

CBP and Trade Automated Interface Requirements

Department of State Bureau of Political-Military Affairs
Directorate of Defense Trade Controls (DDTC) ACE
Filing Instructions

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U.S. Customs and
Border Protection





Department of State

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Directorate of Defense Trade Controls (DDTC)

**ACE FILING
INSTRUCTIONS FOR
ITAR-RELATED
COMMODITIES**

Version 1.5



Table of Contents

Change Log.....	3
General Introduction	4
DDTC Overview	4
Contact information by Programs:.....	4
License Number and Registration Number.....	5
Registration and License Number Sample 1.....	5
DDTC License and Registration Number Message Set Layout for Sample.....	6
DDTC Exemption Message Set Layout for Sample	6
Permit Number Message Set Description	6
Record Identifier OI (Input).....	7
Record Identifier PG01 (PGA Identifier)	8
Record Identifier PG02 (Product Identifier).....	9
Record Identifier PG14 (Licenses and Exemptions issued by DDTC).....	10
Record Identifier PG30 (Anticipated Arrival Date).....	16



Change Log

<i>Date</i>	<i>Version No.</i>	<i>Description</i>	<i>Page Number</i>	<i>Author</i>
3/31/2015	1.1	Added Change Log	3	DDTC
		Updated Table of Contents	2	
4/13/2015	1.2	Updated PGA records table	5	DDTC
		Updated DDTC License and Registration Number Message Set Layout Sample	6	
		Added DDTC Exemption Message Set Layout Sample	6	
		Removed component option for PG02	9	
		Added LPCO Number exemption codes	11	
		Updated LPCO Number to Conditional	13	
4/30/2015	1.3	Updated table and paragraph text	5	DDTC
		Updated DDTC License and Registration Number Message Set Layout Sample	6	
		Updated DDTC Exemption Message Set Layout Sample	6	
		Removed Note 1 to PG02	9	
		Updated text	10	
		Updated text	15	
		Added Record Identifier PG30	16	
5/1/2015	1.4	Updated Record Identifier PG02	5	DDTC
5/5/2015	1.5	Updated text	5	DDTC
		Updated DDTC License and Registration Number Message Set Layout Sample	6	
		Updated DDTC Exemption Message Set Layout Sample	6	
		Updated License/Exemption PG14 Record	11	



General Introduction

This document is intended as a supplemental guide to the CBP Customs and Trade Automated Interface Requirements (CATAIR), PGA Message Set chapter (also referred to as an implementation guide). The PGA CATAIR chapter outlines the overall data relationships and rules for data submission on a CBP system level.

The PGA Message Set chapter/implementation guide and its related Appendix PGA can be found on CBP.gov at:

<http://www.cbp.gov/document/guidance/pga-message-set>

The CATAIR chapters and appendices can be found on CBP.gov at:

<http://www.cbp.gov/trade/ace/catair>

Other related information for the CBP Document Image System may be found at:

<http://www.cbp.gov/document/forms/dis-xml-schema>

This PGA supplemental guide provides PGA-specific guidance regarding PGA's business requirement for data submission.

REMINDERS: The PGA Message Set does not stand-alone and must be submitted with an entry filing such as an ACE Entry Summary certified for cargo release.

There are times when DDTC and CBP reporting may require the same data. In those instances, DDTC will not ask for the data to be provided again in the PGA Message Set, if it is already collected by CBP. That is, the PGA Message Set data requirements for DDTC will not duplicate those common data elements. Instead, the PGA Message Set is used to provide the additional data elements required for DDTC reporting. In some instances, however, DDTC's reporting requirements may require more specificity than CBP filing requirements. In those cases, DDTC standardized format, provided for by the CATAIR, must be used regardless of how the data was captured by Customs.

DDTC Overview

The Department of State, Bureau of Political-Military Affairs, Directorate of Defense Trade Controls (DDTC) is responsible for the export and temporary import of defense articles and services governed by 22 U.S.C. 2778 of the Arms Export Control Act ("AECA"; see the [AECA Web page](https://www.pmddtc.state.gov/regulations_laws/aeca.html)) https://www.pmddtc.state.gov/regulations_laws/aeca.html and Executive Order 13637.

