

# 3

Export Program  
Manual

## General Procedures

### *User Fees*

#### Contents

Introduction	<a href="#">page 3-11-2</a>
Federal ACOs	<a href="#">page 3-11-2</a>
State and County ACOs	<a href="#">page 3-11-2</a>
Important PCIT Facts	<a href="#">page 3-11-3</a>
Guidance for Federal ACOs	<a href="#">page 3-11-4</a>
Replacing Export Certificates	<a href="#">page 3-11-10</a>
State and County Guidance for Collecting and Remitting the USDA Administrative Fee in PCIT	<a href="#">page 3-11-11</a>
Replacing Export Certificates	<a href="#">page 3-11-15</a>
State and County Guidance for Collecting and Remitting State and County Fees and the USDA Administrative Fee in PCIT	<a href="#">page 3-11-16</a>
Replacing Export Certificates	<a href="#">page 3-11-20</a>
Federal, State, and County Guidance for Collecting and Remitting the USDA Administrative Fee Without PCIT	<a href="#">page 3-11-21</a>
Guidance for State and County Officials	<a href="#">page 3-11-21</a>
PPQ Responsibilities	<a href="#">page 3-11-22</a>
Certificates Issued Worksheet Instructions	<a href="#">page 3-11-24</a>
Checks Collected Worksheet Instructions	<a href="#">page 3-11-26</a>
Handling Refunds	<a href="#">page 3-11-27</a>
Managing Records	<a href="#">page 3-11-29</a>
Monthly Reports	<a href="#">page 3-11-29</a>
Annual Maintenance	<a href="#">page 3-11-29</a>

## Introduction

The funding for PPQ's export program is generated directly by user fees. User fees for export certification of plants and plant products follows [7 CFR 354](#). This section provides guidance for Authorized Certification Officials (ACOs) regarding the collection of user fees for the following export certificates:

- ◆ PPQ Form 577, Phytosanitary Certificate
- ◆ PPQ Form 578, Export Certificate, Processed Plant Products
- ◆ PPQ Form 579, Phytosanitary Certificate for Reexport

### Federal ACOs

PCIT use is mandatory for all PPQ employees in the collection of funds for export certificates. See [Guidance for Federal ACOs](#) on page 3-11-4.

### State and County ACOs

At this time PCIT use by State and County ACOs is voluntary but highly recommended. An applicable administrative fee applies to all export certificates, both PCIT and multipart paper forms. State and county ACOs should refer to their local policy for collecting user fees and the USDA administrative fee. Refer to [Table 3-11-1](#) below.

**TABLE 3-11-1: Administrative Fees for Export Certificates**

If the export certificate is:	And the fiscal year <sup>1</sup> is:	Then the administrative fee is:
Issued in PCIT <sup>2</sup>	2010 <sup>3</sup>	\$3
	2011 and beyond	\$6
Issued outside of PCIT	2010 <sup>3</sup>	\$6
	2011 and beyond	\$12

- 1 A fiscal year begins on October 1 of each calendar year and ends on September 30 of the following calendar year (e.g. fiscal year 2009 is from October 1, 2008 - September 30, 2009).
- 2 Applicants may also obtain the lower administrative fee for PPQ Form 578 if they are using PCIT and have money in their PCIT account.
- 3 The fees remain in effect after 2012 until new regulations are finalized.



Fees are effective October 1, 2009.

For State or county locations using PCIT, PPQ has developed a mechanism to collect the administrative fee directly from the applicant. See [“Step 1: Collect Administrative Fee”](#) on page-3-11-11.

In addition to collecting the USDA administrative fee, PPQ has also developed the capability to collect the State and county fees associated with export certificates.<sup>1</sup> See [State and County Guidance for Collecting and Remitting State and County Fees and the USDA Administrative Fee in PCIT](#) on page 3-11-16.

State and county locations **not** using PCIT must collect and remit the administrative fee monthly to APHIS for each certificate issued. See [Federal, State, and County Guidance for Collecting and Remitting the USDA Administrative Fee Without PCIT](#) on page 3-11-21.

### Important PCIT Facts

The following PCIT facts apply to all users:

- ◆ **No** fees are removed from accounts until certificates are in issued or printed status.
- ◆ PCIT will **not** allow PPQ Form 577 or 579 to be completed without sufficient funds.
- ◆ Applicants using PCIT may run a debit transaction report to view all credits and debits made to their account.
- ◆ If applicants are **not** using PCIT, then the duty station may run a debit transaction report to view all credits and debits for each applicant.
- ◆ If a company submits an application, duty stations will **never** need to create a shell account.
- ◆ The use of wildcard searches can increase the effectiveness of your search in PCIT. Entering less specific information yields a larger result.

---

1 If a State or county wants PPQ to collect their fees, refer to [Appendix C](#).

## Guidance for Federal ACOs

### Step 1: Determine Shipment Value

The cost of an export certificate is based on whether the shipment is commercial or noncommercial.

#### Commercial Shipments

Shipments with a value greater than or equal to \$1250 are considered commercial.

#### Non-commercial Shipments

Shipments whose value is less than \$1250 are considered non-commercial. Applicants **must** provide an invoice indicating that the value is less than \$1250. Furthermore, the quantity of produce declared and the number and description of packages on the application **must** match those found on the invoice. Attach a copy of the invoice in PCIT.



