Overview of APHIS Inspection of American Ginseng

John Veremis & Timothy Torbett
USDA-APHIS-PPQ
APHIS serves to facilitate safe trade, monitor the movement of risk material, protect against the introduction of pests, regulate the import and export of plants, and help exporters meet the entry requirements of other countries.
The USDA is responsible for enforcing regulations specific to the import and export of plants regulated by CITES as well as the Endangered Species Act (ESA).
CITES Implementation in the U.S.A.

2005 Memorandum of Agreement between USDA and DHS-CBP

DHS enforces CITES for nonliving plant imports e.g. herbal medicinal products and timber species
Roles of PPQ and CBP

**PPQ:**
- Importation of living CITES plants
- Exportation of CITES regulated plants and plant products

**CBP:**
- Importation of nonliving CITES plants and plant products
- CITES plants on the Canadian border
Appendix II

Species not necessarily threatened with extinction, but for which trade must be controlled to avoid their becoming threatened

International trade is allowed but controlled by permits
Many species listed in Appendix II have “annotations” which provide additional guidance as to specific parts or derivatives that are regulated or exempted.
#3 Whole and sliced roots and parts of roots

~25,000kgs/55,000 lbs exported per year
American Ginseng
Export Requirements

- USDA Protected Plant Permit
- CITES Export Permit/Certificate
- State Permits for 5 + year Wild roots
- Invoice or Packing List
- Inspection and Export at a USDA “Designated Port”
American Ginseng
Export Requirements

USDA Protected Plant Permit
7CFR355.11

Effective March 26, 1985:

“...no person shall engage in business as an importer, exporter, or reexporter of any terrestrial plants listed in 50 CFR 17.12 or 23.23 unless such person has obtained a protected plant permit for engaging in such business from Plant Protection and Quarantine.”
American Ginseng Export Requirements

USDA Protected Plant Permit

“Engage in business as an importer, exporter, or reexporter of any terrestrial plants.”:

“To import, export, or reexport terrestrial plants for the purpose of selling, bartering, collecting, or otherwise exchanging or acquiring the plants as a livelihood or enterprise engaged in for gain or profit.”
American Ginseng Export Requirements

- USDA Protected Plant Permit
- Fee: $70.00
- Valid for 2 years
American Ginseng
Export Requirements

- USDA Protected Plant Permit
- CITES Export Permit/Certificate
Issued by the U.S. Division of Management Authority
Fish and Wildlife Service
Department of the Interior
Arlington, VA
Problems:

- Documentation, expired permits

Permits are valid for six months from the date of issuance
CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

3. Permittee (name and address, country)

4. Consignee (name and address, country)

Hong Kong

5. Special Conditions

PERMIT MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL.

MUST COMPLY WITH ATTACHED SPECIAL CONDITIONS FOR EXPORT OF WILD AMERICAN GINSENG.

EXPORT MUST BE THROUGH A USDA DESIGNATED PORT.

PERMITTEE MUST COMPLETE BLOCKS 4, 11, AND SHIPMENT # 4 PRIOR TO EACH SHIPMENT.

AUTHORIZED TO EXPORT WILD AND WILD-SIMULATED ROOTS 5 YEARS OF AGE OR OLDER HARVESTED IN THE 2001 SEASON.

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.

7/8. Common Name and Scientific name (genus and species) of Animal or Plant

A. Common Name

AMERICAN GINSENG

9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)

9. EXPORT: 2001 HARVEST SEASON, WILD ROOTS.

10. Appendix No. and Source

10. 2 W

5a. Purpose of Transaction

5b. Security Stamp No.

U.S. Fish and Wildlife Service

OFFICE OF MANAGEMENT AUTHORITY

U.S. Department of the Interior

Washington, D.C. 20240

UNITED STATES OF AMERICA

5. Valid until

03/01/2002

8/30/2001

Issuing Date

United States Management Authority

Authorizing Authority: Endangered Species Act of 1973 (16 USC 1531 et. seq.)
Inspection of American ginseng roots for export endorsement validation

Problems - documentation

5. Special conditions

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

PERMIT MAY BE ISSUED FOR MULTIPLE SHIPMENTS; PERMITTEE TO ESTABLISH CONDITIONS

MUST COMPLY WITH ATTACHED SPECIAL CONDITIONS FOR EXPORT OF WILD AMERICAN GINSENG.

PERMITTEE TO COMPLETE BLOCKS 4, 11, AND SHIPMENTS, PRIOR TO EACH SHIPMENT.

AUTHORIZED TO EXPORT WILD AND WILD-SIMULATED ROOTS 6 YEARS OF AGE OR OLDER HARVESTED IN THE 2001 SEASON.
5. Special Conditions

PERMIT MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTED TO RETAIN ORIGINAL.

