CBP and Trade Automated Interface Requirements

APHIS (CORE) ACE PGA Message Set:
APHIS Supplemental Trade Guide –
Appendix APH-A (ver. 3.1)

U.S. Customs and Border Protection

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Version Number	Date of Change	Section(s) Affected	Brief Description of Change
3.1	July 14, 2023	Section I Section II Section IV Section VII LPCO Guidance	(I) **Added** an Admissibility section (II) **Added** a Plant Inspection Station section (IV) **Updated** Disclaim Correlation table to include new AQX flag information (VII) **Updated** eFile System information. Removed ePermit (obsolete).
3.0	February 15, 2021	Section H Page 5 Section II FAQ's Sections I-IV All Sections Section VII Section V	(H) **Removed** HTS Correlation table and added HTS hyperlink (Page 5) **Added** APHIS Support Desk information; Removed AP0100 reference from VS program org chart (II) **Added** important note to Disclaim B relating to certificates (FAQ) **Added** FAQ APHIS web link to all FAQ sections (All) **Removed** VS program AP0100 references, except for AAC program (VII) **Corrected** currently programmed AP0800 units of measure (V) **Removed** A08, PPQ 505 from the LPCO tables
2.0	March 18th 2020	Section H Section I (new) Section V Section VII (new) All Sections	(H) **Added** appendix HTS disclaimer (H) **Corrected** HTS Commodity Category correlations (I) **Added** Section I Entry Types (V) **Aligned** LPCO Type codes with Appendix PGA NOV19 (V) **Added** A27 to the LPCO Correlation Table (VII) **Added** Section VII PG26 Unit of Measure (All) Re-numbered sections
1.0	October 28th 2019	(A) Created Document	(A) Created Document

APHIS Supplemental Trade Guide - Appendix APH-A (ver. 3.1)

TRADE GUIDE

APHIS ACE CORE Message Set

U.S. Department of Agriculture - Animal and Plant Health Inspection Service
Our Mission - *To protect the health and value of American agriculture and natural resources.*

Background

In 2006 Congress passed the Safe Port Act which required all federal agencies to utilize the Automated Commercial Environment (ACE), International Trade Data System (ITDS), "single window" environment to facilitate the import process. Furthermore, in February 2014 the president of the United States signed the 21st Century Trade Facilitation executive order which mandated that all partner government agencies (PGAs) implement the "single window" by December 2016. The objectives of single window concept are: 1) Rapid availability of data that allows the government to efficiently identify commodity risk and make near real-time regulatory decisions. 2) Reduction in paper and increased electronic communications between trade and regulatory agencies which facilitates the import process. 3) Assists industry to comply with government regulations 4) Increases business process efficiency and reduces costs to government and industry.

Appendix Overview

The Appendix APH-A: APHIS Supplemental Trade Guide is primarily designed for filers that report APHIS Message sets on behalf of Importers. The guide is essentially a "job aid" aimed at separating the operational data entry concepts from the technical aspects of the APHIS Message sets. APHIS developed the material during the "optional" reporting phase of the APHIS Message Set initiative due to positive feedback received regarding information communicated via the [APHIS] ACE.ITDS@aphis.usda.gov service account. Much of this information was generated as a result of questions or recommendations by trade to produce material explaining the APHIS Message Set in a less technical way. Recommendations from trade also encouraged APHIS to cross reference key pieces of the APHIS Message Set design. This included cross referencing Harmonized Tariff Schedule (HTS) code with record lines like PG01 (APHIS Programs) and PG10 (APHIS Commodity Category Types).

APHIS Support Desk

The APHIS Support desk operating hours are Mon-Fri 7am – 11pm and Saturday from 8am – 4 pm (all eastern times) and can be reached at ace.itds@usda.gov or by Phone @ 1-833-481-2102.   Help Desk support for the ACE Helpdesk includes Tier 1 and 2 support. The center will assist customers with troubleshooting and corrective actions needed to resolve message sets rejected by the ACE system due to transmission errors. The APHIS ACE Help Desk team are not subject matter experts on the *admissibility* requirements of APHIS regulated products. For more information on admissibility / importing requirements, you can access the APHIS Contact Us page at https://www.aphis.usda.gov/aphis/banner/contactus or reference Section 1 - Admissibility of this document.

Programs

The APHIS Core Message Set includes Plant Protection & Quarantine (APQ), Veterinary Services (AVS), Biological Regulatory Services (ABS), and Animal Care (AAC) programs. Each program houses their respective PG10 Category Type Code. Information needed for importation and to correctly regulate and safeguard agriculture products and related products are provided by Licenses, Permits, Certificates, and Other (LPCOs) documents.

Veterinary Services (AVS)

Category Type Codes

AP200
(Related Animal Product)

AP300
(Animal Products and By-Products)

Plant Protection and Quarantine (APQ)

Category Type Codes

AP400
(Propagative Material)

AP500
(Seeds Not for Planting)

AP600
(Fruits and Vegetables)

AP700
(Misc. and Processed Products)

AP800
(Cut Flowers)

Biotechnology Regulatory Services (ABS)

Category Type Codes

AP1000
(Genetically Engineered Organisms)

Animal Care (AAC)

Category Type Codes

AP0100
(Live Animals)

Category Code 118
(Canidae (Dogs))

Section I - Admissibility

The APHIS ACE Support Desk aids with submitting APHIS Core Message Sets in the ACE system by reviewing APHIS Message Sets, explaining error codes and flags, providing disclaim guidance, and answering general Message Set questions.   Questions and concerns regarding admissibility or if you are unsure if your product requires a LPCO (License, Permit, Certificate, Other) visit the resources below.

For Plant Product Questions:

Generally Authorized Non-Propagative Plant Products
New Agriculture Commodity Import Requirements (ACIR) Online Portal

If further information is needed regarding Plant Product admissibility filers should contact:

- Phone: 301-851-2046 or Toll free: 1-877-770-5990
- Email: plantproducts.permits@usda.gov

For Animal Product Questions:

Guidelines: Animal Products That Do Not Require an Import Permit
APHIS eFile Veterinary Services Permitting Assistant

If further information is needed regarding Animal Product admissibility filers should contact:

- Phone Number: 301-851-3300, option 4
- Email: apie@usda.gov

Filers may use the Harmonized Tariff Code Master Correlation Table for APHIS Core Message Set to look up particular Harmonized Tariff Schedule (HTS) codes and find information that will help in identifying how the commodity is flagged and whether a message set will be required or can be disclaimed. In the case of an HTS not coming up as flagged within the HTS Correlation Table, you can potentially Disclaim "A" -- note though that APHIS may have missed some flags so it is still the responsibility of the Importer / Broker to know if APHIS regulates the commodity.   More information on disclaims can be found on section IV of this document.

The guidance for when to file an APHIS Core message set is based on flag and admissibility requirements. For HTS codes flagged AQ2 (data is required) a message set must be filed. For HTS codes flagged AQ1 (data may be required) or AQX (Warning) it is dependent on the presence of a license, permit, certificate or other (LPCO) document for admissibility. If your products do not require a LPCO then you may disclaim A (product not regulated by APHIS) or disclaim B (per agency guidance). For shipments that do require a LPCO a message set needs to be filed. More information on LPCOs can be found on section VII of this doucment.

Please know that no admissibility regulations have changed with the APHIS Core message set; if you haven't needed a LPCO in the past, the same would continue to be true now.

When a Message Set is required, guidance on how to file a message set within ACE, can be found within the APHIS ACE PGA Message Set Implementation Guide. This guide provides step by step direction on filing a Message Set as well as illustrating different examples/flow charts. Any further assistance required, please contact the APHIS ACE Support desk by email at ACE.ITDS@usda.gov or by phone at 833-481-2102.