The International Traffic in Arms Regulations ("ITAR," 22 CFR 120-130) implements the AECA; see the [ITAR Web page](https://www.pmddtc.state.gov/regulations_laws/itar.html) https://www.pmddtc.state.gov/regulations_laws/itar.html.

Contact information by Programs:

Contacts for various United States Munitions List (USML) commodities can be found at: https://www.pmddtc.state.gov/about/key_personnel.html



License Number and Registration Number

DDTC license number and registration number are required for all USML imports into the US.

The following are the potential PGA records associated with submitting the DDTC license and registration numbers for USML imports:

<i>PG Record</i>	<i>Description</i>
OI	The commercial description of the shipment is provided.
PG01	The shipment is regulated by DDTC.
PG02	Indicates the item type.
PG14	Indicates a valid DDTC license type and license number.
PG14	Indicates a valid DDTC registration number
PG30	Indicates anticipated arrival date of import

Registration and License Number Sample 1

An airplane is temporary imported into the United States for a trade show. The importer includes their temporary import license number (or a temporary import license exemption) along with their registration number that it obtained from DDTC. The license number and registration number are checked for validity against license and registration data sent from DDTC to CBP.



DDTC License and Registration Number Message Set Layout for Sample

```

1 1 1 1 1 1 1 1 1 1 1 2 2 2 2 2 2 2 2 3 3 3 3 3
1 2 3 4 5 6 7 8 9 0 1 2 3 4 5 6 7 8 9 0 1 2 3 4 5 6 8 9 0 1 2 3 4
O I A I R C R A F T
P G 0 1 0 0 1 D T C D T C
P G 0 2 P
P G 1 4 S 6 1 6 1 0 1 2 3 4 5 6
P G 1 4 D D 1 M 1 2 3 4 5
P G 3 0 A 0 1 0 1 2 0 1 8

```

DDTC Exemption Message Set Layout for Sample

```

1 1 1 1 1 1 1 1 1 1 1 2 . . . 7 7 7 7 7 7 7 7 8
1 2 3 4 5 6 7 8 9 0 1 2 3 4 5 6 7 8 9 0 . . . 0 1 2 3 4 5 6 8 9 0
O I A I R C R A F T
P G 0 1 0 0 1 D T C D T C
P G 0 2 P
P G 1 4 1 2 6 . 1 7 E 1
P G 1 4 D D 1 M 1 2 3 4 5
P G 3 0 A 0 1 0 1 2 0 1 8

```

Permit Number Message Set Description

The following records and codes were used to create the DDTC Message Set Sample 1. The status column in the following record set descriptions identifies the data element as Mandatory (M), Conditional (C), Optional (O), or Not Applicable (N/A). Mandatory Data Elements are required because either the particular record requires it, or it is required by DDTC.

Because of the flexibility of the PGA Message set, the PGA Records and Data Elements that are required may vary both from program to program and within a single program.



Record Identifier OI (Input)

This is a mandatory PGA line item description input record that provides the description of the item. This record precedes the Record Identifiers for the PGA Message set.

<i>Record Identifier OI (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	“OI”	
Filler	8AN	3-10	M	Space filled.	
Commercial Description	70X	11-80	M	The commercial description of the product. For example, AIRCRAFT	



Record Identifier PG01 (PGA Identifier)

This is a mandatory PGA input record that provides data pertaining to the PGA Line Number, Government Agency Code, Government Agency Program Code, Globally Unique Product Identification Code, Intended Use Code, Intended Use Description, and Disclaimer.

<i>Record Identifier PG01 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	“PG”	
Record Type	2N	3-4	M	“01”	
PGA Line Number	3N	5-7	M	“001”	
Government Agency Code	3AN	8-10	M	“DTC”	
Government Agency Program Code	3X	11-13	M	“DTC”	
Government Agency Processing Code	3AN	14-16	N/A		
Electronic Image Submitted	1A	17	N/A		
Confidential Information Indicator	1A	18	N/A		
Globally Unique Product Identification Code Qualifier	4AN	19-22	N/A		
Globally Unique Product Identification Code	19X	23-41	N/A		
Intended Use Code	16X	42-57	N/A		
Intended Use Description	22X	58-79	N/A		



Record Identifier PG02 (Product Identifier)

This mandatory PGA input record is used to indicate whether or not the information being provided relates to a product (P) or a component (C) of a product.

