



November 1, 2015

Requirements for Partner Government Agency Information in ACE & Methods for Submission

United States government agencies with a role in trade are working together to meet the White House Executive Order mandating Single Window completion by 2016. As part of this effort, CBP is transitioning core trade processing capabilities into the Automated Commercial Environment (ACE). In order to reach the 2016 deadline, CBP has established November 1, 2015 as the mandatory date for filing all electronic entries and their corresponding entry summaries in ACE.

The following is a list of all agency forms or data required at time of entry or entry summary filing that must be electronically submitted to ACE by November 1, 2015.* The table groups the forms and data requirements by associated agency, program/commodity, and includes related status for pilots, working groups, and technical documentation. The table also identifies whether the forms will be submitted via the PGA Message Set or Document Image System (DIS).

To transmit required data, filers must adhere to the PGA Message set chapter of CBP and Trade Interface Requirements (CATAIR). Any agency specific requirements are captured through supplemental implementation guides (IGs). Documentation is located at: <http://www.cbp.gov/trade/ace/catair>

Federal Register Notices (FRNs) related to specific agencies are cited below each agency name.

Additional forms or data not required at entry or entry summary will be support by ACE as well, but will be announced through a separate announcement at a later date.

By November 1, 2015:

- PGA data that is filed electronically today via Electronic Data Interchange (EDI) at time of entry or entry summary **must** be filed via the PGA Message Set in ACE.*

- PGA requirements at time of entry or entry summary that are met today via the submission of paper documents will require transmission by either the PGA Message Set or DIS.*

- Documents requested by CBP after an entry i.e., “docs required”, must be submitted via DIS. Documents requested by CBP post summary, i.e., “docs required,” may be submitted either via DIS or the Portal.

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US DEPARTMENT OF AGRICULTURE

USDA - Agricultural Marketing Service

Agency FRNs: Pending

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
AMS - General	Pilot: July 1, 2015				
	Working Group: Complete	Request for Inspection, Reinsertion, Appeal Inspection	FV-237	✓	
	Implementation Guide: Published	Application for Inspection	FV-356	✓	
		Importers Exempt Commodity Form	FV-6	✓	
		Foreign Government Export Certificate	MO2		✓
		Notice of Intent to Request Inspection	FV-357		✓
		Import Request Shell Eggs	LPS-222	✓	

USDA - Food Safety and Inspection Service

Agency FRNs: 79 FR 36084 (DIS), 78 FR 75931 (Message Set)

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
FSIS - General	Pilot: Ongoing				
	Working Group: Complete	Application For The Return Of Exported Products to the United States	9010-1	To Remain Paper	
	Implementation Guide: Published	Import Inspection Application and Report	9540-1	✓	
		Shipper Notification of Undenatured Inedible Meat or Poultry Product	9540-4	To Remain Paper	
		Notification of Intent (To Import Meat, Poultry, or Egg Products or "Samples for Laboratory Examination, Research, Evaluative Testing or Trade Show Exhibition")	9540-5	To Remain Paper	
		Official Foreign Inspection Certificate		To Remain Paper	

Legend: ✓ Capability in support of this form/data will be available no later than Nov 1, 2015



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US DEPARTMENT OF AGRICULTURE

USDA - Animal and Plant Health Inspection Service

Agency FRNs: 79 FR 36084 (DIS)

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
Animal Care	Pilot: September 1, 2015	Animal Care - Health Certificate	7041	✓	
	Working Group: Complete	Continuation Sheet for Application for Import Permit for Dogs	7040A	✓	
	Implementation Guide: Pending	Continuation Sheet for Veterinary Treatment Agreement	7043A	✓	
		Animal Care - Veterinary Treatment Agreement	7043	✓	
		Application for Import Permit for Dogs	7040	✓	
		Import Permit for Dogs	7040B	✓	
		Rabies Vaccination Certificate	7042	✓	
Biotech	Pilot: September 1, 2015	Interstate Movement, Importation or Courtesy Permit	2000	✓	
	Working Group: Complete				
	Implementation Guide: Pending				
Lacey Act	Pilot: July 1, 2015	Lacey Act Data	PPQ-505	✓	
	Working Group: Complete	Lacey Act Supplemental Form	PPQ-505B	✓	
	Implementation Guide: Published				
Plant Protection & Quarantine	Pilot: September 1, 2015	Foreign Site Certificate of Inspection and/or Treatment	PPQ-203	✓	
	Working Group: Complete	Notice of Arrival	PPQ-368	✓	
	Implementation Guide: Pending	Permit to Import Soil	PPQ-525B	✓	
		Application for Permit to Move Live Plant Pests or Noxious Weeds	PPQ-526	✓	
		Application for Permit to Import Timber or Timber Products (SDS)	PPQ-585	✓	
		Permit to Transit Plants and/or Plant Products, Plant Pests, and/or Associated Soil through the United States	PPQ-586	✓	
		Permit to Import Plant or Plant Products	PPQ 587	✓	
		Controlled Import Permit	PPQ 588	✓	
		General Permit to Engage in the Business of Import, Export, or Re-Exporting Terrestrial Plants	PPQ-622	✓	