Section II - Plant Inspection Stations

USDA-APHIS-PPQ has 16 plant inspection stations in the U.S. located at or near major international airports and seaports. Plant inspection stations (PIS) process and inspect propagative material, which includes imported plants for planting, seeds, any plant part capable for propagation, as well as other regulated plant material, and live organisms to determine admissibility and prevent the entry of exotic pests into the United States.   Most propagative plant imports move forward to the PIS at the first port of entry, or nearest PIS upon arrival. Generally, CBP Agriculture processes and inspects twelve or fewer plants, seeds, as well as most Canadian origin plants at the first port of arrival, but there are exceptions.   Exceptions where Canadian origin plants or seeds must be sent to USDA APHIS Inspection Stations include:

- Abelmoschus spp. (okra) seeds for planting (require treatment as a condition of entry; see Abelmoschus spp. in Lists of Plants for Planting)
- Hibiscus spp. (kenaf) seeds for planting (require treatment as a condition of entry; see Hibiscus spp. in Lists of Plants for Planting)
- Plants originating in a third country that are not considered to be from Canada (see Plants for Planting Considered As Being from Canada)

USDA APHIS Plant Inspection Stations process and inspect thirteen or more plants, all tree seeds, Small Lot of Seed Permit seeds, post-entry plant material, Controlled Import Permit shipments, and imports with special restrictions. Special restrictions may include requirements such as a permit, quarantine, treatment, or ESA or CITES documentation. Propagative material must be accompanied by a phytosanitary certificate from the country of origin showing that the imported commodity meets entry requirements for the United States.   You can learn more about admissibility and entry requirements for certain plants by calling Permit Services at (301) 851-2046 or toll-free at (877) 770-5990 or by email at Permit@usda.gov. More information on USDA Plant Inspection Stations can be found on the program aid.

The USDA-APHIS-PPQ Plant Inspection Stations use the Agricultural Risk Management (ARM) system which is a downstream inspection recording system capable of communicating directly with ACE.   When appropriate ARM communicates the validity of this data back to trade via SO70 [type] messaging. Overarchingly, ARM is utilized to support the operational and analytical needs of USDA APHIS and is leveraged to track, manage, and record inspections associated with live plant (AP0400) importations into the United States. The major focus of the system is to facilitate the inspection process by allowing APHIS officers to record their inspections, laboratory findings, and actions more efficiently. Inspection data includes (but is not limited to) information about the inspection location, shipper, county of origin and destination of the shipment, as well as the shipment mode of transportation, commodity, and officer(s) conducting the inspections. If pests are detected, information is also collected concerning the identification of the pest and/or disease. Diagnostic [laboratory] tests may be initiated leading to a final identification of the intercepted pest and/or disease, as well as a determination of the corrective actions necessary (e.g., treatment, destruction, or re-export). A taxonomic list of valid scientific names for propagative plant commodities can be found here: USDA APHIS | Propagative Name Validation List.

Plant Inspection Stations highly recommend transmitting the grower (code: DFI) name in the APHIS Core Message Set and selecting A02 = Plant Inspection Station, as the agency processing code. Including shipment paperwork with Digital Image Service (DIS) utilizing the appropriate USDA-APHIS DIS codes is important to expedite document review and clearance. The following DIS codes are used for APHIS Message Set filings:

- **APH01**: Certificates Issued by Foreign Governments, Phytosanitary Certificates, Health Certificates, Meat Certificates, Sanitary Certificates, Treatment Certificates, Foreign Certificate of Inspection, Certificate of Origin, etc.
- **APH02**: APHIS Supporting Documents (Commercial Invoices, Packing Lists, Arrival Notifications, Declarations etc.)
- **APH03**: APHIS Permits, Applications, notifications, and Letters

DIS instructions can be found on the CBP Document Image System (DIS) Implementation Guide.

When submitting DIS via email the following format is required:

   Attachments: File Naming convention = DocCode-AnyFileName.pdf
   EXAMPLE: **APH01**-(AnyFileName).pdf

When submitting DIS via XML the following format is required:

   AGENCY_CD=CBP;**APH**

Section III – Entry Type Enforcement Status

CBP Entry Type	APHIS Core Flags Enforced or Exempt
01 – Consumption: Free and Dutiable	APHIS Core Flags Enforced
02 – Consumption: Quota/Visa	APHIS Core Flags Enforced
03 – Consumption – Antidumping/Countervailing Duty	APHIS Core Flags Enforced
06 – Consumption – Foreign Trade Zone (FTZ)	EXEMPT
07 – Consumption Antidumping/ Countervailing Duty and Quota/Visa Combo	APHIS Core Flags Enforced
11[1] – Informal	APHIS Core Flags Enforced
12[1] – Informal: Quota/Visa (except textiles)	APHIS Core Flags Enforced
21 – Warehouse	APHIS Core Flags Enforced
22 – Re Warehouse	EXEMPT
23 – Temporary Importation Bond (TIB)	APHIS Core Flags Enforced
31 – Warehouse Withdrawal Consumption	EXEMPT
32 – Warehouse Withdrawal Quota	EXEMPT
34 – Warehouse Withdrawal – Antidumping/Countervailing Duty	EXEMPT
38 – Warehouse Withdrawal Antidumping/ Countervailing Duty and Quota/Visa Combo	EXEMPT
52 – Government – Dutiable	APHIS Core Flags Enforced
61 – Immediate Transportation (IT)	See explanation below.
62 – Transportation and Exportation (T&E)	EXEMPT

CBP Entry Type	APHIS Core Flags Enforced or Exempt
63 – Immediate Exportation (IE)	EXEMPT
86[1] – De Minimis/Section 321	APHIS Core Flags Enforced

Other Exemptions

Commodity Category Type	Submit APHIS Core Message Set?
Commodities Regulated as a Federal Select Agent	EXEMPT
APHIS Veterinary Services Regulated Live Animals	EXEMPT
Biologicals authorized for Hand Carry	If filing electronically in ACE, follow APHIS Core Message Set flags. For information on CBP requirements, go to www.cbp.gov/biologicals

[1] APHIS Core is relaxing its requirement for Entity [identification] number for informal entries.

Entry Type 61 – Immediate Transportation (IT)

Entry type 61 is used for in-bond movement of cargo from the port of arrival to another U.S. port. Although ACE does not currently allow message set flagging of this entry type, APHIS requires importers and brokers to submit APHIS Core-required information for these shipments at the first U.S. port of arrival. Importers and brokers who are not filing electronic entries (other than in-bonds) in ACE may submit paper documents at the first U.S. port of arrival. Importers and brokers filing electronically in ACE should submit an APHIS Core message set when they submit their final entry type. Failure to submit the message set with the final entry type will result in paper clearance of the cargo at the first U.S. port of arrival and flagging of APHIS Core message set at the in-bond port of entry, duplicating work.

Section IV – Disclaim and HTS Flagging Guidance (PG01)

Disclaim Methodology - AQ1 (data may be required) versus AQ2 (data is required) versus AQX (warning) flagged HTS Code

- IF HTS Code is flagged AQ1 then determine if LPCO's exists.
  - If AQ1 and LPCO's are not present, then disclaim.
  - IF LPCO exists, then file an APHIS Core Message Set.
  - Report all LPCO supporting documentation in a PG13/14 grouping.
- IF HTS Code is flagged AQ2, then file an APHIS Core Message Set.
  - Even if LPCO's are not required as a condition of entry.
  - Report all LPCO supporting documentation (if applicable) in a PG13/14 grouping.
- IF HTS Code is flagged AQX then determine if LPCO exists.
  - If AQX and LPCO's are not present, then ignore the Warning – Disclaim not required.
  - IF LPCO exists, then file an APHIS Core Message Set.
  - Report all LPCO supporting documentation in a PG13/14 grouping.

Disclaim Correlation Table:

	AQ1 (data may be required) flagged HTS	AQ2 (data is required) flagged HTS	AQX (data may be required) flagged HTS (WARNING)	Unflagged HTS Codes
Regulated commodity with LPCO's	Message Set Required	Message Set Required	Message Set Required	Message Set Required
Regulated commodity without LPCO's	Message Set NOT Required (optional)	Message Set Required	Message Set NOT Required (optional)	Message Set NOT Required (optional)
Commodity not regulated by APHIS	Optional Message Sets	N/A	Optional Message Sets	Optional Message Sets

Disclaim Reporting:

Disclaim codes indicating the reason data is not being provided. Valid codes for APHIS:

A = Product is not regulated by APHIS

- HTS Code is flagged AQ1 (data *may* be required) or AQX (warning)
- Importer has verified commodity is not regulated by APHIS via admissibility support.
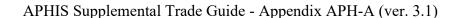
- Admissibility guidance and support can be found at the following web pages: (https://www.aphis.usda.gov/aphis/banner/contactus) or (www.aphis.usda.gov/aphis/ourfocus/importexport)
- If product is non-regulated *plant-based*
  - Report APQ as the program for disclaim or refer to the APHIS flagged Harmonized Tariff code to category type section of this appendix for additional guidance.
- If product is non-regulated *animal-based*
  - Report AVS as the program for disclaim or refer to the APHIS flagged Harmonized Tariff code to category type section of this appendix for additional guidance.

