

PGA Message Set / EPA Form 3520-21 Cross Walk

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Revision Log

Date	Version No.	Description	Author	Reviewer	Review Date
5/24/2013	0.01	Delivery of Draft Cross Reference between Form 3520-21 and PGA message set.	Francis Gleason	Beth Reichle	5/20/2013
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02/21/2014	0.11	Final updates and revisions	Frank Gleason	Daniel Sforza, Beth Reichle	2/19/2014
02/27/2014	1.0	Final Version	Beth Reichle		

1 Introduction

1.1 Overview

This document is designed to facilitate the understanding of the electronic format for transmitting Vehicles and Engines (V&E) regulated import data to Customs and Border Protection (CBP). Currently this data is submitted to Environmental Protection Agency (EPA) via two paper forms, 3520-1 and 3520-21. This guide addresses Form 3520-21. With the development of the Automated Commercial Environment (ACE), EPA can receive V&E data from Trade via ACE. Trade can electronically submit EPA data to CBP via the Partner Government Agency (PGA) Message Set. This document maps each data element from the V&E Form 3520-21 (Exhibit 1-1 and Exhibit 1-2) to its corresponding location within the EPA V&E PGA Message Set (Exhibit 1-3). This document is supplemental, and should be used in conjunction with EPA's Supplemental PGA Message Set Documentation in order to create appropriate and complete submissions.

1.2 Assumptions

It is important to note that the blocks on the original paper form might be found in multiple places within the PGA Message Set (represented by multiple fields), or, if it is already being collected by CBP in the Entry Header or Entry Line Number, it may not be collected in the PGA Message Set at all. In an effort to reduce the burden on Trade, duplicative items between CBP and EPA are only being collected once. For a complete list of V&E Form 3520-21 data elements and their corresponding locations in the PGA Message Set, please refer to Appendix A. A list of the codes used by the V&E PGA Message Set is available in Appendix B, and a list of all codes used by the PGA Message Set can be found in the Customs and Trade Automated Interface Requirements (CATAIR) Appendices.

1.3 Vehicles and Engines Pilot filing requirements:

The pilot only covers imports that have received EPA certification or have received an EPA Exemption Letter. As such, not all Import Codes are relevant to the pilot. The subsets of Import Codes applicable to the pilot are:

- For 3520-1: A, B, F, G, I K, L or O
- For 3520-21: 1, 3, 4, 10, 11, 12, 16, or 18