<i>Record Identifier PG02 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	“PG”	
Item Type	2N	3-4	M	“02”	
Item Type	1A	5	M	Code identifying the following records as pertaining to a product (P).	
Product Code Qualifier	4AN	6-9	N/A		
Product Code Number	19X	10-28	N/A		
Product Code Qualifier	4AN	6-9	N/A		
Product Code Number	19X	33-51	N/A		
Product Code Qualifier	4AN	52-55	N/A		
Product Code Number	19X	56-74	N/A		
Filler	6X	75-80	N/A		



Record Identifier PG14 (Licenses and Exemptions issued by DDTC)

This is a mandatory PGA input record that provides DDTC with data pertaining to Licenses, Permits, Certificates or Other (LPCO). When filing a PGA Message Set, two (2) PG14 records may be required: one PG14 record that contains the license type and license number (or exemption and exemption code); and one PG14 record that contains the entity's DDTC registration number. The license type/number and registration number will be validated against license and registration data provided by DDTC.

License/exemption PG14 Record:

<i>Record Identifier PG14 (Input)</i>					
Data Element	Length/Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	“PG”	
Record Type	2N	3-4	M	“14”	
LPCO Transaction Type	1N	5	M	Space filled	
LPCO Type	3AN	6-8	C	Code identifying the type of LPCO information being provided. This is the license type.	1
LPCO Number (or Name)	33X	9-41	C	The LPCO information. This is the DDTC issued license number.	2
LPCO Date Qualifier	1N	42	N/A		
LPCO Date	8N	43-50	N/A		
LPCO Quantity	16N	51-66	N/A		
LPCO Unit of Measure	5AN	67-71	N/A		
Exemption Code	9X	72-80	C	Indicates the reason for exemption from LPCO. This is the DDTC exemption code.	3



Note 1:

LPCO Transaction Type codes applicable for DDTC-regulated imports:

<i>Data Element</i>	<i>Code</i>	<i>Description</i>
LPCO Transaction Type Codes	S61	Temporary Import License
	S62	Amended Temporary Import License
	S73	Temporary Export License
	S74	Amended Temporary Export License
	S85	Permanent/Temporary Import of Classified defense Articles and Classified Technical Data

Note 2:

For temporary imports and temporary exports that require a license (S61, S62, S73, S74, and S85), the license number supplied by DDTC must be entered for the LPCO number.

Note 3:

When using a DDTC exemption code, only the Exemption Code data element needs to be completed. The exemption code will be validated from a list of DDTC exemption codes applicable to temporary imports and temporary exports.

Exemption codes applicable for DDTC regulated temporary import exemptions:

<i>Data Element</i>	<i>Code</i>	<i>Description</i>
Exemption Code	123.4a1	Temporary import of U.S. – origin defense items for servicing, inspection, testing, calibration, repair, overhaul, reconditioning, or one-to-one replacement of defective items.
	123.4a2	Temporary import of U.S. – origin defense item to be enhanced, upgraded, or incorporated into another item for which the permanent export has been authorized by Directorate of Defense Controls.
	123.4a3	Temporary import of U.S. – origin defense items for exhibition, demonstration or marketing.
	123.4a4	Temporary import of U.S. – origin defense items which have been rejected for permanent import by Department of Treasury.
	123.4a5	Temporary import of U.S. – origin defense items approved for import under Foreign Military Sales Program.
	123.4b	Temporary import but not subsequent export of item incorporated into another article or modified and enhanced.
	123.6	From the United States to foreign trade zones in the United States or Customs bonded warehouse.
	123.12	Shipments between U.S. possessions.
	123.13	Defense article on domestic air shipment via foreign country.
	123.19	Canadian and Mexican border shipments.
	123.23	Shipments when the total value does not exceed the value on the license by more than ten percent.
	126.2	The DAS for DTC may order the temporary suspension or modification of any or all of the regulations in the interest of the security and foreign policy of the United States.



