3 General Procedures

Export Program Manual

Collecting User Fees

Contents

Introduction

This section provides Federal Authorized Certification Officials (ACOs) guidance to collect user fees. State or county ACOs should refer to their local policy for collecting user fees when issuing export certificates.

The funding for PPQ's export program is generated directly by user fees. Therefore, the collecting of user fees is a crucial task in order to maintain the financial soundness of PPQ's export program. User fees are collected for the following export certificates:

- ◆ PPQ Form 577, Phytosanitary Export Certificate

- ◆ PPQ Form 578, Export Certificate, Processed Plant Products

- ◆ PPQ Form 579, Phytosanitary Certificate for Reexport

Each ACO work location has an inventory of accountable security paper and export certificates. Exporters pay for each export certificate at the time of service. Exporters may deposit funds in advance for future export certificates.

Step 1: Determine Shipment Value

Commercial Shipments

Shipments with a value greater than or equal to $1250 are considered commercial and export certificates cost $50.

⚠️ **Important**	Samples are considered to be commercial shipments.

Noncommercial Shipments

Shipments whose value is less than $1250 cost $23.00. If the exporter requests that the export certificate be provided at the lower fee ($23), they **must** provide a commercial invoice indicating that the value is less than $1250. Furthermore, the quantity of produce declared and the number and the description of packages on the application for service **must** match, exactly, those found on the invoice. Attach a copy of the invoice to the Issuing Office Copy of the export certificate.

Shipments certified under the interagency agreement are charged the non-commercial rate. See *Collecting Fees from USDA Agencies* on **page 3-11-7**.

⚠️ **Important**	To qualify for the $23.00 rate, the exporter, shipper, or broker must present one of the following documents: CCC 512, Notice of Commodity Availability; KC 269, Notice to Deliver; KC 269-A, Forwarding Notice.

⚠️ **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 noncommercial.

Humanitarian Shipments

Shipments that are neither for gain nor profit are considered noncommercial regardless of the value. Exporters of noncommercial shipments **must** provide documentation indicating the shipment is noncommercial. All humanitarian shipments qualify for the $23.00 rate.

Step 2: Set User Fee

In addition to charging a user fee for export certificates, PPQ will also charge for an exporter's request to inspect commodities on overtime (outside the normal tour of duty hours). PPQ user fees and

reimbursable overtime (ROT) charges conform to 7 CFR 354, Overtime Services Relating to Imports and Exports and User Fees, and 7 CFR 354.3, User Fees for Certain International Services.

Export Certificates Issued on Regular Time or Contiguous ROT

If export certification service is performed on regular time, PPQ **only** charges the user fee for the export certificate.

If export certification service is performed on Contiguous ROT, PPQ **must** charge the user fee for the export certificate and the overtime charges.

See Table 3-11-1 on **page-3-11-3** for instructions about how to set the user fee for export certificates issued on regular time or ROT.

TABLE 3-11-1: Set User Fee for Export Certificates Issued on Regular or Contiguous, Reimbursable Overtime

If the invoice value is:	Then:
Less than $1,250 (noncommercial)	1. SET the fee at $23 2. GO to *Step 3: Collect User Fee* on **page 3-11-4**
At or greater than $1,250 (commercial)	1. SET the fee at $50 2. GO to *Step 3: Collect User Fee* on **page 3-11-4**

Export Certificates Issued on Noncontiguous ROT

If the exporter obtains service on noncontiguous ROT, PPQ **does not** charge the user fee for the export certificate.

Follow these steps to charge for the ROT:

1. Charge ROT on an APHIS Form 89 recording the export certificate's number in Block 12.

2. Follow standard billing or c.o.d. procedures.

> ⚠️ **Important** PCIT will collect certification fees only. Overtime fees are still handled according to APHIS policy.

> ⚠️ **Important** The PCIT system automatically sets the fee according to the shipment value. The ACO can override the fee through step 2 or the print certificate screen.

Step 3: Collect User Fee

Export certificates may be paid by check (cashier's, certified, traveler's, personal[1]) or money order.

> ⚠️ **Important**
>
> ◆ Exporters **must** pay for export certificates at the time of service.
> ◆ Payment **must** be in U.S. funds.
> ◆ Credit cards are accepted **only** when using Pay.gov.
> ◆ All checks and money orders must be made payable to USDA-APHIS.

