

Operational Guidelines for the Export of Apples (all varieties) from the U.S. to the People's Republic of China

05-07-2015

I. Registration Requirements:

A. **Orchards:** Growers must register participating orchards with their packing facility(s). The grower's name, orchard location, variety(s) and lot number(s) are required information that must be provided. Growers must also provide a signed statement certifying that their orchards are managed according to Federal/State Cooperative Agricultural Extension Service guidelines and in accordance with the work plan's risk management measures for quarantine pests of concern to China. (See attached draft Grower Letter of Compliance/Registration form).

B. **Packing facilities:** Packing facilities must register with the USDA-APHIS authorized organization of the respective production region.

- In the PNW, packing facilities must be registered with Northwest Fruit Exporters (NFE) (contact at: nfe@goodfruit.com or Northwest Fruit Exporters, 105 S. 18th Street, Suite 227, Yakima, WA 98901). For the 2014 crop, NFE will carry forward the list of packing facilities that are registered for the Red and Golden Delicious program. Prior to the 2015 harvest, membership registration will be updated in order to have current registration records in the event of an audit from regulatory officials from the U.S. or China.
- Packing facilities located outside of the PNW must be registered with the U.S. Apple Export Council (USAEC) (contact at: info@usaapples.com (with copy to kgallagher@usaapple.com) or U.S. Apple Export Council, 2025 M Street NW, Suite 800, Washington, DC, 20036). The USAEC will compile a list of registered facilities that will be made available to APHIS prior to July 1.

Packing facilities must keep a list of registered growers on file, as well as the associated grower certification statements. These records need to be available for review by USDA-APHIS and China's AQSIQ during site visits or upon request. State inspectors issuing phytosanitary certificates will also need access to the grower list and grower certification statements before conducting phytosanitary inspections. The grower statements **must be** updated when necessary to keep all information current.

II. Orchard Requirements:

1. Growers must register participating orchards with the packing facility(s).
2. Growers must provide their packing facility(s) with a signed statement certifying that their orchards are being managed as prescribed by the Federal/State Cooperative Agricultural Extension Service guidelines and in accordance with the work plan's risk management measures for quarantine pests of concern to China. See attached draft Grower Letter of Compliance/Registration form.
3. Qualified pest control consultants (also known as pest control advisors) must be used to provide pest monitoring and control recommendations in registered orchards.
4. Registered orchards should be managed according to good agricultural practices. These are specifically noted in the work plan as "maintaining the orchard sanitary conditions, pruning, conducting pest monitoring and comprehensive controls". These required activities should follow the work plan's required "risk management measures" and "IPM Guidelines". The IPM guidelines are issued by the

Federal/State Cooperative Extension Service in cooperation with State Universities (such as Washington State University).

5. Trapping and management for **apple maggot**(*Rhagoletis pomonella*):
 - a. Established Pest Free Areas: Trapping for apple maggot is not required in orchards that are located within established pest free areas. Pest free areas for apple maggot will be confirmed and maintained through official trapping programs run by the State Departments of Agriculture.
 - b. Established Areas of Low Pest Prevalence: Trapping for apple maggot must be conducted in orchards that are located in areas of low apple maggot prevalence in order to confirm the low pest prevalence situation on an orchard by orchard basis. Traps are used to monitor apple maggot populations and chemical treatments are applied to control populations below a specified trap threshold (average of 0.05 apple maggot flies per trap per day).
 - c. Areas that do not qualify for Pest Free or Low Pest Prevalence Status: Apples from orchards located in areas that do not qualify for pest free or low pest prevalence status for apple maggot must be undergo cold treatment (prior to export or in transit) in order to qualify for export to China. Trapping for apple maggot is not required when cold treatment will be conducted.

6. Trapping and management for **codling moth** (*Cydia pomonella*):
 - a. Management for codling moth will be based on the use of mating disruption (where conditions are appropriate), trapping and chemical control.
 - b. Trapping for codling moth is required and must use appropriate/recommended lures and trapping techniques. Traps should be checked every two weeks.
 - c. The timing for insecticide applications is to be based upon a growing degree day model. Trap monitoring results will be used to determine the need to apply chemical controls. However, when 5 moths are captured per trap; chemical controls must be applied in the area of the orchard associated with that trap at the optimum timing as indicated by the degree-day model.

7. The continental United States is an established pest free area for the **tropical fruit flies** (*Ceratitis capitata*, *Anastrepha fraterculus*, and *Anastrepha suspensa*) listed as pests of concern in the work plan; as a result, no additional risk management measures are required for these three pests.