Important

ACOs **must** use their professional judgment and the shipment's accompanying documentation to establish the shipment's value and to determine whether a shipment is commercial or non-commercial.

#### Humanitarian Shipments

Shipments that are neither for gain nor profit are considered non-commercial regardless of the value. Applicants **must** provide documentation indicating the shipment is a humanitarian shipment.



Important

PCIT automatically sets the fee according to the shipment value. The ACO can override the fee on the certificate adjustment and payment screen.

#### Interagency Agreements

Shipments certified under an interagency agreement are charged the non-commercial rate. If a USDA agency or facility requests such an arrangement, an interagency agreement **must** be signed before issuing an export certificate.<sup>2</sup>

---

<sup>2</sup> To set up an interagency agreement, or to identify the agencies that have valid agreements, contact the Agreement Services Center in Riverdale, Maryland.

## Step 2: Set User Fee for Export Certificates

**TABLE 3-11-2: User Fees for Export Certificates**

If the invoice value is:	And the fiscal year <sup>1</sup> is:	Then:
Commercial (Equal to or greater than \$1,250)	2010	1. SET the fee at \$77 2. GO to <b>Step 3</b> on <b>page 3-11-6</b>
	2011	1. SET the fee at \$104 2. GO to <b>Step 3</b> on <b>page 3-11-6</b>
	2012 <sup>2</sup>	1. SET the fee at \$106 2. GO to <b>Step 3</b> on <b>page 3-11-6</b>
Noncommercial (Less than \$1,250)	2010	1. SET the fee at \$42 2. GO to <b>Step 3</b> on <b>page 3-11-6</b>
	2011	1. SET the fee at \$60 2. GO to <b>Step 3</b> on <b>page 3-11-6</b>
	2012 <sup>2</sup>	1. SET the fee at \$61 2. GO to <b>Step 3</b> on <b>page 3-11-6</b>

- 1 A fiscal year begins on October 1 of each calendar year and ends on September 30 of the following calendar year (e.g. fiscal year 2009 is from October 1, 2008 - September 30, 2009).
- 2 The fees remain in effect after 2012 until new regulations are finalized.



- ◆ If ACOs issue export certificates on contiguous or noncontiguous ROT, PPQ must charge the user fee for the export certificate and the overtime charges.
- ◆ PCIT collects the user fee for export certificates only. Overtime is **not** handled through PCIT. Handle overtime fees according to APHIS policy.

### Step 3: Collect User Fee

- ◆ Applicants **must** pay for export certificates in U.S. funds at the time of service
- ◆ Applicants may deposit funds in PCIT to pay for export certificates.

### Credit Card or eCheck

The preferred method of payment for export certificates is by the applicant through PCIT with credit card or eCheck. If the applicant uses a credit card or eCheck, no further action is required; see [Example A](#) below.

#### Example A

#### Applicant Using eCheck or Credit Card

Company A funds their account in PCIT and submits an application. The applicant should always select prepurchase account in this example.

To create the PPQ Form 577 or 579, the ACO **must**:

1. Process the submitted application.
2. Ensure the fee is correct before clicking “Issue certificate and charge fee”.
3. Complete the certificate printing process.

PCIT APHIS 94 is **not** required.



Important

Credit cards and eChecks are accepted **only** when applicants use the financial management option in PCIT.

### Paper Check or Money Order

Applicants may present paper checks (cashier’s, certified, traveler’s) or money order. ACOs **must** enter that payment into PCIT.

- ◆ Checks and money orders **must** be payable to USDA-APHIS
- ◆ Checks drawn on foreign banks **must** be marked as and payable in U.S. dollars
- ◆ Checks **must** have a 10-digit accounting code written in the lower left corner on the front

Accept a personal check **only** if the total amount due is \$100 or less. The following information should appear on the face of the check:<sup>3</sup>

- ◆ Complete mailing address
- ◆ Driver’s license, or taxpayer identification number
- ◆ Phone number
- ◆ Social security number

<sup>3</sup> As required by the Debt Collection Improvement Act (DCIA); the Department of Treasury, Financial Management Service policy directives; and Departmental, and APHIS policy directives.



- ◆ If a check is returned by the bank for insufficient funds, **do not** certify additional shipments until the outstanding balance is paid in full.
- ◆ Do **not** write below the memo and signature lines on a check.
- ◆ Do **not** write on the back of checks or money orders.
- ◆ Do **not** endorse checks or money orders with a stamp.

See the following examples for entering a paper check or money order in PCIT:

**Example B**

**Applicant Presents Paper Check or Money Order & Submits PCIT Application**

Company B submits applications with PCIT. They give the duty station a check for \$250.00. The applicant should select “prepurchase” when submitting applications.

To handle the check in PCIT, the ACO **must**:

1. Click “Financial Management” and search for Company B.
2. Click “Transactions” for Company B.
3. Select “Add funds to prepurchase account” on the update account menu
4. Enter the check information and click save. Company B now has \$250.00 in their account.

To create the PPQ Form 577 or 579, the ACO **must**:

5. Process the submitted application.
6. Ensure the fee is correct before clicking “Issue certificate and charge fee”.
7. Complete the certificate printing process.

The PCIT APHIS 94 is required and **must** reflect \$250.00 for Company B.

**Example C**

**Applicant Presents Paper Check or Money Order Without a PCIT Organization**

Company C is **not** using PCIT and presents a check for \$500.00. The ACO must use a shell account.

