Lacey Act Samples

CBP and Trade Automated Interface Requirements

USDA APHIS Lacey Act Samples

April 2, 2021

Pub #1009-1119
## Table of Changes

<table>
<thead>
<tr>
<th>Revision Number</th>
<th>Date of Change</th>
<th>Brief Description of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.8</td>
<td>23JUL15</td>
<td>PG04 and PG29: PG29 follows PG04 and the combination is a wrapper for the unknown species/unknown countries. PG14: Type Code, A8, PPQ505 is deprecated and not required. PG21 and PG22: PG21 can lead or follow PG22, use the most convenient for you. PG02: PG02 C is allowed but the use should be considered as uncommon.</td>
</tr>
<tr>
<td>2.8.1</td>
<td>2AUG15</td>
<td>Correct Example 7 to PG02 C</td>
</tr>
<tr>
<td>2.9</td>
<td>13AUG15</td>
<td>Discontinue use of PG29; Delete PG29 from samples; Reconfigure samples to demonstrate concepts for use without PG29 in examples of unknown species or country of harvest; Add example of multiple PG05’s with one PG06; Add PG24; Swap PG21/PG22; Delete example of component code.</td>
</tr>
<tr>
<td>2.9.1</td>
<td>16SEP15</td>
<td>Change all sequence to full Parent Child. Add Example 3C. Modify examples of unknown country, unknown quantity to PG04, PG05, PG06 sequence. Update format to all caps.</td>
</tr>
<tr>
<td>2.9.2</td>
<td>30SEP15</td>
<td>Modify PG04, PG05, PG06 sequences to demonstrate possible examples of Using the PG04 Y flag for lists of either possible species or possible countries of harvest. Remove PG04 recycled percentage placeholders.</td>
</tr>
<tr>
<td>2.9.3</td>
<td>05OCT15</td>
<td>Correct PG04 change “U” to “Y”</td>
</tr>
<tr>
<td>3.0</td>
<td>04JAN16</td>
<td>Clarify PG04, PG05, PG06, PG21, PG22. PG24 deprecated. Add PG60. Introduction, add LA email address.</td>
</tr>
<tr>
<td>3.1</td>
<td>11MAY16</td>
<td>Add Unit of Measure valid units to introduction; update introduction. Add example 1a showing use of cubic millimeter. Change disclaimer example, Example 9, to clay sculpture. Add PG29, PG50 and PG51 usage in Example 5a. Add PG19-PG20 to each example.</td>
</tr>
<tr>
<td>3.2</td>
<td>20JUN18</td>
<td>Introduction: add note regarding not using 80 col for the samples; remove duplicate sentences; add PG14 deprecated. Add Unit of Measure changes to introduction. Update page numbers. All examples remove bold from “P”; correct quantities for implied two places. Swap Examples 1 and 1a. Example 1, correct HTS code to railroad crossties, remove reference to oak. Example 1a correct title; modify quantity; correct HTS code.</td>
</tr>
<tr>
<td></td>
<td></td>
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<td>---</td>
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</tr>
<tr>
<td></td>
<td>Example 3 clarify the description regarding the use of the unknown flag in PG04. Example 5 removed, it duplicated example 3. Rename Example 5a to 5. Remove Example 8: Declaration with a Permit. No longer needed. Add Example 8: Manufacturer MID.</td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>11/15/20</td>
<td>Add disclaim code “G”; example 4 removed. Correct email address. Add clarifying information regarding value. Add information regarding entry type code 06, Foreign Trade Zone, and proper use of disclaimer code “C”. Remove IM from all PG21 and PG22 lines. Add to example 8 disclaim code “G”. Modify example regarding more than ten countries.</td>
</tr>
<tr>
<td>3.3.1</td>
<td>4/2/21</td>
<td>Add multiple countries of harvest example. Renumber examples after 3.</td>
</tr>
</tbody>
</table>
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Introduction

The APHIS Lacey Act ACE message set samples are examples of the APHIS Lacey Act message set and are not the definitive set or the complete set of examples. These examples are not complex. These examples are not all of the possible combinations of message records. The examples presented are representative of entry filings developed during talks with developers and brokers during the development and pilot of the APHIS Lacey Act ACE implementation.