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USDA - Animal and Plant Health Inspection Service (Continued)

Agency FRNs: 79 FR 36084 (DIS)

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
Veterinary Services	Pilot: September 1, 2015	Foreign Government Sanitary Certificate (Veterinary Health Certificates)		✓	
	Working Group: Complete	U. S. Veterinary Biological Product Permit	2006		✓
	Implementation Guide: Pending	Owner/Shipper Certificate - Fitness to Travel to a Slaughter Facility	VS10-13/A	✓	
		U. S. Veterinary Permit for Importation & Transportation of Controlled Materials and Organisms and Vectors	VS16-6/6A	✓	
		U.S. Permit to Import (Includes Transit)	VS17-135	✓	
		Declaration of Importation (Required to Accompany Animal)	VS17-29		✓
		Application for Inspection and Dipping	VS17-32		✓
		Agreement of Pet Bird Owner (U.S. Origin Returning)	VS17-8	✓	
APHIS - General		Animals Imported for Immediate Slaughter	VS17-33		To Remain Paper
	Pilot: N/A	Foreign Meat Certificate			To Remain Paper
	Working Group: N/A	Foreign Government Meat Inspection Certificate			To Remain Paper
	Implementation Guide: N/A	STAT Supporting Statement			✓
		Phytosanitary Certificate (Issued by Country of Origin)			✓
		Foreign Government Health Certificate			To Remain Paper
	Various import documents (invoices, packing list, etc.)				✓

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US DEPARTMENT OF COMMERCE

DOC - National Marine Fisheries Service

Agency FRNs: 79 FR 36084 (DIS)

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
Antarctic Marine Living Resources	Pilot: July 1, 2015	AMLR Dealer Permit		✓	✓
	Working Group: Complete	Dissostichus Catch Document*		✓	✓
	Implementation Guide: Published	Dissostichus Re-Export Document*		✓	✓
		Reporting Form for Catch Documents Accompanying Fresh, Air-shipped Shipments of Toothfish*		✓	✓
		Toothfish Pre-Approval*		✓	✓
Highly Migratory Species		Highly Migratory Species International Trade Permit		✓	
		CCSBT Catch Monitoring Form*		✓	✓
		CCSBT Re-Export/Export After Landing of Domestic Product*		✓	✓
		IATTC Bigeye Tuna Statistical Document *		✓	✓
		IATTC Bigeye Tuna Re-export Certificate*		✓	✓
		ICCAT Bigeye Tuna Statistical Document*		✓	✓
		ICCAT Bigeye Tuna Re-export Certificate*		✓	✓
		ICCAT Bluefin Tuna Re-Export Certificate*		✓	✓
		ICCAT Bluefin Tuna Catch Document*		✓	✓
		ICCAT Swordfish Statistical Document*		✓	✓
		ICCAT Swordfish Re-export Certificate*		✓	✓
Tuna Tracking and Verification		IOTC Bigeye Tuna Statistical Document*		✓	✓
		IOTC Bigeye Tuna Re-export Certificate*		✓	✓
		Fisheries Certificate of Origin	NOAA 370	✓	✓
		Attachment: IDCP Member Nation Certification			✓
		Attachment: Captain's Statement			✓
	Attachment: Observer's Statement			✓	

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US DEPARTMENT OF COMMERCE

DOC - Enforcement and Compliance

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
E&C General	Pilot: TBD				
	Working Group: Pending	AD/CVD Foreign Government Export License: Uranium products from Russia, Ukraine and France			✓
	Implementation Guide: TBD	AD/CVD Foreign Government Export Certificate: Uranium products from Russia			✓
		AD/CVD Foreign Government Export License: Sugar from Mexico			✓
		Certificate stating that the importer has not been reimbursed by the exporter or manufacturer for the amount of the AD or CVD duties			✓
		Anticircumvention/Scope Certifications: Uranium Products from any country including Russia			✓
		Anticircumvention/Scope Certifications: AD/CVD Case-Specific Producer/Further Processor/Country of Origin certifications			✓
		Declaration of Intent to Re-Export Uranium Products from Russia within a Certain Period			✓
		Declaration of Intent to Re-Export Uranium Products from France			✓
		Processor Certification: Uranium Products from Russia			✓
		End-User Certification: Uranium Products from Russia			✓
		End-User Certification: Uranium Products from France			✓
		Origin Certification: Uranium Products from any Country Including Russia			✓
		Permit to enter watches and watch movements into the customs territory of United States	ITA-340P	To Remain Paper	
		Confirmation that import will be used in accordance with guidelines under the Florence Agreement/ application for duty free entry of scientific instruments	ITA-338P	To Remain Paper	
	Certificate of Entitlement to Secure the Refund of Duties on Articles that Entered the Customs Territory of the United States	ITA-360P	No longer in use, this aspect of the program expired in March 2015		
	Request for Refund of Duties on Articles that Entered the Customs Territory of the United States Duty Paid	ITA-361P	To Remain Paper		