To handle the check in PCIT, the ACO **must**:

1. Click “Financial Management” and search for Company C.
  - ◆ If you find Company C, then a shell account was already created. Go to step 2.
  - ◆ If you do **not** find Company C, then click “Create applicant organization,” complete the information, and click save. Return to step 1.
2. Click “Transactions” for Company C.
3. Select “Add funds to prepurchase account” on the update account menu
4. Enter the check information and click save. Company C now has \$ 500.00 in their account.

The ACO **must**:

5. Create an application for Company C.
6. Update applicant to Company C on the General Screen.
7. Submit the application to the duty station.

To create the PPQ Form 577 or 579 in PCIT, the ACO must:

8. Process the submitted application.
9. Ensure the fee is correct before clicking “Issue certificate and charge fee”.
10. Complete the certificate printing process.

The PCIT APHIS 94 **must** reflect \$500 for company C.

**Collecting User Fees for PPQ Form 578 in PCIT**

As foreign regulations become more complex, the number of PPQ Form 578s issued continues to decline. The number of PPQ Form 578s issued does not justify its inclusion in PCIT.

For any eligible commodity, ACOs should continue completing paper PPQ Form 578s. However, PCIT is designed to collect the appropriate fee for this certificate. See below for instructions on collecting user fees for PPQ Form 578 in PCIT:

1. Select “Financial Management.”
2. Search for the company name. If you find the company name, go to number 3. If you cannot find the company, do the following:
  - A. Click “Create Applicant Organization.” Complete the information and click save.
  - B. Return to number 2 above.
3. Click “Transactions” for Company.
4. Select “Charge for a certificate issued outside of PCIT.”
5. Enter the certificate information and click “Save.”



You may use the same process for PPQ Form 577 and 579 when PCIT is down. A future release of PCIT will require that commodity information be entered and a copy of the export certificate be attached.

#### Step 4: Remit Paper Checks or Money Orders

PCIT will populate the “PCIT generated APHIS 94 information report” (PCIT APHIS 94) for any paper checks or money orders manually entered into PCIT. The PCIT APHIS 94 must be submitted in lieu of “APHIS Form 94, Record of Public Funds Received for export certification fees.”

#### How to Generate and Remit PCIT APHIS 94

1. Select “View Reports”.
2. Select “APHIS 94 Record of Public Funds Received”.
3. Click submit.
4. Select the appropriate duty station.
5. Fill in the date range.
6. Click next.
7. Click generate report.
8. Print the report.
9. Review the report for accuracy.
10. Complete blocks 11 and 12.
11. Photocopy each check or money order for the work location records.
12. Attach checks and/or money orders to the PCIT APHIS 94.
13. Send (see important note below) the PCIT APHIS 94 with the checks and/or money orders to the address printed in *Block 3*.
14. Keep a copy of the PCIT APHIS 94 and the associated checks or money orders until a receipted copy is returned from the Minneapolis Financial Services Branch (MFSB).
15. File the receipted copy. If you **do not** receive a receipted copy within 3 weeks of your submission, notify the Minneapolis Financial Services Branch.



**Never** send the collected fees later than the second work day from the date you received the fees. Use the date of the first transaction on the PCIT APHIS 94 as a guide.

## Replacing Export Certificates

User fees are applicable for export certificates that must be replaced because of an error caused by the applicant or for changes to information about a shipment. Refer to [Table 3-11-3](#) below to determine the appropriate replacement fee.

**TABLE 3-11-3: Replacement Fees for Export Certificates**

If the fiscal year <sup>1</sup> is:	Then set the replacement fee at:
2010	\$11.00
2011	\$15.00
2012 <sup>2</sup>	\$15.00

- 1 A fiscal year begins on October 1 of each calendar year and ends on September 30 of the following calendar year (e.g. fiscal year 2009 is from October 1, 2008 – September 30, 2009).
- 2 The fees remain in effect after 2012 until new regulations are finalized.



PPQ does **not** charge user fees for export certificates that **must** be replaced because of an error caused by an ACO.



The quantity **cannot** be increased when replacing an export certificate. Any increase in quantity would necessitate an additional inspection.

If the applicant requests the original export certificate be split into multiple certificates, set the fee for the first replacement at \$15.00. Charge all additional replacements the applicable rate specified in [Table 3-11-2](#) on [page-3-11-5](#).

## State and County Guidance for Collecting and Remitting the USDA Administrative Fee in PCIT

### Step 1: Collect Administrative Fee

- ◆ Applicants **must** pay the administrative fee for export certificates in U.S. funds at the time of service
- ◆ Applicants may deposit funds in PCIT to pay the administrative fee associated with export certificates issued by State and County ACOs.

### Credit Card or eCheck in PCIT

The preferred method of payment for the administrative fee is by the applicant through PCIT with credit card or eCheck. If the applicant uses a credit card or eCheck, no further action is required by the State or County. See [Example D](#) below.

#### Example D

#### Applicant Using eCheck or Credit Card

Company D funds their account in PCIT and submits an application. Applicants should always select prepurchase account in this example. The ACO **must**:

1. Process the submitted application.
2. Complete the certificate printing process.

PCIT APHIS 94 is **not** required.



Important

Credit cards and eChecks are accepted **only** when using the financial management option in PCIT.

