

United States Department of Agriculture  
 Animal and Plant Health Inspection Service  
 4700 River Road  
 Riverdale, MD 20737

**Permit to Move Live Plant Pests, Noxious Weeds, and Soil**  
 Importation  
 Regulated by 7 CFR 330

This permit was generated electronically via the ePermits system

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| <b>PERMITTEE NAME:</b> Dr. Erik Andersen   | <b>PERMIT NUMBER:</b> P526P-16-00193       |
| <b>ORGANIZATION:</b> Northwestern University   | <b>APPLICATION NUMBER:</b> P526-151128-001 |
| <b>ADDRESS:</b> Department of Molecular Biosciences<br>2205 Tech Dr.<br>Evanston, IL 60208   | <b>FACILITY NUMBER:</b> 2980               |
| <b>MAILING ADDRESS:</b> Department of Molecular Biosciences<br>2205 Tech Dr.<br>Evanston, IL 60208   | <b>HAND CARRY:</b> Yes                     |
| <b>PHONE:</b> (847) 467-4382   | <b>DATE ISSUED:</b> 01/12/2016             |
| <b>FAX:</b>  | <b>EXPIRES:</b> 01/12/2019                 |
| <b>DESTINATION:</b> Dept. of Molecular Biosciences, Northwestern University,<br>2205 Tech Dr. Cook Hall Lab 3117, Evanston, IL<br>60208-3500   |  |
| <b>DESIGNATED PORTS:</b> CA, El Segundo; CA, San Francisco; FL, Miami (For<br>Cargo and Courier Packages Only); GA, Atlanta; HI,<br>Honolulu; NJ, Linden; NY, Jamaica; TX, Humble; WA,<br>SeaTac |  |

Under the conditions specified, this permit authorizes the following:

**Article Category:** Isolation and Identification of Organisms

| <u>Regulated Article</u> | <u>Life Stage(s)</u>   | <u>Intended Use</u> | <u>Shipment Origins</u>   | <u>Originally Collected</u>                              | <u>Culture Designation</u>          |
|--------------------------|--|---------------------|---|--|-------------------------------------|
| Nematodes                | Adult, Egg, Larvae,<br>Pest-infected plant material, Petri dishes/culture tubes, Plant Parts | Research - Lab      | Africa, Asia, Australia, Caribbean Islands (except Puerto Rico and US Virgin Islands), Central America, Europe, North America (except USA), South America | Originally Collected from Foreign and Domestic Locations | Nematode growth medium petri plates |

**SPECIAL INSTRUCTIONS TO INSPECTORS**


See permit conditions below

This permit authorizes Erik Andersen of Northwestern University, to hand-carry or move the organisms via passenger baggage into the United States in accordance with the hand-carry conditions below.

INSTRUCTIONS TO DHS CBP AGRICULTURAL SPECIALISTS:

SHIPMENT BY BONDED CARRIER

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| THIS PERMIT HAS BEEN APPROVED ELECTRONICALLY BY THE FOLLOWING PPQ HEADQUARTER OFFICIAL VIA EPERMITS.<br><br><br><b>Carl Schulze</b> | DATE<br><br><b>01/12/2016</b> |
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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.s 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.s 1001)

1. Confirm that the carrier of the shipment imported under this USDA PPQ 526 permit is commercially bonded.
2. Confirm that the imported shipment has a valid USDA PPQ Form 599 Red/White label attached to the exterior for routing to a USDA APHIS PPQ Inspection Station or other "Designated Port" as stated on the Permit. A valid label will have the permit number, expiration date, label number, and address of a USDA APHIS PPQ Plant Inspection Station/Designated Port.
3. Validate the permit in ePermits using the CBP search feature.
4. If a valid PPQ Form 599 Red/White label is not attached to the exterior of the package or the label has been covered or is otherwise not legible, then forward to the nearest USDA APHIS PPQ Plant Inspection Station.
5. If the address on the airway bill does not match the address on the PPQ Form 599 Red/White label then forward the package to the nearest USDA APHIS PPQ Plant Inspection Station/designated port shown on the PPQ Form 599 label. All costs associated with rerouting misaddressed packages will be assumed by the permit holder.

