

Historic, Archive Document

Do not assume content reflects current scientific knowledge, policies, or practices.



United States Department of Agriculture
Animal and Plant Health Inspection Service

Program Aid No. 1888

aHD9000
.9
.U5U553
2008

APHIS' Investigative and Enforcement Services



IES Mission

To protect the health and value of American animal, plant, and natural resources through effective and efficient investigative and enforcement services.

IES Vision

IES is a highly effective investigative and enforcement organization, recognized for its technical sophistication, integrated partnerships, and skilled workforce, in support of the APHIS mission.



A plant health safeguarding specialist examines imported plants to prevent the introduction of foreign pests or diseases into the United States.

Who We Are

Investigative and Enforcement Services (IES) is a component of the U.S. Department of Agriculture's (USDA) Animal and Plant Health Inspection Service (APHIS). IES is responsible for the investigation and enforcement of alleged violations relating to animal and plant issues under APHIS' jurisdiction.

The number of cases that IES investigates each year depends upon the number and types of referrals received from APHIS' program clients and cooperators. In recent years, the caseload has increased more than 70 percent above 2001 levels. IES now conducts more than 6,000 cases and collects approximately \$2 million in civil penalties annually.

IES cases typically include investigating the illegal smuggling of forbidden animal or plant products (working in cooperation with APHIS' Plant Protection and Quarantine program) or enforcing APHIS' Animal Care program standards for breeders of dogs at the wholesale level.



Proper identification allows IES to trace the movements of livestock in a disease outbreak.

IES supports the APHIS mission through comprehensive investigations conducted by a diverse workforce of professional field investigators. To ensure a high level of compliance with APHIS regulations nationwide, the investigative staff operates from two regional offices: the Eastern Regional Office, located in Raleigh, NC, covers 28 States and 2 Territories (Puerto Rico and the U.S. Virgin Islands); and the Western Regional Office, located in Fort Collins, CO, covers 22 States and 1 Territory (Guam). When IES investigators uncover apparent violations, they gather information and prepare case reports that document the evidence in detail.

The enforcement and administrative functions of IES—the Enforcement Operations Branch (EOB) and the Planning, Analysis, and Support Branch (PASB)—are located at APHIS headquarters in Riverdale, MD. Officials with EOB review the investigative case files and determine fair and appropriate enforcement actions based on the documented evidence. The EOB is composed of two parts: the Document Control Section (DCS), which is primarily responsible for maintaining the investigative records, and the Case Review and Enforcement Section (CRES), which calculates penalties and issues enforcement actions on investigated cases.

The PASB provides budget and strategic planning, investigative analysis, and administrative support to IES overall. An integral part of PASB is the Intelligence Analysis Unit, which was formed in 2002. This unit collects and analyzes data on animal and plant movements and relevant industry trends to support regulatory program investigations and enforcement actions. Positioning an intelligence-gathering unit within IES has further enhanced APHIS' efforts to protect American agriculture.



IES helps to ensure that horse shows comply with the Horse Protection Act.

Who Are Our Customers

IES' primary customers include APHIS' Animal Care, Biotechnology Regulatory Services, Plant Protection and Quarantine, and Veterinary Services programs, as well as the U.S. Department of Homeland Security's Customs and Border Protection. IES also serves:

- State cooperators;
- Other Federal, State, and local regulatory or law enforcement agencies; and
- Members of the general public and other individuals, both internal and external to IES, who make inquiries for information regarding APHIS' regulations.

IES Services

IES directs and coordinates investigations related to the laws and regulations underpinning APHIS programs through factfinding and civil and criminal investigations. These investigations are conducted independently by IES or with other Federal, State, and local regulatory or law

enforcement agencies. IES also administers other types of enforcement actions (e.g., Official Warnings, Spot Settlements, Stipulations, and actions undertaken through the Formal Administrative Procedure Act) and coordinates enforcement with USDA's Office of the General Counsel. In addition, IES provides:

- Assessment/analysis of information;
- Evaluation and dissemination of intelligence;
- Training;
- Outreach at conferences, seminars, and trade shows;
- Program support;
- Guidance in interpreting APHIS program laws and regulations;
- Responses to questions by phone or letter;
- Information on violations of APHIS laws and regulations; and
- Intelligence analysis to support investigative and enforcement efforts through comprehensive information-gathering.



Staff members in IES' Enforcement Operations Branch participate in a response team to quickly process cases for submission to USDA's Office of the General Counsel.





A USDA field investigator uses technology to conduct surveillance.

IES Standards

The IES workforce pledges to all our clients that:

- Our service to you will be professional, timely, and courteous and will actively respond to your needs.
- We will protect customer confidentiality.
- Our customers will be treated with fairness and respect.
- If we cannot answer your questions immediately, we will respond to your telephone calls by the close of the next business day.

IES Future

We are committed to delivering professional service and making continual improvement. We will continue to explore initiatives to improve our service.

IES Authorities

Under delegated authorities from the Secretary of Agriculture, IES enforces multiple laws passed by Congress. IES is responsible for investigations and enforcement activities related to the following statutes:

Animal Welfare Act;

Horse Protection Act;

Plant Protection Act (including "inspection animals" at airports);

Animal Health Protection Act;

Federal Seed Act;

Endangered Species Act;

Honey Bee Act;

Agricultural Bioterrorism Protection Act;

Humane Transport of Equines to Slaughter Act;

Virus-Serum-Toxin Act;

Swine Health Protection Act;

Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES); and
Lacey Act.



IES investigates the mishandling of animals in transit on commercial carriers.

APHIS' regulatory authority is derived from Title 9 of the *Code of Federal Regulations* (CFR). The CFR codifies the general and permanent rules published in the *Federal Register* by the executive branch departments and agencies of the Federal Government. IES focuses on these subjects covered under Title 9 of the CFR:

Animal welfare;

Horse protection;

Disease eradication;

Interstate movement of livestock, plants, plant products, or plant pests;

Veterinary biologics; and

APHIS' accredited veterinarian program.

In addition to Title 9, IES is responsible for investigations and enforcement activities related to the following authorities from Title 7 of the CFR:

Biological toxins and agents;

Domestic quarantines;

Endangered species;

Foreign quarantines;

Genetically engineered organisms;

Hawaii quarantines;

Honey bees;

Import/Export;

Noxious weeds;

Plant pests; and the

Seed Act.

How To Contact Us

For more information regarding IES activities, please visit our Web site at <http://www.aphis.usda.gov/ies> or contact us at:

■ USDA-APHIS-IES

4700 River Road, Unit 85
Riverdale, MD 20737-1234
301-734-8684

■ Eastern Region

USDA-APHIS-IES
920 Main Campus Drive, Ste. 200
Raleigh, NC 27606
919-855-7080

■ Western Region

USDA-APHIS-IES
2150 Centre Avenue
Bldg B-3W10
Fort Collins, CO 80526-8117
970-494-7485

In accordance with our plan for continuous improvement to meet customer needs, we welcome your comments, suggestions, and questions. This information assists us in improving our service to our customers. We look forward to hearing from you.

The U.S. Department of Agriculture (USDA) prohibits discrimination in all its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, genetic information, political beliefs, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write to USDA, Director, Office of Civil Rights, 1400 Independence Avenue, S.W., Washington, D.C. 20250-9410, or call (800) 795-3272 (voice) or (202) 720-6382 (TDD). USDA is an equal opportunity provider and employer.

Revised June 2008