### Paper Check or Money Order in PCIT

Applicants may also present a paper check (cashier's, certified, traveler's,) or money order for the administrative fee. If a State or County does not want to accept paper checks or money orders for the administrative fee, then refer the applicant to the closest PPQ location. Once PPQ enters the proper check or money order in PCIT, then the money would be available at any location using PCIT.

If a State or county elects to collect paper checks or money orders, then the ACO must enter that payment in PCIT.

- ◆ Checks and money orders **must** be payable to USDA-APHIS
- ◆ Checks drawn on foreign banks **must** be marked as and payable in U.S. dollars
- ◆ Checks **must** have a 10-digit accounting code written in the lower left corner

Accept a personal check **only** if the total amount due is \$100 or less. The following information should appear on the face of the check:<sup>4</sup>

- ◆ Complete mailing address
- ◆ Driver's license, or taxpayer identification number
- ◆ Phone number
- ◆ Social security number



**Important**

- ◆ If a check is returned by the bank for insufficient funds, **do not** certify additional shipments until the outstanding balance is paid in full.
- ◆ Do **not** write below the memo and signature lines on a check.
- ◆ Do **not** write on the back of checks or money orders.
- ◆ Do **not** endorse checks or money orders with a stamp.

See the following examples for entering a paper check or money order in PCIT:

**Example E**

**Applicant Using Paper Check or Money Order & Submitting PCIT Application**

Company E submits applications with PCIT. They give the duty station a check for \$250.00. They should select "prepurchase" when submitting applications.

To handle the check, in PCIT, the ACO **must**:

1. Click "Financial Management" and search for Company E.
2. Click "Transactions" for Company E.
3. Select "Add funds to prepurchase account" on the update account menu.
4. Enter the check information and click save. Company E now has \$250.00 in their account.

To create the PPQ Form 577 or 579, the ACO **must**:

5. Process the submitted application.
6. Complete the certificate printing process.

The PCIT APHIS 94 **must** reflect \$250.00 for Company E.

---

<sup>4</sup> As required by the Debt Collection Improvement Act (DCIA); the Department of Treasury, Financial Management Service policy directives; and Departmental, and APHIS policy directives.

**Example F**

**Applicant Using Paper Check or Money Order Without a PCIT Organization**

Company F is **not** using PCIT and hands you a check for \$500.00. The ACO must use a shell account.

To handle the check in PCIT, the ACO **must**:

1. Click “Financial Management” and search for Company F.
  - ◆ If you find Company F, then a shell account was already created. Go to step 2.
  - ◆ If you do **not** find Company F, then click “Create applicant organization,” complete the information, and click save. Return to step 1.
2. Click “Transactions” for Company F.
3. select “Add funds to prepurchase account” on the update account menu.
4. Enter the check information and click save. Company F now has \$ 500.00 in their account.

To create the application in PCIT, the ACO **must**:

5. Create an application for Company F.
6. Update applicant to Company F on the General Screen.
7. Submit the application to the duty station.

To create the PPQ Form 577 or 579 in PCIT, the ACO **must**:

8. Process the submitted application.
9. Complete the certificate printing process.

The PCIT APHIS 94 **must** reflect \$500 for company F.

**Collecting  
Administrative  
Fee for PPQ  
Form 578 in  
PCIT**

As foreign regulations become more complex, the number of PPQ Form 578s issued continues to decline. The number of PPQ Form 578s issued does not justify its inclusion in PCIT.

For any eligible commodity, ACOs should continue completing paper PPQ Form 578s. However, PCIT is designed to collect the appropriate fee for this certificate. See below for instructions on collecting user fees for PPQ Form 578 in PCIT:

1. Select “Financial Management.”
2. Search for the company name. If you find the company name, go to number four. If you cannot find the company, do the following:
  - A. Click “Create Applicant Organization.” Complete the information and click save.
  - B. Return to number 2 above.
3. Click “Transactions” for Company.
4. Select “Charge for a certificate issued outside of PCIT.”
5. Enter the certificate information and click “Save.”



You may use the same process for PPQ Form 577 and 579 when PCIT is down. A future release of PCIT will require that commodity information be entered and a copy of the export certificate be attached.

## Step 2: Remit the Administrative Fee

### Remitting with PCIT

PCIT will populate the “PCIT generated APHIS 94 information report” (PCIT APHIS 94) for any paper checks or money orders manually entered into PCIT.

#### How to Generate and Remit PCIT APHIS 94

1. Select “View Reports”.
2. Select “APHIS 94 Record of Public Funds Received”.
3. Click submit.
4. Select the appropriate duty station.
5. Fill in the date range.
6. Click next.
7. Click generate report.
8. Print the report.
9. Review the report for accuracy.
10. Complete blocks 11 and 12.
11. Photocopy each check or money order for the work location records.
12. Attach checks and/or money orders to the PCIT APHIS 94.
13. Send (see important note below) the PCIT APHIS 94 with the checks and/or money orders to the address printed in *Block 3*.
14. Keep a copy of the PCIT APHIS 94 and the associated checks or money orders until a receipted copy is returned from the Minneapolis Financial Services Branch (MFSB).
15. File the receipted copy. If you **do not** receive a receipted copy within 3 weeks of your submission, notify the Minneapolis Financial Services Branch.



The State or county **must** remit all paper checks or money orders by the eighth day of the following month.

## Replacing Export Certificates

The administrative fee is applicable for export certificates that must be replaced because of an error caused by the applicant or for changes to information about a shipment.



