multiplication of the number of square meters and the thickness of wood, which could be variable. In this case, have the permittee perform the conversion and provide you with a copy of the calculations.

EXAMPLE A shipment of 25,000 square meters of veneer 0.6 millimeters thick arrives at your port. Use the following calculation would convert this shipment to cubic meters:

$$(25,000 \text{ square meters of veneer}) \times \frac{(0.6) \text{ meter}}{1000} = 15 \text{ cubic meters of veneer}$$

Cubic Feet of Veneer to Cubic Meters

To convert cubic feet of veneer to cubic meters, use the formula in [Figure C-1](#).

$$(\text{cubic feet of veneer}) \times (0.02832) = \text{cubic meters of veneer}$$

FIGURE C-1 Formula to Convert Cubic Feet of Veneer to Cubic Meters



Important

Where: (cubic feet of veneer) = (length of veneer in feet) x (width of veneer in feet) x veneer thickness in feet

Veneer dimensions in feet = veneer length x width x thickness, in inches/12

This conversion formula depends on the multiplication of the number of square feet and the thickness of wood, which could be variable. In this case, have the permittee perform the conversion and provide you with a copy of the calculations.

EXAMPLE

A shipment of 25,000 square feet of veneer 1/16 of an inch thick arrives at your port. Use the following calculation to convert this shipment to cubic meters:

$$(25,000 \text{ square feet of veneer}) \times (1/16)/12 = 130.21 \text{ cubic feet} \times 0.2832 = 3.687 \text{ cubic meters}$$



Appendix D

CITES Documents

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Introduction

This appendix provides an example of a standard CITES permit and examples of USFWS-issued CITES certificates. These examples are intended to familiarize the CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist with CITES documents they will encounter.

FWS Form 3-201A CITES Other Certificate (Pre-Convention)

FORM 3-201A (1/97)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)		Page 1 of 1	
3. Permittee (name and address, country)				4. Consignee (name and address, country)			
5. Special Conditions MUST COMPLY WITH ATTACHED GENERAL CONDITIONS FOR PLANTS. MUST EXPORT THROUGH A USDA OR CUSTOMS AND BORDER PROTECTION DESIGNATED PORT. PERMIT MUST BE VALIDATED BY THE USDA OR CUSTOMS AND BORDER PROTECTION PRIOR TO EXPORT. MUST MEET JAPANESE IMPORT REQUIREMENTS.				5a. Purpose of Transaction T		5b. Security No. 027972	
For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.				6. U.S. Management Authority DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA 02/23/2004 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)			
Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name BRAZILIAN ROSEWOOD Scientific Name DALBERGIA NIGRA		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) 9. PRE-CONVENTION: GUITARS WITH BRAZILIAN ROSEWOOD FINGERBOARDS; 1965 FENDER ELECTRIC, STRATOCASTER, SERIAL # 137897; 1964 FENDER ELECTRIC, STRATOCASTER, SERIAL # L35936.		10. Appendix No. and Source 10. 1 W 11. Quantity (including units) 2 NO 11a. Total Exported/Quota			
12. Country of Origin UNKNOWN		Permit/Certificate No.		Date of Issue		12b. Breeding Operation No.	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition 1964, 1965	
B. Common Name		9.		10.		11. Quantity (including units)	
Scientific Name						11a. Total Exported/Quota	
12. Country of Origin		Permit/Certificate No.		Date of Issue		12b. Breeding Operation No.	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition	
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number MOLU-1675436-03 Port of Exportation / Re-exportation JAMAICA, NEW YORK Total No. of Shipping Containers 2 CONTAINERS		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. RELEASED JFKIA--JAMAICA, NY USDA, APHIS, PPO Inspecting Official's Stamp, Signature and Date MAR 6 2004			
See Block 7 Quantity A 2 (two) B		027972					

FIGURE D-1 Example of FWS CITES Other Certificate (Pre-Convention) (printed on security paper)

FWS Cover Letter to CITES Re-export Certificate Permittee



United States Department of the Interior

FISH AND WILDLIFE SERVICE
Washington, D.C. 20240

Dear Bingleaf Mahogany re-export permittee:

Enclosed is your U.S. CITES re-export certificate. **Please be sure to read the permit conditions and use the re-export certificate correctly, as follows:**

- Make a copy of the U.S. re-export certificate.
 - On the U.S. re-export certificate copy, complete:
 - Block 4: Write in the name and address of the Consignee on the copy.
 - Block 5: Write the shipment number. Each shipment must have a unique number in this blank.**
 - Block 11: Write in the quantity (must be in cubic meters) being re-exported.
 - Block 12: Write in the name of the Country from whom you imported the lumber (ex. Bolivia, Peru, etc.); write in the Country of origin CITES permit or certificate number and the date the country of origin permit or certificate was issued. This must be the CITES permit or certificate that the lumber was imported under.
- Note:** List only one Country of origin CITES document on each copy of the U.S. re-export certificate. You can have multiple re-export certificates validated for a shipment. You must list the exact Country of Origin CITES document under which material was imported on the re-export certificate.
- Attach a copy of the Country of origin CITES permit or certificate of origin to the U.S. CITES re-export certificate. Please note the country of origin CITES document should have been stamped USDA/APHIS/PPQ "Inspected and Released". If you are concerned about the Consignee seeing the name of your supplier on the attached Country of origin CITES document you may redact (black out) their name and address on the copy.
 - Make an additional copy of the completed U.S. re-export certificate, with the attached country of origin CITES document, that will be mailed to our office by the USDA/APHIS/PPQ Inspecting official. You may also want to make a copy for your records.
 - Have the U.S. re-export certificate copies validated by a USDA/APHIS/PPQ Inspecting official: one to accompany the shipment and one to be mailed to our office.
 - Your U.S. re-export is only valid for a 6 month period (see block 2 for the expiration date of your certificate). Your re-export certificate must be valid for you to re-export bingleaf mahogany lumber. A renewal application may be obtained from <http://forms.fws.gov>, form 3-200-52. Please allow 30 days for the processing of the renewal.

If you have questions, contact Amy Brisendine, at the Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, Virginia 22203, (703-358-2441).


FIGURE D-1 Example of FWS Re-export Certificate Cover Letter to Permittee

FWS Form 3-201A, CITES Re-export Certificate

FORM 3-201A (1/97)  CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<input type="checkbox"/> EXPORT PERMIT <input checked="" type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATE (see block 9)		Page 1 of 1 1. Original Permit/Certificate No. 04US812188/9 2. Valid until 08/22/2004	
3. Permittee (name and address, country)			4. Consignee (name and address, country)		
5. Special Conditions • MUST COMPLY WITH ATTACHED GENERAL PERMIT CONDITIONS FOR PLANTS. • MUST EXPORT THROUGH A USDA DESIGNATED PORT. • CERTIFICATE MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL. • PERMITTEE MUST: A. ON CERTIFICATE COPY, COMPLETE BLOCKS 4, 11 (QUANTITY), AND 12 (COUNTRY OF ORIGIN, PERMIT#, DATE OF ISSUE) B. ATTACH A COPY OF THE CITES DOCUMENT USED TO IMPORT WOOD INTO THE U.S.; C. LIST SHIPMENT # _____; AND D. HAVE COMPLETED COPY OF U.S. RE-EXPORT CERTIFICATE VALIDATED BY THE USDA PRIOR TO EACH SHIPMENT. • QUANTITY IN BLOCK 11 MUST BE REPORTED IN CUBIC METERS (M3). THIS AMENDS AND REPLACES 03US812188/9 ISSUED 9/26/03. <i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i>			5a. Purpose of Transaction T 5b. Security No. US9267M		
6. U.S. Management Authority DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA 02/23/2004 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)					
Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name HOLYWOOD LIGNUM VITAE Scientific Name GUAIAACUM SANCTUM		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) 9. RE-EXPORT: DIMENSION LUMBER.		10. Appendix No. and Source 10. 2 W 11. Quantity (including units) 51 M3 11a. Total Exported/Quota	
12. Country of Origin MEXICO	Permit/Certificate No. A04675	Date of Issue 01/15/2004	12b. Breeding Operation No.		
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition		
B. Common Name BIGLEAF MAHOGANY Scientific Name SWIETENIA MACROPHYLLA		9. RE-EXPORT: DIMENSION LUMBER.		10. 2 W 11. Quantity (including units) 1.6 M3 11a. Total Exported/Quota	
12. Country of Origin PERU	Permit/Certificate No. 06432	Date of Issue 01/27/2004	12b. Breeding Operation No.		
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition		
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number 47632157-0 Port of Exportation / Re-exportation JAMAICA, New York Total No. of Shipping Containers (1) ONE		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. RELEASED JFKIA--JAMAICA USDA APHIS PRO Inspecting Official's Stamp, Signature and Date Paulo 1/22 APR 14 2004	

FIGURE D-1 Example of USFWS Form 3-201A, CITES Re-export Certificate (with Special Conditions)

FWS CITES Special Permit Condition



U.S. DEPARTMENT OF THE INTERIOR
FISH AND WILDLIFE SERVICE
WASHINGTON, D.C. 20240

ADDRESS ONLY THE DIRECTOR
FISH AND WILDLIFE SERVICE

United States Department of the Interior

FISH AND WILDLIFE SERVICE
Washington, D.C. 20240

PRT-032756

SPECIAL PERMIT CONDITION

BRAVO International Hardwoods

1. Permittee must attach copies of the Country of origin CITES permit or certificate, under which the lumber was imported, to the copy of U.S. CITES re-export certificate. The copies of the Country of origin CITES document should have the USDA-APHIS-PPQ Inspected & Released stamp. To protect proprietary business information, the permittee may redact the supplier's name and address on the Country of origin document copy which is attached to the U.S. re-export certificate accompanying the shipment.
2. A copy of the Country of origin CITES document, with the USDA-APHIS-PPQ Inspected & Released stamp, must also be attached to the copy of the U.S. re-export certificate that is mailed to the Division of Management Authority by the inspecting official.
3. List only one Country of origin CITES document on each copy of the U. S. re-export certificate and attach the corresponding copy of the Country of origin CITES document.
4. On the U.S. re-export certificate copy, complete:
Block 4: Write in the name and address of the Consignee on the copy.
Block 5: Write the shipment number. Each shipment must have a unique number in this blank.
Block 11: Write in the quantity (must be in cubic meters) being re-exported.
Blocks 12: Write in the name of the Country from whom you imported the lumber (ex. Bolivia, Brazil, etc.); write in the Country of origin CITES permit or certificate number and the date the country of origin permit or certificate was issued. This must be the CITES permit or certificate that the lumber was imported under.