B = Data is not required per APHIS guidance

- HTS Code is flagged AQ1 (data may be required) or AQX (warning)
- The product is regulated by APHIS, but the agency has determined the product does not need a message set or License, Permits, Certificates, or Other documents (LPCO's) as a condition of entry.
  - Admissibility guidance can be found at the following web pages: (https://www.aphis.usda.gov/aphis/banner/contactus) or (www.aphis.usda.gov/aphis/ourfocus/importexport)
- If product is *plant-based*
  - Report APQ as the program for disclaim or refer to the APHIS flagged Harmonized Tariff code to category type section of this appendix for additional guidance.
- If product is *animal-based*
  - Report AVS as the program for disclaim or refer to the APHIS flagged Harmonized Tariff code to category type section of this appendix for additional guidance.
- If product falls under USDA (Veterinary Service) Guidelines
  - Example: Most laboratory animals can be imported under USDA import guideline #1103 without a permit or certificate.
  - Report AVS as the program for disclaim or refer to the APHIS flagged Harmonized Tariff code to category type section of this appendix for additional guidance.
  - USDA Guideline information can be found at the following web page: (https://www.aphis.usda.gov/aphis/ourfocus/animalhealth/animal-and-animal-product-import-information/import-live-animals/no-import-permit-req)
  - Important Note: filers can utilize disclaim code B for commodities qualifying under a VS guideline where no certificate is required as a condition of the guideline. If the guideline requires a certificate, you cannot disclaim.

It is important to understand not all APHIS regulated commodities require submission of a message set and not all AQ1 (data may be required) or AQX (warning) flagged Harmonized Tariff Schedule of the United States (HTSUS) codes are granular enough to know if the commodities within a given HTSUS are regulated by APHIS. In other words, some HTSUS codes are too general and have both regulated and non-regulated commodities within them.

Filers are required to submit message set for all APHIS regulated commodities where the HTSUS codes have been flagged AQ2 (data is required) or flagged AQ1 (data may be required) or AQX (warning) where the commodities require LPCO's (Licenses, permits, certificates and other documents) as a condition of entry. Therefore, current APHIS policy allows filers to disclaim AQ1 commodities and ignore AQX commodities that do NOT require LPCO's as a condition of entry. Disclaims due to "data filed through paper" will not be allowed if filing CBP header data in ACE.

Nevertheless, filers may submit APHIS message sets for AQ1 or AQX flagged commodities that do not have LPCO's (as a condition of entry) if they believe it will facilitate the movement of the shipment. It may be beneficial to provide clearing/inspecting officers with more granular information if the commodity is regulated and routinely inspected, even if LPCO's are not required as a condition of entry. Normally this is especially beneficial if the same or similar commodities require LPCO's depending on country of origin or if commodities appear the same or similar but are regulated differently depending on composition/ingredients, Intended use, or physical state (e.g., frozen).

Note: APHIS has an OMB (Office of Management and Budget) exemption that requires the agency to continue to receive hard copy foreign issued certificates (e.g., veterinary, health, sanitary and phytosanitary) because they are considered "legal instruments" (aka, formally executed written documents) issued by foreign governments. Even though importers/filers are submitting the certificates in paper, a message set would be required to report the other documents (e.g., permits, notice of arrivals) and to report the "presence" of the paper certificates within PG13/14 record lines.

APHIS ACE CORE Team does not provide comprehensive support for questions associated with commodity admissibility. Filers are encouraged to work directly with Importers when determining if LPCO's are required as a condition of entry. Importers (and Filers) are encouraged to utilize the long-standing APHIS Import/Export infrastructure which can be contacted here: (https://www.aphis.usda.gov/aphis/banner/contactus)

FAQ's Section I – Disclaim and HTS Flagging

More general ACE FAQ's can be found at CBP's web site at: **https://www.cbp.gov/trade/automated/ace-faq**

FAQ

1. **When should APHIS Core be disclaimed?**

    - For APHIS Core, disclaims are allowed when the HTS code flag is set to AQ1 (data may be required) and Licenses, Permits, Certificates or other documents (LPCO's) are not required as a condition of entry. Note: All AQ2 (data is required) commodities require a message set even if they do not have LPCOs as a condition of entry. Optional message sets can be provided even for articles that qualify for disclaim.

FAQ

2. **Under what circumstances, would an Importer disclaim a product subject to AQ1 (APHIS may be required)?**

    - Any circumstance that would allow the commodity to make entry without accompanying LPCO documents. Please note: Filers are opting to report message sets even if they are not required to facilitate the movement of the shipment. Using this technique allows the officer clearing the shipment electronically to quickly determine that the commodity is <u>not</u> something they are interested in inspecting. In essence it helps further identify the product within less specific harmonized tariff description so officers can identify it as not regulated by APHIS.

FAQ

3. **Which disclaim types are allowed by APHIS Core?**

    - *As noted in the PG01 Disclaim data element description section of the Implementation guide, disclaim code "A" (product is not regulated by this agency) and "B" (data is not required per agency guidance) are the only acceptable codes for USDA APHIS. There are no "Other Agency Means" available.*

FAQ

4. **How are USDA guideline statements (ex. 1100 – 1105) submitted if the commodity is eligible for disclaim? In the past, USDA will not release the shipments without submission of these documents.**

    - Current APHIS policy is to disclaim commodities covered by USDA (Veterinary Services) guidelines using code "B" (not regulated by this agency) and then submit the guideline statement (aka manufactures statement) to DIS.
    - APHIS VS regulated commodities needing <u>only</u> a VS statement document (i.e. STAT) do not require a message set to be filed; however, the statement document should be uploaded into ACE DIS using the appropriate APHIS document code. Note that if a statement document is required based on requirements stated in a VS Permit, the presence of the permit requires the submission of a message set.
    - APHIS also accepts message sets if the importer/filer believe it will facilitate the movement of the shipment. In that case manufactures statements are reported in PG22 and sent to DIS. LPCO lines PG13/14 would not be utilized.
    -

FAQ

5. How does an importer know if a commodity is <u>not</u> regulated by APHIS in order to apply disclaim code A?

- As required by regulations, importers are ultimately responsibility for knowing whether a commodity is regulated by APHIS. If there are questions about APHIS import requirements, information is available at the following web pages (**https://www.aphis.usda.gov/aphis/banner/contactus**) or (**www.aphis.usda.gov/aphis/ourfocus/importexport**) or by calling the Customer Service Center at 1-844-820-2234

- Note: Generally, the APHIS ACE Team does not support admissibility questions.

FAQ

6. How does an importer know if permits or certificates (LPCO's) are needed as a condition of entry?

- As required by regulations, importers are ultimately responsibility for knowing whether a commodity is regulated by APHIS. If there are questions about APHIS import requirements, information is available at the following web pages (**https://www.aphis.usda.gov/aphis/banner/contactus**) or (**www.aphis.usda.gov/aphis/ourfocus/importexport**) or by calling the Customer Service Center at 1-844-820-2234

- Note: Generally, the APHIS ACE Team does not support admissibility questions.

FAQ

7) What if the product does not have Licenses, Permits, Certificates, or Other documents (LPCO's) as a condition of entry but the HTS codes is still flagged as AQ2 (data is required)?

- If the HTS codes is flagged AQ2 (data is required) then the product is still regulated by APHIS, but the agency has determined the product does not need special permission or other documents to make entry (except the message set).
- This is generally due to the commodities country of origin and/or how it was produced or manufactured. In this case the message set is still needed to certify country of origin and all other factors that in turn allows the commodity to enter the United States without LPCO's.

FAQ

8) Will we receive a "May Proceed" from the PGA when transmitting a Disclaim?