There is **no** administrative fee for export certificates that **must** be replaced because of an error caused by an ACO.



The quantity **cannot** be increased when replacing an export certificate. Any increase in quantity would necessitate an additional inspection.

If the applicant requests the original export certificate be split into multiple certificates, then the applicable administrative fee applies to all certificates.

### EXAMPLE

The applicant wants an original export certificate split into three certificates. The administrative fee applies to the original export certificate and all three split certificates.

## State and County Guidance for Collecting and Remitting State and County Fees and the USDA Administrative Fee in PCIT

### Step 1: Collect All Fees

- ◆ Applicants **must** pay for export certificates in U.S. funds at the time of service
- ◆ Applicants may deposit funds in PCIT to pay for export certificates.

### Credit Card or eCheck in PCIT

The preferred method of payment for export certificates is by the applicant through PCIT with credit card or eCheck. If the applicant uses a credit card or eCheck, no further action is required by the State or County. See [Example G](#) below.

#### Example G

#### Applicant Using eCheck or Credit Card

Company G funds their account in PCIT and submits an application. Applicants should always select prepurchase account in this example. The ACO **must**:

1. Process the submitted application.
2. On the certificate adjustment screen, click "Enter State/County Fees."
3. Fill in the appropriate fields and click "Save."
4. Complete the certificate printing process.

PCIT APHIS 94 is **not** required.



Important

Credit cards and eChecks are accepted **only** when using the financial management option in PCIT.

### Paper Check or Money Order in PCIT

Applicants may also present paper checks (cashier's, certified, traveler's,) or money orders for the appropriate user fees. If a State or County does not want to accept paper checks or money orders for the administrative fee, then refer the applicant to the closest PPQ location. Once PPQ enters the paper check or money order in PCIT, then the money would be available at any location using PCIT.

If a State or County elects to collect paper checks or money orders, then the ACO must enter those forms of payment into PCIT.

- ◆ Checks and money orders **must** be payable to USDA-APHIS
- ◆ Checks drawn on foreign banks **must** be marked as and payable in U.S. dollars
- ◆ Checks **must** have a 10-digit accounting code written in the lower left corner

Accept a personal check **only** if the total amount due is \$100 or less. The following information should appear on the face of the check:<sup>5</sup>

- ◆ Complete mailing address
- ◆ Driver's license, or taxpayer identification number
- ◆ Phone number
- ◆ Social security number



- ◆ If a check is returned by the bank for insufficient funds, **do not** certify additional shipments until the outstanding balance is paid in full.
- ◆ Do **not** write below the memo and signature lines on a check.
- ◆ Do **not** write on the back of checks or money orders.
- ◆ Do **not** endorse checks or money orders with a stamp.

See the following examples for entering a paper check or money order in PCIT:

**Example H**

**Applicant Using Paper Check or Money Order & Submitting PCIT Application**

Company H submits applications with PCIT. They give the duty station a check for \$250.00. They should select "prepurchase" when submitting applications.

To handle the check, in PCIT, the ACO **must**:

1. Click "Financial Management" and search for Company H.
2. Click "Transactions" for Company H.
3. Select "Add funds to prepurchase account" on the update account menu.
4. Enter the check information and click save. Company H now has \$250.00 in their account.

To create the PPQ Form 577 or 579, the ACO **must**:

5. Process the submitted application.
6. On the certificate adjustment screen, click "Enter State/County Fees."
7. Fill in the appropriate fields and click "Save."
8. Complete the certificate printing process.

The PCIT APHIS 94 **must** reflect \$250.00 for Company H.

---

<sup>5</sup> As required by the Debt Collection Improvement Act (DCIA); the Department of Treasury, Financial Management Service policy directives; and Departmental, and APHIS policy directives.

**Example I**

**Applicant Using Paper Check or Money Order Without a PCIT Organization**

Company I is **not** using PCIT and hands you a check for \$500.00. The ACO must use a shell account.

To handle the check in PCIT, the ACO **must**:

1. Click “Financial Management” and search for Company I.
  - ◆ If you find Company I, then a shell account was already created. Go to step 2.
  - ◆ If you do **not** find Company I, then click “Create applicant organization,” complete the information, and click save. Return to step 1.
2. Click “Transactions” for Company I.
3. Select “Add funds to prepurchase account” on the update account menu.
4. Enter the check information and click save. Company I now has \$ 500.00 in their account.

To create the application in PCIT, the ACO **must**:

5. Create an application for Company I.
6. Update applicant to Company I on the General Screen.
7. Submit the application to the duty station.

To create the PPQ Form 577 or 579 in PCIT, the ACO **must**:

8. Process the submitted application.
9. On the certificate adjustment screen, click “Enter State/County Fees.”
10. Fill in the appropriate fields and click “Save.”
11. Complete the certificate printing process.

The PCIT APHIS 94 **must** reflect \$500 for company I.

**Collecting User Fees for PPQ Form 578 in PCIT**

As foreign regulations become more complex, the number of PPQ Form 578s issued continues to decline. The number of PPQ Form 578s issued does not justify its inclusion in PCIT.