8. Integrated pest management (IPM) as prescribed by the Federal/State Cooperative Agricultural Extension Service guidelines for pest control must be implemented in registered orchards that are not located in established pest free areas for the following **insect pests**: leafrollers (*Epiphyas postvittana* and *Choristoneura rosaceana*), weevils (*Anthonomus quadrigibbus*, *Conotrachelus nenuphar* and *Conotrachelus crataegi*), borers (*Cydia pomonella*, *Cydia (Grapholita)prunivora*, and *Cydia (Grapholita)packardi*), mites, aphids, scale, apple leaf curling midge (*Dasineura mali*), pear thrips(*Taeniothrips inconsequens*), and sawfly(*Ametastegia glabrata*). (This is not an exhaustive list of the pests of concern listed in work plan. Please review the work plan for the complete list.)

9. Integrated pest management (IPM) guidelines must also be implemented in registered orchards for management and control of the following **diseases**: *Erwinia amylovora*(fireblight), *Venturia inaequalis*(apple scab), *Monilinia fructicola*(brown rot), *Gymnosporangium clavipes* (cedar-quince rust), *Phialophora malorum* (side rot), *Sphaeropsis pyriputrescens* (Sphaeropsisrot), *Phacidiopycnis washingtonensis* (speck rot), and bulls-eye rot(*Neofabraea malicorticis* and *N. perennans*). (This is not an exhaustive list of the pests of concern listed in work plan. Please review the work plan for the complete list.)

10. Management activities for **fire blight** (*Erwinia amylovora*) must use monitoring and bacterial growth prediction models to time the application of treatments. Treatments will include the use of appropriate chemical or biological controls, or a combination of the two.
11. Registered orchards must be monitored during the growing season for symptoms of the **fungal diseases** *Monilinia fructicola*, *Gymnosporangium clavipes* and *Phialophora malorum*. If any of those fungal diseases are detected in the orchard, then control measures should be applied.
12. Growers must manage **Manchurian crabapple pollenizer trees** in accordance with Washington State University Cooperative Extension guidelines, paying particular attention to the removal of dead and dying branches and fruit possibly infected with speck rot (*Phacidiopycnis washingtonensis*), bulls-eye rot (*Neofabraea malicorticis* and *N. perennans*) and/or Sphaeropsis rot (*Sphaeropsis pyriputrescens*).
13. Growers must maintain records of management, monitoring and control activities in registered orchards. Those records will be made available upon request to USDA-APHIS, and to AQSIQ during any scheduled on-site inspection.
14. Any registered orchard having poor orchard management practices and/or severe pest infection will be removed from the program for the current season and will not be eligible to export to China.
15. Fallen fruit may not be collected and sent to the packing facility to be packed for China.

III. Packing Facility Requirements:

Administration & Receiving:

1. Packing facilities must be registered with the USDA-APHIS authorized organization of the respective production region (Northwest Fruit Exporters in the PNW). Packing facilities located outside of the PNW must be registered with the U.S. Apple Export Council (USAEC).
2. Packing facilities must maintain a current list of participating growers and registered orchards; those lists will be made available to regulatory officials.
3. Packing facilities must maintain the respective grower signed statements; those statements will be made available to regulatory officials.
4. Packing facilities must have a system in place to enable packed fruit to be traced to the supplying orchard.
5. A postharvest fungicide effective against postharvest rots must be applied prior to packing. The fungicide may be applied by drench prior to storage, or alternatively, an atomized fungicide may be applied in cold storage 7 days or less after the apples enter the cold storage. Records of the fungicide application must be maintained by the packing facility and must be made available to regulatory officials upon request.
6. **2014 crop year Red and Golden Delicious apples from Washington State** must comply with the requirements of the work plan and the “Supplementary Inspection and Quarantine Requirements for Export of the 2014 Apple Crop from the State of Washington to China” (also referred to as “Supplementary Requirements”).

Packing Line:

7. The packing line must include processes for apples to be selected (cull fruit removed), cleaned, sorted, graded and packed. The cleaning process must include washing. Adequate space and light must be provided in the sorting area.
8. All apples must undergo washing, brushing and waxing. Alternatively, the calyx and stem areas may be cleaned with an air gun to mitigate pests specified in Attachment 1, Section 5 of the work plan (mites, aphids, scales, apple leaf curling midge and pear thrips). Other equivalent measures may be used if mutually agreed to by USDA-APHIS and AQSIQ.
9. During the processing of apples for export to China, the packing line may only be used to pack fruit qualified for export to China. However, facilities with multiple packing lines in the same packing facility may pack apples qualified for export to China on one packing line and fruit packed for other destinations on the other packing line(s).
10. A sample of forty (40) suspect apples, taken per grower lot per pack day, must be cut and inspected by packing facility employee(s) (or APHIS cooperators).
 - a. Packing facility employees must receive official training (authorized by APHIS) on sampling and inspection techniques in order to conduct the cutting and inspection. Packing facility employees who have received APHIS authorized training on inspection techniques in order to be qualified to cut and inspect apples for other export markets will be considered to have met this training requirement. Packing facilities will maintain a list of trained employees that will be made available to USDA-APHIS, State and/or County Department of Agriculture inspectors upon request. Each facility should have a minimum of two employees trained to sample, cut and inspect apples for export to China.
 - b. The sample must be taken after the apples have been sorted but prior to packing. Culled fruit is not to be sampled and cut for this inspection. Apples shall be cut from stem to calyx to expose the center (core) of the apple, with additional cuts as necessary to investigate areas of suspected insect feeding damage.
 - c. The sample of apples must be carefully inspected for the following pests: apple maggot, weevils, borers, and sawfly.
 - d. Any pest detected during this inspection will be presented to the State or County Department of Agriculture inspector for identification.
11. The following actions will be taken if pests are detected during the cutting of the 40 fruit sample and are identified as:
 - a. *Rhagoletis pomonella* (apple maggot) or *Rhagoletis tabellaria* (white banded fruit fly): Cold treatment of the grower lot, in accordance with the technical requirements of Section 1.1.3 of Attachment 1, will be required in order for apples from that lot to be exported to China.
 - b. Weevils (specifically *Anthonomus quadrigibbus*, *Conotrachelus nenuphar*, *Conotrachelus crataegi*) and /or sawfly(*Ametastegia glabrata*): If the listed weevils or sawfly are detected, then apples from that grower lot that were packed on the date the sample was taken will not be eligible for export to China (i.e. the grower lot will be rejected by pack day). USDA-APHIS will take corrective action and depending on the situation, may suspend the grower lot and/or the packing house for the season.
 - c. Borers (specifically codling moth (*Cydia pomonella*), lesser apple worm (*Cydia (Grapholita) prunivora*, and cherry fruit worm (*Cydia (Grapholita) packardii*)): If any of the listed borers are detected, the grower lot will be suspended from export to China until corrective measures are

confirmed. (Note: Suspension is considered part of the investigative process to determine corrective actions. Once corrective actions have been identified and implemented, the process would include initiating actions to reinstate the grower lot if possible.)

- d. Postharvest decay: Although the work plan does not require this sample to be inspected for postharvest decay, if any postharvest decay is found during the cutting process, the packing facility should find an alternate market for the grower lot and should not pack the lot for export to China.

12. Packing facilities must maintain records that document the results of the cutting and inspection of each 40 fruit sample taken per grower lot per pack date (see attached draft Pre-pack 40 Fruit Sample and Cut Record). Those records will be made available to USDA-APHIS, State and/or County Department of Agriculture inspectors upon request.

IV. Carton, Marking & Storage Requirements:

1. New and clean cartons must be used – no pests, plant debris, weed seeds or soil are allowed in the packed boxes.
2. Packed cartons must be labeled with the following information: variety, origin, grower lot number, packing facility name and/or state lot identification number (in addition to U.S. required marks).
3. Each packed carton for export to China must have a USDA seal. The seal may be on tape, hand-stamped or printed on-line. The seal will be used under the supervision of USDA-APHIS and State and /or County Department of Agriculture inspectors. The seal contains the words “Certified USDA APHIS PPQ”.
4. If cartons are palletized, pallet tags must be used that state: “To be Exported to the People’s Republic of China” in English or Chinese.
5. If cartons are not palletized, then the statement: “To be Exported to the People’s Republic of China” in English or Chinese must be affixed to each individual carton.
6. Apples to be exported to China must be stored separated from fruit that is not-qualified for export to China in order to avoid cross-infestation.

V. Phytosanitary Inspection:

1. Only shipments comprised of apples from grower lots that meet the requirements of the work plan, including the requirements of the risk management measures in Attachment 1, will be submitted for phytosanitary export inspection. Records that document that the requirements of the work plan have been met will be made available to the certifying inspector (APHIS or APHIS Cooperator) prior to the phytosanitary inspection of the grower lot.
2. If the apples originated from areas that are not established pest free areas for apple maggot, weevils, borers and sawflies of concern (listed previously), submitted grower lots must have been found free of those pests as the result of the pre-pack cutting and inspection of the 40 fruit sample. Record(s) documenting the results of that cutting must be made available to the certifying inspector (USDA-APHIS or APHIS Cooperator) prior to phytosanitary shipment inspection.
3. The certifying inspector will review the records to verify that all of the lots in the submitted shipment qualify for export to China before initiating the phytosanitary inspection.