DDTC Implementation Guide - Customs and Trade Automated Interface Requirements

<i>Data Element</i>	<i>Code</i>	<i>Description</i>
	126.3	Exceptional or undue hardship, or otherwise in the interest of the U.S. Government.
	126.4a	Temporary import or temporary export of defense article, technical data, or defense service by or for agency of U.S. Government.
	126.4c	Temporary import, temporary export, or permanent export of defense article, technical data, or defense service for end-use by U.S. Government agency in foreign country.
	126.5a	Temporary import and return to Canada of unclassified defense articles originating from Canada.
	126.6b	Temporary imports of foreign military aircraft or foreign naval vessels if no overhaul, repair, or modification of the aircraft or naval vessel is to be performed.
	126.6c	Defense article, technical data, or defense service sold, leased, or loaned by Department of Defense under Foreign Military Sales Program.
	126.16e1	United States and Australian combined military or counter-terrorism operations.
	126.16e2	United States and Australian cooperative security and defense research, development, production, and support programs.
	126.16e3	Mutually determined specific security and defense projects where the Government of Australia is the end-user.
	126.16e4	Defense Trade Cooperation Treaty between United States and Australia for U.S. Government end-use.
	126.17e1	United States and United Kingdom combined military or counter-terrorism operations.
	126.17e2	United States and United Kingdom cooperative security and defense research, development, production, and support programs.
	126.17e3	Mutually determined specific security and defense projects where the Government of the United Kingdom is the end-user.
	126.17e4	Defense Trade Cooperation Treaty between United States and United Kingdom for U.S. Government end-use.

Exemption codes applicable for DDTC regulated temporary export exemptions:

<i>Data Element</i>	<i>Code</i>	<i>Description</i>
Exemption Code	123.6	From the United States to foreign trade zones in the United States or Customs bonded warehouse.
	123.11b	Vessel or aircraft does not enter territorial waters or airspace of a foreign country, and no defense articles are carried as cargo.
	123.12	Shipments between U.S. possessions.
	123.13	Defense article on domestic air shipment via foreign country.
	123.16b1	Unclassified defense articles in support of agreements.
	123.16b2	Components or spare parts less than \$500.
	123.16b3	Packing cases for defense articles.
	123.16b4	Unclassified models and mock-ups.



DDTC Implementation Guide - Customs and Trade Automated Interface Requirements

<i>Data Element</i>	<i>Code</i>	<i>Description</i>
	123.16b5	Temporary export for public exhibition, trade show, air show or related event if that article was previously licensed for public exhibition.
	123.16b9	Temporary export of any unclassified component, part, tool or test equipment to a subsidiary, affiliate or facility owned or controlled by the U.S. person if the component, part, tool or test equipment is used for manufacture, assembly, testing, production, or modification.
	123.17a1	Components and parts for Category I (a) firearms not exceeding \$100 wholesale.
	123.17a2	Components and parts for Category I firearms not exceeding \$500 wholesale to Canada.
	123.17b	Non-automatic Category I (a) firearms manufactured in or before 1898 or replica.
	123.17c	Temporary export of no more than three non-automatic Category I(a) firearms and no more than 1,000 cartridges for personal use.
	123.17d	Firearms in Category I(a) and related ammunition for foreign persons brought in under 27 CFR 478.115 (d).
	123.17e	Not more than 1,000 cartridges of ammunition for non-automatic firearms for personal use.
	123.17f	Temporary export of one set of Body Armor covered by USML Category X(a)(1) which may include one helmet covered by USML Category X(a)(6), or one set of chemical agent protective gear covered by USML Category XIV(f)(4) which may include one additional filter canister for personal use.
	123.17g	Temporary export of one set of body armor, which may include a helmet, or chemical agent protective gear, for personal use to countries listed in Section 126.1 of the ITAR by U.S. persons travelling in support of a U.S. Government contract or traveling on official U.S. Government business.
	123.17h	Temporary exports of body armor, which may include a helmet, or chemical agent protective gear, which may include one additional filter canister, for personal use to Iraq.
	123.17i	Temporary exports of body armor, which may include a helmet, or chemical agent protective gear, which may include one additional filter canister, for personal use to Afghanistan.
	123.18a1	Non-automatic firearms in Category I(a) for servicemen's clubs for members of U.S. Armed Forces.
	123.18a2	Non-automatic firearms in Category I(a) for personal use by member of U.S. Armed Forces or civilian employee of Department of Defense.
	123.18a3	Non-automatic firearms for personal use by U.S. Government employees with written authorization from Chief of the U.S. Diplomatic Mission.