MUST COMPLY WITH ATTACHED SPECIAL CONDITIONS FOR EXPORT OF WILD AMERICAN GINSENG.

EXPORT MUST BE THROUGH A USDA DESIGNATED PORT.

PERMITTEE MUST COMPLETE BLOCKS 4, 11, AND SHIPMENT# PRIOR TO EACH SHIPMENT.

AUTHORIZED TO EXPORT WILD AND WILD-SIMULATED ROOTS 5 YEARS OF AGE OR OLDER HARVESTED IN THE 2001 SEASON.
Problems

- Documentation
  - original permits only

Permits are valid for six months from the date of issuance

Inspection of American ginseng roots for export endorsement validation
<table>
<thead>
<tr>
<th>3. Permittee (name and address, country)</th>
<th>4. Consignee (name and address, country)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

5. Special Conditions
MUST COMPLY WITH ATTACHED SPECIAL CONDITIONS FOR EXPORT OF CULTIVATED AMERICAN GINSENG.

EXPORT MUST BE THROUGH A USDA DESIGNATED PORT.

PERMITTEE MUST COMPLETE BLOCKS 4 AND 11 PRIOR TO EACH SHIPMENT.

5a. Purpose of Transaction: T

5b. Security No: 115522

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

10/20/2008
Issuing Date

United States Management Authority

AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)

9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)
9a. CERTIFICATE FOR ARTIFICIALLY PROPAGATED

A. Common Name
AMERICAN
**CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILDLIFE FAUNA AND FLORA**

<table>
<thead>
<tr>
<th>3. Permittee (name and address, country)</th>
<th>4. Consignee (name and address, country)</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Blurred]</td>
<td>Hong Kong</td>
</tr>
</tbody>
</table>

**Special Conditions**
- Permit may be copied for multiple shipments; permittee to retain original.
- Must comply with attached special conditions for export of wild American Ginseng.
- Export must be through a USDA designated port.
- Permittee must complete blocks 4, 11, and shipment # [blank] prior to each shipment.
- Authorized to export wild and wild-simulated roots 5 years of age or older harvested in the 2001 season.

**Purpose of Transaction**
- [Blank]

**U.S. Management Authority**
- Office of Management Authority
- U.S. Fish and Wildlife Service
- Department of the Interior
- Washington, D.C. 20240
- United States of America

**Issuing Date**
- 08/30/2001

**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**
- American Ginseng

**Description of Part or Derivative, Including Identifying Marks or Numbers (Age/sex if Live)**
- Export: 2001 Harvest Season, Wild Roots.

**Appendix No. and Source**
- 2 W
American Ginseng Export Requirements

- USDA Protected Plant Permit
- CITES Export Permit/Certificate
- State Permits for 5 + year Wild roots
- Invoice or Packing List
- Inspection and Export at a USDA “Designated Port”
Inspection of American ginseng roots for export endorsement validation

**Problems**

- State documents
- Originals only
- Harvest season must match Export Permit
- Authorized quantities must cover that on the Export Permit
**CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA**

3. **Permittee (name and address, country):**
   - Name: [Redacted]
   - Address: [Redacted]
   - Country: [Redacted]

4. **Consignee (name and address, country):**
   - Name: Hong Kong
   - Address: [Redacted]

5. **Special Conditions:**
   - Permit may be copied for multiple shipments, permittee to retain original.
   - Must comply with attached special conditions for export of wild American Ginseng.
   - Export must be through a USA designated port.
   - Permittee must complete blocks 11 and 12, and shipments prior to each shipment.
   - Authorized to export wild and wild-simulated roots of age or older harvested in the 2001 season.

6. **Purpose of Transaction:**
   - T

7. **U.S. Management Authority:**
   - OFFICE OF MANAGEMENT AUTHORITY
   - U.S. FISH AND WILDLIFE SERVICE
   - DEPARTMENT OF THE INTERIOR
   - WASHINGTON, D.C. 20240
   - UNITED STATES OF AMERICA

8. **Issuing Date:**
   - 08/30/2001

9. **Description of Parent (if live):**
   - **Panax Quinquefolius**

10. **Country of Origin:**
    - USA

11. **Quantity (including units):**
    - 485 lbs.