DATE

BRANCH OF PERMITS
U.S. MANAGEMENT AUTHORITY

FIGURE D-1 Example of FWS CITES Special Permit Condition

Information That Should Be Included in CITES Permits and Certificates

Information that should be included in CITES permits and certificates is listed in **Figure D-1**. See **Conference Resolution 12.3 (Rev. CoP 15), Permits and Certificates** on page B-4 for more information.

Annex 1

Information that should be included in CITES permits and certificates

- a) The full name and the logo of the Convention
 - b) The complete name and address of the Management Authority issuing the permit
 - c) A unique control number
 - d) The complete names and addresses of the exporter and importer
 - e) The scientific name of the species to which the specimens belong (or the subspecies when it is relevant in order to determine in which Appendix the taxon concerned is included) in accordance with the adopted standard nomenclature
 - f) The description of the specimens, in one of the Convention's three working languages, using the nomenclature of specimens distributed by the Secretariat
 - g) The numbers of the marks appearing on the specimens if they are marked or if a Resolution of the Conference of the Parties prescribes marking (specimens from ranches, subject to quotas approved by the Conference of the Parties, originating from operations which breed animals included in Appendix I in captivity for commercial purposes, etc.) or, in the case of marking with microchip transponders, the microchip codes, the name of the transponder manufacturer, and, where possible, the location of the microchip in the specimen
 - h) The Appendix in which the species or subspecies or population is listed. NB: This does not change even if the specimen concerned is deemed to be included in a different Appendix. For example, although specimens of Appendix-I species bred in captivity for commercial purposes are deemed to be specimens of species included in Appendix II, the species remains listed in Appendix I, and this should be specified on the permit or certificate.
 - i) The source of the specimens
 - j) The quantity of specimens and, if appropriate, the unit of measure used
 - k) The date of issue and the date of expiry
 - l) The name of the signatory and his/her handwritten signature for paper permits and certificates or its electronic equivalent for electronic permits and certificates
 - m) The embossed seal or ink stamp of the Management Authority or its electronic equivalent
 - n) A statement that the permit, if it covers live animals, is only valid if the transport conditions comply with the *IATA Live Animals Regulations* or, if it covers plants, with the *IATA Perishable Cargo Regulations*
 - o) The registration number of the operation, attributed by the Secretariat, when the permit involves specimens of a species included in Appendix I that originate from an operation practising breeding in captivity or artificial propagation for commercial purposes (Article VII, paragraph 4), and the name of the operation when it is not the exporter
 - p) The actual quantity of specimens exported, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of the exportation
- To be included in certificates of origin only**
- q) A statement that the specimens originate in the country that issued the certificate.


FIGURE D-1 Information That Should be Included in CITES Permits and Certificates (Annex 1 to Conference Resolution 12.3 (Rev. CoP15))

Standard CITES Form

The location of blocks in the Standard CITES form may be in different locations depending on the country issuing the form.

Annex 2

Standard CITES form

 CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		PERMIT/CERTIFICATE No. <input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:		Original	
				2. Valid until	
3. Importer (name and address)		4. Exporter/re-exporter (name, address and country)			
3a. Country of import		Signature of the applicant			
5. Special conditions		6. Name, address, national seal/stamp and country of Management Authority			
If for live animals, this permit or certificate is valid only if the transport conditions comply with the IATA Live Animals Regulations; if for live plants, with the IATA Perishable Cargo Regulations					
5a. Purpose of the transaction (see reverse)		5b. Security stamp no.			
7./8. Scientific name (genus and species) and common name of animal or plant		9. Description of specimens, including identifying marks or numbers (age/sex if live)		10. Appendix no. and source (see reverse)	
				11. Quantity (including unit)	
				11a. Total exported/Quota	
A	7./8.	9.	10.	11.	11a.
	12. Country of origin * Permit no. Date	12a. Country of last re-export Certificate no. Date	12b. No. of the operation ** or date of acquisition ***		
B	7./8.	9.	10.	11.	11a.
	12. Country of origin * Permit no. Date	12a. Country of last re-export Certificate no. Date	12b. No. of the operation ** or date of acquisition ***		
C	7./8.	9.	10.	11.	11a.
	12. Country of origin * Permit no. Date	12a. Country of last re-export Certificate no. Date	12b. No. of the operation ** or date of acquisition ***		
D	7./8.	9.	10.	11.	11a.
	12. Country of origin * Permit no. Date	12a. Country of last re-export Certificate no. Date	12b. No. of the operation ** or date of acquisition ***		
* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export) Only for specimens of Appendix I species bred in captivity or artificially propagated for commercial purposes *** For pre-Convention specimens					
13. This permit/certificate is issued by:					
Place		Date		Security stamp, signature and official seal	
14. Export endorsement:		15. Bill of Lading/Air waybill number:			
Block	Quantity				
A					
B					
C					
D					
Port of export		Date		Signature	
				Official stamp and title	

CITES PERMIT/CERTIFICATE No.

FIGURE D-1 Example of Standard CITES Form (front) (Annex 2, Conference Resolution 12.3 (Rev. CoP15))

Instructions and explanations

(These correspond to block numbers on the form)


1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.
2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).
3. **Complete** name and address of the importer.
- 3a. The name of the country must be written in full.
4. **Complete** name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.
5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.
- 5a. The following codes should be used: **T** for commercial, **Z** for zoo, **G** for botanical garden, **Q** for circus or travelling exhibition, **S** for scientific, **H** for hunting trophy, **P** for personal, **M** for medical, **E** for education, **N** for reintroduction or introduction into the wild, **B** for breeding in captivity or artificial propagation and **L** for law enforcement / judicial / forensic.
- 5b. Indicate the number of the security stamp affixed in block 13.
6. The name, address and country of the issuing Management Authority should already be printed on the form.
- 7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.
9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.
10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed.
Use the following codes to indicate the source:
 - W** Specimens taken from the wild
 - R** Ranches specimens: specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood.
 - D** Appendix-I animals bred in captivity for commercial purposes in operations included in the Secretariat's Register, in accordance with Resolution Conf. 12.10 (Rev. CoP15), and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention
 - A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP15), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)
 - C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5
 - F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof
 - U** Source unknown (**must be justified**)
 - I** Confiscated or seized specimens
 - O** Pre-Convention specimens (may be used with other source codes).
11. The quantity and units indicated should conform to the most recent version of the *Guidelines for the preparation and submission of CITES annual reports*.
- 11a. Indicate the total number of specimens exported in the current calendar year (1 January to 31 December) (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.
12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated, except in the case of plant specimens that cease to qualify for an exemption from the provisions of CITES. In such instances, the country of origin is deemed to be the country in which the specimens ceased to qualify for the exemption. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-exports;
- 12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.
- 12b. The "No. of the operation" is the number of the registered captive-breeding or artificial propagation operation. The "date of acquisition" is defined in Resolution Conf. 13.6 and is required only for pre-Convention specimens.
13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.
14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.
15. Enter the number of the bill of lading or air way-bill if the method of transport used requires the use of such a document.

The document must be written in one of the three working languages of the Convention (English, Spanish or French) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document unless it is clearly indicated which specimens are being exported and which re-exported.

AFTER USE THIS DOCUMENT MUST BE RETURNED TO A MANAGEMENT AUTHORITY OF THE IMPORTING COUNTRY.

FIGURE D-1 Example of Standard CITES Form (back) (Conf. Resolution 12.3 Rev. CoP15)

CITES Traveling Exhibition Certificate

 CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		TRAVELLING-EXHIBITION CERTIFICATE	
		Original	
1. Certificate no.		2. Valid until	
3. Owner of specimen(s) (name, permanent address and country of registration)		4. Name, address, national seal/stamp and country of issuing Management Authority	
Signature of owner _____			
5. Special conditions: a) Valid for multiple cross-border movements. Owner to retain original form b) The specimen/s covered by this certificate may not be sold or otherwise transferred in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen/s dies/die, is/are stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority c) This certificate is not valid unless accompanied by a continuation sheet If for live animals, this certificate is valid only if the transport conditions comply with the <i>IATA Live Animals Regulations</i> , if for live plants, with the <i>IATA Perishable Cargo Regulations</i>			
6. Country of import Various	7. Purpose of the transaction Q	8. Security stamp no.	
9. Scientific name (genus and species) and common name of species	10. Description of specimen/s, including identifying marks or numbers, age, sex	11. Quantity	
		12. Appendix no. and source	
13. Country of origin	14. Permit no. and date	15. Exhibition registration number	16. Date of acquisition, if pre-Convention
17. This certificate is issued by:			
Place	Date	Security stamp, signature and official seal	
18. Additional conditions			
19. Customs endorsement (see Continuation sheet)			

TRAVELLING-EXHIBITION CERTIFICATE No.

