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**Plant Protection
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Safeguard Guidelines for Containment of Plant Pests Under Permit

Biological Assessment Support Staff (BASS) has been renamed
Biological Assessment and Taxonomic Support Staff (BATS).
Change of Address as follows:
USDA, APHIS, PPQ, BATS
4700 River Road, 4th Floor
Riverdale, Maryland 20737-1228

Telephone (301) 734-8896
Telefax (301) 734-8700

SAFEGUARD GUIDELINES FOR CONTAINMENT OF PLANT PESTS UNDER PERMIT

Prepared by P. J. Lima, Biological Assessment Support Staff, Plant Protection and Quarantine, Animal and Plant Health Inspection Service, U.S. Department of Agriculture, Rm. 629FB 6505 Belcrest Road, Hyattsville, Maryland 20782.

Regulations promulgated under the Federal Plant Pest Act of 1957 and the Federal Noxious Weed Act of 1974, prohibit the importation and movement of plant pests except under permit. Details of the permit requirement are contained in the Federal Plant Pest Regulations M330.200 through M330.212.

These guidelines have been developed to:

1. Incorporate the concept of pest categories into the permit system.

2. Identify State, National Program Planning Staff, Biological Assessment Support Staff, and regional responsibilities.

3. Assist field personnel to judge the safeguard adequacy of containment facilities.

4. Aid field personnel in determining the level of monitoring required.

Categories of Pest Organisms

According to results of pest risk analyses, organisms of interest to Plant Protection and Quarantine (PPQ) have been placed into three categories:

Category A--Foreign plant pests new to or not widely distributed in the United States; domestic plant pests of limited U.S. distribution, including program pests; State regulated pests; and exotic strains of domestic pests.

Category B--Biocontrol agents and pollinators.

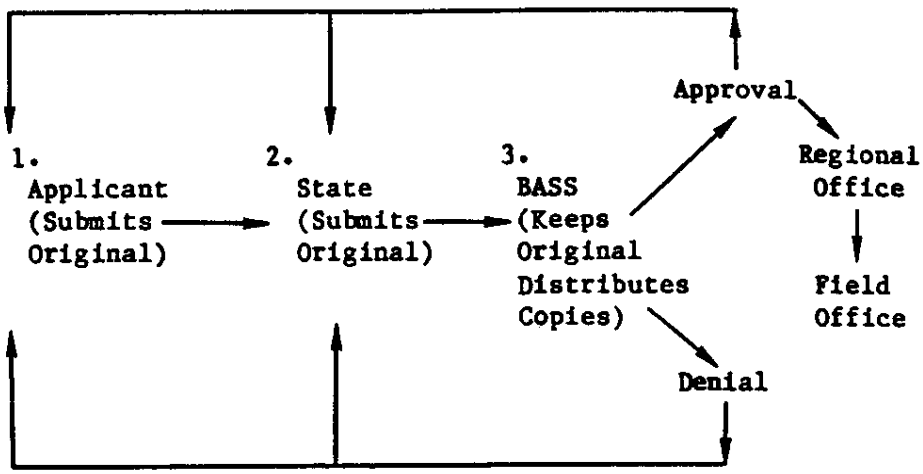
B1. High risk - weed antagonists; shipments accompanied by prohibited plant material or Category A pests.

B2. Low risk - pure cultures of known beneficial organisms.

Category C--Domestic pests that have attained their ecological range, nonpest organisms and other organisms for which courtesy permits may be issued.

Responsibilities of State, BASS and Region for Approval, Safeguarding and Monitoring of Plant Pests Limited on Permit

A. Distribution Flow of PPQ Form 526, "Application and Permit to Move Live Plant Pests:"



Applicant (resident of USA) completes Section A of PPQ Form 526 (Attachment #1), forwards it to the regulatory official of the State into which the organisms are destined. State officials completes Section B, indicating approval or disapproval, and sends the form to BASS. BASS completes Section C and, if approved, issues shipping labels and distributes copies of the permit. The appropriate PPQ regional offices will receive copies of all approved PPQ Form 526's.

B. Approval of Permits:

Prior to approval of any request for a plant pest permit, both State and Department of Agriculture (USDA) independently consider pest risk, environmental impact, purpose of the request, adequacy of containment facilities, and other relevant factors. Scientists or other professionals that specialize in, or are knowledgeable about, the organisms or the research to be conducted may be consulted for their views on the consequences of plant pest escape and dissemination. An application may be approved only upon the concurrence of State and USDA. Final approval or disapproval rests with USDA. In practice, when the State disapproves, USDA will disapprove. However, when the State approves or elects to leave the decision to USDA, USDA may disapprove the request.