Checks drawn on foreign banks **must** be payable in U.S. dollars and **must** be marked as payable in U.S. dollars.[2]

All checks **must** have a 10-digit accounting code written in the lower left corner on the front of each check or money order

> ⚠️ **Important**
>
> **Do not** write below the memo and signature lines on a check as the writing can interfere with processing if it is too close to the micro line at the bottom of a check (account and bank routing numbers).
>
> **Do not** write on the back of checks or money orders.
>
> **Do not** endorse checks or money orders with a stamp.

> ⚠️ **Important**
>
> If a check is returned by the bank for insufficient funds and the exporter fails to settle the balance, then refuse export certification service until the outstanding balance is paid.

Personal Checks

Accept a personal check **only** if the total amount due is $100 or less. If the total amount due is more than $100, the payment **must** be by cashier's check, certified check, traveler's check, or money order **only**. These **must** be made payable to USDA, APHIS. The following information should appear on the face of the check, as required by the Debt Collection Improvement Act (DCIA); the Department of Treasury, Financial Management Service policy directives; and Departmental, and APHIS policy directives:

◆ Complete mailing address

◆ Driver's license, or taxpayer identification number

◆ Phone number

◆ Social security number

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1 Accept a personal check only if the total amount is $100.00 or less. Include the complete mailing address, drivers license or tax id number, phone number, and social security number on all checks.
2 If possible, send foreign checks on a separate PCIT APHIS 94, as they are processed differently.

How to Process Monetary Transactions in PCIT

See the following examples for using the payment system in PCIT:

Example	**Paid Transaction in PCIT using pay.gov** Company A uses pay.gov and submits an application. Exporters should always select prepurchase account in this example. 1. The ACO processes the submitted application. 2. The ACO ensures that the fee is set correctly before pushing the "printed" button. 3. As long as there are sufficient funds in Company A's account, the ACO needs to take **no** further action. 4. Company A may run a debit transaction report to view all credits and debits made to their account. PCIT displays a running balance on Company A's welcome screen. The PCIT APHIS 94 is **not** required since all financial information has been submitted through pay.gov.
Example	**Paid Transaction in PCIT with a Submitted Check** Company B submits applications via PCIT, but does **not** use pay.gov. They give the duty station a check for $250.00. They should also 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. On update account drop down menu select "Add funds to prepurchase account." 4. Enter the check information and click save. Company B now has $250.00 in their account. To create the PPQ Form 577, the ACO must: 1. Process the submitted application. 2. Ensure that the fee is set correctly before clicking the "Printed" button. 3. As long as there are sufficient funds in Company B's account, the ACO needs to take no further action. 4. Company B may run a debit transaction report to view all credits and debits made to their account. PCIT displays a running balance on Company B's welcome screen. The PCIT APHIS 94 **must** reflect $250.00 for Company B.

Example

Paid Transaction in PCIT Using a Shell Account with a Submitted Check

Company C 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 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. On update account dropdown menu select "add funds to prepurchase account."
4. Enter the check information and click save. Company C now has $ 500.00 in their account.

To create the application in PCIT, the ACO must:

5. Create an application for Company C.
6. On the general screen, update applicant to Company C.
7. Submit the application to the duty station.

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

8. Process the submitted application.
9. Ensure that the fee is set correctly before clicking the "Printed" button.
10. As long as there are sufficient funds in Company C's account, the ACO needs to take no further action.
11. The duty station may run a debit transaction report to view all credits and debits made to Company C's account.

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

Important

No fees are removed from accounts until certificates are in Printed status.

Important

If a company submits an application, you will **never** need to create a shell account.

Important

The use of wildcard searches can increase the effectiveness of your search in PCIT. Entering less specific information yields a larger result.

Example: You are looking for "U.S. Export Company."

If you search for "US Export Company" you will not find U.S. Export Company since the periods are missing from "US". If you search by entering just the letter "U" then you will see all results beginning with "U."

Collecting Fees from USDA Agencies

Charges for export certificates issued to other USDA agencies can be collected through an interagency agreement. If a USDA agency or facility requests such an arrangement, an interagency agreement **must** be signed before issuing an export certificate.[3]

Step 4: Remit Collected User Fees

Since PCIT use is mandatory for all PPQ offices, all funds for export certificates must be processed through PCIT. After collecting user fees, PCIT will populate the "PCIT generated APHIS 94 information report" (PCIT APHIS 94). Overtime and other miscellaneous charges are not handled through the PCIT system. This section provides supplemental guidelines for remitting collected user fees on the PCIT generated APHIS 94 for issued export certificates.