FIGURE D-1 Example of a CITES Traveling-Exhibition Certificate (CoP15)

Instructions and explanations

(These correspond to the block numbers on the form)

1. A unique number should be generated by the issuing Management Authority for the certificate.
2. The date of expiry of the document may not be more than three years after the date of issuance.
3. Complete the full name, permanent address and country of the owner of the specimen covered by the certificate. Absence of the signature of the owner renders the certificate invalid.
4. The name, address and country of the issuing Management Authority should already be pre-printed on the form.
5. This block has been pre-printed to indicate the validity of the certificate for multiple cross-border movements of the specimen/s with its/their exhibition for exhibition purposes only and to clarify that the certificate is not to be collected but is to remain with the specimen/owner. This block also can be used to justify the omission of certain information.
6. This block has been pre-printed to indicate that cross-border movement is permitted to any country accepting this certificate as a matter of national law.
7. This block has been pre-printed with the code Q for circuses and travelling exhibitions.
8. Indicate the number of the security stamp affixed in block 17.
9. Indicate the scientific name (genus and species, where appropriate subspecies) of the species as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name as known in the country issuing the certificate.
10. Describe, as precisely as possible, the specimen/s covered by the certificate, including identifying marks (tags, rings, unique markings, etc.) sufficient to permit the authorities of the Party into which the exhibition enters to verify that the certificate corresponds to the specimen/s covered. The sex and age, at the time of the issuance of the certificate, should be recorded, where possible.
11. Indicate the total number of specimens. In the case of live animals it should normally be one. If more than one specimen, state "see attached inventory".
12. Enter the number of the Appendix of the Convention (I, II, or III) in which the species is listed. Use the codes below to indicate the source. This certificate may not be used for specimens with source code **W**, **R**, **F** or **U** unless they are pre-Convention specimens and the code **O** is also used.
 - W** Specimens taken from the wild
 - R** Ranches specimens: specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood.
 - A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP15), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)
 - C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.) and exported under the provisions of Article VII, paragraph 5
 - F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of "bred in captivity" in Resolution Conf. 10.16 (Rev.)
 - U** Source unknown (must be justified)
 - O** Pre-Convention specimens (may be used in conjunction with any other code).
13. The country of origin is the country in which the specimens were taken from the wild or bred in captivity.
14. Indicate the number of the export permit of the country of origin and the date of issuance. If all or part of that information is not known, this should be justified in block 18.
15. This block must contain the exhibition registration number.
16. Enter the date of acquisition only for pre-Convention specimens.
17. To be completed by the official who issues the certificate. A certificate may only be issued by the Management Authority of the country where an exhibition is based and only when the owner of the exhibition has registered full details of the specimen with that Management Authority. The name of the issuing official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security stamp number should be clearly legible.
18. This block may be used to refer to national legislation or additional special conditions placed on the cross-border movement by the issuing Management Authority.
19. This block has been pre-printed to refer to the attached Continuation Sheet, which should indicate all cross-border movements.

SUBJECT TO 5 ABOVE, UPON EXPIRATION, THIS DOCUMENT MUST BE RETURNED TO THE ISSUING MANAGEMENT AUTHORITY.

FIGURE D-1 Example of a CITES Traveling-Exhibition Certificate (back) (CoP15)

CITES Traveling-Exhibition Certificate Continuation Sheet


 CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA				TRAVELLING-EXHIBITION CERTIFICATE CONTINUATION SHEET			
1. Original certificate no.				Page _____ of _____			
8. Security stamp no.				4. Name, address, national seal/stamp and country of Management Authority			
17. This certificate is issued by:							
Place		Date		Security stamp, signature and official seal			
Port of export or re-export		Date		Signature		Official stamp	
Port of export or re-export		Date		Signature		Official stamp	
Port of export or re-export		Date		Signature		Official stamp	
Port of export or re-export		Date		Signature		Official stamp	
Port of export or re-export		Date		Signature		Official stamp	
Port of export or re-export		Date		Signature		Official stamp	

FIGURE D-1 Example of a CITES Traveling-Exhibition Certificate Continuation Sheet (CoP15)

Appendix E

Harmonized System of the World Customs Organization

Contents

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Harmonized System of World Customs Organization (HS) Codes [page E-1](#)

Introduction

This appendix contains the Harmonized System of the World Customs Organization (HS) codes describing and coding goods in trade.

Harmonized System of World Customs Organization (HS) Codes

The following Harmonized System of World Customs Organization (HS) codes are referred to in the *CITES I-II-III Timber Species Manual*.

HS Code 44.03

Wood in the rough, whether or **not** stripped of bark or sapwood, or roughly squared.

HS Code 44.06

Railway or tramway sleepers of wood.

HS Code 44.07

Wood sawn or chipped lengthwise, sliced or peeled, whether or **not** planed, sanded or finger-jointed, of a thickness exceeding 6 mm.

HS Code 44.08

Veneer sheets and sheets for plywood (whether or **not** spliced) and other wood sawn lengthwise, sliced or peeled, whether or **not** planed, sanded or finger-jointed, of a thickness **not** exceeding 6 mm.

HS Code 44.12.13

Plywood consisting solely of sheets of wood, each ply **not** exceeding 6mm in thickness, and with at least one outer ply of tropical wood specified in Subheading Note¹.

HS Code 44.12.14

Plywood consisting solely of sheets of wood, each ply **not** exceeding 6 mm in thickness, and with at least one outer ply of non-coniferous wood.

HS Code 44.12.22

Other (meaning one ply or more, that is greater than 6 mm in thickness), with at least one outer ply of non-coniferous wood, and with at least one ply of tropical wood specified in Subheading Note ¹.

¹ Subheading Note 1: For the purposes of subheadings 4403.41 to 443.49, 4407.24 to 4407.29, 4408.31 to 4408.39, and 4412.13 to 4412.99, the expression "tropical wood" means one of the following types of wood: Abura, Acajou d'Afrique, Afrormosia, Ako, Alan, Andiroba, Aningre, Avodire, Azobe, Balau, Balsa, Bosse Clair, Bosse Fonce, Cativo, Cedro, Dabema, Dark Red Meranti, Dibetou, Doussie, Framire, Freijo, Fromager, Fuma, Geronggang, Ilomba, Imbuia, Ipe, Iroko, Jaboty, Jelutong, Jequitiba, Jongkong, Kapur, Kempas, Keruing, Kosipo, Kotibe, Koto, Light Red Meranti, Limba, Louro, Macaranduba, Mahogany, Makore, Mandioquiera, Mansonia, Mengkulang, Meranti Bakau, Merawan, Merbau, Merpauh, Mersawa, Moabi, Niangon, Nyatoh, Obeche, Okoume, Onzabili, Orey, Ovengkol, Ozigo, Padauk, Paldao, Palissandre de Guatemala, Palissandre de Para, Palissandre de Rio, Palissandre de Rose, Pau Amarelo, Pau Marfim, Pulai, Punah, Quaruba, Ramin, Sapelli, Saqui-Saqui, Sepetir, Sipo, Sucupira, Suren, Teak, Tauari, Tiama, Tola, Virola, White Lauan, White Meranti, White Seraya, Yellow Meranti.

F

CITES I-II-III Timber
Species Manual

Appendix F

Commodity Recognition and Wood Identification

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Introduction

The **Commodity Recognition and Wood Identification** appendix is a synopsis for wood identification of articles and commodities derived from CITES Appendix I, II, and III timber species. Wood identification is a difficult task. Become more familiar with wood by using this synopsis.

Procedures

Materials Needed

You will need the following materials to identify the wood, since the process usually **cannot** be accurately performed with the naked eye:

- 14X power hand lens
- Sharp knife (pen knife or utility knife)
- Single-edge razor blade

Identification

If you suspect the commodity or article is something **other than** invoiced, then attempt to verify the article. If you are having difficulty with the identification, then contact a PPQ Botanist¹ (CBP contact a PPQ Botanist through proper channels) for assistance.

Follow each step below to identify the wood:

1. Use a sharp knife or razor blade to slice the end or cross grain (transverse section) of a piece of lumber.
2. Examine the sliced wood with a hand lens.
3. Check to see if the wood sample has vessels (pores).
4. Compare what you view through the lens with the specific CITES Appendix I, Appendix II, or Appendix III protected timber species examples on the following pages.
5. Verify the features of your sample with the features listed in the accompanying description for each wood species.

¹ To identify the name of the PPQ Botanist that services your port, CBP see the [Lists of PPQ Identifiers and National Specialists](#). PPQ see the *Plant Inspection Stations Manual*.

CITES Appendix I Protected Timber Species

Examples of CITES Appendix I protected timber species follow. Use the following descriptions and examples of protected CITES Appendix timber for comparison with timber or article presented for import or re-export.

***Abies guatemalensis* (Guatemalan fir)**

Abies guatemalensis (Guatemalan fir) is a softwood.

To identify the wood, check the following:

- Heartwood is light brown
- Latewood is prominent (see [Figure F-1](#) below)
- Resin canals are absent
- Wood is light in color, soft, and lightweight

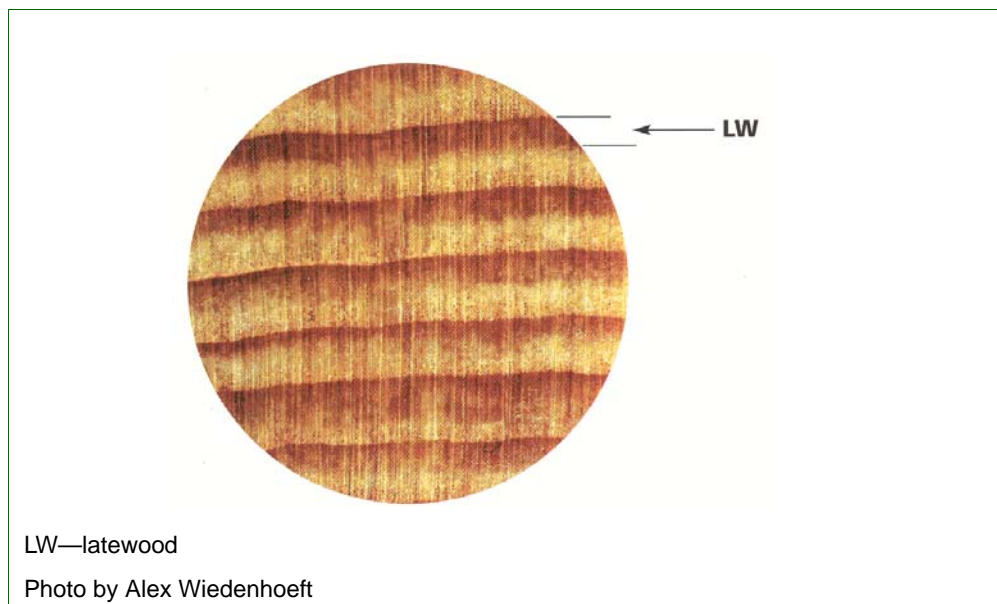


FIGURE F-1 Example of *Abies guatemalensis* (Guatemalan fir) Wood Cross Section

***Araucaria araucana* (monkey puzzle tree)**

Araucaria araucana (monkey puzzle tree) is a softwood.