- Filers will not receive a May Proceed for that PGA line. To be more specific a SO70 is not generated to trade (i.e., no May Proceed).

Section V – Agency Processing Codes (PG01)

APHIS utilizes this code as an agency routing code. Using this code facilitates what regulatory entity will provide clearance and/or inspection for the commodity on behalf of APHIS.

APHIS Core Program Code	Agency Processing Code (PG01 Line)	General Commodity Alignment
AVS: Veterinary Services	A01: CBP Agriculture	AP0300 (Animal Products) Commodity Category Type
APQ: Plant Protection & Quarantine	A01: CBP Agriculture	AP0600 (Fruits &Vegetables), AP0800 (Cut Flowers), Commodity Category Types and AP0400 (Live plants) Commodity Category Type of Canadian Origin (typically of low cumulative quantity of less than 13 plant units). AP0400 - Seeds for Planting/Sowing non-permit seed are inspected by CBP Agriculture, however these products that typically require a permit are routed to the USDA PPQ Plant Inspection Station (A02- see below)
	A02: APHIS Plant Inspection Station (PIS)	AP0400 (Live Plants) Commodity Category Type greater than or equal to 13 cumulative quantity of all plant material or are CITES, or endangered); AP0400 - Seeds for Planting (For Sowing): generally speaking, seed requiring a permit is routed to the PIS and non-permit seed may be inspected CBP-A (see above).
	A03: APHIS Pre-Clearance	Precleared AP0600 (Fruits and Vegetables) Commodity Category Type, and 401 commodity category series (propagative bulbs) under AP0400 (Propagative Material) Commodity Category Type
AAC: Animal Care	A01: CBP Agriculture A04: APHIS VS Port Veterinarian	118 (Canine) Commodity Category series importations of Dogs under AP0100 (Live Animal) Commodity Category Type unless coming from a country where animal is exposed to screwworm.
ABS: Biotechnology Regulatory Services	A02: APHIS Plant Inspection Station	AP 1000 (Genetically Engineered Organisms) Commodity category type (indicated by the presence of BRS LPCOs) are processed by APHIS Plant Inspection Stations.

FAQ's Section II – Agency Processing Code

More general ACE FAQ's can be found at CBP's web site at: https://www.cbp.gov/trade/automated/ace-faq

FAQ

1. Is Government Agency Processing Code required?

- **No – this data is optional. It was something trade requested to help "route" shipments to the correct inspection point and/or agency.**
- **History Note: In the past brokers (and shippers) attached a "green sheet" (or yellow sheet) to the packet of paperwork accompanying shipments. This practice varied depending on port but reminded the CBP (officers) not to accidently release the shipment before "agriculture" looked at it (either CBP Agriculture or APHIS). The Government Agency Processing Code is the electronic equivalent of the "green sheet" and helps route the shipment to the proper inspecting officer.**

FAQ

2. Which Government Agency Processing Code aligns with which Product Category Types [in PG10]?

- **Generally, A01 (CBP Agriculture) aligns with AP0200 (Related Animal Products), AP0300 (Animal Products), AP0500 (Seeds Not for Planting), AP0600 (Fruits and Vegetables), AP0700 (Misc. Processed Products), AP0800 (Cut Flowers) Commodity Category Types.**
  - **Exception – Canadian origin and/or small lots (less than 12 plants) of AP0400 (Propagative Material) may also align with A01 (CBP Agriculture) routing.**
  - **Exception – Pre-Cleared 401 Commodity Category series (Bulbs) under AP0400 (Propagative Material) and Pre-cleared AP0600 (Fruits and Vegetables)**
- **Generally, A02 (Plant Inspection Station) aligns with AP0400 (Propagative material) and AP1000 (Genetically Engineered Organisms) Commodity Category Type.**
  - **Exception – Canadian origin and/or small lots (less than 12 plants) of AP0400 (Propagative Material) may align with A01 (CBP Agriculture) routing.**
- **Generally, A03 (Pre-clearance) aligns with pre-cleared 401 Commodity Category series (Bulbs) under AP0400 (Propagative Material) and Pre-cleared AP0600 (Fruits and Vegetables)**
  - **Note - Pre-clearance forms must be present.**
  - **118 Commodity Category series importations of Dogs under AP0100 Commodity Category Type will have a Government Agency Processing Code of A01 (CBP Agriculture).**

Section VI – Harmonized Tariff Codes and APHIS Commodity Category Types (PG10)

Commodity Categorization (overview)

The PG10 record line is the primary architecture used to help stakeholders correctly report commodities within the APHIS Message Set.   This record line is critical for APHIS Message Sets because it supports the ability to filter and efficiently align commodities into specific groups. The main data element, "Commodity Category Type" is the top-level grouping which allows commodities or products to be lumped and/or split into specific sub-groups using the data elements associated with Commodity Categories and Commodity Characteristics. It is important to note these categories and characteristics are directly and only align with specific related Commodity Category Types. Naming and coding conventions within the subgroups always align to the Commodity Category Type which are also aligned with APHIS Programs - Biotechnology Regulatory Services (BRS), Animal Care (AC), Plant Protection and Quarantine (PPQ) and Veterinary Services (VS) - and APHIS LPCO types, as well as, cross-referenced with the APHIS "flagged" HTS codes.   Filers and their software providers can use this feature to restrict choices within the broker interface so that once an HTS and Commodity Category Type is selected only the related values within the corresponding commodity categories and characteristics, as well as APHIS Programs and LPCO's, are available for reporting.

APHIS has flagged approximately 2,052 specific harmonized tariff schedule (HTS) codes that fall under its jurisdiction.   This fluctuates slightly each year depending on the changes made by the United States International Trade Commission (USITC). Each HTS code is given a status of either AQ1 (maybe required), AQX (warning), or AQ2 (is required) depending on how granular the HTS code describes the various individual commodity or commodities within it. Most AQ1 and AQX commodities have broad HTS code descriptions and therefore the individual commodities covered within the HTS code cannot be identified at a granular enough level for APHIS to regulate them appropriately.   Occasionally APHIS regulated commodities are imported under HTS codes that are not flagged by APHIS. In those cases, it is important to understand importers are still responsible for meeting APHIS conditions of entry and for filing an APHIS Message Set (regardless of the tariff flagging) – especially when APHIS LPCO's are required.   APHIS Core publishes its latest flagged HTS codes at the following: APHIS HTS Master Correlation Table.

Cut Flowers Name / Fruit and Vegetable/ Propagative Material Validation Lists

APHIS has released a Cut Flower (AP0800), Fruit & Vegetable (AP0600), and a Propagative material (AP0400) list to assist trade with commodity spelling verification. These lists provide genus, species, subspecies, and variety names (PG05) along with corresponding common names (PG17). These lists do not represent commodities that may or may not be admissible but provide the acceptable spellings for listed names and in some cases provide the corresponding Integrated Taxonomic Information Systems (ITIS) Taxonomic Serial Number (TSN) and/or the APHIS Internal ID (APID). These lists are not all-encompassing; if the genus, species, subspecies, or variety does not appear on this list, use the format that appears on the associated phytosanitary certificate and commercial invoice. PPQ will update the list as necessary and provide the date of the most recent update. Links to these lists are found here: USDA APHIS | Cut Flower Name Validation List and here: USDA APHIS | Fruit and Vegetable Name Validation List and here: USDA APHIS | Propagative Material Name Validation List
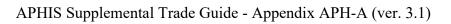
HTS Chapter to Category Type Mapping (Table View)

Note: (#) denotes approximate HTS count that are flagged by APHIS Core within each chapter