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US DEPARTMENT OF DEFENSE

DOD - Defense Contracts Management Agency

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
DCMA General	Pilot: July 1, 2015 Working Group: N/A Implementation Guide: Pending	Certificate of Duty Free Entry			✓

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US DEPARTMENT OF HEALTH AND HUMAN SERVICES

HHS - Centers for Disease Control

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
CDC - General	Pilot: July 1, 2015	Permit to Import or Transfer Etiologic Agents or Vectors of Human Disease Permits to import African Rodents, Civets or Turtles Notice to Owners and Importers of Dogs (Arrival of Non-Rabies Vaccine) Application to Transfer Select Toxins CDC Permit for Unimmunized Dogs Documentation for Noninfectious Material CDC Permission Message/Permission to Import the Nonhuman Primate Shipment Death Certificate for Human Remains Permit to Import Remains of Person Who Died of Communicable Disease Rabies Certificate	0728		✓
	Working Group: Pending				
	Implementation Guide: N/A		75.37		✓

HHS - Food and Drug Administration

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
FDA - General	Pilot: July 1, 2015	FDA data collected today through OGA feed to transition			✓
	Working Group: Ongoing				
	Implementation Guide: Pending				

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US DEPARTMENT OF HOMELAND SECURITY

Customs and Border Protection (CBP)

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS	
Trade Transactions	Pilot:	N/A				
	Working Group:	N/A	Application for Allowance in Duties	4315		✓
	Implementation Guide:	N/A	Application for Extension in Bond for Temporary Importation	3173		✓
			Protest	19		✓
			Cost Submission	247		✓
			Delivery Certificate	7552		✓
			Drawback Entry	7551		✓
			Declaration of Free Entry of Returned American Products	3311		✓
			Softwood Lumber Certificate		Will Remain Paper	
			Kimberley Process Certificate		Will Remain Paper	
Trade Agreements		U.S. - Chile Free Trade Agreement			✓	
		U.S. - Singapore Free Trade Agreement			✓	
		U.S. - Australia Free Trade Agreement			✓	
		Israel - Qualifying Industrial Zones (QIZ) Free Trade Agreement			✓	
		U.S. - Morocco Free Trade Agreement			✓	
		U.S. - Bahrain Free Trade Agreement			✓	
		U.S. - Jordan Free Trade Agreement			✓	
		U.S. - Oman Free Trade Agreement			✓	
		U.S. - Peru Free Trade Agreement			✓	
		U.S. - Korea Free Trade Agreement			✓	
		U.S. - Colombia Free Trade Agreement			✓	
	U.S. Central American Free Trade Agreement (CAFTA)			✓		

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Customs and Border Protection (CBP) (Continued)

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
Trade Agreements		NAFTA Certificate of Origin	434		✓
		NAFTA Verification of Origin Questionnaire	446		✓
		NAFTA Motor Vehicle Averaging Election	447		✓
		Caribbean Basin Trade Partnership Act Certificate of Origin	450		✓
		Haitian Hemispheric Opportunity through Partnership Encouragement Act (HOPE)			✓
		Insular Certificate of Origin	3229		✓
		Generalized System of Preferences (GSP)			✓
		Caribbean Basin Economy Recovery Act (CBERA)			✓
		African Growth and Opportunity Act (AGOA)			✓
	JADE Act			Will Remain Paper	

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US DEPARTMENT OF THE INTERIOR

DOI - Fish and Wildlife Service

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS	
FWS - General	Pilot:	January 1, 2016				
	Working Group:	Pending				
	Implementation Guide:	Pending				
			Declaration for the Importation and Exportation of Fish or Wildlife	3-177		
			CITES Export Permit issued by exporting Foreign Government			
			CITES Re-export Certificate issued by re-exporting foreign government			
			CITES "Other" Document issued by foreign exporting or re-export government			
			CITES Import permit issued by FWS for imports.			Status Quo at this time.
			Wildlife Export and Re-export Permits issued by Foreign Government			
			Endangered Species Act Import Permit			
			Marine Mammal Protection Act Import Permit			Data will continue to be submitted directly to DOI system.
			Wild Bird Conservation Act Import Permit			
			Migratory Bird Treaty Act Import Permit			
			Injurious Species Import Permit			
		Injurious Species Import Permit				
		Transportation Documents				
		Transaction Documents				
		Commodity Specific Documents				
		U.S. Government Documents such as Customs Entry, USDA veterinary permits, CDC permits, ATA carnet				