Notes:

- The samples are not in 80 column display, refer to the Lacey IG for data descriptions
- Do not zero fill quantities or back fill quantities
- If the Lacey Act declaration for Foreign Trade Zone entry, entry type code 06, was completed in the APHIS Lacey Act Web Governance System (LAWGS) use disclaimer code “C” when the entry is filed in ACE, either cargo release or entry summary, so no duplicate declaration is filed. See example 7.
- The Lacey Act requires importers to provide the value of the importation, PG25. Entered value is the considered the value of the product of the Harmonized Tariff Schedule code that contains the plant product in U.S. dollars and is the same value used for CBP Partner Government Agency line value.

Valid Units of Measure are:

<table>
<thead>
<tr>
<th>UoM</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grams</td>
<td>G</td>
</tr>
<tr>
<td>Millimeters</td>
<td>MM</td>
</tr>
<tr>
<td>Square Millimeters</td>
<td>MM2</td>
</tr>
<tr>
<td>Cubic Millimeters</td>
<td>MM3</td>
</tr>
<tr>
<td>Centigrams</td>
<td>CG</td>
</tr>
<tr>
<td>Centimeter</td>
<td>CM</td>
</tr>
<tr>
<td>Square Centimeter</td>
<td>CM2</td>
</tr>
<tr>
<td>Cubic Centimeter</td>
<td>CM3</td>
</tr>
<tr>
<td>Kilogram</td>
<td>KG</td>
</tr>
<tr>
<td>Meter</td>
<td>M</td>
</tr>
<tr>
<td>Square Meter</td>
<td>M2</td>
</tr>
<tr>
<td>Cubic Meter</td>
<td>M3</td>
</tr>
<tr>
<td>Milliliter</td>
<td>ML</td>
</tr>
<tr>
<td>Centiliter</td>
<td>CTL</td>
</tr>
<tr>
<td>Liter</td>
<td>L</td>
</tr>
<tr>
<td>Kiloliter</td>
<td>KL</td>
</tr>
</tbody>
</table>

Reference Documents

- CBP ACE CATAIR
- CBP ACE Lacey Act PGA Message Set, v3.3
- CBP ACE Appendix: PGA
- CBP ACE PGA Data Corrects CA/CC
- CBP ACE PGA Flagging
- APHIS Lacey Act Special Use Designator Guidance
- APHIS Lacey Act Clarification of Quantity and Unit of Measure
Contact:

USDA APHIS Lacey Act contact email address ace.itds@usda.gov
Example 1: Simple Declaration

Example 1 is an entry of used railroad ties with only one PGA line item. Each tie is made of maple. There are 100.04 m³, 100.04 cubic meter, two decimal places implied, of *Acer saccharum* from Canada, The value of the CBP line is $2,501, and the shipment is in one container.

```
00   H5001CA 4406100000ZZABCTEC123XXX
01   OI USED RAILROAD TIES
02   PG01 001 APHAPL
03   PG02 P
04   PG10 USED MAPLE RAILROAD TIES
05   PG04 MAPLE TIES 10004 M3
06   PG05 ACER SACCHARUM
07   PG06 HRV CA
08   PG22 AP6 Y 12182014
09   PG21 JOHN Q IMPORTER 3015552232 JQI@IMP.COM
10   PG19 IM 1234 WEST SPECIAL ROAD
11   PG20 UNIT 40 SUITE 3 NAPTO 244 MD US 12345
12   PG25 2501
13   PG27 WHXU4101474
```
Example 1a: Simple Declaration One Product, Many Species

Example 1a is an entry of used railroad ties with only one PGA line item. Each tie is made of maple or oak. There are 100 kg of *Acer saccharum* from Canada, 200 kg of *Quercus rubra* from Canada, 300 kg of *Quercus alba* from Canada, 400 kg of *Acer saccharum* from the U.S., 500 kg of *Quercus rubra* from the U.S., and 600 kg of *Quercus alba* from the U.S. The value of the CBP line is $10,000, and the shipment is in two containers.