Characteristically, safeguards are prescribed on the PPQ Form 526 by the State agricultural official and BASS. Frequently, research facilities must be inspected prior to the issuance of permits to determine adequacy of security.

C. State Responsibilities:

1. Receive PPQ Form 526.

   a. Evaluate pest risk as relevant to State requirements.

   b. Complete Section B.

   c. List requirements for safeguards, notification of arrival, etc., on applications.

2. Forward the application to BASS.

3. Make periodic visits to facilities.

   a. Category C pests - State discretion.

   b. Category A and B pests - when needed as agreed upon with local PPQ officials.

4. Receive permittee's notification of destruction of plant pests.

5. Verify destruction of plant pests.

6. Violations.

   a. Category C pests - State responsibility.

   b. Category A and B pests - notify local PPQ officials and BASS for corrective action.

D. BASS Responsibilities:

1. Receive PPQ Form 526 after State recommendations.

   a. Make pest risk evaluation, including biology of organisms, containment facility, proposed use, etc., and approve or disapprove permit.

b. Designate category of pest as A, B1, B2, or C and print category in box H of the PPQ Form 526. See attached PPQ 526.

c. Request region in cooperation with State to conduct preauthorization inspections of facilities for Category A and B organisms.

2. Approve designs for the construction of new facilities, and/or modifications of established ones.

a. Develop safeguards.

b. Incorporate safeguards into design.

c. Keep regional office informed.

3. Approve primary biological control quarantine facilities coordinate the monitoring of these facilities, and conduct periodic visits.

4. Receive preauthorization inspection reports of facilities from State and Region.

5. Issue shipping labels and permit to permittee, with copies of permit to State and region concerned.

6. Receive notification from State and region of violations or critical deficiencies and initiate corrective action.

7. Receive notification of destruction of Category A and B pests from region.

E. Regional Responsibilities (for Category A and B1 Pests):

1. Approve new construction or modifications of established facilities. BASS will prescribe safeguard features into the design.

2. Conduct preauthorization inspections of established facilities as requested by BASS.

a. Coordinate inspections with State officials.

b. Report inspection results to BASS.

3. Receive copy of completed approved PPQ Form 526.

4. Receive permittee's notification of pest arrival.

5. Periodic visits - cooperation with State.

   a. Frequency and need determined by region and State.

   b. Cooperation with State officials as mutually agreed.

   c. Report inspection results to BASS.

6. Receive permittee's notification of pest destruction.

7. Verify destruction of plant pest.

8. Report violations to Regulatory Services Staff and BASS.

   a. Serious violation documented with copy to State official.

   b. Take corrective action as agreed upon by State, BASS, and region.

Inspection of Facilities

When conducting an inspection of a facility, the PPQ and State regulatory officials should be prepared to evaluate the pest in relation to the containment area. In addition, it is important that the permittee be available to answer questions and to discuss the prescribed conditions on the permit.

A. To assist in a security evaluation of a facility, the following pest risk factors should be considered:

   1. Seriousness of pest:

      a. Pests of high risk to agriculture such as those in Categories A and B1.

      b. Pests of low risk to agriculture such as those in Categories B2 and C.

   2. Ease of containment:

      a. Adequacy of confinement facility to prevent escape.

b. Life stages, quantity, size, and mobility of the pest to be contained.

c. People traffic patterns, as they may affect chance of contamination or dissemination.

d. Overall cleanliness of the containment area.

3. Nature of the work:

a. Purpose, e.g., taxonomy, chemical analysis, pesticide screening, behavior, inoculation, isolation, characterization.

b. Rearing or culturing of organisms.

c. Length of time organisms will be contained.

d. Number of shipments requested.

4. Chance of establishment should the organisms escape into the environment:

a. Availability of known hosts.

b. Time of year.

c. Climate.

d. Ability to overwinter, oversummer, or estivate.

e. Reproductive potential (parthenogenesis, vegetative, etc.)

5. Experience, reputation, and responsibilities of permittee and assistants:

a. Awareness of risk to pest dissemination.

b. Appreciation for necessary security precautions.

c. Willingness to cooperate.

B. The inspecting officer will consider the need for the following standard features designed to reduce the probability of pest escape. The extent to which these and other features

may be required will depend on the category of pest, the conditions prescribed on the permit, and whether the organism is an insect, mite, nematode, pathogen, or noxious weed.