For any eligible commodity, ACOs should continue completing paper PPQ Form 578s. However, PCIT is designed to collect the appropriate fee for this certificate. See below for instructions on collecting user fees for PPQ Form 578 in PCIT:

1. Select “Financial Management.”
2. Search for the company name. If you find the company name, go to number four. If you cannot find the company, do the following:
  - A. Click “Create Applicant Organization.” Complete the information and click save.
  - B. Return to number 2 above.
3. Click “Transactions” for Company.
4. Select “Charge for a certificate issued outside of PCIT.”

5. Enter the certificate information and click “Save.”



You may use the same process for PPQ Form 577 and 579 when PCIT is down. A future release of PCIT will require that commodity information be entered and a copy of the export certificate be attached.

**Remitting with PCIT**

**Step 2: Remit All Fees Collected to USDA**

PCIT will populate the “PCIT generated APHIS 94 information report” (PCIT APHIS 94) for any paper checks or money orders manually entered into PCIT.

**How to Generate and Remit PCIT APHIS 94**

1. Select “View Reports”.
2. Select “APHIS 94 Record of Public Funds Received”.
3. Click submit.
4. Select the appropriate duty station.
5. Fill in the date range.
6. Click next.
7. Click generate report.
8. Print the report.
9. Review the report for accuracy.
10. Complete blocks 11 and 12.
11. Photocopy each check or money order for the work location records.
12. Attach checks and/or money orders to the PCIT APHIS 94.
13. Send (see important note below) the PCIT APHIS 94 with the checks and/or money orders to the address printed in *Block 3*.
14. Keep a copy of the PCIT APHIS 94 and the associated checks or money orders until a receipted copy is returned from the Minneapolis Financial Services Branch (MFSB).
15. File the receipted copy. If you **do not** receive a receipted copy within 3 weeks of your submission, notify the Minneapolis Financial Services Branch.



The State or county **must** remit all paper checks or money orders by the eighth day of the following month.

## Replacing Export Certificates

The administrative fee is applicable for export certificates that must be replaced because of an error caused by the applicant or for changes to information about a shipment.



There is **no** administrative fee for export certificates that **must** be replaced because of an error caused by an ACO.



The quantity **cannot** be increased when replacing an export certificate. Any increase in quantity would necessitate an additional inspection.

If the applicant requests the original export certificate be split into multiple certificates, then the applicable administrative fee applies to all certificates.

### **EXAMPLE**

The applicant wants an original export certificate split into three certificates. The administrative fee applies to the original export certificate and all three split certificates.

## Federal, State, and County Guidance for Collecting and Remitting the USDA Administrative Fee Without PCIT

### Guidance for State and County Officials

The following section describes the activities necessary for collecting and remitting the USDA Administrative Fee for States or Counties not using PCIT. The remittance mechanism was established according to the least common denominator and took State and County legislative concerns into consideration as much as possible.

Since States and Counties have different rules concerning fees, a single worksheet could not be developed for the remittance of administrative fees and the tracking of issued certificates, so the “Checks Collected Worksheet” and the “Certificates Issued Worksheet” were developed. State and County ACOs should refer to their local policy regarding fee collection. The various mechanisms may require exporters to pay for certification services in one of the following ways:

- ◆ Multiple checks (e.g. one check for the State or County and a check made to USDA-APHIS) for each certificate issued
- ◆ Multiple checks (e.g. same as above) that cover more than one certificate and the State or County tracks the exporters balance
- ◆ One check for the State or County and they remit to the USDA directly at the end of the month for all the certificates issued

### Track the Certificates Issued

States and Counties **not** using PCIT need to track and record all certificates issued on a monthly basis. Prior to the administrative fee, the total number of certificates issued by each location was all that was required. With the administrative fee, APHIS needs additional information to determine how much money was collected and to facilitate reconciliation. To track the total number of certificates issued, the “Certificates Issued Worksheet” ([Figure 3-11-1](#) on [page 3-11-23](#)) was created. ACOs **must** complete the worksheet for every certificate issued.

Use the “Certificates Issued Worksheet” in [Figure 3-11-1](#) for tracking the issuance of certificates. To complete this worksheet, see [Certificates Issued Worksheet Instructions](#) on [page 3-11-24](#).

### Collecting the Administrative Fee

Once the USDA administrative fee is collected, all checks must be sent to the U.S. Bank lock box in St. Louis for processing. The “Checks Collected Worksheet” ([Figure 3-11-2](#) on [page 3-11-25](#)) provides all the necessary information for remitting checks to the USDA.



If an applicant carries a balance over time, the State or County should track the balance.

Use the “Checks Collected Worksheet” in [Figure 3-11-2](#) on [page 3-11-25](#) for documenting the receipt and transmittal of USDA administrative fees. Refer to [Checks Collected Worksheet Instructions](#) on [page 3-11-26](#) to complete the worksheet.

## Remitting Information

The State or County must do the following by the 8th of each month:

- ◆ Make 2 copies of all checks, worksheets, and certificates
- ◆ Send copies of all checks, worksheets, and certificates to the ECS responsible for their area
- ◆ Retain a copy of all checks, worksheets, and certificates on file
- ◆ Submit the original checks and “Checks Collected Worksheet” to the address located in Block 2

### EXAMPLE

If a certificate is issued on July 1, 2010, the State or County must submit the check, the Checks Collected Worksheet, and the Certificates Issued Worksheet to the ECS responsible for their area by August 8, 2010.

## Replacing Export Certificates

When replacing export certificates, the applicable administrative fee applies. The administrative fee is applicable for export certificates that must be replaced because of an error caused by the applicant or for changes to information about a shipment.