To identify the wood, check the following:

- Heartwood pinkish- to light brownish-red
- Latewood is absent or barely visible
- Resin canals are absent
- Wood is soft and lightweight



FIGURE F-2 Example of *Araucaria araucana* (Monkey puzzle tree) Wood Cross Section

***Dalbergia nigra* (Brazilian rosewood)**

Dalbergia nigra (Brazilian rosewood) is a hardwood.

To identify the wood, check the following:

- Odor is pleasant, faintly sweet or spicy
- Parenchyma: aliform paratracheal parenchyma present; banded apotracheal parenchyma with prominent bands, irregularly spaced; parenchyma arrangements vary considerably
- Rays medium-storied
- Vessels large, relatively numerous
- Wood is **not** ring porous
- Wood is dark brown to black with darker streaks, hard, and heavy

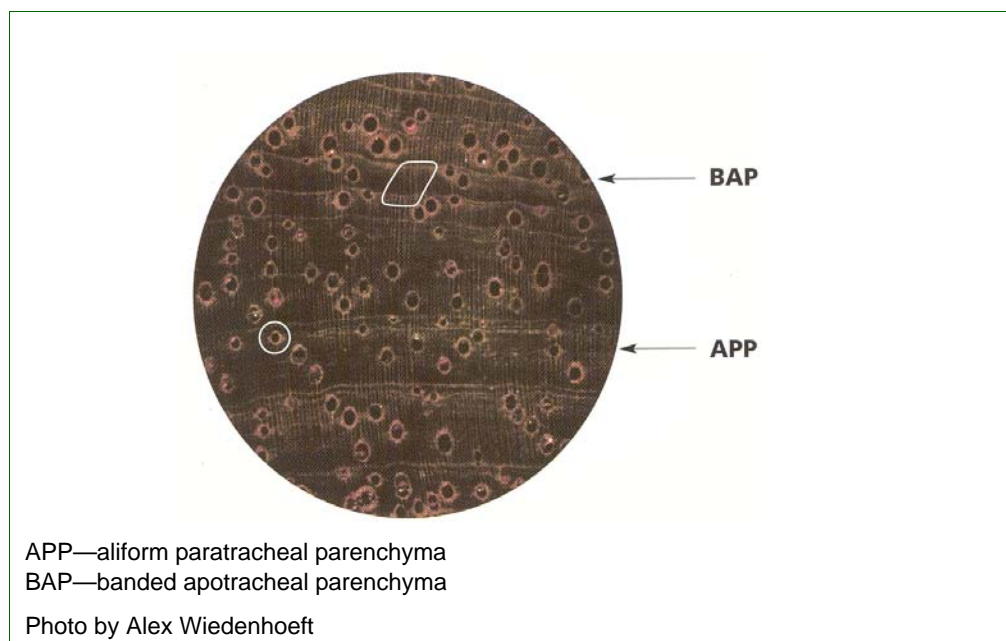


FIGURE F-3 Example of *Dalbergia nigra* (Brazilian rosewood) Wood Cross Section



Photo by Bud Petit de Manage

FIGURE F-4 *Dalbergia nigra* (Brazilian rosewood) Rough Sawn Lumber



Photo by Bud Petit de Manage

FIGURE F-5 *Dalbergia nigra* (Brazilian rosewood) Rough Sawn Lumber

***Fitzroya cupressoides* (alerce)**

Fitzroya cupressoides (alerce) is a softwood.

To identify the wood, check the following:

- Heartwood is dark red to reddish brown
- Latewood is in relatively narrow bands; transition is abrupt between earlywood and latewood (see [Figure F-6](#))
- Resin canals are absent
- Wood is moderately hard and heavy

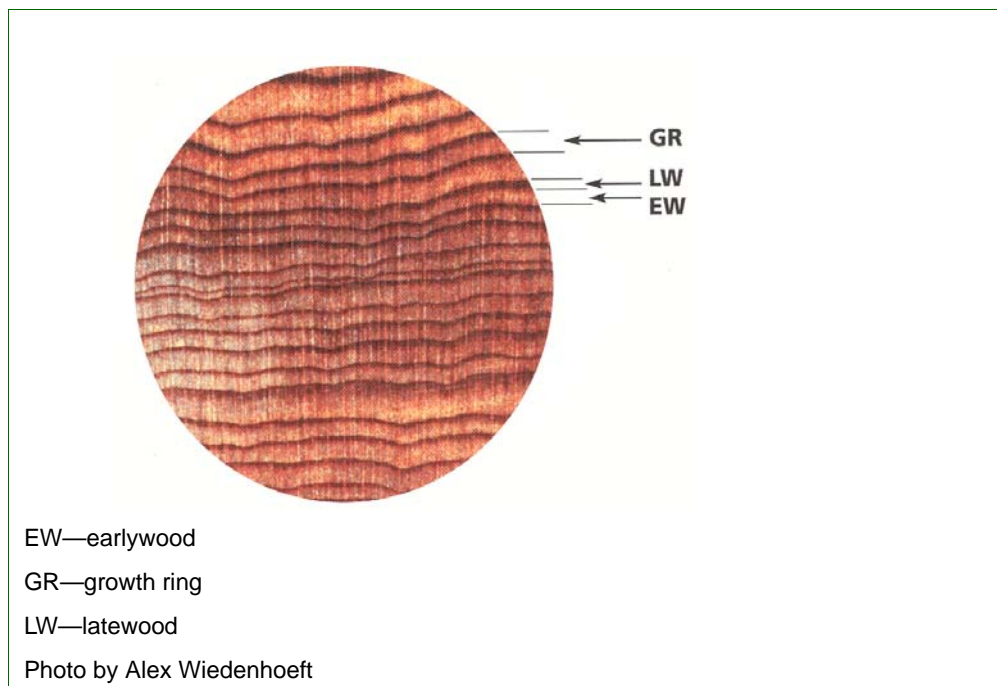


FIGURE F-6 Example of *Fitzroya cupressoides* (Alerce) Wood Cross Section

***Pilgerodendron uviferum* (pilgerodendron)**

Pilgerodendron uviferum (pilgerodendron) is a softwood. A description and an example are **not** available.

***Podocarpus parlatorei* (Parlatore's podocarp)**

Podocarpus parlatorei (Parlatore's podocarp) is a softwood.

To identify the wood, check the following:

- Heartwood is light brown or tan
- Resin canals are absent
- Wood is light in color, relatively soft and lightweight



FIGURE F-7 Example of *Podocarpus parlatorei* (Parlatore's podocarp) Wood Cross Section

CITES Appendix II Protected Timber Species

Examples of CITES Appendix II timber species follow.

***Aniba rosaeodora* (Brazilian rosewood)**

Aniba rosaeodora (Brazilian rosewood) is a hardwood. The description and an example are **not** available.

***Bulnesia sarmientoi* (gaiacwood)**

Bulnesia sarmientoi (gaiacwood) is a hardwood. The description and an example are **not** available.

***Caesalpinia echinata* (pernambuco)**

Caesalpinia echinata (pernambuco) is a hardwood. The description and an example are **not** available.

***Caryocar costaricense* (ajillo)**

Caryocar costaricense (ajillo) is a hardwood.

To identify the wood, check the following:

- Heartwood is moderately hard and heavy
- Parenchyma: banded apotracheal parenchyma in short, patchy bands
- Rays are **not** storied
- Tyloses are present
- Vessels and vessel multiples are arranged diffusely and may be clogged with bubbles
- Wood is **not** ring porous
- Wood is light tan to light brown

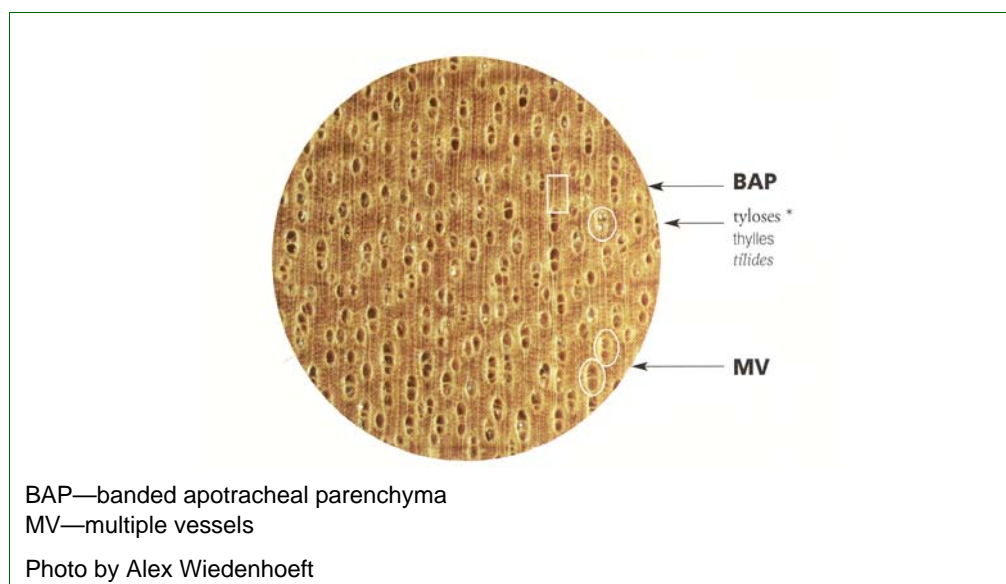


FIGURE F-8 Example of *Caryocar costaricense* (Ajillo) Wood Cross Section

***Dalbergia* spp. (Madagasy rosewoods)**

Dalbergia spp. (Madagasy rosewoods) are hardwoods. The descriptions and examples are **not** yet available.

***Dalbergia cochinchinensis*. (Thailand rosewoods)**

Dalbergia cochinchinensis (Thailand rosewoods) is a hardwood. A description and an example are **not** yet available.

***Dalbergia granadilla* (Granadilla rosewood)**

Dalbergia granadilla (Thailand rosewoods) is a hardwood. A description and an example are **not** yet available.

***Dalbergia retusa* (Nicaraguan rosewood)**

Dalbergia retusa (Nicaraguan rosewood) is a hardwood. The description and an example are **not** yet available.