1. All walls of smooth painted (preferably white) masonary or plaster-board material, sealed at seams of panels, inside corners, and at joints with floor and ceil

2. Floors of smooth painted concrete, or covered with asphalt tile.

3. Vents, air intake, and drains covered with sufficient mesh to prevent escape of the organisms. Common screen sizes for containment areas are 50, 60, and 100 mm. mesh. (see B.16)

4. Windows sealed in frames and permanently closed.

5. Ceilings painted white for easy detection of stray insects.

6. Light fixtures, electrical service outlets, and other equipment that penetrate the walls, ceilings and floors must be sealed to prevent entry or escape of organisms.

7. Air-conditioning supply and return air ducts supplied with filters.

8. Drain system enter into a special waste trap.

9. Entry doors closed at all times and locked when room is unoccupied.

10. Warning sign posted at the entrance to the laboratory to deter entry of unauthorized personnel.

11. Access to containment area limited to permittee and assistants assigned to project.

12. An incinerator or autoclave in the containment area to sterilize or devitalize all wastes.

13. All arthropods in escape-proof cages within containment area.

14. A blacklight trap in the laboratory when arthropods are involved.

15. Greenhouse air-conditioned and humidity controlled, wire reinforced, glass panels, sealed both inside and outside.

16. For certain pathogens, i.e., nematodes, the standards may be lowered; for others such as fungi with airborne spores, the standards may be raised.

Safeguards on Permit:

A. For low risk organisms, the following are standard safeguard conditions on the permit:

1. All organisms must be shipped in sturdy, escape-proof containers.

2. Upon receipt of plant pests, all packing material and shipping containers shall be sterilized or destroyed immediately after removing organisms.

3. Organisms shall be kept only within the laboratory at the permittee's address.

4. No living organisms kept under this permit shall be removed from confined area except by prior written approval from State and Federal regulatory officials.

5. Without prior notice and during reasonable hours, authorized PPQ and State regulatory officials shall be allowed to inspect the conditions under which the organisms are kept.

6. All organisms kept under this permit shall be destroyed at the completion of the intended use and not later than the expiration date of the permit unless an extension is granted by BASS. Requests should be addressed to the Biological Assessment Support Staff, National Program Planning Staff, Plant Protection and Quarantine, Room 630 Federal Building, 6505 Belcrest Road, Hyattsville, Maryland 20782.

7. All necessary precautions must be taken to prevent escape of pests. In the event of an escape, notify the Biological Assessment Support Staff.

These seven standard conditions are incorporated on the reverse side of the PPQ Form 526, copy attached.

B. For higher risk organisms, the following are some examples of additional conditions that might be added to the standard safeguard conditions:

1. The arrival of each shipment must be reported to the appropriate PPQ regional office.

2. Organisms must be kept in escape-proof containers within the approved containment area.

3. Access to laboratory will be limited to authorized personnel only.

4. This importation is restricted to one sex of the insect subject to verification at U.S. port of entry.

5. No rearing or culturing of organisms permitted.

6. Plant material is limited to a few sections of leaves. Soil and plant material capable of propagation are not permitted.

7. Plant inoculation tests will not be conducted.

8. Plant inoculation tests will be conducted within growth chambers or bioclimatic chambers.

9. The termination of the research project and the destruction of all pests and infected plant material must be reported to the State agricultural office and local PPQ office.

10. Experimental work with this organism permitted only between November 30, 19__, to February 28, 19__. All living stages of plant pests and plant material must be destroyed by March 1, 19__.

11. Parasitic weed seeds will be shipped in a metal container within a metal container.

12. Workers handling parasitic weed seeds will wear a plastic or rubber apron, cuffless trousers, plastic gloves, and disposable shoe covers.

13. Drains for aquatic weeds will be covered with screen of a size appropriate to prevent passage of propagants.

Frequency of Contact:

The line official will determine the frequency of contacts with permittees based primarily on degree of risks, the conditions prescribed on the permit, and from experience. All visits to facilities for safeguard evaluations should be conducted with a State official whenever possible. When preauthorization inspection of a facility is required, a written report of findings and recommendations must be sent to BASS to finalize the permit request.

A. Category A Organisms:

1. Rearing or culturing presents the highest risk. A preauthorization visit by PPQ and/or State will be required in most instances. Frequent visits are in order. The permittee will be required to notify the PPQ regional office upon arrival of each shipment.

2. Nonrearing or short-term research will require less frequent visits. Although a lesser risk exists, adequate safeguards must be maintained.

B. Category B1 Organisms:

1. Foreign Importations

All exotic biological control organisms entering the United States accompanied by prohibited plant material, Category A pests or weed antagonists, are processed at PPQ approved primary quarantine facilities to assure that no harmful organisms will be forwarded to the permittee. Each facility is constructed to handle a specific group of biological control organisms under involved safeguard procedures to prevent possible escape of a foreign organism.