**HAND CARRY IMPORTATION**

1. For all hand carry events, the port of entry must have received hand carry requests at least 72 hours in advance of the arrival of passenger(s), including date of arrival and flight/land border crossings, passport or residence number, and date of birth directly from CBP-OFO-APTL, originally provided by USDA-APHIS. The port of entry for hand carry does not need to appear as a designated port on the permit; this official notice containing the information listed above authorizes the port listed on the notice as a destination port for this hand carry event.
2. For all hand carry events, a valid PPQ Form 599 Red/White label specifying hand carry and identifying the designated hand carrier must be presented along with the permit. A single PPQ Form 599 Red/White label specifying hand carry may be used for multiple specimens covered under one permit at one point of entry.
3. If the two conditions above are met and the CBP Agriculture Specialist confirms that all hand carried articles are securely packaged as per the permit conditions, the permitted regulated material may be released for immediate transport by the designated hand carrier to the destination address listed on the permit.
4. If the permitted regulated materials arrive by hand carrying, in personal luggage, or by personal automobile without a hand carry authorization as specified in both the permit and the PPQ Form 599 Red/White label, seize the shipment and forward it to the nearest USDA APHIS PPQ Plant Inspection Station. If CBP Agriculture Specialists seized the shipment in these instances the passenger(s) should ensure all costs associated with the shipments. If forwarding the shipment is not possible, contact the Pest Permitting Branch at the number below.

**INSTRUCTIONS TO USDA PPQ INSPECTORS AT PLANT INSPECTION STATIONS:**

Follow the instructions in the Plant Inspection Station Manual for High-Risk Invertebrates Red and White Label Packages (must be opened in a sleeved cage; see procedures for handling on page 3-7-39).

For questions or concerns, contact the USDA APHIS PPQ Pest Permit Branch in Riverdale, MD, at 301-851-2046, toll free 866-524-5421.

**PERMIT GUIDANCE**

Receipt or use of foreign isolates or samples from countries under sanctions requires specific permission from the U.S. Department of Treasury (see <http://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx> for current country/regional listings) for current country listings.


This permit does not authorize importation, interstate movement, possession, and/or use of strains of genetically engineered regulated organisms (created by the use of recombinant DNA technology).

If an animal pathogen is identified in your shipment, to ensure appropriate safeguarding, please refer to [http://www.aphis.usda.gov/import\\_export/animals/animal\\_import/animal\\_imports\\_anproducts.shtml](http://www.aphis.usda.gov/import_export/animals/animal_import/animal_imports_anproducts.shtml).

This permit does not fulfill the requirements of other federal or state regulatory authorities. As appropriate, please contact the U.S. Environmental Protection Agency, the U.S. Fish and Wildlife Service, the U.S. Food and Drug Administration, the Centers for Disease Control and Prevention, the APHIS Veterinary Services unit, or your States Department of Agriculture to ensure proper permitting.

If you are considering renewal of this permit, an application should be submitted at least 90 days prior to the expiration date of this permit to ensure continued coverage. Permits requiring containment facilities may take a longer period of time to process.

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**PERMIT CONDITIONS**

This permit authorizes the importation of pure cultures of the listed organisms from the countries and continents listed to Erik Andersen of Northwestern University in Evanston, Illinois for laboratory research in Containment Facility #2980 (CF#2980). This permit authorizes Erik Andersen of Northwestern University, to hand-carry or move the organisms via passenger baggage into the United States in accordance with the hand-carry conditions below.

1. The permit holder must:
  - (a) comply with all requirements and permit conditions,
  - (b) maintain a valid permit so long as the regulated organisms are alive,
  - (c) this permit cannot be assigned or transferred to other persons.
  - (d) permittee must maintain a residence in the United States
  - (e) safeguard and dispose of the regulated organisms during the term of this permit,
  - (f) take all necessary precautions to prevent the unauthorized release of regulated organisms. In the event of an unauthorized release, the permit holder must notify the permit unit,
  - (g) adequately mitigate environmental impacts resulting from unauthorized release of regulated organisms,
  - (h) contain any/all organisms not authorized under this permit,
  - (i) notify the permit unit of the receipt of unauthorized organisms,
  - (j) notify the permit unit if facilities are destroyed or decommissioned for any reason,
  - (k) maintain an official permanent work assignment at the address on this permit,
  - (l) notify the permit unit in advance of any change in the permit holder's work assignment,
  - (m) destroy all regulated organisms prior to departure unless other arrangements are confirmed by the permit unit prior to the permit holder's departure, and
  - (n) notify the permit unit of the destruction of regulated organisms.