***Dalbergia stevensonii* (Honduras rosewood)**

Dalbergia stevensonii (Honduras rosewood) is a hardwood. The description and an example are **not** yet available.

***Diospyros* spp. (Madagasy ebonies)**

Diospyros spp. (Madagasy ebonies) are hardwoods. The descriptions and examples are **not** yet available.

***Gonystylus* spp. (ramin)**

Gonystylus spp. (ramin) is a hardwood.

To identify the wood, check the following:

- Heartwood is whitish to pale yellow
- Parenchyma: distinct aliform parenchyma; marginal parenchyma sometimes present
- Wood is **not** ring porous
- Vessels are mostly solitary; some in radial multiples of 2 or 3
- Wood is moderately hard and heavy

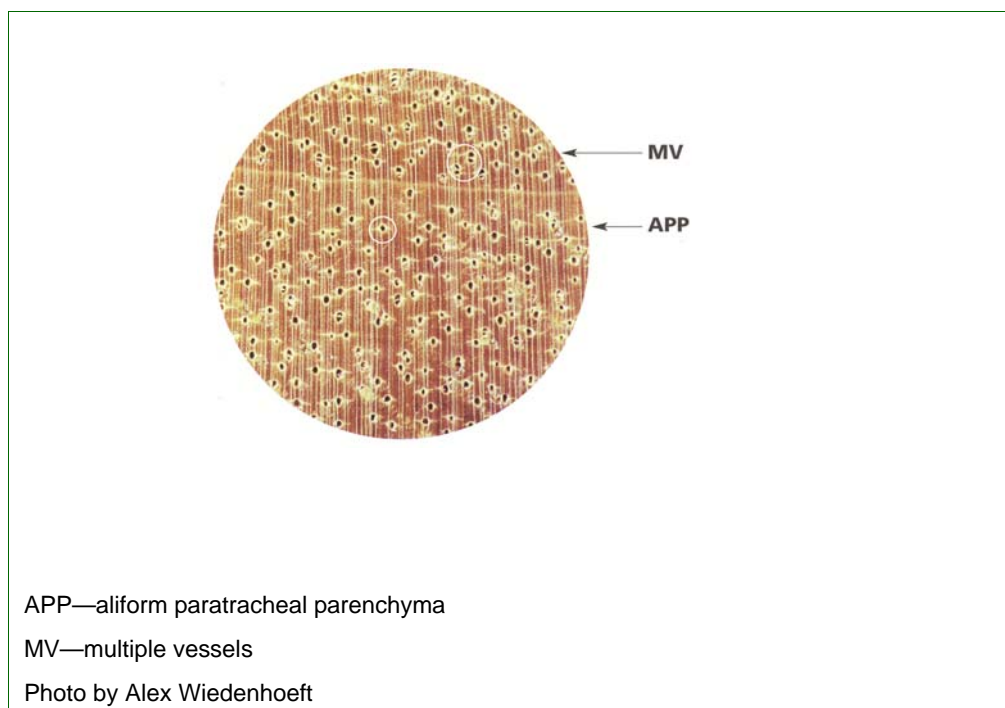


FIGURE F-9 Example of *Gonystylus* spp. (Ramin) Wood Cross Section

***Guaiaacum* spp. (lignum vitae)**

Important

Although all species of *Guaiaacum* are protected under CITES Appendix II, **only** two examples are shown in this appendix.

Guaiaacum spp. (lignum vitae) is a hardwood.

To identify the wood, check the following:

- Heartwood ranges from dark greenish to black or dark brown
- Rays are fine-storied
- Vessels are small, barely visible, and mostly solitary
- Wood is **not** ring porous
- Wood is extremely hard and heavy

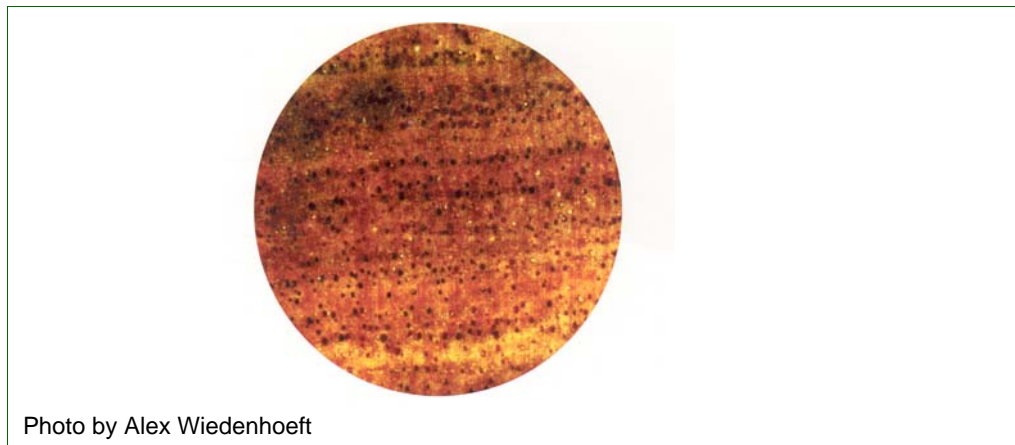


Photo by Alex Wiedenhoeft

FIGURE F-10 Example of *Guaiaacum officinale* (Commoner lignum vitae) Wood Cross Section

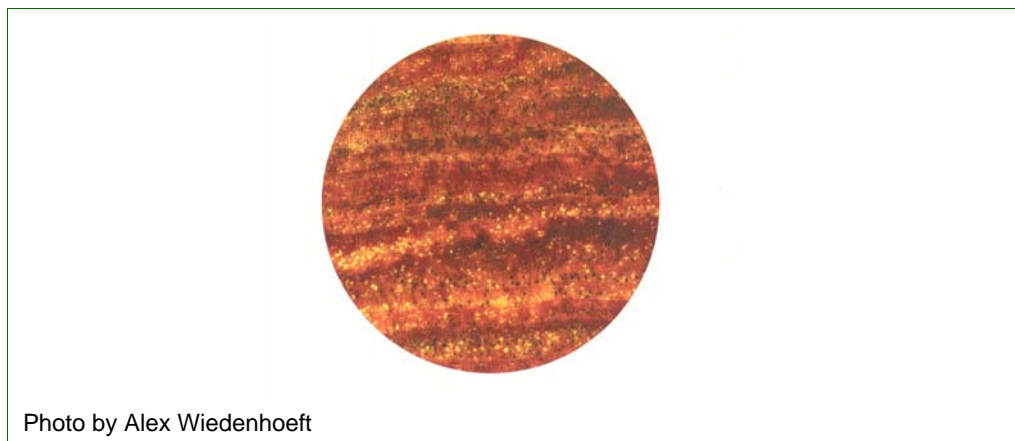


Photo by Alex Wiedenhoeft

FIGURE F-11 Example of *Guaiaacum sanctum* (Holy lignum vitae) Wood Cross Section

***Oreomunnea pterocarpa* (gavilan)**

Oreomunnea pterocarpa (gavilan) is a hardwood.

To identify the wood, check the following:

- Heartwood color is light brown
- Parenchyma: banded apotracheal parenchyma is present in long, wavy bands
- Rays are **not** storied
- Vessels mostly solitary, in radial or angled files
- Wood is **not** ring porous
- Wood is relatively soft and lightweight

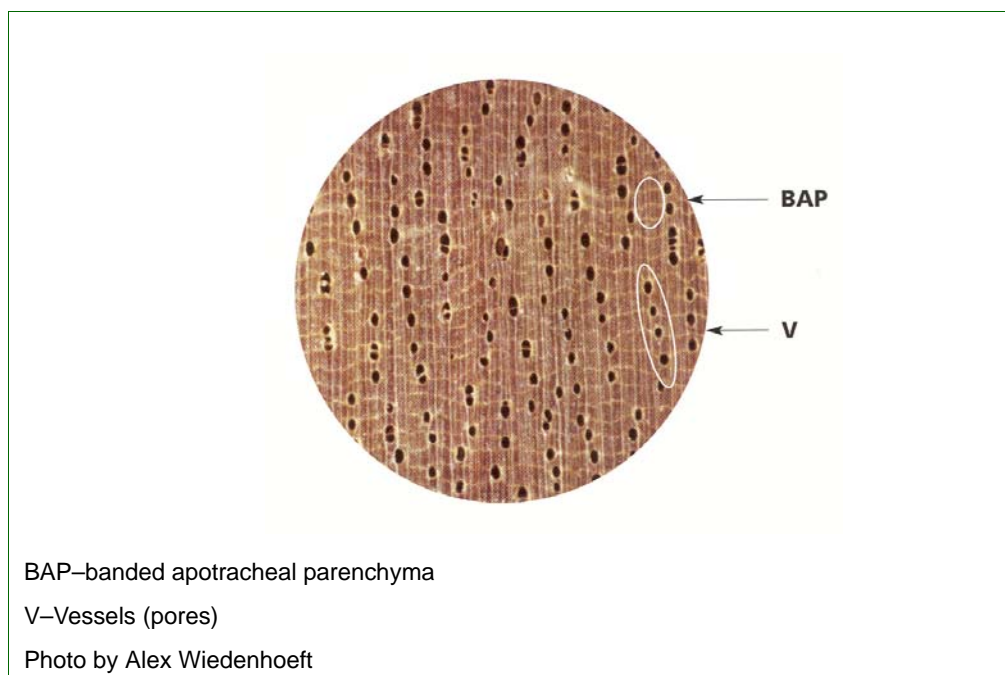


FIGURE F-12 Example of *Oreomunnea pterocarpa* (Gavilan [Walnut]) Wood Cross Section

***Osyris lanceolata* (African sandalwood)**

A description and an example are not yet available.

***Pericopsis elata* (Afrormosia)**

Pericopsis elata (Afrormosia) is a hardwood.