BASS is responsible for the approval and coordination of the monitoring of primary biological control quarantine facilities. Inspection visits to these facilities should be made at least once every 2 years.

2. Domestic Movement

With a few exceptions, facilities that receive B1 organisms should be monitored as those for Category A. An example of high risk would be biological control research on a program pest conducted outside the regulated area.

C. Category B2 Organisms:

Pure cultures of beneficials authoritatively identified do not need to be monitored by PPQ. Pure cultures are the only type of shipment that may move out of PPQ approved primary biological control quarantine facilities. Contacts with recipients of pure cultures of beneficials whether from an approved quarantine facility or other source would be to verify that no pest risk exists.

D. Category C Organisms:

Unless a violation is suspected, PPQ contact with permittee is not necessary.

Penalties

Section 108 of the Federal Plant Pest Act of 1957 sets forth a $500 penalty and/or 1 year imprisonment for any person who violates the permit requirement for moving plant pests.

Revised June 15, 1983

ATTACHMENT --Sample of PPQ Form 526 as amended.

No permit can be issued to move live plant pests or noxious weeds until an application is received (7 CFR 330 (live plant pests) or 7 CFR 360 (noxious weeds))

See reverse side for additional OMB information.

FORM APPROVED
OMB NO. 0579-0054

U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE
BIOLOGICAL ASSESSMENT AND TAXONOMIC SUPPORT
RIVERDALE, MARYLAND 20737

APPLICATION AND PERMIT TO MOVE LIVE PLANT PESTS OR NOXIOUS WEEDS

SECTION A - TO BE COMPLETED BY THE APPLICANT

1. NAME, TITLE, AND ADDRESS *(Include Zip Code)*

2. TELEPHONE NO. ( )

3. TYPE OF PEST TO BE MOVED

* ☐ Pathogens ☐ Arthropods ☐ Noxious Weeds

☐ Other (Specify): _____

This permit does not authorize the introduction, importation, interstate movement, or release into the environment of any genetically engineered organisms of products.

A. SCIENTIFIC NAMES OF PESTS TO BE MOVED	B. CLASSIFICATION *(Orders, Families, Races, or Strains)*	C. LIFE STAGES, IF APPLICABLE	D. NO. OF SPECIMENS OR UNITS	E. SHIPPED FROM *(Country or State)*	F. ARE PESTS ESTABLISHED IN U.S.	G. MAJOR HOST(S) OF THE PEST
4.						
5.						
6.						

7. WHAT HOST MATERIAL OR SUBSTITUTES WILL ACCOMPANY WHICH PESTS *(Indicate by line number)*

8. DESTINATION	9. PORT OF ARRIVAL	10. APPROXIMATE DATE OF ARRIVAL OR INTERSTATE MOVEMENT

11. NO. OF SHIPMENTS	12. SUPPLIER	13. METHOD OF SHIPMENT
		☐ Air Mail ☐ Air Freight ☐ Baggage ☐ Auto

14. INTENDED USE *(Be specific, attach outline of intended research)*

15. METHODS TO BE USED TO PREVENT PLANT PEST ESCAPE	16. METHOD OF FINAL DISPOSITION

17. *Applicant must be a resident of the U.S.A. I/We agree to comply with the safeguards printed on the reverse of this form, and understand that a permit may be subject to other conditions specified in Sections B and C.*

SIGNATURE OF APPLICANT *(Must be person named in Item 1)*

18. DATE

SECTION B - TO BE COMPLETED BY STATE OFFICIAL

19. RECOMMENDATION

☐ Concur (Approve) ☐ Comments (Disapprove)

☐ (Accept USDA Decision)

20. CONDITIONS RECOMMENDED

21. SIGNATURE AND TITLE	22. TITLE	23. STATE	24. DATE

SECTION C - TO BE COMPLETED BY FEDERAL OFFICIAL

PERMIT

25. PERMIT NO.

(Permit not valid unless signed by an authorized official of the Animal and Plant Health Inspection Service)

Under authority of the Federal Plant Pest Act of May 23, 1957 or the Federal Noxious Weed Act of 1974, permission is hereby granted to the applicant named above to move the pests described, except as deleted, subject to the conditions stated on, or attached to this application. (See standard conditions on reverse side).

*For exotic plant pathogens, attach a completed PPQ Form 526-1.

24. SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICIAL	25. DATE	26. LABELS ISSUED	27. VALID UNTIL	28. PEST CATEGORY