HTS Chapter	Primary Category Type Code	Secondary Category Type Code	Tertiary Category Type Code And Other Possible Category Type Codes
1	AP0700 Miscellaneous & Processed Product (4)	AP0300 Animal Product (3)	AP0100 Live Animal (1)
2	AP0300 Animal Product (155)		
3	AP0300 Animal Product (3)	AP0700 Miscellaneous & Processed Product (1)	
4	AP0300 Animal Product (152)		
5	AP0300 Animal Product (29)	AP0100 Live Animals (3)	
6	AP0400 Propagative Material (27)	AP0800 Cut Flowers & Greenery (24)	AP0700 Miscellaneous & Processed Product (3)
7	AP0600 Fruits & Vegetables (166)	AP0700 Miscellaneous & Processed Product (78)	AP0500 Seeds Not for Planting (46) AP0400 Propagative (16)
8	AP0600 Fruits & Vegetables (101)	AP0700 Miscellaneous & Processed Product (65)	AP0500 Seeds Not for Planting (17)
9	AP0700 Miscellaneous & Processed Product (38)	AP0500 Seeds Not for Planting (10)	AP0600 Fruits & Vegetables (5)
10	AP0700 Miscellaneous & Processed Product (55)	AP0400 Propagative Material (7)	AP0500 Seeds Not for Planting (3)
11	AP0700 Miscellaneous & Processed Product (44)		
12	AP0400 Propagative Material (70)	AP0700 Miscellaneous & Processed Product (46)	AP0500 Seeds Not for Planting (31) AP0600 Fruits & Vegetables (6)
13	AP0700 Miscellaneous & Processed Product (6)		
14	AP0700 Miscellaneous Processed Product (11)		
15	AP0300 Animal Product (24)	AP0700 Miscellaneous & Processed Product (6)	
16	AP0300 Animal Product (90)		
17	AP0300 Animal Product (1)		
18	AP0300 Animal Product (36)	AP0600 Fruits & Vegetables (1)	
19	AP0300 Animal Product (83)	AP0700 Miscellaneous & Processed Product (3)	
20	AP0700 Miscellaneous & Processed Product (73)	AP0500 Seeds Not for Planting (3)	AP0600 Fruits & Vegetables (2)
21	AP0300 Animal Product (90)	AP0700 Miscellaneous & Processed Product (1)	
22	AP0300 Animal Product (9)		
23	AP0300 Animal Product (33)	AP0700 Miscellaneous & Processed Product (1)	
24	AP0700 Miscellaneous & Processed Product (1)		
25	AP0700 Miscellaneous & Processed Product (4)	AP0300 Animal Product (2)	
27	AP0300 Animal Product (2)	AP0700 Miscellaneous & Processed Product (1)	
28	AP0300 Animal Product (4)		
29	AP0300 Animal Product (63)		
30	AP0300 Animal Product (113)		
31	AP0300 Animal Product (8)		
32	AP0700 Miscellaneous & Processed Product (2)	AP0300 Animal Product (1)	
33	AP0700 Miscellaneous & Processed Product (2)	AP0300 Animal Product (2)	
34	AP0300 Animal Product (6)		

HTS Chapter	Primary Category Type Code	Secondary Category Type Code	Tertiary Category Type Code And Other Possible Category Type Codes
35	AP0300 Animal Product (18)		
38	AP0300 Animal Product (21)	AP0700 Miscellaneous & Processed Product (1)	
39	AP0300 Animal Product (3)		
41	AP0300 Animal Product (42)		
42	AP0300 Animal Product (6)		
43	AP0300 Animal Product (3)		
44	AP0700 Miscellaneous & Processed Product (198)		
46	AP0700 Miscellaneous & Process Product (49)		
50	AP0700 Miscellaneous & Process Product (1)		
51	AP0300 Animal Product (52)		
56	AP0700 Miscellaneous & Process Product (2)		
63	AP0700 Miscellaneous & Process Product (1)		
67	AP0300 Animal Product (4)		
69	AP0300 Animal Product (1)		
73	AP0300 Animal Product (3)		
83	AP0300 Animal Product (1)		
84	AP0200 Related Animal Product (68)		
87	AP0200 Related Animal Product (3)		
90	AP0300 Animal Product (1)		
92	AP0700 Miscellaneous & Processed Product (2)		
94	AP0700 Miscellaneous & Processed Product (2)		
95	AP0700 Miscellaneous & Processed Product (7)		
96	AP0700 Miscellaneous & Processed Product (11)	AP0300 Animal Product (2)	
97	AP0 AP0300 Animal Product (5)	AP700 Miscellaneous & Processed Product (2)	
98	AP0300 Animal Product (7)	AP0200 Related Animal Product (3)	AP0700 Miscellaneous & Processed Product (1) AP0400 Propagative (1)

Last update: 8/12/2022

FAQ's Section III – Harmonized Tariff Codes and APHIS Commodity Category Types (PG10)

More general ACE FAQ's can be found at CBP's web site at: https://www.cbp.gov/trade/automated/ace-faq

FAQ

1. **What is the hierarchical structure (aka different levels) of PG10?**

- **For APHIS, the top level of PG10 is the Commodity Category Type data element. Using this element APHIS has currently separated its commodities into nine separate groups.**
- **The next level down is further divided into subgroups using Commodity Categories. Each Commodity category (subgroup) follows the naming/numbering convention of its parent Commodity Category Type.**
- **The third level down is created by combining the values within Commodity Qualifier Codes and Commodity Characteristic Qualifiers. Each of these values continues to follow the naming/numbering convention of its parent Commodity Category.**
  - o **For APHIS the best way to think about the third level is by understanding that Commodity Qualifier Codes are utilized to qualify which type of characteristic (e.g., Condition, Physical State, and/or composition) is being reported and then what those specific characteristics are within the Commodity Characteristic Qualifier.**

FAQ

2. **What level of reporting is required for PG10?**

- **The first to levels of the hierarchical structure (Commodity Category Type and Commodity Category) are required for all APHIS Message Sets.**

- **Note: The absence of Commodity Qualifier Codes and Commodity Characteristic Qualifiers can be an inspection trigger. If the characteristics of a commodity aren't reported then CBP Agriculture and APHIS officers are required to validate things like condition, physical state, packaging, and or composition (ingredients) as a condition of entry.**

Section VII – LPCO Guidance (PG13/14)

License, Permits, Certificates, and Other (LPCO's) as a condition of entry:

After the tragic events of September 11, 2001, much of APHIS' PPQ workforce was consolidated into U.S. Department of Homeland Security (DHS) to unify Federal inspection forces. As a result, CBP agriculture specialists through a Memorandum of Understanding between USDA and DHS inspect shipments of imported *non-live* **plant and animal products** and ensure that the required LPCOs accompany each shipment. LPCOs can include permits, sanitary certificates, phytosanitary certificates, certificates of origin, and health certificates, as well as, required manufacturer statements. APHIS continues to inspect imported <u>live</u> plants at Plant Inspection Stations and live animals through local port veterinarians.

By regulation, APHIS requires various LPCO's as a condition of entry. LPCO's provide CBP Agriculture and APHIS officers with the regulatory ability and authority to clear and/or inspect commodities. Some LPCO's provide key information about the commodities identity (e.g. the name, amounts, conditions, origin etc.), while others provide statements of sanitary/cleanliness, or conditions of admissibility (e.g. permission, authorizations, attestments, statements etc.), while others provide arrival notification (e.g. notice of arrival, declaration of importation, etc.). Historically importers provided this information to officers "before or upon arrival" via paper [LPCO] documents. Without those documents, officers cannot release commodities into U.S. commerce. With the implementation of ACE, the prerequisite and use of these documents to clear and/or inspect commodities has not changed. The only difference is the <u>presence</u> (aka: existence) of these LPCO's are now being reported in PG13/14 LPCO record lines. Depending on commodity and LPCO type the information on the paper documents are being replaced entirely by the submission of the APHIS message set.

License, Permits, Certification, and Other (LPCOs) correlation to Category Type and Program Type Code

In most cases Permits and Certificates are required for entry for APHIS regulated products. LPCOs identify the type of license, permit, certificate or other. More than one LPCO type may be used. Full LPCO Type descriptions can be found on the ACE CATAIR Appendix PGA.