To identify the wood, check the following:

- Heartwood is medium to dark brown
- Parenchyma: aliform paratracheal parenchyma and confluent paratracheal parenchyma are present
- Rays are medium-storied (often hard to detect)
- Vessels are numerous (barley visible to the naked eye)
- Wood is **not** ring porous
- Wood is moderately hard and heavy

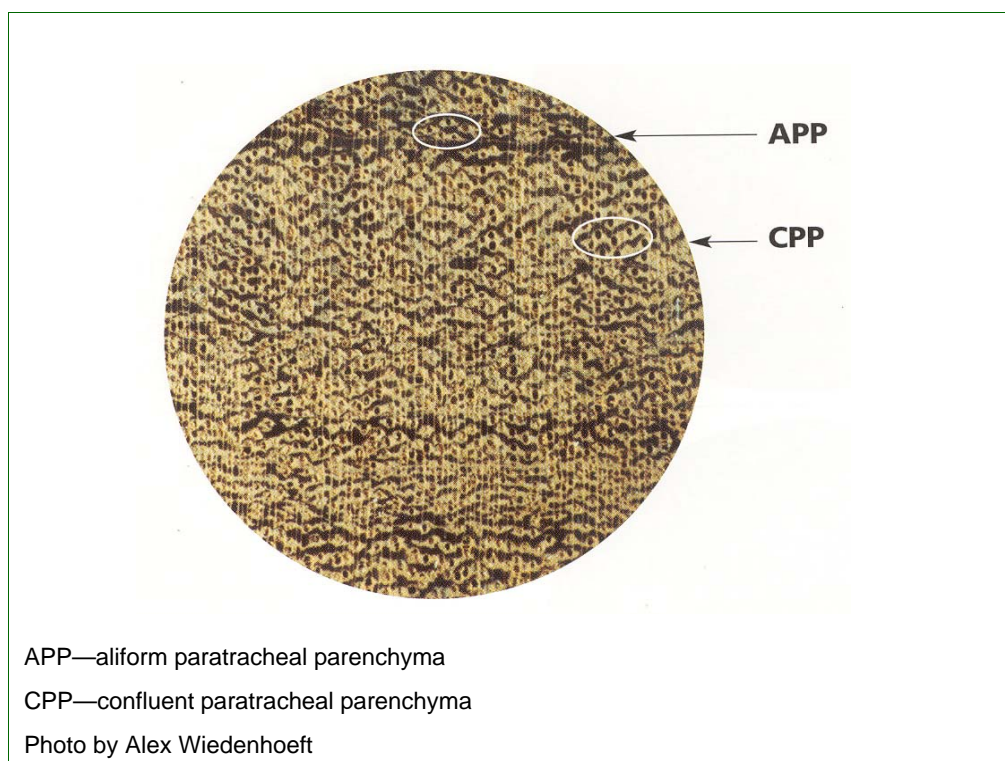


FIGURE F-13 Example of *Pericopsis elata* (Afrormosia) Wood Cross Section

***Platymiscium pleiostachyum* (cristobal, granadillo)**

Platymiscium pleiostachyum (cristobal, granadillo) is a hardwood.

To identify the wood, check the following:

- Heartwood is reddish brown, usually with a purplish cast
- Parenchyma: lozenge aliform paratracheal parenchyma are present
- Rays are storied medium
- Vessels are large and numerous (visible to the naked eye)
- Wood is **not** ring porous
- Wood is hard and heavy

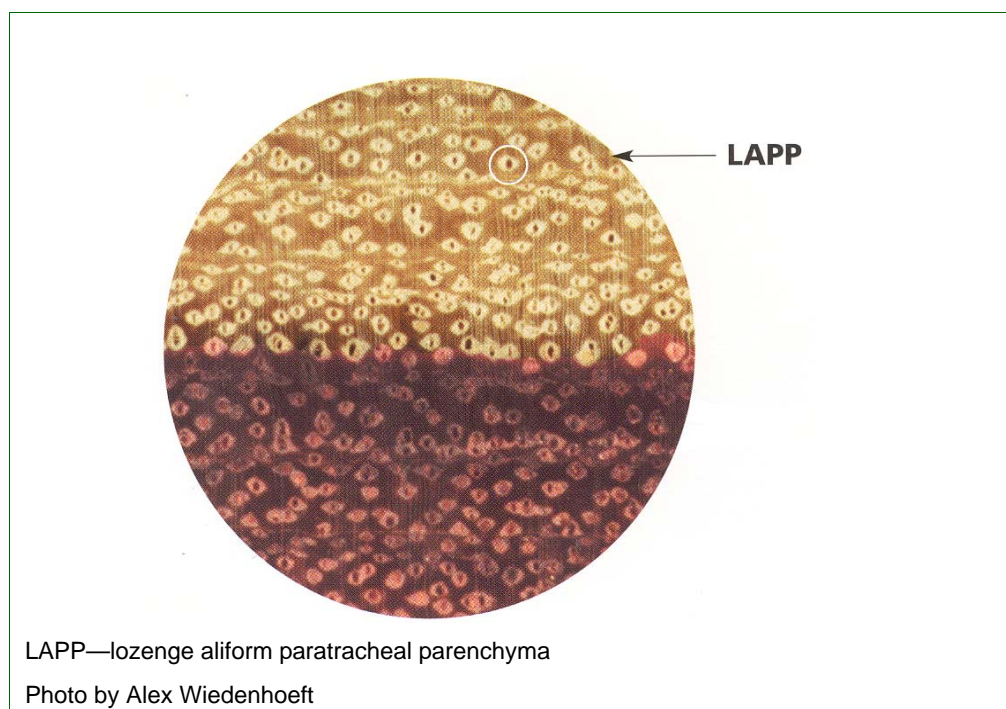


FIGURE F-14 Example of *Platymiscium pleiostachyum* (Cristobal, Granadillo)
Wood Cross Section

***Prunus africana* (African rosewood)**

A description and an example are **not** yet available.

***Pterocarpus santalinus* (red sandalwood, redsanders)**

Pterocarpus santalinus (red sandalwood, redsanders) is a hardwood.

To identify the wood, check the following:

- Heartwood is dark red to reddish brown
- Parenchyma: aliform paratracheal parenchyma and prominent banded apotracheal parenchyma are present
- Rays are medium-storied
- Vessels are large and numerous
- Wood is **not** ring porous
- Wood is very hard and heavy

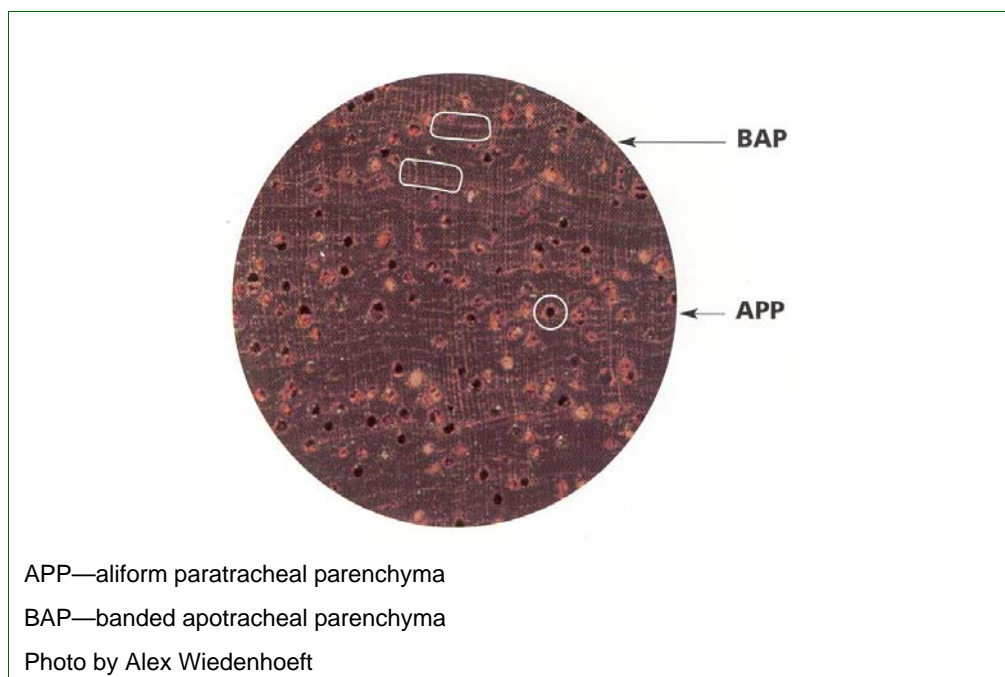


FIGURE F-15 Example of *Pterocarpus santalinus* (Red sandalwood, Redsanders) Wood Cross Section

***Senna meridionalis* (taraby)**

A description and an example are **not** yet available.

Swietenia humilis (Pacific Coast mahogany)

Swietenia humilis (Pacific Coast mahogany) is a hardwood.

To identify *Swietenia humilis*, confirm the following:

- Heartwood is reddish brown
- Parenchyma: prominent marginal parenchyma are present
- Rays are coarse-storied
- Vessels are large (easily visible with the naked eye), often in two or three radial multiples; black or red deposits are common in vessels
- Wood is **not** ring porous
- Wood is moderately hard and heavy

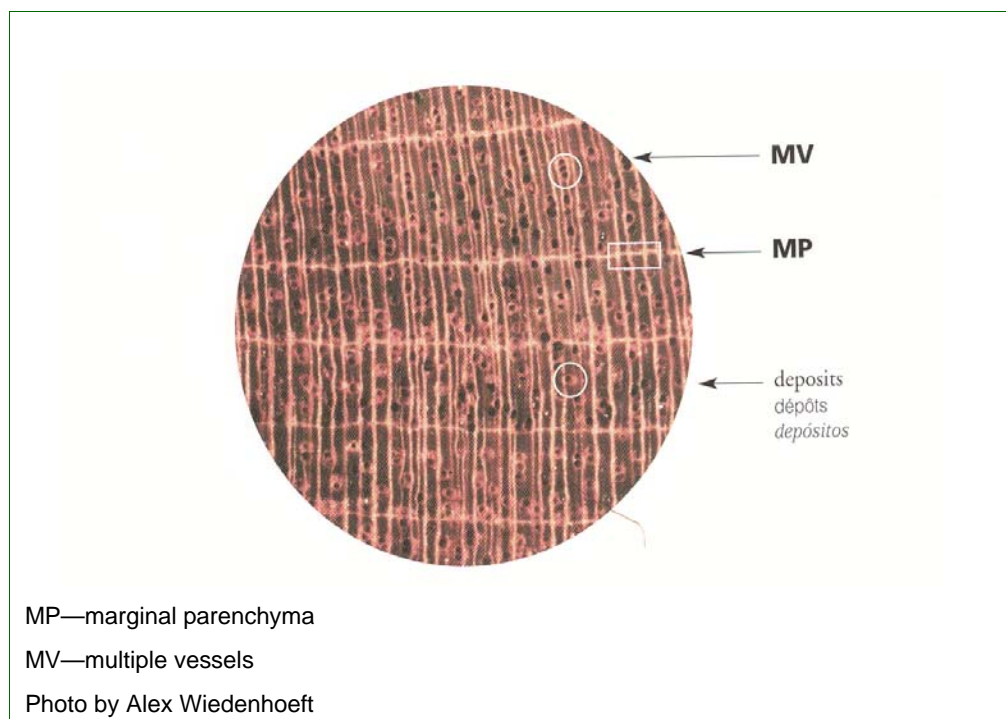


FIGURE F-16 Example of *Swietenia humilis* (Pacific Coast mahogany) Wood Cross Section

***Swietenia macrophylla* (bigleaf mahogany)**

Swietenia macrophylla (bigleaf mahogany) is a hardwood.