14. **Bill of Lading/Air Way-Bill Number:**
    - Panax Global
    - ANS 51716361
    - Port of Exportation/Re-exportation: San Francisco, CA
    - Total No. of Shipping Containers: 4

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**Notes:**
- The red circle highlights the section marked with [Redacted] or [Redacted].
Commonwealth of Kentucky

AMERICAN GINSENG EXPORT CERTIFICATE

Certificate Number 10723
Dealer Registration Number 932006
Shipment Number 13

This shipment contains:

<table>
<thead>
<tr>
<th>Pounds</th>
<th>Ounces</th>
<th>Pounds</th>
<th>Ounces</th>
</tr>
</thead>
<tbody>
<tr>
<td>100</td>
<td></td>
<td>One Hundred</td>
<td></td>
</tr>
</tbody>
</table>

of:    [ ] wild or [ ] cultivated or [ ] wood grown, [ ] green or [ ] dry American ginseng roots that were legally harvested within the state of Kentucky during this harvest year 2001. I have complied with all state and federal laws pertaining to the harvest, purchase, sale, transfer, and export of these roots, and I have examined the records of origin of this root and find the root to be legally harvested in Kentucky.

Signature of Registered Dealer

Address of Registered Dealer

I hereby certify that I am the duly authorized agent of the state of Kentucky and that I have examined this shipment and verify the quantity of root and that I have examined the records of origin of this root and find the root to be legally harvested in Kentucky.

Signature of State Agent

Title of Agent

Date of Certification

This original certificate must accompany the certified ginseng until it is exported from the United States.
NORTH CAROLINA
GINSENG EXPORT CERTIFICATE

<table>
<thead>
<tr>
<th>NUMERICAL WEIGHT</th>
<th>WRITTEN WEIGHT</th>
</tr>
</thead>
<tbody>
<tr>
<td>pounds</td>
<td>ounces</td>
</tr>
<tr>
<td>100</td>
<td>0</td>
</tr>
</tbody>
</table>

one hundred 20/0

Check one:  Wild  Cultivated  Check one:  Green  Dry

THIS IS TO CERTIFY that, to the best of my knowledge, the American ginseng roots in this shipment described above were legally harvested in North Carolina between the dates of

10/1/81 and 10/18/81

and that I have complied with all State and Federal laws pertaining to the harvest, sale, purchase, trade, transfer, and transport of these roots.

DEALER SIGNATURE  Raymond E. Bowley  DATE 10/18/81

DEALER NAME  Blue Ridge Botanicals
AND ADDRESS  978 Land Branch Rd, UTNS, NC 28692

THIS IS TO CERTIFY that the statements in this certificate have been verified by a visual inspection of the ginseng being certified and an examination of the dealer's purchase records. The certification is based on:

Record of Wild Collected Ginseng Purchases:  sheet numbers 10 - 13
Record of Cultivated Ginseng Purchases:  sheet numbers
Record of Dealer-Dealer Transactions:

This certificate declares that the North Carolina-harvested ginseng roots herein described are eligible for export in accordance with criteria established by State and Federal law.

SIGNATURE  )[Arthur D. A.]  DATE 10/18/81

Authorized Inspector, Plant Industry Division

The original of this certificate must accompany the certified ginseng for which it was issued until the roots are exported from the United States. This certificate may be revoked at any time for causes such as falsification of records or loss of identity of roots covered by the certificate, and may be invalidated for the purpose of consolidation of several lots into a single lot by an authorized inspector.

W. A. Dickerson - Director, Plant Industry Division
This is to certify that, to the best of my knowledge, the wild X, woodgrown ___, or cultivated ___ American Ginseng roots in this shipment, consisting of

13.5 pounds, 0 ounces (weight numerically) 0/00 (weight in script)

were collected in accordance with state and federal law in Tennessee as approved by the Fish and Wildlife Service of the United States Department of the Interior. This certification is based on permanent records of commerce in ginseng dealings as required by the state of registration.

The dealer attests the weight herein certified is based upon and is no greater than the amount(s) shown on Tennessee transaction receipt number(s) 360128-360200, unaltered dealer copies of which are contained in and have not been removed from the Monthly Purchase Record Book.

Signature of Registered Dealer

Signature of Tennessee Certifying Official

Oct. 22, 2001
Date of Shipment by Dealer

Date of Certification

NOTE: Dealers must be registered in the state from which they purchase the American Ginseng described in this certificate. This certificate must accompany each shipment of ginseng upon and after the first sale of the ginseng. A Federal Export Permit is required to export wild American Ginseng from the United States. Artificially Propagated Plant Certificates are necessary for international shipment of cultivated American Ginseng. Export Permits and Artificially Propagated Plant Certificates are available from United States Fish and Wildlife Service, 1541 M. Fairfax Drive, Room 700, Arlington, Virginia, 22209. USDA General Permits are also required to export American Ginseng. USDA General Permits are available from United States Department of Agriculture, APHIS/PPQ, 4700 River Road, Unit 136, Riverdale, Maryland 20737-1236. A Valid Federal Export Permit or certificate of Artificial Propagation, Federal General Permit and copies of these State certificates listing the ginseng in the shipment are required to export any American Ginseng, either wild or cultivated, from the United States.
American Ginseng
Export Requirements