Category Type Code	LPCO Types (may include the following forms)	Program Type Code
AP0100 APHIS Live Animals [1] **Category Code 118 (Dogs)**	A02 Health Certificate (Live Animal Health Certificate) A30 APHIS Rabies Vaccination A31 APHIS 7040B/ 7040C Import Permit for Dogs	AAC
AP0200 APHIS Related Animal Products	A05 Treatment Certificate (for used farm equipment arriving from FMD countries)	AVS
AP0300 APHIS Animal Products and Animal By-Products	A03 Meat / Sanitary Certificate (Animal Products Certificate) [2] A6A APHIS 2006 (Sale and Distribution) A6B APHIS 2006 (Research and Evaluation) A24 APHIS VS 16-6A A25 Manufacturer's Statement/Certificate/Declaration	AVS

Category Type Code	LPCO Types (may include the following forms)	Program Type Code
	A33 Certificate of Origin	
AP0400 APHIS Propagative Material	A01 APHIS Phytosanitary certificate (Foreign)	APQ
	AE1 Electronic Phytosanitary Certificate (Foreign)	
	A05 Treatment Certificate	
	A07 APHIS PPQ 203	
	A11 APHIS PPQ546	
	A13 APHIS PPQ586	
	A14 APHIS PPQ587-8	
	A15 APHIS PPQ587-15	
	A16 APHIS PPQ587-37	
	A20 APHIS PPQ587-75	
	A21 APHIS PPQ587-37CAN	
	A22 APHIS P588	
	A23 APHIS P621	
	A27 APHIS Seed Analysis Certificate	
	A32 APHIS PPQ 368 (Notice of Arrival)	
	A33 Certificate of Origin	
	FWS Foreign CITES Document	
AP0500 APHIS Seeds Not for Planting	A01 APHIS Phytosanitary certificate (Foreign)	APQ
	AE1 Electronic Phytosanitary Certificate (Foreign)	
	A05 Treatment Certificate	
	A10 APHIS PPQ 526	
	A14 APHIS PPQ587-8	
	A16 APHIS PPQ587-37	
	A17 APHIS PPQ587-41	
	A19 APHIS PPQ587-56	
	A20 APHIS PPQ587-75	
	A21 APHIS PPQ587-37CAN	
	A22 APHIS P588	
	A23 APHIS P621	
AP0600 APHIS Fruits and Vegetables	A01 APHIS Phytosanitary certificate (Foreign)	APQ
	AE1 Electronic Phytosanitary Certificate (Foreign)	
	A05 Treatment Certificate	
	A07 APHIS PPQ 203	
	A10 APHIS PPQ 526	
	A14 APHIS PPQ587-8	
	A15 APHIS PPQ587-15	
	A16 APHIS PPQ587-37	
	A17 APHIS PPQ587-41	
	A18 APHIS PPQ587-55	

Category Type Code	LPCO Types (may include the following forms)	Program Type Code
	A19 APHIS PPQ587-56	
	A20 APHIS PPQ587-75	
	A21 APHIS PPQ587-37CAN	
	A33 Certificate of Origin	
AP0700 APHIS Miscellaneous and Processed Products	A01 APHIS Phytosanitary certificate (Foreign)	APQ
	AE1 Electronic Phytosanitary Certificate (Foreign)	
	A05 Treatment Certificate	
	A07 APHIS PPQ 203	
	A09 APHIS PPQ 525	
	A10 APHIS PPQ 526	
	A12 APHIS PPQ585	
	A13 APHIS PPQ586	
	A15 APHIS PPQ587-15	
	A17 APHIS PPQ587-41	
	A18 APHIS PPQ587-55	
	A19 APHIS PPQ587-56	
	A20 APHIS PPQ587-75	
	A21 APHIS PPQ587-37CAN	
	A22 APHIS P588	
	A23 APHIS P621	
	A32 APHIS PPQ 368 (Notice of Arrival)	
	A33 Certificate of Origin	
	FWS Foreign CITES Document	
AP0800 APHIS Cut Flowers and Greenery	A01 APHIS Phytosanitary certificate (Foreign)	APQ
	AE1 Electronic Phytosanitary Certificate (Foreign)	
	A05 Treatment Certificate	
	A20 APHIS PPQ587-75	
	A21 APHIS PPQ587-37CAN	
	A22 APHIS P588	
	A23 APHIS P621	
	A33 Certificate of Origin	
	FWS Foreign CITES Document	

[1] Canine (dogs) commercial shipments require an APHIS Core Message Set per the APHIS Animal Care program (AAC), specifically the declaration of an APHIS 7040B/ 7040C Import Permit for Dogs (or LPCO code A31).

[2] For shipments of edible meat products from Australia and New Zealand, an "original" paper meat certificate is not required but a paper extract of an electronic certificate issued by the government of Australia or New Zealand is required.

ACE / eFile System Integration and Permit - Reporting Guidelines:

APHIS permits are used as permission or prior authorization for the importation of regulated commodities into the United States. Some import permits are one-time use only while many may be used for longer periods of time. In general, they identify who holds the permit (the applicant) and what is allowed entry (the commodity), while also providing both the importer and inspector information about specific conditions of entry.

APHIS eFile is the online system for users to apply for and receive import, interstate movement, transit, release permits, apply for permit renewals and amendments, submit annual reports, and receive regulatory guidance. *For animal care licensing and registration, visit the Apply for a License or Registration page.* APHIS eFile can also be used and will provide a letter of no permit if the product isn't regulated for needing a permit. Keep in mind that PPQ program permits are issued in near real time.

APHIS has successfully integrated ACE with eFile. This integration allows the agency to automatically match permit data, reported in PG13/14 record lines, with official permit records within eFile. Upon match, the official signed permit record is displayed within the ACE Document Imaging System (DIS) allowing CBP Agriculture and APHIS officers to quickly identify permitted commodities and review their "conditions of entry". This information is then leveraged to easily validate those conditions against what is reported within the APHIS message set and/or found during inspections.

"LPCO Type" and "Number" are key data elements for a successful match, because not all permits issued by APHIS reside within the ePermits/eFile system. When reporting permits issued by ePermits/eFile (Including: LPCO types = A09, A10, A11, A12, A13, A14, A15, A16, A17, A18, A19, A20, A21, A22, A23, A24, A28, A35, A35, A36) an SO72 match / no match message will be sent to the filer. This message is informational only and lets the filer know whether the officer's received the permit via the automated process, which in turn facilitates the movement of the shipment. If filers receive a "no match" message, they may revise the permit number within the message set or wait to see if the officers clearing/inspecting the commodity(s) request further documentation (proof of permit).

SO72 match / no match example:
"APHIS Permit # [max 33 characters] found. Document is in DIS"
"APHIS Permit # [max 33 characters] not found. Revise #/send doc"

Foreign Issued Certificates - Reporting Guidelines:

Foreign issued certificates are usually "attestations" or "statements of fact" by a foreign government official to the cleanliness or sanitation of a specific commodity at the time of importation.

Phytosanitary certificates are used to attest that consignments meet phytosanitary import requirements and are issued by an NPPO (National Plant Protection Organization) of the foreign government. A phytosanitary certificate for export or for re-export can be issued only by a public officer who is technically qualified and duly authorized by the NPPO. APHIS accepts phytosanitary certificates that utilize the model/template designated by the Food and Agriculture Organization of the United Nations (FAO), International Plant Protection Convention (IPPC), and International Standards for Phytosanitary Measures (ISPM) 12.

Foreign inspection certificates are required to accompany all imported meat, poultry, and egg products. These certificates must indicate the product name, establishment number, country of origin, name and address of the manufacturer or distributor, quantity and weight of contents, list of ingredients, species of animals it was derived from, and identification marks. The certificate must also bear the official seal of the foreign government agency responsible for the inspection along with the signature of an agency official. This certificate must be in both English and the language of the foreign country.

Please note: APHIS has an Office of Management and Budget (OMB) exemption to continue to require some documents (like most certificates) in paper.

Document Imaging System (DIS) Transmission Guidance:

DIS allows participating trade partners to submit document Images and associated descriptive metadata to CBP and other Participating Government Agencies (PGA's) electronically. Upon successful transmission, the documents are securely stored and made available for review by CBP and PGAs. Documents submitted via DIS are in lieu of paper documents.

DIS presently provides the following document image submission and management capabilities:
- Allows Trade Partners to submit document images and associated descriptive metadata intended for CBP and PGAs in an automated manner.
- Stores all submitted documents in a secure centralized CBP database and maintains associations with transactions such as Entries and Bills and other related descriptive data.
- Allows authorized CBP and PGA users to retrieve, view, review, and annotate documents via a web-based user interface.
- Provides security, authorization, and auditing capabilities.
- Provides validation error results or receipt notification back to trade partners for each submitted document transmission.
- Provides capabilities for CBP Client Representatives to view raw received messages and audit information to assist trade partners in troubleshooting.