To identify the wood, check the following:

- Heartwood is reddish brown
- Parenchyma: prominent marginal parenchyma
- Rays are coarse-storied
- Vessels are large (easily visible with naked eye), often in multiples of 2 or 3
- Wood is moderately hard and heavy

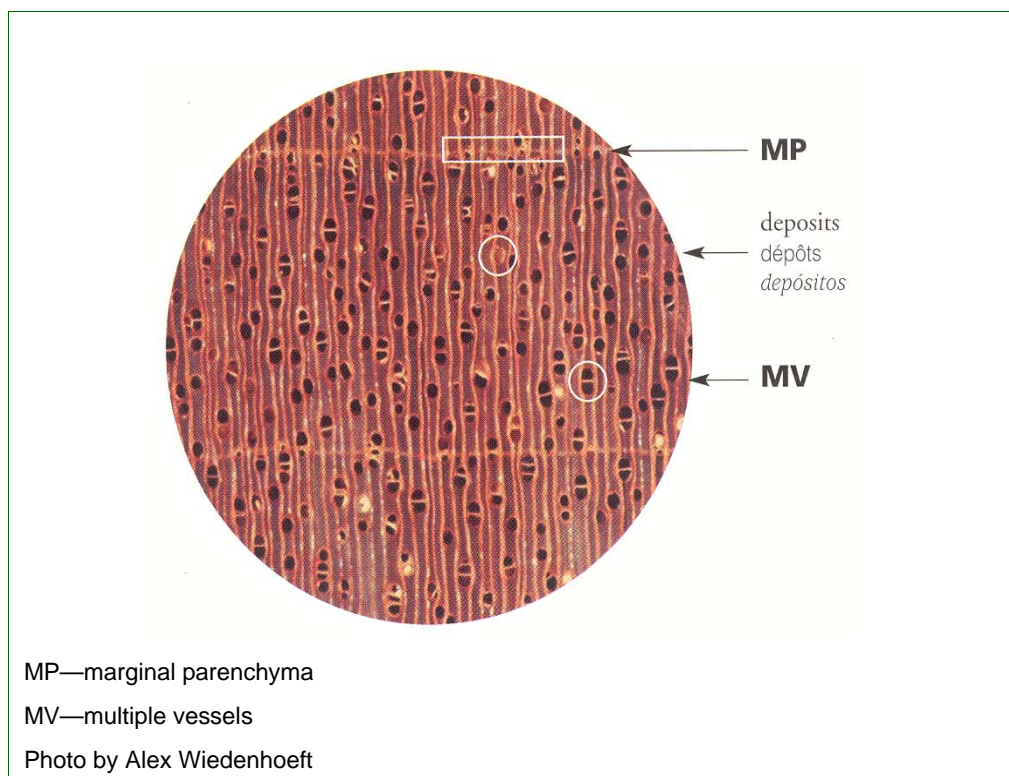


FIGURE F-17 Example of *Swietenia macrophylla* (Bigleaf mahogany) Wood Cross Section



Photo courtesy of Bud Petit de Manage

FIGURE F-18 *Swietenia macrophylla* (bigleaf mahogany) Lumber



Photo by Bud Petit de Mange

FIGURE F-19 *Swietenia macrophylla* (bigleaf mahogany) Lumber



Photo by Bud Petit de Mange

FIGURE F-20 *Swietenia macrophylla* (bigleaf mahogany) Lumber



Bigleaf Mahogany from Brazil
Seized in Norfolk, Virginia
February 2002

Photo by Bud Petit de Mange

FIGURE F-21 *Swietenia macrophylla* (bigleaf mahogany) Lumber

***Swietenia mahogani* (Caribbean mahogany)**

Swietenia mahogani (Caribbean mahogany) is a hardwood.

To identify the wood, check the following:

- Heartwood is reddish brown
- Parenchyma: prominent marginal parenchyma
- Rays are usually coarse-storied, but sometimes **not** storied
- Vessels are large (visible with the naked eye), often with radial multiples of two or three; reddish black or white deposits common
- Wood is **not** ring porous
- Wood is moderately hard and heavy

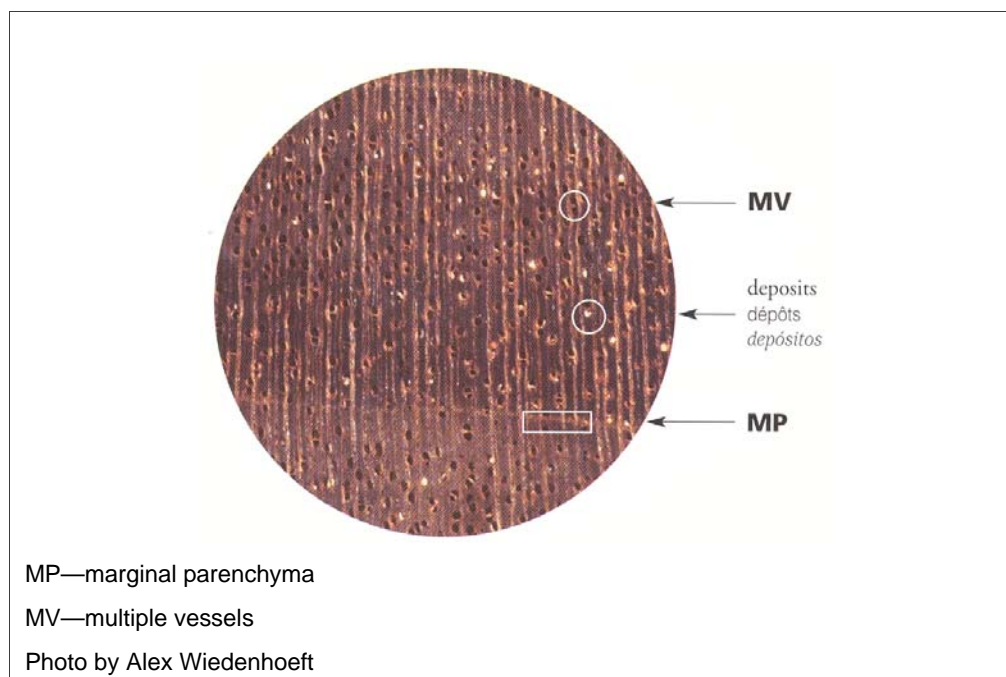


FIGURE F-22 Example of *Swietenia mahogani* (Caribbean mahogany) Wood Cross Section

CITES Appendix III Protected Timber Species

***Cedrela fissilis* (Argentine cedar)**

Cedrela fissilis (Argentine cedar) is a hardwood. A description and an example are **not** available.

***Cedrela lilloi* (cedro)**

Cedrela lilloi (cedro) is a hardwood. A description and an example are **not** available.

***Cedrela odorata* (Spanish cedar)**

Cedrela odorata (Spanish cedar) is a hardwood.

To identify the wood, check the following:

- Heartwood is pale pinkish- to reddish-brown (sometimes with a purplish tinge)
- Odor is distinctive, spicy cedar
- Parenchyma: paratracheal parenchyma forms a thin ring around the vessels; marginal parenchyma forms thick bands
- Rays are **not** storied
- Wood is ring porous
- Wood is relatively soft and moderately heavy to light

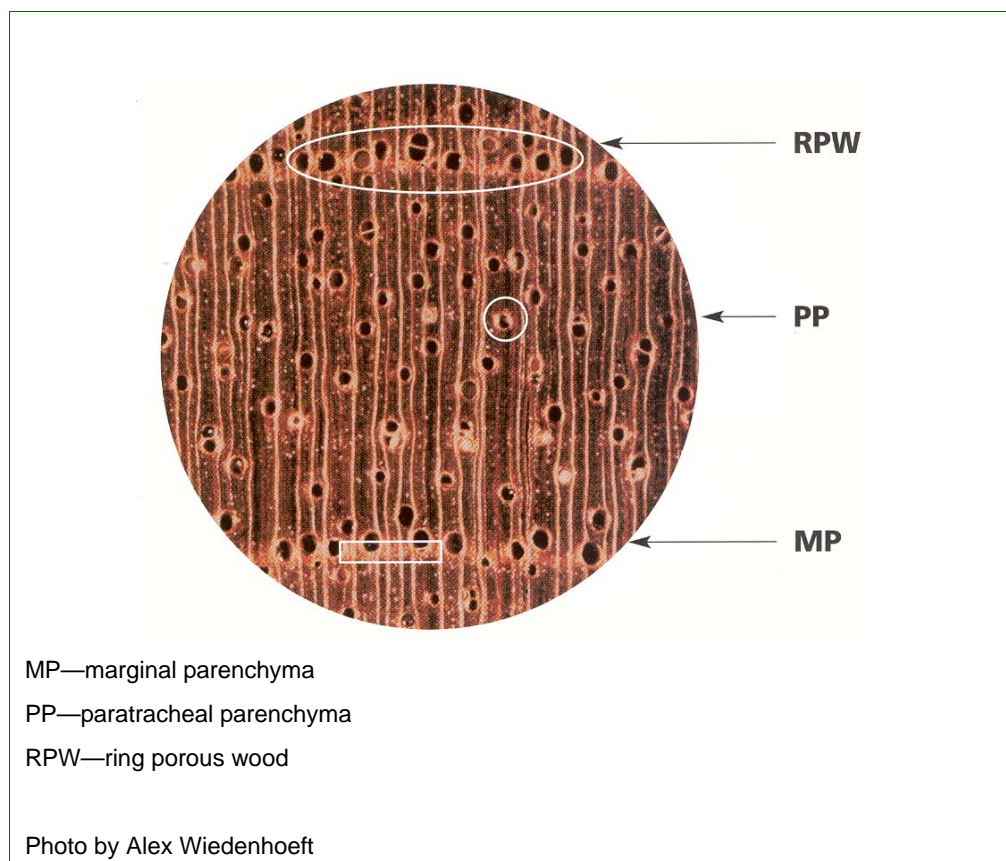


FIGURE F-23 Example of *Cedrela odorata* (Spanish cedar) Wood Cross Section

Dalbergia darienensis

Dalbergia darienensis is a hardwood. The description and an example are **not** yet available.