There is **no** administrative fee for export certificates that **must** be replaced because of an error caused by an ACO.



The quantity **cannot** be increased when replacing an export certificate. Any increase in quantity would necessitate an additional inspection.

## PPQ Responsibilities

### Tracking Certificates

In order for USDA to accurately account for all certificates issued and the associated administrative fees, the ECS must track the certificate numbers provided to State and County locations.

### Reconciling Information

Reconciliation of the Checks Collected Worksheet, Certificates Issued Worksheet, and the certificates that were provided to the States and Counties has to be done monthly.

### Certificates Issued Worksheet

01. \_\_\_\_\_ 02. From: \_\_\_\_\_  
(LOCAL ECS) (STATE OR COUNTY)

	03. Date	04. Applicant	05. Certificate Number	06. ACO Error
1.				<input type="checkbox"/> YES <input type="checkbox"/> NO
2.				<input type="checkbox"/> YES <input type="checkbox"/> NO
3.				<input type="checkbox"/> YES <input type="checkbox"/> NO
4.				<input type="checkbox"/> YES <input type="checkbox"/> NO
5.				<input type="checkbox"/> YES <input type="checkbox"/> NO
6.				<input type="checkbox"/> YES <input type="checkbox"/> NO
7.				<input type="checkbox"/> YES <input type="checkbox"/> NO
8.				<input type="checkbox"/> YES <input type="checkbox"/> NO
9.				<input type="checkbox"/> YES <input type="checkbox"/> NO
10.				<input type="checkbox"/> YES <input type="checkbox"/> NO
11.				<input type="checkbox"/> YES <input type="checkbox"/> NO
12.				<input type="checkbox"/> YES <input type="checkbox"/> NO
13.				<input type="checkbox"/> YES <input type="checkbox"/> NO
14.				<input type="checkbox"/> YES <input type="checkbox"/> NO
15.				<input type="checkbox"/> YES <input type="checkbox"/> NO
16.				<input type="checkbox"/> YES <input type="checkbox"/> NO
17.				<input type="checkbox"/> YES <input type="checkbox"/> NO
18.				<input type="checkbox"/> YES <input type="checkbox"/> NO
19.				<input type="checkbox"/> YES <input type="checkbox"/> NO
20.				<input type="checkbox"/> YES <input type="checkbox"/> NO
21.				<input type="checkbox"/> YES <input type="checkbox"/> NO
22.				<input type="checkbox"/> YES <input type="checkbox"/> NO
23.				<input type="checkbox"/> YES <input type="checkbox"/> NO
24.				<input type="checkbox"/> YES <input type="checkbox"/> NO
25.				<input type="checkbox"/> YES <input type="checkbox"/> NO
26.				<input type="checkbox"/> YES <input type="checkbox"/> NO
27.				<input type="checkbox"/> YES <input type="checkbox"/> NO
28.				<input type="checkbox"/> YES <input type="checkbox"/> NO
29.				<input type="checkbox"/> YES <input type="checkbox"/> NO
30.				<input type="checkbox"/> YES <input type="checkbox"/> NO
31.				<input type="checkbox"/> YES <input type="checkbox"/> NO
32.				<input type="checkbox"/> YES <input type="checkbox"/> NO
33.				<input type="checkbox"/> YES <input type="checkbox"/> NO
34.				<input type="checkbox"/> YES <input type="checkbox"/> NO
35.				<input type="checkbox"/> YES <input type="checkbox"/> NO
36.				<input type="checkbox"/> YES <input type="checkbox"/> NO

\_\_\_\_\_  
SENT BY (SIGNATURE)

\_\_\_\_\_  
PRINTED NAME

\_\_\_\_\_  
TITLE

\_\_\_ of \_\_\_

**FIGURE 3-11-1: Certificates Issued Worksheet**

### **Certificates Issued Worksheet Instructions**

Block 1 - Fill in the first and last name of your local Export Certification Specialist (ECS)

Block 2 - Fill in the address of the State or County duty station location

Block 3 - Input the date the export certificate was issued

Block 4 - Input the name of the applicant

- ◆ In many cases, the applicant and exporter are the same. Enter the name of the person who actually paid for the certificate, not necessarily the exporter listed on the certificate.

Block 5 - Input the export certificate number

Block 6 - Indicate if the export certificate was issued to replace a previously issued certificate due to an error by the certifying official



### **Checks Collected Worksheet Instructions**

PPQ attempted to capture all the required information through the use of one worksheet instead of requiring state/county locations to fill out multiple documents each month. The worksheet contains all the information needed by PPQ to track and account for certificates issued and fees collected.

Block 1 - Prefilled - Account Number

Block 2 - Prefilled - Address to send original checks and worksheets

Block 3 - Fill in the address of the state/county location

Block 4 - Input the date the certificate was issued

Block 5 - Input the name of the applicant organization

- ◆ In many cases, the applicant and exporter are the same. Enter the name of the person who actually paid for the certificate, not necessarily the exporter listed on the certificate.

Block 6 - Input the person that signed the check or money order

Block 7 - Input the check or money order number

Block 8 - Input the amount of the check collected

Block 9 - Signature of the person sending in the worksheet

Block 10 - Printed name of signer in block 9

Block 11 - Title of person

Block 12 - Name of responsible ECS

Block 13 - To be completed if the worksheet requires multiple pages

Received Block - To be completed by USDA

## Handling Refunds

If an applicant requests a refund for the remaining balance in their PCIT account, arrange for a refund from USDA-APHIS Financial Management Division, Minneapolis Financial Services Branch (MFSB).