Please note the following, regarding how CBP and PGAs can view the documents submitted to DIS by trade:

- APHIS Core PGA documentation is added to DIS entry (aka cargo release), not DIS entry summary.
- CBP can view all documents, regardless of whether it's a CBP or a PGA document.
- PGAs can only view documents that are 'owned' by that agency per the Appendix A of this document, OR, if trade submits additional PGA agency codes that allows non-owning agencies to view the document. (For XML, the additional agencies are added via the GovtAgency data element. For email, they are added via AGENCY_CD).

- If a document is owned by a given agency, you do not need to also provide that agency's code in the above locations when submitting the document.

(*Source: CBP DIS Implementation guide ver. 4-26-2019)

LPCO/DIS Correlation Table:

APHIS Form Name and Number	PGA Appendix Code	DIS Implementation Guide DocCode	Original Paper Document Required at Arrival as a Legal Instrument	"Presence/Existence" Reported in PG13/14 (If Applicable)	ACE-DIS Integration	Incorporated in Message Set	Upload required In DIS
Phytosanitary Certificate	A01	APH01 (optional)	*No[2]	Yes	No	No	Yes
Electronic Phytosanitary Certificate	AE1	APH01 (optional)	No	Yes	Yes	No	No
Health Certificate (Live Animal Health Certificate)	A02	APH01 (optional)	Yes	Yes	No	No	No
Meat / Sanitary Certificate (Animal Products Certificate)	A03	APH01 (optional)	Yes[1]	Yes	No	No	No
Treatment Certificate	A05	APH01 (optional)	No	Yes	No	Yes	No
United States Veterinary Biological Product Permit (APHIS 2006)	A06	APH03	*No	Yes	No	No	Yes
Foreign Site Certificate of Inspection and/or treatment (APHIS PPQ 203)	A07	APH01 (optional)	*No	Yes	No	Yes	No
Permit to Import/Receive Soil (APHIS PPQ 525)	A09	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Move Live Plant Pests or Noxious Weeds (APHIS PPQ 526)	A10	APH03 (optional)	No	Yes	Yes	Yes	No
Post-entry Quarantine Permit (APHIS PPQ 546)	A11	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Import Timber or Timber Products (APHIS PPQ 585)	A12	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Transit Plants and/or Plant Products, Plant Pests, and/or Associated Soil (APHIS PPQ 586)	A13	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Import Plants and Plant Products Regulated by 7CFR319.8 [Foreign Cotton or Covers] (APHIS PPQ 587-8)	A14	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Import Plants and Plant Products Regulated by 7CFR319.15 [Sugarcane] (APHIS PPQ 587-15)	A15	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Import Plants and Plant Products Regulated by 7CFR319.37 [Nursery Stock, Plants, Roots, Bulbs, Seeds] (APHIS PPQ 587-37)	A16	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Import Plants and Plant Products Regulated by 7CFR319.41 [Indian Corn or Maize, Broomcorn, etc.] (APHIS PPQ 587-41)	A17	APH03 (optional)	No	Yes	Yes	Yes	No

APHIS Form Name and Number	PGA Appendix Code	DIS Implementation Guide DocCode	Original Paper Document Required at Arrival as a Legal Instrument	"Presence/Existence" Reported in PG13/14 (If Applicable)	ACE-DIS Integration	Incorporated in Message Set	Upload required In DIS
Permit to Import Plants and Plant Products Regulated by 7CFR319.55 [Rice] (APHIS PPQ 587-55)	A18	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Import Plants and Plant Products Regulated by 7CFR319.56 [Fruits and Vegetables] (APHIS PPQ 587-56)	A19	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Import Plants and Plant Products Regulated by 7CFR319.75 [Khapra Beetle] (APHIS PPQ 587-75)	A20	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Import Plants and Plant Products Regulated by 7CFR319.37 [Canadian-Origin] (APHIS PPQ 587-37CAN)	A21	APH03 (optional)	No	Yes	Yes	Yes	No
Permit to Import Prohibited Plant Material for Research Purposes (APHIS PPQ 588)	A22	APH03 (optional)	No	Yes	Yes	Yes	No
Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-exporting Terrestrial Plants or Plant Products that are Protected and Regulated by 50CFR17.12 or 50CFR23.23 [CITES: Threatened or Endangered Species] (APHIS PPQ 621)	A23	APH03 (optional)	No	Yes	Yes	Yes	No
United States Veterinary Permit for Importation and Transportation of Controlled Material and Organisms and Vectors (APHIS VS 16-6A)	A24	APH03 (optional)	No	Yes	Yes	Yes	No
USDA APHIS VS STAT Documents [Statements] (e.g. Manufacturer's Statement, Owner/Importer Statements, Producer Statements)	A25 (Moved from PG22)	APH01	*No	Yes	No	No	Yes
APHIS Seed Analysis Certificate (PPQ Form 925, CFIA Form 5289, CFIA Form 5309 or similar form)	A27	APH01 (optional)	Yes	Yes	No	No	No
Application for Inspection and Dipping (APHIS VS 17-32)	A29	APH03	No	Yes	No	No	Yes
Rabies Vaccination Certificate	A30	APH01 (optional)	*No	Yes	No	Yes	No
United States Permit to Import Live Dogs (APHIS AC 7040B/7040C)	A31	APH03 (optional)	No	Yes	No	Yes	No

APHIS Form Name and Number	PGA Appendix Code	DIS Implementation Guide DocCode	Original Paper Document Required at Arrival as a Legal Instrument	"Presence/Existence" Reported in PG13/14 (If Applicable)	ACE-DIS Integration	Incorporated in Message Set	Upload required In DIS
USDA APHIS PPQ Notice Of Arrival	A32	APH03 (optional)	No	Yes	No	Yes	No
Certificate of Origin	A33	APH01 (optional)	*No	Yes	No	Yes	No
Permit for Movement or Release of Genetically Engineered Organisms (APHIS BRS 2000)	A34	APH03 (optional)	No	Yes	Yes	Yes	No
APHIS BRS Notification	A35	APH03 (optional)	No	Yes	Yes	Yes	No
APHIS BRS Acknowledgement letter	A36	APH03 (optional)	No	Yes	No	Yes	No
Commercial Invoices, Packing Lists, Corrected Commercial Invoices, and Consolidated Invoices. [Proof of Commodity Identity, Condition, Quantity, and Volume]	(PG22) 331, 380, 384, or 385	APH02	No	No	No	No	Yes

1: Some certificates can be submitted may be uploaded into ACE DIS without providing a paper original; for more guidance, please review this notice. Shipments of edible bovine meat products from Australia or New Zealand must be accompanied by an extract of an electronic certificate to meet APHIS requirements.

2: Phytosanitary certificates can be submitted into ACE DIS without providing a paper original; for more guidance, please review this notice.

Note: "Original Paper Document may be required at arrival (as a Legal Instrument) = "*No" indicates original paper documentation may be needed to support information provided in DIS and/or message set during compliance exams and enforcement investigations.

A filer who transmits data or information through any electronic means to CBP certifies, by the act of transmitting such data or information, that the data or information transmitted is true and correct to the best of the filer's knowledge and belief. The filer also declares that all statements in an electronically transmitted entry, entry summary, invoice, claim, other filing, and all other information or data filed with the entry are true and correct to the best of the filer's knowledge and belief, and that the filer will produce at once any data or information showing that the statements are not true and correct.