00  H5001CA 4406100000ZABCTEC123XXX
01  OI USED RAILROAD TIES
02  PG01 001 APHAPL
03  PG02 P
04  PG10 USED MAPLE AND OAK RAILROAD TIES
05  PG04 MAPLE TIES 10000 KG
06  PG05 ACER SACCHARUM
07  PG06 HRV CA
08  PG04 OAK TIES 20000 KG
09  PG05 QUERCUS RUBRA
10  PG06 HRV CA
11  PG04 OAK TIES 30000 KG
12  PG05 QUERCUS ALBA
13  PG06 HRV CA
14  PG04 MAPLE TIES 40000 KG
15  PG05 ACER SACCHARUM
16  PG06 HRV US
17  PG04 OAK TIES 50000 KG
18  PG05 QUERCUS RUBRA
19  PG06 HRV US
20  PG04 OAK TIES 60000 KG
21  PG05 QUERCUS ALBA
22  PG06 HRV US
23  PG22 AP6 Y 12182014
24  PG21 JOHN Q IMPORTER 3015552232 JQI@IMP.COM
25  PG19 IM 1234 WEST SPECIAL ROAD
26  PG20 UNIT 40 SUITE 3 NAPTOWN MD US 12345
27  PG25 10000
28  PG27 WHXU4101474 WHXU4101475
Example 2: Simple Declaration, Three Products One Species

Example 2 is an entry of pine desks with only one CBP line item and has three PGA line items representing 3 different styles of desk. All three PGA lines are under the same OI record (same commercial description).

1) First PGA line are desks made of pine (*Pinus taeda*), with a quantity is 100 cubic meters, harvested in Canada, and valued at $10,000.
2) Second PGA line are desks made of pine (*Pinus taeda*), with a quantity is 200 cubic meters, harvested in Canada, and valued at $20,000.
3) Third PGA line are desks made of pine (*Pinus taeda*), valued at $30,000, with a quantity of 300 cubic meters harvested in the United States and 400 cubic meters harvested in the Canada.

```
00   H5001CA9403308000ZZABCTEC123XX
01   OI   WOODEN DESK
02   PG01 001   APHAPL
03   PG02 P
05   PG10 WOODEN DESK MODEL 0415
06   PG04 PINE DESK TOPS LEGS SIDE DRAWERS 10000 M3
07   PG05 PINUS TAEDA
08   PG06 HRV CA
09   PG25 10000
10   PG01 002   APHAPL
11   PG02 P
12   PG10 WOODEN DESK MODEL 0522
13   PG04 PINE DESK TOPS LEGS SIDE DRAWERS 20000 M3
14   PG05 PINUS TAEDA
15   PG06 HRV CA
16   PG25 20000
17   PG01 003   APHAPL
18   PG02 P
19   PG10 PINE DESK MODEL 0553
20   PG04 PINE DESK TOPS DRAWERS 30000 M3
21   PG05 PINUS TAEDA
22   PG06 HRV US
23   PG04 PINE DESK TOPS LEGS SIDE 40000 M3
24   PG05 PINUS TAEDA
25   PG06 HRV CA
26   PG22 AP6 Y 12182014
27   PG21 JOHN Q IMPORTER 3015552232 JQI@IMP.COM
28   PG19 IM 1234 WEST SPECIAL ROAD
29   PG20 UNIT 40 SUITE 3 NAPTOWN MD US 12345
30   PG25 30000
```
Example 3: Unknown Species Breakdown

This sample is not common and requires the exercise of due care to determine applicability.

Example 3 is an entry of softwood lumber made of three species of pine with a total quantity of 300 cubic meters.* After exercising due care the importer cannot determine specifically how much of each species exists in this shipment, however, they know that 100 M3 was harvested in the United Kingdom and 200 M3 was harvested in France. The shipment is valued at $30,000 and is shipped in one container. PG04 has the Unknown flag set.

*The statute requires a unique quantity for each species/country pairing. Equal division of quantity is not expected.

```
00   H5001CA4403200008AFABCTEC123FAL
01   OI  SOFTWOOD PULPWOOD
02   PG01 001 APHAPL
03   PG02 P
04   PG10 EUROPEAN UNION PINE PULPWOOD
05   PG04 Y UK PINE PULPWOOD 3400 M3
06   PG05 PINUS TAEDA
07   PG06 HRV GB
08   PG04 Y UK PINE PULPWOOD 1700 M3
09   PG05 PINUS RIGIDA
10   PG06 HRV GB
11   PG04 Y UK PINE PULPWOOD 4900 M3
12   PG05 PINUS ECHINADA
13   PG06 HRV GB
14   PG04 Y FRENCH PINE PULPWOOD 6700 M3
15   PG05 PINUS TAEDA
16   PG06 HRV FR
17   PG04 Y FRENCH PINE PULPWOOD 3300 M3
18   PG05 PINUS RIGIDA
19   PG06 HRV FR
20   PG04 Y FRENCH PINE PULPWOOD 10000 M3
21   PG05 PINUS ECHINADA
22   PG06 HRV FR
23   PG22 AP6 Y 12182014
24   PG21 JOHN Q IMPORTER 3015552232 JQI@IMP.COM
25   PG19 IM 1234 WEST SPECIAL ROAD
26   PG20 UNIT 40 SUITE 3 NAPTOWN MD US 12345
27   PG25 30000
28   PG27 WHXU4101474
```
### Lacey Act Samples