- USDA Protected Plant Permit
- CITES Export Permit/Certificate
- State Permits for 5 + year Wild roots
- Invoice or Packing List
- Inspection and Export at a USDA “Designated Port”
PPQ Plant Inspection Stations

(All CITES Regulated plant, plant parts & derivatives)

"Designated Port"

Seattle
San Francisco
Hawthorne (L.A.)
San Diego
Honolulu
Barrigana, Guam
Los Indios
Nogales
San Juan, PR
Jamaica, NY
Linden, NJ
Atlanta
New Orleans
Miami
Orlando
CHARLOTTE
Baltimore
St. Louis
Chicago
Milwaukee
Houston
GINSENG EXPORT
Inspection of American ginseng roots for export endorsement validation

**Inspection process:**

1) Examine documents
2) Empty at least one barrel
3) Inspect contents for compliance with Export Permit Conditions
Possible problems

- Wild, mixed or hidden in shipment of cultivated root
- Suspect underage root
- Excessive roots with broken or no necks
- Other questions, “What is it?”
- Fiber, not whole roots
Possible problems

- Wild, mixed or hidden in shipment of cultivated root
- **Suspect underage root**
- Excessive roots with broken or no necks
- Other questions, “What is it?”
- Fiber, not whole roots
Not all small roots are underage
Possible problems

- Wild, mixed or hidden in shipment of cultivated root
- Suspect underage root
- Excessive roots with broken or no necks
- Other questions, “What is it?”
- Fiber, not whole roots
Possible problems

- Wild, mixed or hidden in shipment of cultivated root
- Suspect underage root
- Excessive roots with broken or no necks
- Other questions, “What is it?”
- Fiber, not whole roots
Possible problems

- Wild, mixed or hidden in shipment of cultivated root
- Suspect underage root
- Excessive roots with broken or no necks
- Other questions, “What is it?”
- Fiber, not whole roots
Inspection of American ginseng roots for export endorsement validation

**Inspection process:**
- Examine documents
- Empty at least one barrel
- Inspect contents for compliance with Export Permit Conditions

**Validate permit and distribute copies**
CONVENTION ON
INTERNATIONAL TRADE IN
ENDANGERED SPECIES OF
WILD FAUNA AND FLORA

3. Permittee (name and address, country): Sign:

5. Special Conditions:
   MUST COMPLY WITH ATTACHED SPECIAL CONDITIONS FOR EXPORT
   OF CULTIVATED AMERICAN GINSENG.
   EXPORT MUST BE THROUGH A USA DESIGNATED PORT.
   PERMITTEE MUST COMPLETE BLOCKS 4 AND 11 PRIOR TO EACH
   SHIPMENT.

6. Purpose of Transaction: T

7. 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


9. Certificate for Artificially Propagated Plants, Roots; Authorized Under Master File
   #071765

10. Common Name: AMERICAN GINSENG

11. Scientific Name: PANAX QUINQUEFOLIUS


13. Quantity (including units): 25.00 LBS

14. Pre-Convention Date of Acquisition: 10/20/2008

15. This document valued at $6,147.3

16. Exports and Re-exports:
   The official who imports or re-exports the specimen or goods must enter the total quantity of specimens being
   imported or re-exported in this box.

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Quantity</th>
<th>Unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Common Name</td>
<td>AMERICAN GINSENG</td>
<td>25.00 LBS</td>
</tr>
</tbody>
</table>

Signed:

Issuing Date: 10/20/2008

Issuing Authority: United States Management Authority

Legal Details:

1. Permit Number:
2. Re-export Certificate Number:
3. Bill of Lading/Freight Number:
4. Part of Exporter's/Re-exporter's Name:
5. Total No. of Shipping Containers:
6. Inspectors' Name:
7. Signature:
8. Date:
9. Time:

SAN FRANCISCO, CALIFORNIA
USDA, APHIS, PPQ
INSPECTOR BADGE NUMBER

[Signature]

[Date]
When the inspection has been completed, the Inspector:

- Stamps the Original Permit “Inspected and Released”
  (The original accompanies the shipment)

- Photocopies of the validated permit are distributed to:
  The Permittee
  Division of Management Authority
  Port files
CITES Regional Specialists

John Arcery, JFK, NY
Tel. (718) 553-1732
Fax: (718) 553-0060

Tim Torbett, SFO, CA
Tel. (650) 876-9093
Fax. (650) 876-9008
PPQ Headquarters Contacts:

John Veremis

USDA, APHIS, PPQ
4700 River Road, Unit 52
Riverdale, MD 20737

Tele. 301.734.8891 / Fax. 301.734.3560