Important

Once an export certificate has been issued and the applicant decides **not** to export the commodity, the user fee is **no** longer refundable.  
**Do not** refund any fee.

Use the Refund Request Worksheet shown in [Figure 3-11-3](#) on [page 3-11-28](#) when processing all refunds. PPQ personnel **must** determine the method of payment for establishing the applicant's account balance, in order to properly request the refund.

Check payments received by the PPQ field offices will require the top portion of the worksheet to be completed by the applicant and the bottom portion to be completed by the PPQ field office. The completed worksheet should then be sent to MFSB, requesting a refund to the applicant's bank account. For Credit card or Automated Clearing House (ACH) payments entered by the applicant into Pay.gov, the bottom portion of the worksheet should be completed and sent to the PCIT help desk.

PCIT help desk staff will determine the agency tracking number and PCIT tracking number to which the refund applies. The PCIT Helpdesk will submit the credit card or ACH refund requests to MFSB staff through [abshelpline@aphis.usda.gov](mailto:abshelpline@aphis.usda.gov). Once the refund has been completed by either of the above procedures, MFSB staff will notify PCIT HelpDesk that the PCIT Account can be decreased by the refund amount.

Send the worksheet (memo, FAX, or E-mail) to MFSB requesting the refund. Only PPQ personnel may submit this form.



UNITED STATES DEPARTMENT OF AGRICULTURE  
REFUND REQUEST WORKSHEET  
(Please type or print all information)

MAIL, FAX, or EMAIL TO:

USDA, APHIS, FMD  
Attn: Billings & Collections Team  
100 North Sixth Street, 510C  
Minneapolis, MN 55403  
612-336-3275  
612-336-3549 FAX  
abs helpline@aphis.usda.gov

Company/Payee Name \_\_\_\_\_  
Address \_\_\_\_\_  
Taxpayer ID Number (TIN) \_\_\_\_\_ (9 digits)  
Financial Institution Name \_\_\_\_\_  
Financial Institution Routing Transit Number (RTN) \_\_\_\_\_ (9 digits)  
Depositor Account Title \_\_\_\_\_  
Depositor Account Number \_\_\_\_\_  
Type \_\_\_\_\_ Checking \_\_\_\_\_ Savings \_\_\_\_\_  
Vendor's Contact Person \_\_\_\_\_ Phone \_\_\_\_\_  
Vendor's Contact E-mail \_\_\_\_\_  
Vendor's Authorized Signature \_\_\_\_\_ Date \_\_\_\_\_

Privacy Act Statement: Collection of this information is authorized by 31 U.S.C. 3332(g), 3325(d), and 7701(c). The information will be used by the Government to make payments by electronic funds to a vendor. This information may also be used for income reporting and for collecting and reporting any delinquent amounts arising out of a vendor's relationship with the Government. Disclosure of the information by the vendor is mandatory. Failure to provide the requested information may result in the delay or withholding of payments to the vendor.

A. Amount to be refunded \_\_\_\_\_  
B. Accounting code the payment was posted against \_\_\_\_\_  
C. Check number \_\_\_\_\_  
D. Exporter's name and address \_\_\_\_\_  
E. Exporter's phone number \_\_\_\_\_  
F. Exporter's Social Security number (or tax I.D.) \_\_\_\_\_  
G. PPQ contact in case there are questions \_\_\_\_\_  
H. PPQ contact printed name \_\_\_\_\_  
I. PPQ contact signature \_\_\_\_\_

**FIGURE 3-11-3: Refund Request Worksheet**

## Managing Records

To maintain the credibility of the PPQ export program, an accountability system was established to deter forgeries and to control public misuse of export certificates.

ACOs **must** maintain an audit trail because the PPQ export program is one in which money is collected and handled directly.



A report equivalent to PPQ Form 575 is available in PCIT and is generated at the regional level for PPQ offices.

## Monthly Reports

### PCIT Work Unit

No further action is required since PCIT generates reports of all certificates processed within the system.

### Non-PCIT Work Unit

Work units **must** count and compile all PPQ Forms 577, 578, and 579 successfully issued along with all export certificates replaced due to ACO error (no fee charged). The SPHD or designee **must** compile all State and county export certificate records and record that information into Work Accomplishment Data System (WADS) by the eighth day of the following month.

### Regional Office

Regional offices are capable of generating any report needed from PCIT. The regional office will combine the information from PCIT along with the data from the Non-PCIT work units WADS entries.

## Annual Maintenance

Collect and maintain records and files as follows.

1. Keep a copy of the PCIT APHIS 94 used to send user fee money for export certificates.
2. File the PCIT APHIS 94 and associated check/money order copies for 3 years. After 3 years storage at your duty station, destroy the records according to your duty station's policy for disposal of sensitive documents.

#### EXAMPLE

At the end of Fiscal Year 2009, you should have the records for Fiscal Years 2006, 2007, and 2008 in storage on site. Destroy all records for fiscal year 2006 according to your duty station's policy for disposal of sensitive documents.

### User Fee Section

USDA-APHIS-FMD, User Fee Section summarizes the information received from the regions and provides Export Services (ES) with an annual summary of export certification activities.