<table>
<thead>
<tr>
<th>Example 3 PG04 with Y (unknown) Flag</th>
<th>List of possible species</th>
<th>Known Countries</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>PINUS</td>
<td>TAEDA</td>
<td>GB</td>
<td>34.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>RIGIDA</td>
<td>GB</td>
<td>17.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>ENCHINADA</td>
<td>GB</td>
<td>49.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>TAEDA</td>
<td>FR</td>
<td>67.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>RIGIDA</td>
<td>FR</td>
<td>33.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>ENCHINADA</td>
<td>FR</td>
<td>100.00</td>
</tr>
</tbody>
</table>
Example 4: Multiple Countries of Harvest Using SUD

Use a “Y” to designate that this PG04 quantity is an unknown or estimate, which removes the need for the next PG04’s of the component 1. The quantity in PG04 will be applied to each generated PG04, PG05, PG06 sets based on five countries of harvest. You also do not need more than one PG05 to designate that it is a product that consists of a wood product bound in resin. Finally you have your list of PG06’s of the possible countries of harvest, this is where you have to provide those for the single PG04. The SUD “XZ” tells ACE that you are providing a list and the list is over five countries long, you are meeting the Lacey Act Program policy.

Example 5: List of possible Species Breakdown Using PG29

This sample is not common and requires the exercise of due diligence to determine applicability. This PGA record is not expected to be in common or regular use. Use is limited to specific HTS codes, 4401XXXXXX and 4402900000. Example 4 is an entry of softwood fuel wood chips made of three species of pine with a quantity of 300 cubic meters.* After exercising due diligence the importer cannot determine specifically how much of each species exists in this shipment, however, they know that 100 M3 was harvested in the United Kingdom of four species and 200 M3 was harvested in France, Germany and Belgium of one species. The shipment is valued at $30,000 and is shipped in one container.

*The statute requires a unique quantity for each species/country pairing.
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<table>
<thead>
<tr>
<th>Genus</th>
<th>Species</th>
<th>Country of Harvest</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>PINUS</td>
<td>TAEDA</td>
<td>GB</td>
<td>25.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>RIGIDA</td>
<td>GB</td>
<td>25.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>ECHINADA</td>
<td>GB</td>
<td>25.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>PINASTER</td>
<td>GB</td>
<td>25.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>TAEDA</td>
<td>US</td>
<td>50.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>TAEDA</td>
<td>FR</td>
<td>50.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>TAEDA</td>
<td>DE</td>
<td>50.00</td>
</tr>
<tr>
<td>PINUS</td>
<td>TAEDA</td>
<td>BE</td>
<td>50.00</td>
</tr>
</tbody>
</table>

Note:
Each genus species and country of harvest pair will be assigned an equal portion of the PG29 quantity. (e.g., 2 species and 1 country of harvest, gross quantity would be divided by 2; 2 species and 2 countries of harvest, gross quantity would be divided by 4).
Example 5: Special Use Designation

This Sample is not common and requires the exercise of due care to determine applicability.

Example 5 is an entry of products whose component species are difficult to determine. APHIS has created Special Use Designations (SUD’s) to streamline the declaration requirement for cases where the importer has exercised their due care and concluded that the species is impossible to determine. This entry contains 2 products.

The first product was manufactured in 1955 (prior to the Lacey Act reporting requirement) and *after the exercise of due care the importer could not determine the species.

The second product is a seat made of pine and particleboard and (after the exercise of due care) the importer could not determine the species. For the Pine portion of the chairs is made of 100 M3 of Pinus strobus. For the particle board portion of the chairs, the quantity of plant material harvested in Canada is 200 M3 and the quantity of plant material harvested in the United States is 300 M3.

*The statute requires the species and country of harvest for each plant or plant product.
Example 6: Product-level Declaration

Example 6 is a product-level declaration of an entry of wooden side chairs.

The first line of chairs is made of a variety of different species with a two-species backing. There are 800 m³ of *Pinus radiata* from Russia, 500 m³ of *Betula platyphylla* from Russia, 600 m³ of *Pinus radiata* from Russia, 200 m³ of *Betula platyphylla* from Russia.