> ⚠️ **Important**
>
> The PCIT APHIS 94 can be submitted in lieu of "APHIS Form 94, Record of Public Funds Received."[1]

1   APHIS Form 94 is available for downloading from the following Web site address: http://www.aphis.usda.gov/library/forms/. More than one transaction can be recorded on APHIS Form 94 for remitting collected user fees. See Chapter 10 of the APHIS Budget and Accounting Manual for detailed instructions about how to complete APHIS Form 94.

When remitting the PCIT APHIS 94, do the following:

1. Review the report for accuracy.

2. Complete blocks 11 and 12.

3. Photocopy each check or money order for the work location records.

4. Attach checks and/or money orders to the PCIT APHIS 94.

5. 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). (After the MFSB receives the PCIT APHIS 94 from the lock box in St. Louis, it will return the receipted copy to the originating office address in *Block 4.*)

6. Send (see important note below) the PCIT APHIS 94 with the checks and/or money orders to the address printed in *Block 3.*

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3   To set up an interagency agreement, the agency or facility should contact the Agreement Services Center at PPQ headquarters in Riverdale, Maryland. To identify the agencies and facilities that have valid agreements, check with PPQ Export Services (ES), 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301-734-8537; FAX 301-734-7639 at the beginning of each fiscal year (October).

> ⚠️ **Important**
>
> If practical, send the collected fees within 24 hours; but, **never** send the collected fees later than the second workday from date you received the fees. Use the date of the first transaction on the PCIT APHIS 94 as a guide.

7. File the receipted copy. If you **do not** receive a receipted copy within 3 weeks of your submission, notify the Minneapolis Financial Services Branch.

How to Generate "APHIS 94 Information Report" in PCIT

1. Log into PCIT

2. Select "View Reports"

3. Select "APHIS 94 Record of Public Funds Received"

4. Click submit

5. Select the appropriate duty station

6. Fill in the date range

7. Click next

8. Click generate report

9. Print the report

10. Complete blocks 11 and 12, and remit

Step 5: Replace Export Certificates

Instructions for replacing export certificates are below.

> ⚠️ **Important**
>
> ◆ PPQ does **not** charge user fees for export certificates that **must** be replaced because of an error caused by an ACO. When replacing in PCIT, set the fee for new certificate at $0.
>
> ◆ PPQ does charge user fees for export certificates that **must** be replaced because of an error caused by the exporter or by requested changes to information about a shipment.

If a shipment is split and additional export certificates are needed. the first new export certificate can be issued for the $7 replacement fee, but subsequent export certificates **must** be charged the full fee.

1. If the exporter requests a single replaced export certificate, charge $7.

> ⚠️ **Important**
>
> The quantity **cannot** be increased to an amount greater than the amount that was actually certified and listed on the original export certificate. Any increase in quantity would necessitate an additional inspection.

2. If the exporter requests the original export certificate be split into multiple certificates, use Table 3-11-2 on **page-3-11-9** to determine the appropriate fees, regardless of the number of times the export certificate is replaced.

TABLE 3-11-2: Example for Calculating the Total Cost for Three Replaced Export Certificates for a Split Shipment

If the value of the domestic origin shipment is:	And the export certificate is the:	Then charge the following cost for the replacement export certificates:
$1,250 or greater	First replacement	$ 7
	Second replacement	$ 50
	Third replacement	$ 50
	Total User Fee Charge	$107
Less than $1,250	First replacement	$ 7
	Second replacement	$ 23
	Third replacement	$ 23
	Total User Fee Charge	$ 53

3. If the exporter is paying for the replaced export certificate by check or money order, see *Step 3: Collect User Fee* on **page 3-11-4**) and *Step 4: Remit Collected User Fees* on **page 3-11-7**.

Handling Refunds and Credits

If an exporter requests a refund, 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 exporter decides **not** to export the commodity, the user fee is **no** longer refundable.
> **Do not** refund or credit any of the fee.

Use the worksheet shown in Figure 3-11-2 on **page 3-11-10** when processing all refunds, and send the worksheet (memo, FAX, or E-mail) to MFSB requesting the refund.

