

SECTION 1 – GENERAL ORGANIZATION AND CBP RELATED POLICIES AND PROCEDURES QUESTIONS

- 1.1 Provide the name, title, and telephone number of the official(s) preparing information for this questionnaire.
- 1.2 Provide the name, title, and telephone number of the person who will be the contact for CBP.
- 1.3 Provide a brief description of your business operations, number of employees, products, divisions, customer base, and locations of offices, manufacturing facilities, distribution centers, etc.
- 1.4 Is there an individual or department specifically responsible for importing and CBP related activities or that has overall responsibility for ensuring compliance with CBP laws and regulations?
 - 1.4.1 Please identify the individual or department and provide an organizational chart, clearly showing who is responsible for importing and CBP-related activities and who each person reports to (chain of command).
- 1.5 If the company has operating policies and procedures manuals for CBP/import operations, provide a copy of the manuals (preferably in electronic format).
- 1.6 Who in other departments is responsible for reporting CBP-related activities to the individual/department responsible for importing?
- 1.7 Describe the procedures for other departments to communicate with the individual/department responsible for importing on matters affecting imported merchandise.
- 1.8 Describe the procedures for the individual/department responsible for importing to disseminate relevant CBP information to other departments.

SECTION 2 – LACEY ACT QUESTIONS

- 2.1 Identify the imported items for which your company has determined that the Lacey Act requirements apply. Describe the item and indicate the foreign manufacturer/supplier that the merchandise was obtained from.

- 2.1.1 Do you use any middlemen, contractors, and/or brokers used to obtain merchandise from the manufacturers/suppliers? If so, please describe the services provided by each part.
- 2.1.2 Please explain who is responsible for placing orders with the manufacturers/suppliers by means of a purchase order, contract, or other means.
- 2.2 Identify specific procedures used by the company to identify whether imported merchandise is subject to the Lacey Act. Please indicate who (by name and/or title) is responsible for each procedure and when (and how often) the determination is made.
 - 2.2.1 Does company personnel review new items prior to importation to determine if they are subject to the Lacey Act? If so, please describe the review process.
 - 2.2.2 What information is used to determine whether items may be subject to the Lacey Act?
 - 2.2.3 Please describe any information/documentation provided to your company by suppliers, manufacturers, etc., used for declaration of the merchandise.
 - 2.2.4 Please describe any verification you conduct on the information/documentation provided to you.
- 2.3 Please describe the procedures followed by your company to ensure that imported merchandise subject to the Lacey Act is correctly declared to CBP.
 - 2.3.1 Please indicate who, inside and/or outside of the company, is responsible for ensuring that merchandise subject to the Lacey Act is corrected declared to CBP.
 - 2.3.2 Does company personnel review entries filed to verify that the Lacey Act declaration requirements were met? If so, please describe the review process.
 - 2.3.3 What records are maintained to support the review of the entries?
- 2.4 Is Lacey Act applicability information maintained in a format that is provided to Customs Brokers?
 - 2.4.1 If so, please provide a description of how this information is maintained, who is responsible for maintaining it, and evidence that the database was provided to the company's Customs Brokers.
 - 2.4.2 If not, please describe procedures taken by your company to communicate which imports are subject to the Lacey Act with your Customs Brokers.
- 2.5 What assistance has your company sought in determining whether merchandise is subject to the Lacey Act (i.e., CBP, Customs Brokers, USDA)?
- 2.6 Does the purchase order, letter of credit terms, or contracts/agreements with manufacturers/suppliers provide requirements concerning product harvesting? If so, please provide examples.

- 2.6.1 If your product harvesting requirements are breached by the manufacturer/supplier, what procedures would you take?
- 2.7 What specialized training and/or experience have key personnel involved in ordering, receiving, and declaring merchandise subject to the Lacey Act received? Please provide evidence to support any training identified.
- 2.8 How does the company obtain current information on Lacey Act requirements?

SECTION 3 – PLANT AND PLANT PRODUCT DECLARATION FORM (PPQ FORM 505) QUESTIONS

- 3.1 Who is responsible for filing the PPQ Form 505?
 - 3.1.1 What specialized training and/or experience has the responsible official received regarding the completion of the PPQ Form 505? Please provide evidence to support any training identified.
- 3.2 Describe the procedures used to ensure that the information on the PPQ 505 is accurate.
 - 3.2.1 What controls are in place to ensure that goods/articles are accurately described?
 - 3.2.2. What controls are in place to ensure that the plant scientific name including genus and species are accurate?
 - 3.2.3 What controls are in place to ensure that goods are harvested from the country of harvest?
- 3.3 Does the company verify where and by whom the imported merchandise is manufactured? If so, please explain and provide evidence of the verification process.
 - 3.3.1 Does the company obtain factory profiles and require factory visits for manufacturers supplying potential Lacey Act merchandise?
 - 3.3.2 Do you maintain documentation to prove the manufacturer of your purchase?
- 3.4 Who is responsible for maintaining documentation to support the declarations made on the PPQ 505?
 - 3.4.1 Where is the documentation maintained?
 - 3.4.2 How long is the supporting documentation maintained?