Notifications to the permit unit must be made via 866-524-5421 or pest.permits@aphis.usda.gov within one business day of the event triggering a notification.

2. This permit does not authorize movement or use of plant pathogens listed in the Public Health Security and Bioterrorism Preparedness and Response Act of 2002. If any organism listed as a Select Agent is identified from materials associated with this research, the permit holder is required to notify APHIS, Agricultural Select Agent Program (ASAP) immediately by phone at 301-851-3300, and within seven (7) days submit APHIS/CDC Form 4 (Report of Identification of a Select Agent or Toxin in a Clinical or Diagnostic Laboratory) to APHIS, ASAP; 4700 River Rd, Unit 2, Riverdale, MD 20737 (see instructions at: [https://www.aphis.usda.gov/wps/portal/aphis/ourfocus/animalhealth/sa\\_import\\_into\\_us/sa\\_ag\\_select\\_agent/ct\\_ag\\_bioterr\\_toxinlist/](https://www.aphis.usda.gov/wps/portal/aphis/ourfocus/animalhealth/sa_import_into_us/sa_ag_select_agent/ct_ag_bioterr_toxinlist/)). Failure to comply with this requirement is a violation of the Agricultural Bioterrorism Protection Act of 2002.
3. Without prior notice and during reasonable hours, authorized PPQ and/or State regulatory officials shall be allowed to inspect the conditions associated with the regulated organisms authorized under this permit.
4. All persons working with these organisms must be informed of these permit conditions. Anyone working with these organisms must agree to and sign/ initial these conditions before beginning work. These signed conditions do not need to be submitted to USDA/ APHIS but must be readily accessible in the event of an inspection and presented upon request.

Note: these conditions may be copied and stored electronically for electronic signature and initialing provided that the permit number, authorized organisms and life stages, release locations if applicable, and authorization statement all appear on the document with the permit number. Signing these conditions only indicates that the person working under this permit has read them; the permit holder is the sole responsible party under this permit.

5. All organisms and/or infected plant material must be shipped in packages of such materials and/or construction so as to prevent the unauthorized dissemination or release of regulated articles.
6. Packages must be opened within a laminar flow biosafety cabinet (Class II, Type A) within CF#2980. All initial processing must occur in this biosafety cabinet to ensure the shipment contains only permitted organisms and is free of contaminants.

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7. All packing materials in contact with plant pests or contaminants and all leftover organisms, plant material, soil, etc., must be sufficiently heat or chemically treated to kill, denature, or destroy all plant pests prior to disposal.
8. All waste water, soil and debris from laboratory procedures must be collected and sufficiently treated by heat or chemical means to kill or destroy all nematode life stages prior to disposal.
9. Nematodes and inoculated plants must be handled appropriately (e.g. wear adequate protective clothing, practice adequate hand and shoe sanitation, disinfect all work surfaces after use) so that movement of plant pests out of the facility does not occur. Used disposable items must be collected when leaving the work area. Used disposable items must be sufficiently treated to kill all nematode life stages prior to disposal.
10. Organisms must be maintained or stored in the permit holder's research facilities within CF#2980. All stored organisms must be kept in a locked area with access restricted to authorized personnel.
11. At the conclusion of all experiments all organisms must be treated by heat or chemical means sufficient to kill or destroy all plant pest life stages prior to disposal. All laboratory equipment and supplies must be decontaminated prior to reuse or disposal.
12. There is to be no further movement or distribution of organisms without prior approval from State and Federal regulatory officials.
13. Reporting Requirements:

The permit holder or authorized individual must notify USDA APHIS Plant Protection and Quarantine (PPQ) Pests, Pathogens, and Biocontrol Permits (PPBP) within 10 working days of the confirmation that an organism is identified as (a) a species new to science, (b) an organism not known to occur in the United States, or (c) a pest managed by an APHIS program (program pest; [http://www.aphis.usda.gov/plant\\_health/plant\\_pest\\_info/index.shtml](http://www.aphis.usda.gov/plant_health/plant_pest_info/index.shtml)). Include the permit number, the origins and dates of receipt of the samples, and the identified organism. The notification must be sent to USDA/APHIS/PPQ/PPBP, 4700 River Rd., Unit 133, Riverdale, MD 20737, faxed to 301-734-8700 or emailed to [Pest.Permits@aphis.usda.gov](mailto:Pest.Permits@aphis.usda.gov) Attn: Carl Schulze, as Word, Excel or pdf documents. Notifications must also be sent to the State Plant Health Director (SPHD) and State Plant Regulatory Official (SPRO) of the state of origin of the specific sample within 10 working days (see [http://www.aphis.usda.gov/services/report\\_pest\\_disease/report\\_pest\\_disease.shtml](http://www.aphis.usda.gov/services/report_pest_disease/report_pest_disease.shtml) and <http://www.nationalplantboard.org/member/index.html> for contact information).

14. Under the Plant Protection Act, individuals or corporations who fail to comply with these conditions and authorizations, or who forge, counterfeit, or deface permits or shipping labels may receive civil or criminal penalties, and may have all current permits cancelled and future permit applications denied.
15. EACH HAND CARRYING EVENT MUST BE PREAUTHORIZED BY USDA APHIS BY PROVIDING THE INFORMATION REQUIRED BELOW.
16. The following conditions apply to all hand carry authorizations:
  1. At least TWENTY days prior to each hand carry incident, the permit holder or designee must notify the PPQ Permit Compliance Officer by email ([redandwhitelabelrequest@aphis.usda.gov](mailto:redandwhitelabelrequest@aphis.usda.gov)) to provide specific information on the hand carrier's identity, the anticipated first port of arrival into the United States, the actual date of arrival, the time, and, if travel is by airline, the flight number. The Compliance Officer will notify Customs and Border Protection (CBP) Agriculture Specialist at the port of entry to document and facilitate the entry of the organisms.
  2. The hand carrier must indicate that living organisms are being imported under a USDA permit on the Customs Declaration form if such form is required at the port of entry.
  3. At the port of entry, individuals carrying permitted organism must also present to CBP officers the following articles: Passport or Visa and a valid hand carry PPQ Form 599 Red/White label corresponding to the permit.
  4. Inspection by CBP Officers must confirm that all hand carried articles are securely packaged as per the permit conditions. In the event that a problem is detected, the CBP officer may seize the package and require its movement to the nearest PPQ Inspection Station for processing, clearance or destruction. The permit holder will be responsible for all costs incidental to such forwarding.
  5. After CBP confirmation and clearance through the first port of entry into the United States, hand carried organisms must be transported directly to the containment facility authorized in the permit.
  6. Upon arrival at the facility, the PPQ Compliance Officer must be notified within 24 hours that the organisms arrived. Notification may be by fax (301-734-5392) or email ([redandwhitelabelrequest@aphis.usda.gov](mailto:redandwhitelabelrequest@aphis.usda.gov)). Notification must be by

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an independent third party (e.g. containment facility director, departmental chair, campus biosafety officer, etc.). The notification must include the permit number, label number, date of arrival, the specific organisms that were imported, their origin, and quantity. Failure to notify the PPQ compliance officer may result in loss of hand carry privileges. A PPQ inspector may also visit the facility to confirm the arrival of the package and its contents.


7. ONLY PERSON(S) WHOSE NAME(S) IS/ARE LISTED IN THE ISSUED PERMIT IS/ARE AUTHORIZED TO HAND CARRY.

8. You will receive NEW PPQ Form 599 Red/White labels for each hand carry event once you have submitted the required information. You can NOT use the red and white labels described above that are prepared for BONDED CARRIERS. If you use the PPQ Form 599 Red/White labels for bonded carrier while attempting to hand carry, the package will be seized by the Department of Homeland Security and destroyed.

9. An authorization to hand-carry includes only the organism identified in the permit. Presence of unauthorized organisms in any packages on an individual authorized to hand-carry is a permit violation. Presence of unauthorized organism at the receiving containment facility at any time is also evidence of a permit violation.

END OF PERMIT CONDITIONS

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