USDA

UNITED STATES DEPARTMENT OF AGRICULTURE
ACH VENDOR ENROLLMENT FORM
(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
abshelpline@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   _____

FIGURE 3-11-2: ACH Vendor Enrollment 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. In order to sufficiently maintain an audit trail, each issuing office **must** perform the following:

◆ *Monthly Reports*
◆ *Annual Maintenance*

Monthly Reports

Monthly reporting about export certificates issued allows for the following:

◆ PPQ is able to accurately determine the number of export certificates issued

◆ USDA-APHIS, Financial Management Division, User Fee Section in Riverdale, Maryland, is able to track the collected fees and reconcile the funds between the MFSB and PPQ work units, and to analyze prior year and current year costs to accurately develop future phytosanitary export certificate user fee rates at a full cost recovery

Work Units

The SPHD is accountable for preparing and submitting PPQ Form 575, Monthly Summary of Export Certificates Issued.[4] Complete PPQ Form 575 within 5 working days after the month has ended. Use the instructions on the reverse side of the form along with the following supplemental instructions in Table 3-11-3 on **page-3-11-12**.

⚠️ **Important**   An equivalent report to PPQ Form 575 will be available in PCIT release 3.1.

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4   An example of PPQ Form 575 is at the end of these special procedures (see *Forms Used for Collecting User Fees* on **page 3-11-13**) and are available for downloading from the following Web site address: <http://www.aphis.usda.gov/library/forms/>.

TABLE 3-11-3: Instructions to Complete PPQ Form 575, Monthly Summary of Export Certificates Issued

If the block is:	Then follow the instructions to complete PPQ Form 575:
1. WORK UNIT AND STATION NAME	ENTER the name of your work unit and any work station assigned to the work unit
4. TYPE OF export certificate	COMPLETE Blocks A. through J. as listed below
A. - F.	ENTER the total number of export certificates purchased and the total dollar amount collected and sent to MFSB for each export certificate Use *Block 4(B)* to record the number of export certificates issued to other USDA or government agencies
G. - J.	ENTER **only** the number of export certificates issued for each type of export certificate. **No** fee is collected for these export certificates
8. REMARKS	RECORD the government agencies to which export certificates were issued along with the number of export certificates issued to each agency. Export certificates issued to other agencies are charged at the $23 rate and need to be accounted for on PPQ Form 575. PPQ Agreement Services Center will work with agencies outside the Federal government to develop an interagency agreement to pay for export certificates issued to them If you had **no** export certification activity during the past month, SEND a negative report. Indicate in *Block 8, Remarks*, that this is a negative report

Forward the completed, original PPQ Form 575 to your regional office.

Regional Office   The regional office is responsible for collecting all original PPQ Forms 575 from their work units and preparing a cover memorandum. The regional office will do the following:

1. Prepare a cover memorandum to forward the PPQ Forms 575 to USDA-APHIS, Financial Management Division (FMD), User Fee Section in Riverdale, Maryland. The memorandum should include the statement, "This is to transmit all monthly summaries of export certificates issued for the month of *[name of month]*."

2. Forward all of the original PPQ Forms 575 received from the work units along with the cover memorandum to the following address by the 20th of each month:

   USDA-APHIS-FMD, User Fee Section
   4700 River Road Unit 54
   Riverdale, MD 20737
   ATTN: Cathy Christensen

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.

⚠️ **Important**	Work units **must** report the number of export certificates issued in the WADS system.

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.

Forms Used for Collecting User Fees

ACOs should have the following official forms to collect and maintain user fees for issued export certificates,[5] some of which are illustrated in this section:

◆ APHIS Form 47, Transmittal and Receipt for Accountable Items (for transferring accountability of export certificates) (see Figure K-1-1 on **page K-1-2**)

◆ APHIS From 89, Report of Reimbursable Inspection and Quarantine Service

◆ APHIS Form 94, Record of Public Funds Received (for remitting fees to a lock box) (see Figure K-1-3 on **page K-1-4**)

◆ PPQ Form 575, Monthly Summary of Export Certificates Issued (for reporting results) (see Figure K-1-7 on **page K-1-15**)

◆ SF Form 1164, Claim for Reimbursement for Expenditures on Official Business

◆ SF Form 1165 (book of blank receipts)

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5   Examples of APHIS and PPQ listed forms are located in *Appendix K* and are available for downloading from the following Web site address: http://www.aphis.usda.gov/library/forms/.