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US DEPARTMENT OF JUSTICE

DOJ - Bureau of Alcohol, Tobacco, Firearms and Explosives

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
ATF - General	Pilot: July 1, 2015	Application and Permit for Importation of Firearms, Ammunition and Implements of War Release and Receipt of Imported Firearms, Ammunition and Implements of War Federal Firearms License Federal Explosives License	6 (5330.3A)	✓	
	Working Group: Pending				
	Implementation Guide: Pending				
			6A (5330.3c)	✓	
				✓	
				✓	

DOJ - Drug Enforcement Administration

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
DEA - General	Pilot: November 1, 2015	Import / Export Declaration for List I and List II Chemicals Improve Declaration for Ephedrine, Pseudoephedrine, and Phenylpropanolamine Controlled Substances Import/Export Declaration Import Permit	486	TBD	
	Working Group: TBD				
	Implementation Guide: TBD				
			486A	TBD	
			236	TBD	
			35	TBD	

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US DEPARTMENT OF STATE

State - Directorate of Defense Trade Controls

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
DDTC - General	Pilot: July 1, 2015				
	Working Group: Complete	Application/License for Temporary Import of Unclassified Defense Articles	DSP-61	✓	
	Implementation Guide: Published	Application for Amendment to a DSP-61 License	DSP-62	✓	
		Application/License for Temporary Export of Unclassified Defense Articles	DSP-73	✓	
		Application for Amendment to a DSP-73 License	DSP-74	✓	
		Application/License for Permanent/ Temporary Export or Temporary Import of Classified Defense Articles and Classified Technical Data	DSP-85	✓	

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US DEPARTMENT OF TRANSPORTATION

DOT - National Highway Traffic Safety Administration

Agency FRNs: 79 FR 36084 (DIS)

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
NHTSA - General	Pilot: July 1, 2015	Declaration Form* Bond to Ensure Conformity with Motor Vehicle Safety and Bumpoer Box 7 Permission Letter: Imported solely for the purpose of research, investigations, show or display, demonstrations or training, or competitive racing events Box 8 Substantiating Statement Box 10 Permission Letter Box 13 Permission Letter Box 2B Attachment: Canadian Motor Vehicile Safety Standards Box 6 Attachment: Official Orders for Tour of Duty in United States (Diplomat) Box 12 Attachment: Official Orders for Tour of Duty in United States (Military) Box 9 Manufacturer's instruction for vehicle to comply with safety standards	HS-7	✓	
	Working Group: Complete		HS-474		✓
	Implementation Guide: Published				✓
					✓
					✓
					✓
					✓
					✓
					✓
					✓

* Based on Declaration Form input, certain supplemental documents will be required to be submitted via DIS

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US DEPARTMENT OF THE TREASURY

Treasury - Alcohol and Tobacco Tax and Trade Bureau

Agency FRNs:

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS	
TTB - General	Pilot:	July 1, 2015				
	Working Group:	Complete	Notice of Release of Tobacco Products, Cigarette Papers, or Cigarette Tube:	5200.11	✓	
	Implementation Guide:	Published	Certificate of Label Approval	5100.31	✓	✓
			Certificate of Identity/Origin		✓	✓
			Certificate of Effective Tax Rate		✓	
			Standard Effective Tax Rate Approval		✓	✓
			Transfer Record and Package Guage Record		✓	
			Spirits for Use in the US	5150.33	✓	
		Basic Permit	5170.2	✓		

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INDEPENDENT AGENCIES

Environmental Protection Agency

Agency FRNs: 79 FR 36084 (DIS), 78 FR 75931 (Message Set), 80 FR 6098 (Message Set)

Program/Commodity	Status	Form or Data Description	Form #	Message Set	DIS
Ozone Depleting Materials	Pilot: Ongoing Working Group: Complete Implementation Guide: Published	(CAA) Import of Ozone Depleting Substances		✓	
Pesticides	Pilot: Ongoing Working Group: Complete Implementation Guide: Published	Pesticide Label Notice of Arrival of Pesticides and Devices	3540-1	✓	✓
Vehicles and Engines	Pilot: Ongoing Working Group: Complete Implementation Guide: Published	Importation of Motor Vehicles and Engines (On Road) * Importation of Motor Vehicles and Engines (Off Road) * Pre-approved Vehicle/Engine Exemption Letter *	3520-1 3520-21	✓ ✓ ✓	✓ ✓ ✓
Toxic Substance Control	Pilot: N/A Working Group: N/A Implementation Guide: N/A	Toxic Substances Control Act (TSCA) Import Certification			✓
EPA - General	Pilot: N/A Working Group: N/A Implementation Guide: N/A	Non-Objection Notice			✓

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