The second line of chairs is a fabric-covered seat containing another set of species. There are 22000 m³ of *Pinus radiata* from New Zealand, 40000 m³ of *Betula Alleghaniensis* from Canada. The fabric is made of synthetic (non-plant) material and does not require a Lacey Act declaration. The value of the CBP line is $10,000, and the shipment is in one container.

00     H5001CA 9403704010ZZABCTEC123XX
01     O1     WOODEN K.D FURNITURE
02     PG01  001     APHAPL
03     PG02  P
04     PG10  WOODEN K.D FURNITURE
05     PG04  CHAIR - SIDES AND SEAT  140000  M3
06     PG05  PINUS   RADIATA
07     PG06  HRV   RU
08     PG04  CHAIR - BACK AND LEGS  70000  M3
09     PG05  BETULA  PLATYPHYLLA
10     PG06  HRV   RU
11     PG25  10000
12     PG01  002     APHAPL
13     PG02  P
14     PG10  WOODEN K.D FURNITURE
15     PG04  CHAIR - LEGS  2200000  M3
16     PG05  PINUS   RADIATA
17     PG06  HRV   NZ
18     PG04  CHAIR - BACK  4000000  M3
19     PG05  BETULA  ALLEGHANIENSIS
20     PG06  HRV   CA
21     PG22  AP6   Y  12182014
22     PG21  JOHN Q IMPORTER  3015552232  JQI@IMP.COM
23     PG19  IM1234 WEST SPECIAL ROAD
24     PG20  UNIT 40 SUITE 3 NAPTOWN MD US 12345
25     PG25  10000
26     PG27  WHXU4101474
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Example 7: Disclaimer Declaration

Example 7 is a disclaimed declaration for an entry of clay sculpture. The Lacey Act Declaration is flagged for shipments of HTS 9703, however there is no plant material in product and therefore does not require any further PGA information under the Lacey Act. All disclaimed entries follow this example.

Disclaimer Code Use:

If there is no disclaimer code PG01, position 80, NULL or blank – the entry will process through ACE

If there is no declaration data provided in ACE use one of the following disclaimer codes:

“A” – Product not regulated by this agency,
“B” – data is not required per agency guidance
“C” – data filed through other agency means, LAWGS
“D” – data filed through paper
“G” – Lacey di minimis

00 H5001CA 97030000051ZZABCTEC123XX
01 OI CLAY SCULPTURE
02 PG01 001 APHAPL A

For the Lacey Act, the following Disclaimer Codes are permitted:

A) Not Regulated: This disclaimer code is used to indicate that the Lacey Act information is not required because the product is not regulated or it is exempt at the statute level. This includes products that are common cultivars, common food crops, scientific specimens, plants intended for planting, and products containing zero (0) plant material.

B) Not Required: This disclaimer code is used to indicate that the Lacey Act information is not required because the product has been identified in APHIS guidance as not requiring a Lacey Act Declaration.

C) Filed Through Other System: This disclaimer code is used to indicate that the Filer has already submitted the required Lacey Act information directly to APHIS using the Lacey Act Web Governance System (LAWGS).

D) Filed Through Paper Submission: This disclaimer code is used to indicate that the Filer has already submitted the required Lacey Act information directly to APHIS using the Lacey Act Plant and Plant Product Declaration (PPQ Form 505/505b) paper form.

G) De minimis: This disclaimer code is used to indicate that the HTS line is claimed as de minimis for products containing plant material that represents no more than 5 percent of the total weight of the individual product unit, provided that the total weight of the plant material in an entry of such products (at the entry line level) does not exceed 2.9 kilograms.
Example 8: De minimis Declaration

Example 8 is a disclaimed declaration for an entry of walking sticks which is mostly fiberglass and contains a small chip of wood at the top. The Lacey Act Declaration is flagged for shipments of HTS 6602, however there is very little plant material in product and therefore does not require any further PGA information under the Lacey Act. The total of amount of wood in the shipment is less than 2.9 kilograms.

00 H5001CA 6602000000ZZABCTEC123XX
01 OI Walking Stick
02 PG01 001 APH APL G

G) De minimis: This disclaimer code is used to indicate that the HTS line is claimed as de minimis for products containing plant material that represents no more than 5 percent of the total weight of the individual product unit, provided that the total weight of the plant material in an entry of such products (at the entry line level) does not exceed 2.9 kilograms.