***Dipteryx panamensis* (tonka bean)**

Dipteryx panamensis (tonka bean) is a hardwood. The description and an example are **not** yet available.

Magnolia liliifera* var. *obovata

Magnolia liliifera var. *obovata* is a hardwood.

To identify the wood, check the following:

- Heartwood is light brown, sometimes with a greenish tinge
- Parenchyma: marginal parenchyma is present and conspicuous
- Rays are **not** storied
- Vessels are often in multiples
- Wood is **not** ring porous
- Wood is moderately hard and heavy

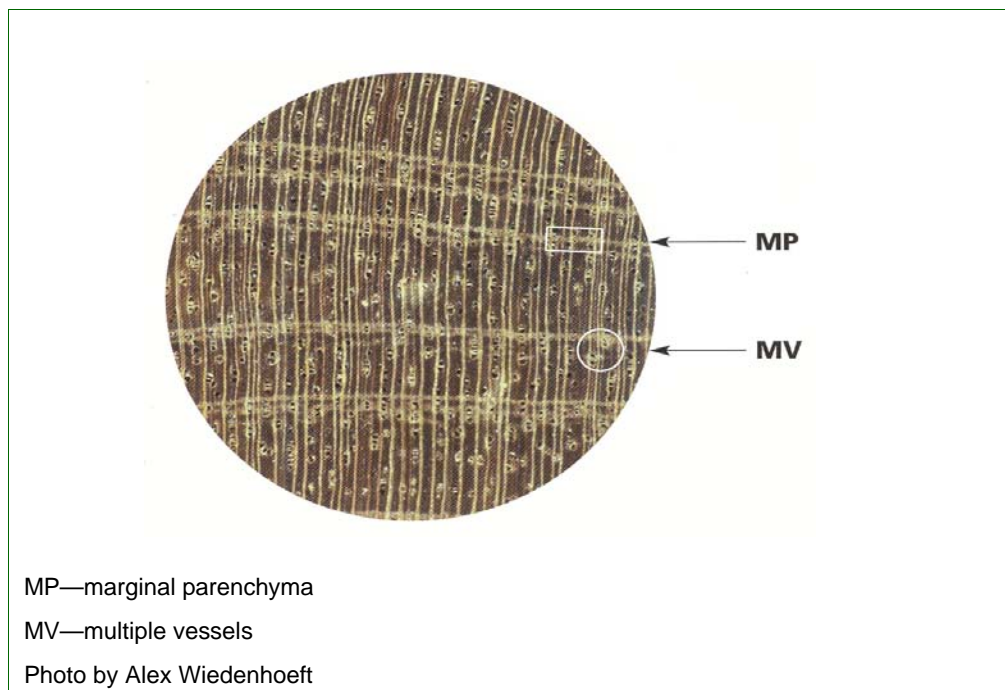


FIGURE F-24 Example of *Magnolia liliifera* var. *obovata* (Ramin) Wood Cross Section

***Pinus koraiensis* (Korean pine)**

Pinus koraiensis (Korean pine) is a softwood. The description and an example are **not** available.

***Podocarpus neriifolius* (podocarp)**

Podocarpus neriifolius (podocarp) is a softwood.

To identify the wood, check the following:

- Heartwood is light brown or tan
- Resin canals are absent
- Wood is light in color; soft, and lightweight



Photo by Alex Wiedenhoeft

FIGURE F-25 Example of *Podocarpus neriifolius* (Podocarp) Wood Cross Section

***Tetracentron sinense* (tetracentron)**

Tetracentron sinense (tetracentron) is a hardwood. The description and an example are **not** yet available.

Glossary

Definitions

aliform paratracheal parenchyma (APP). an arrangement of parenchyma cells, as seen in cross section, that are grouped around pores and form wing-like lateral extensions.

artificially propagated. timber taken from trees grown in monospecific plantations.

apotracheal parenchyma (AP). longitudinal (axial) parenchyma that is **not** associated with pores.

banded apotracheal parenchyma (AP). layer or band of parenchyma cells **not** associated with the vessels within a growth ring.

banded parenchyma. parenchyma cells that collectively appear as thin lines when viewed in cross section.

CITES Appendix I. includes species threatened with extinction. Trade in specimens of these species is permitted **only** in exceptional circumstances; commercial trade is prohibited.

CITES Appendix II. includes species **not** necessarily threatened with extinction, but in which trade **must** be controlled in order to avoid utilization incompatible with their survival.

CITES Appendix III. includes species that are protected in at least one country which has asked other CITES parties for assistance in controlling the trade of these species.

confluent paratracheal parenchyma (CPP). an arrangement of parenchyma cells that completely surrounds a vessel and extends to connect another vessel appearing as bands when viewed in cross section.

Convention (CITES). The Convention on the International Trade in Endangered Species of Wild Fauna and Flora.

Conventions. standard formats used in the manual, such as advisories, boldface, examples, etc.

country of origin. country from which the tree was cut or removed.

deposits. metabolites that accumulate in cells of wood.

earlywood (EW). first formed position of single growth ring, located on the inside portion of a growth ring. Characterized by large cells and low density.

engaged in commercial business. trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood or enterprise for gain or profit.

general permit (GP). The general permit is **no** longer issued and is **not** valid. The general permit was replaced by the *Protected Plant Permit (PPP)*.

growth ring (GR). the layer of wood added to the stem during one growth period.

hardwood. woods from broad-leaved trees in the botanical group angiosperms, characterized by having vessels. Also referred to as porous woods.

Harmonized System of the World Customs Organization (HS). an international numerical system of tariff codes.

heartwood. wood associated with the central portion of a mature tree, and **no** longer conducts sap. Infiltration of various organics impart a darker color to this wood.

latewood (LW). later formed portion of a growth ring located on the outside portion of the growth ring. Characterized by smaller cells and higher density.

logs. all wood in the rough whether or **not** stripped of bark or sapwood, or roughly squared for processing, notably into sawn wood, pulpwood, or veneer sheets.

lozenge aliform paratracheal parenchyma (LAPP). aliform paratracheal parenchyma that forms a lozenge shape.

lumber (sawn wood). wood sawn or chipped lengthwise, sliced or peeled, whether or **not** planed, sanded, or finger-jointed, of a thickness exceeding 6mm.

Management Authority. a national authority designated in accordance with CITES Article IX as competent to grant permits and certificates.

marginal parenchyma. cells of parenchyma forming a line at the beginning or end of the growth ring.

multiple vessel (MV). several vessels adjacent and in-line to one another.

Neotropics. Includes the Caribbean, Central America, Mexico, and North America.

paratracheal parenchyma (PP). parenchyma that is associated with and often surrounds the vessels.

parenchyma. thin-walled wood cells noted for storage of food reserves appearing light-colored when grouped together, or in continuous bands when viewed in cross section.

Party. a State for which the present Convention has entered into force.

phloem. tissue of the inner bark that conducts food upward through the tree.

plywood. consisting of three or more sheets of wood that is glued and pressed one on the other and generally disposed so the grains of successive layers are at an angle.

pore. cross-section of a hardwood vessel.

Protected Plant Permit (PPP). USDA-issued permit required for the commercial trade of CITES or ESA regulated terrestrial plants.

radial. a direction in wood perpendicular to the longitudinal grain direction.

radial section. a section of wood cut in a plane parallel to the rays.

ray. flattened bands of tissue extending horizontally in a radial plan seen in cross section radiating in a direction from the center toward the bark of a tree.

re-export. export of any specimen that has previously been imported.

resin canal. tubular passageways in the wood of some softwoods.

ring porous wood (RPW). wood in which an arrangement of larger pores are concentrated in the earlywood and smaller pores are found in the latewood.

sawn wood. See *[lumber \(sawn wood\)](#)*.

scientific authority. a national authority designated in accordance with CITES Article IX as responsible for determining if trade will be detrimental to the survival of the species.

seizure date. date CBP or PPQ determines a shipment warrants forfeiture procedures and verifies the physical location of the shipment as either in a CBP- or PPQ-owned, leased, or approved facility within a Customs-bonded operation.

single vessel. a vessel that is **not** adjacent to or touching another vessel.

softwood. wood without vessels produced by coniferous trees in the botanical group gymnosperms. Also referred to as nonporous woods.

Species (spp). any species, subspecies, or geographically separate population thereof.

storied ray (SR). rays arranged side-by-side forming horizontal rows which appear as undulant bands seen in tangential section. There are three categories of storied rays: fine (more than 6 rows of rays per millimeter (mm)); medium (more 3 to 6 rows of rays per mm); coarse (2 rows or less per mm).

tangential section. section of wood cut in a plane perpendicular to the rays.

trade. to export, re-export, or import.

transverse section (cross section). section of wood cut in a plane across the grain.

tyloses. bubble-like structures that form in the vessels of certain hardwood species.

veneer. thin layers of wood of uniform thickness, usually 6 mm or less, usually peeled or sliced for use in making plywood, for veneering furniture, veneer containers, etc.

vessel (V). a longitudinal conductive passageway formed by an aligned series of vessel elements.

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