DDTC Implementation Guide - Customs and Trade Automated Interface Requirements

<i>Data Element</i>	<i>Code</i>	<i>Description</i>
	123.18b	Not more than 1,000 cartridges of ammunition for firearms in Category I(a) for personal use by U.S. Government employees.
	123.23	Shipments when the total value does not exceed the value on the license by more than ten percent.
	126.2	The DAS for DTC may order the temporary suspension or modification of any or all of the regulations in the interest of the security and foreign policy of the United States.
	126.3	Exceptional or undue hardship, or otherwise in the interest of the U.S. Government.
	126.4a	Temporary import or temporary export of defense article, technical data, or defense service by or for agency of U.S. Government.
	126.4c	Temporary import, temporary export, or permanent export of defense article, technical data, or defense service for end-use by U.S. Government agency in foreign country.
	126.5b	Permanent or temporary export of certain defense articles, related technical data, and defense services for end-use in Canada.
	126.6a	Defense article or technical data sold, leased, or loaned by Department of Defense to a foreign country or international organization.
	126.6c	Defense article, technical data, or defense service sold, leased, or loaned by Department of Defense under Foreign Military Sales Program.
	126.16e1	United States and Australian combined military or counter-terrorism operations.
	126.16e2	United States and Australian cooperative security and defense research, development, production, and support programs.
	126.16e3	Mutually determined specific security and defense projects where the Government of Australia is the end-user.
	126.16e4	Defense Trade Cooperation Treaty between United States and Australia for U.S. Government end-use.
	126.17e1	United States and United Kingdom combined military or counter-terrorism operations.
	126.17e2	United States and United Kingdom cooperative security and defense research, development, production, and support programs.
	126.17e3	Mutually determined specific security and defense projects where the Government of the United Kingdom is the end-user.
	126.17e4	Defense Trade Cooperation Treaty between United States and United Kingdom for U.S. Government end-use.



License/exemption PG14 Record:

<i>Record Identifier PG14 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	“PG”	
Record Type	2N	3-4	M	“14”	
LPCO Transaction Type	1N	5	M	Space filled	
LPCO Type	3AN	6-8	M	“DD1”	
LPCO Number (or Name)	33X	9-41	C	The LPCO information. This is the DDTC issued registration number.	4
LPCO Date Qualifier	1N	42	N/A		
LPCO Date	8N	43-50	N/A		
LPCO Quantity	16N	51-66	N/A		
LPCO Unit of Measure	5AN	67-71	N/A		
Exemption Code	9X	72-80	N/A		

Note 4:

For temporary imports and temporary exports that require a license (S61, S62, S73, S74, and S85), the registration number supplied by DDTC must be entered for the LPCO number; for temporary import and temporary export exemptions, the LPCO is conditional, depending on the exemption.



Record Identifier PG30 (Anticipated Arrival Date)

This is a mandatory PGA input record that provides DDTC with the anticipated arrival information. The anticipated arrival date will be validated against license and registration date information provided by DDTC.

Record Identifier PG30 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	“PG”	
Record Type	2N	3-4	M	“30”	
Inspection/ Laboratory Testing Status	1N	5	M	“A” A = Prior Notice (PN) anticipated arrival information	
Requested or Scheduled Date of Inspection; Date of Previous Inspection/ Laboratory Testing; Arrival Date	8AN	6-13	C	A numeric date in MMDDCCYY (month, day, century, year) format.	
Requested or Scheduled Time of Inspection; Time of Previous Inspection/ Laboratory Testing; Arrival time	4N	14-17	N/A		
Inspection or Arrival Location Code	4AN	18-21	N/A		
Inspection or Arrival Location	50X	22-71	N/A		
Filler	9X	72-80	N/A		