- Note: CBP DIS Implementation Guide can be found here - (https://www.cbp.gov/document/technical-documentation/ace-dis-implementation-guide#)

- Note: CBP List of [eligible] DIS PGA Forms can be found here – (https://www.cbp.gov/document/guidance/ace-november-1-pga-forms)

Other documents

Other documents like commercial invoices, arrival notifications, and declarations are used to document and prove which commodities are being imported. They are also used to notify CBP Agriculture and APHIS when and where the commodities will arrive. Documentation about the commodity, as well as, when and where it will arrive is required by regulation and/or a prerequisite for the clearance and/or inspection process to start. Note: STATS (Manufacturers Statements) are reported in PG14.
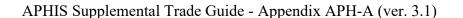
FAQ's Section IV – LPCO Guidance

More general ACE FAQ's can be found at CBP's web site at: https://www.cbp.gov/trade/automated/ace-faq

FAQ

1. **Does the need for submitting paper documents automatically mean disclaim for a message set? Reference the list of documents that require message set, upload to DIS, or submit via paper at this link. https://www.cbp.gov/document/guidance/ace-november-1-pga-forms**

- **No – APHIS has a waiver from OMB to continue to allow foreign government issued LPCO's in paper. Those certificates are considered "legal instruments" and should continue to accompany the shipment and presented upon arrival. Even though they are required in paper, a message set would still be submitted, and the "presence" of the certificate(s) would be reported in the APHIS PGA message set.**

- **When the APHIS message set becomes "mandatory" (aka flags are enforced) filer using ACE to file header data will need to file APHIS message sets where appropriate. In short if filers use ACE, then they will report message sets for APHIS. Only a full paper filing would allow paper for APHIS core.**

- **Note: We are working with foreign governments on a project that would have them send certificates directly to APHIS and ACE. When implemented the importer and filer would only need to report the number of the certificate within the message set. The number would then automatically match the certificate within ACE and be displayed for the officer. APHIS has implemented a similar process for our ePermits, eFile/ACE integrated system.**

FAQ

2. **What other scenarios exist where there is no LPCO required as a condition of entry, but a PGA message set it still required?**

- **Commodities flagged as AQ2 (is required) have this condition.**

FAQ

3. For commodities that do not require permits, will we have to fill out APHIS Core?

- In cases where the commodity is flagged as AQ2 (Data is required) an APHIS Message Set is required regardless of whether a LPCO is required.

FAQ

4. We have a customer that imports some fresh vegetables. The two forms we get are the Certificate of Origin for Fresh Tomatoes and Certificate of Origin for Fresh Peppers. Neither of these have a document ID or control number or issuing government agency. The customer is struggling to determine if there are any other forms that need to be reported through APHIS Core or if they are message sets or disclaims.

- For the PG13 "Issuer of the LPCO", please use the exporters company name. This is a mandatory field but isn't only used for the foreign government's name.
- The LPCO number in PG14 is mandatory but "Certificate of Origin" or "COO" can be reported instead of a number.
- All fruits and Vegetables are flagged as AQ2 so no disclaims are allowed even from Canada.

FAQ

5. Does the actual USDA Import Permit have to attach to the entry or just the number of the permit?
    How will be broker know if the permit number is matched?

- Only the permit number is required. APHIS has successfully integrated ACE with ePermits (the agencies biggest permitting system). This integration allows the agency to automatically match permit data, reported in PG13/14 record lines, with official permit records within ePermits. If a permit match does occur, an SO72 message will be sent to the filer to let them know that the permit was found in DIS. If a permit match does not occur, an SO72 message will also be sent reminding the filer to re-submit a correct permit number or to supply a copy of the permit via DIS.

FAQ

6. I understand that if the product is subject to AQ1 and has an LPCO that a full message set is to be submitted via ACE.
    That said, could you please elaborate on what you mean by O (Other). What document would be considered Other?

- For APHIS (Core), the "Other" of Licenses, Permits, Certificates, Other (LPCO) means Manufacturer's Statements, Owner/Importer Statements, Producer Statement, shipper statements, and other such "statements" that are needed for import admissibility of certain APHIS-regulated commodities. APHIS VS regulated commodities needing only a VS statement document (i.e., STAT) do not require a message set to be filed; however, the statement document should be uploaded into ACE DIS using the appropriate APHIS document code. Note that if a statement document is required based on requirements stated in a VS Permit, the presence of the permit requires the submission of a message set.

Section VIII - LAP Guidance (PG19/20)

LAP (LPCO Authorized Party) Reporting:

The LAP (LPCO Authorized Party) varies depending on LPCO type. In general, this is the "issued to party" or "holder" of the LPCO. For APHIS permits the LAP is equivalent to the permittee, while certificates generally use the term "issued to party". In some instances, certificates have two parties listed, therefore the entity who conveyed (requested or paid for) the certificate should be used. This is normally the foreign party/entity present at the time the document was created and signed by the foreign government official. The reporting of multiple PG19 LAP entities is accepted. However, unless the issued to party or holder of the LPCO is different from other LPCO's being reported, APHIS only requires one LAP per message set regardless of the amount or type of LPCO's required as a condition of entry listed in PG13/14. In other words, filers only need to report one LAP if the entity is the same across all LPCO's.

Section IX – Unit of Measure Matrix by Article Category Type (PG26)

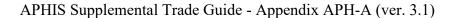**Please Note**: The following unit of measure matrix table is being provided as an APHIS recommendation.

PG10 Commodity Category Type	PG10 Article Category	Packing level 1 (weight)	Packing level 2 (count)	Packing level 3* (packaging)	Packing level 4 AP0800 Only	Packing level 5 AP0800 Only	Packing level 6 Not Utilized
AP0100	118	KG	NO	Null	Null	Null	Null
AP0200	All	KG	NO	Various – BG, BX, CT, PK, etc. utilized for packaging.	Null	Null	Null
AP0300	All	KG	NO	Various – BG, BX, CT, PK etc. utilized for packaging. Examples would include FL for articles like Animal sera (excluding antisera), Organisms and Vectors, and Veterinary Biologics or M2 and M3 for Manure, Fertilizers and Soil Amendments.	Null	Null	Null
AP0400	401 or 402	KG	PTU	Various – BG, BX, CT, PK, etc. utilized for packaging.	Null	Null	Null
AP0400	403	G	NO	Various – BG, BX, CT, PK, etc. utilized for packaging.	Null	Null	Null
AP0500	All	G	NO	Various – BG, BX, CT, PK, etc. utilized for packaging.	Null	Null	Null

PG10 Commodity Category Type	PG10 Article Category	Packing level 1 (weight)	Packing level 2 (count)	Packing level 3* (packaging)	Packing level 4 AP0800 Only	Packing level 5 AP0800 Only	Packing level 6 Not Utilized
AP0600	All	KG	NO	Various – BG, BX, CS, CT, PK, etc. utilized for packaging	Null	Null	Null
AP0700	All	KG	NO	Various – BG, BX, CT, PK utilized for packaging. Examples would include BN and BL for cotton and cotton products; BE and BH for Broomstraw, Grasses, Hay, fodder, silage, stover, and straw. M2 and M3 could be utilized for wood products, firewood, soil and rocks, and lumber.	Null	Null	Null
AP0800	All	STM	BX	Null	Null	Null	Null
AP1000	1009	KG	PTU	Various – BG, BX, CT, PK, etc. utilized for packaging.	Null	Null	Null
AP1000	1001, 1002, 1003, 1004, 1005, 1006, 1007, 1008, 1010, 1011, 1012	KG	NO	Various – BG, BX, CT, FL, PK, etc. utilized for packaging.			

*Packaging level 3 is to be utilized for packaging purposes and there will be flexibility regarding which UOM is selected for the imported commodity. Examples provided are not all inclusive and numerous options are available. Please note, information regarding containers is listed within PG27.

Section X – Harmonized Tariff Code Master Correlation Table

Please Note: The following list (USDA APHIS | Harmonized Tariff Code Master Correlation Table for APHIS Core Message Set) of harmonized tariff schedule (HTS) codes are being provided as a courtesy to assist with cross-walking or matching HTS commodities to APHIS' category types and codes. Category code/description matches against their related HTS code is not absolute or all-encompassing and may be imprecise. In addition, the USITC publishes periodic HTS code updates throughout the year. APHIS takes reasonable steps to stay up to date with these changes. If a HTS code is not found in the list an APHIS Message Set may still be required.

Note: The APHIS Biotechnology Regulatory Service program or ABS, Category Type AP1000 is not categorized to specific HTS codes because genetically modified products are continually changing and lack of granularity in the HTS schedule.   The ABS program is triggered during the filing of ABS LPCO documentation, specifically when the Permit for Movement or Release of Genetically Engineered Organisms (APHIS BRS 2000) or code A34, APHIS BRS Notification or code A35, and APHIS BRS Acknowledgement letter or A36 is declared.

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