4. A minimum 2% of each shipment will be randomly selected by regulatory officials for the phytosanitary export inspection. The selected sample will be representative of all grower lots in the shipment; 100% of fruit in that sample will be inspected. A minimum of 1200 fruits must be sampled per shipment, with at least 40 fruit cut to inspect for internal feeders.
5. If the 2% sampling rate for the shipment results in a sample size of less than 1200 individual fruits, an increased sampling rate must be used to ensure that at least 1200 fruits are sampled.
6. Actions to be taken for pest detections during phytosanitary export inspection:
 - a. If apple maggot (*Rhagoletis pomonella*) or white banded fruit fly (*Rhagoletis tabellaria*) are detected during the phytosanitary inspection of any grower lot, then apples from that grower lot must be cold treated in accordance with the technical requirements for cold treatment (Section 1.1.3 of Attachment 1) before export to China.
 - b. If codling moth, lesser apple worm or cherry fruit worm (*Cydia pomonella*, *Cydia (Grapholita) prunivora*, or *Cydia (Grapholita) packardii*) are detected during the phytosanitary inspection, the shipment will be rejected for export to China. The grower lot will be suspended from export to China until corrective measures are confirmed.
 - c. If any weevils or sawfly of concern are detected during the phytosanitary inspection, the shipment will be rejected for export to China. APHIS will take corrective action and may suspend the grower lot and/or the packing house for the season.
 - d. If any pest of concern, other than noted above, is detected during the phytosanitary inspection, the shipment will be rejected for export to China. If the pest cannot be identified, then the shipment will not be allowed to export to China. APHIS will take corrective action and may suspend the grower lot and/or the packing house for the season.
 - e. Operationally there is a zero tolerance for detections of decay at the phytosanitary inspection. If symptoms of decay are detected on fruit during the phytosanitary inspection, the shipment will be rejected and apples from that grower lot that were packed on the same pack date will not be eligible for export to China (i.e. the grower lot will be rejected by pack day).
7. Phytosanitary Certificates:
 - a. Certifying officials will issue phytosanitary certificates for shipments which pass the export inspection.
 - b. Phytosanitary certificates must include:
 - The name of the packing facility **AND** the shipping container seal number in the distinguishing marks section (Block 12).
 - The following two statements in the Additional Declaration section:
 1. "All fruits in the shipment meet the requirements of the work plan of quarantine inspection for U.S. fresh apples to be exported to China" **AND**
 2. "Fruits in this shipment were produced under a systems approach to mitigate postharvest diseases of quarantine concern".
 - c. Phytosanitary certificates issued for shipments which are cold treated, either prior to export or in-transit during export transportation, shall have the details of the cold treatment noted as appropriate: treatment temperature, duration, treatment facility name or number (if treated prior to export); treatment temperature, required duration, container seal number (if treated in-transit).
8. Certified shipments must be segregated and handled in such a manner to prevent commingling with other shipments and to prevent infestation of the shipment by pests of concern.

9. The ocean shipping container should be checked to ensure that it is clean and that there is no plant debris in the container.
10. Apples may be exported to any port authorized by AQSIQ for the import of fresh fruits. A website will be available to check for authorized ports.

U.S. Apples to People's Republic of China Export Program

Grower Letter of Compliance/Registration

Grower Name: _____
Street Address: _____ City: _____ State: _____
Mailing Address: _____ City: _____ State: _____
1) Contact Person: _____ Phone: _____ Mobile: _____
2) Contact Person: _____ Phone: _____ Mobile: _____
Packing Facility: _____

Physical Location(s) of Registered Apple Orchard(s) and Associated Grower Lot Numbers			
	Location	Variety	Grower Lot #
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

To Whom It May Concern:

As an apple grower interested in exporting to China, I certify that I will comply with the criteria of the Operational Work Plan for the Export of Apples from the United States to the People's Republic of China. The orchards named above are being managed as prescribed by the Federal/State Cooperative Agricultural Extension Service and in accordance with the work plan's risk management measures for quarantine pests of concern to China.

SIGNED BY: _____ **Date:** _____
Owner/Manager

PRINTED NAME AND TITLE: _____

Return this completed form to your packing facility.

Grower Letters of Compliance/Registration must be completed and kept on file at the grower's participating packing/shipping facility. Federal, State or County inspectors will need to review the Grower Letter(s) prior to packing and phytosanitary inspection of the first shipment of the grower lot for export to China for the season.

APPLES TO CHINA - INSPECTION LOG

Pre-Pack 40 Fruit Sample

Packing Facility: _____

Pack Date: _____

Grower Name	Lot Number	Variety	Sample Size	Pest Detected		Identification
				Yes	No	

Name of Technician

Signature