Exhibit 1-1: V&E Form 3520-21 Sample Page 1

	<p align="center">United States Environmental Protection Agency Engine Declaration Form Importation of Engines, Vehicles, and Equipment Subject to Federal Air Pollution Regulations <small>U.S. EPA, Certification & Compliance Division, 2000 Traverwood Dr., Ann Arbor, Michigan 48106. (734) 214-4100; imports@epa.gov; www.epa.gov/otaq/imports/</small></p>
<p>This form must be prepared by the importer for each imported stationary, nonroad or heavy-duty highway engine, including engines incorporated into vehicles or equipment. Note that references in this form to engines generally include vehicles or equipment if they are subject to equipment-based standards. One form per engine or group of engines in a shipment may be used, with attachments including all information required to fully describe each engine as below. Provide a duplicate form and attachments to the U.S. Customs and Border Protection (CBP) upon request (42 U.S.C. 7522, 7601, 19 CFR 12.73 or 12.74). This form must be retained for five years from the date of entry (19 CFR 163.4). Additional requirements may apply in California. NOTE: While certain imports require specific written authorization from EPA, CBP may request EPA review of importer documentation and eligibility for any import using this form. For light-duty motor vehicles, highway motorcycles, and the corresponding engines, use form 3520-1. This form does not apply to aircraft engines.</p>	
<p>Identify the type of highway, nonroad, or stationary engine, vehicle, or equipment you are importing from the following list of products:</p> <p><input type="checkbox"/> A. Heavy-duty highway engines (for use in motor vehicles with gross vehicle weight rating above 8500 pounds). See 40 CFR parts 85 and 86. <input type="checkbox"/> B. Locomotives or locomotive engines. See 40 CFR parts 1033 and 1068. <input type="checkbox"/> C. Marine compression-ignition engines. See 40 CFR part 94 or 40 CFR parts 1042 and 1068. This includes propulsion engines and auxiliary engines installed on marine vessels. <input type="checkbox"/> D. Other nonroad compression-ignition engines. See 40 CFR part 89 or 40 CFR parts 1039 and 1068. <input type="checkbox"/> E. Marine spark-ignition engines. See 40 CFR parts 1045 and 1068. <input type="checkbox"/> F. Recreational engines and vehicles, including snowmobiles, off-highway motorcycles, all-terrain vehicles, and offroad utility vehicles that are subject to the same emission standards as all-terrain vehicles. See 40 CFR parts 1051 and 1068. <input checked="" type="checkbox"/> G. Other nonroad spark-ignition engines at or below 19 kW (or at or below 30 kW if total displacement is at or below 1000 cc). See 40 CFR part 90 or 40 CFR parts 1054 and 1068. <input type="checkbox"/> H. Other nonroad spark-ignition engines above 19 kW. See 40 CFR parts 1048 and 1068. <input type="checkbox"/> I. Stationary compression-ignition engines. See 40 CFR part 60, subpart IIII. <input type="checkbox"/> J. Stationary spark-ignition engines. See 40 CFR part 60, subpart JJJJ.</p>	
<p>Check one of the following Codes to indicate the provision under which you are importing the engine, vehicle, or equipment:</p> <p><input checked="" type="checkbox"/> 1. U.S. certified engine or engine installed in a certified vehicle, covered by a valid U.S. EPA certificate of conformity and bearing a U.S. EPA emission control label in English. Additional information for Category G engines from 2010 and later model years, starting January 1, 2010 (see 40 CFR 90.1007 or 1054.690): Exempt from bond? <input type="checkbox"/> No. If not exempt, NAIC # for bond issuer: <u>23456</u> policy number: <u>123456</u> state of issue <u>GA</u></p>	
<p align="center">Permanent Exemptions for Nonconforming Engines</p> <p><input type="checkbox"/> 2. National security. Importing a labeled (where applicable) engine subject to the provisions of 40 CFR 1068.315(a). For certain types of tactical equipment, this exemption may require prior EPA approval. <input type="checkbox"/> 3. Manufacturer-owned engine. Importing a labeled engine by an engine manufacturer holding a current U.S. EPA certificate of conformity, subject to the provisions of 40 CFR 1068.315(b) or 85.1706. <input type="checkbox"/> 4. Replacement engine. Importing a labeled engine by an engine manufacturer holding a current U.S. EPA certificate of conformity subject to the provisions of 40 CFR 1068.315(c) or 85.1714. This exemption does not apply to locomotive engines. <input type="checkbox"/> 5. Extraordinary circumstances/hardship. Importing a labeled engine subject to the provisions of 40 CFR 1068.315(d), 85.1511(c)(2) or 1033.620. An EPA letter of approval must be attached. <input type="checkbox"/> 6. Hardship for small-volume manufacturers. Importing a labeled engine subject to the provisions of 40 CFR 1068.315(e). An EPA letter of approval must be attached to this form. <input type="checkbox"/> 7. Equipment-manufacturer hardship. Importing a labeled engine subject to the provisions of 40 CFR 1068.315(f) or 1033.620. This may also apply to secondary engine manufacturers. An EPA letter of approval must be attached to this form. <input type="checkbox"/> 8. Identical configuration. Importing an engine subject to the provisions of 40 CFR 1068.315(h). Such an engine must be identical in all material respects to a U.S.-certified version as demonstrated by letter from the engine-manufacturer contact on the CBP list, subject to EPA review at CBPs' discretion. This exemption does not apply to locomotives or to stationary, highway, or marine compression-ignition engines. The applicable regulations may require that you own the engine for a certain period before and after importation. <input type="checkbox"/> 9. Ancient engine. Importing an engine first manufactured at least 21 years earlier that is still in its original configuration, subject to the provisions of 40 CFR 1068.315(i). This exemption does not apply to locomotives or to stationary, highway, or marine engines.</p>	
<p align="center">Temporary Exemptions for Nonconforming Engines</p> <p>The following temporary exemptions apply for importing nonconforming engines. EPA requests bonding with the U.S. Customs and Border Protection for the full value of the imported products to make sure you comply with applicable requirements.</p> <p><input type="checkbox"/> 10. Repairs or alterations. Importing an engine for repair or alteration subject to the provisions of 40 CFR 1068.325(a) or 85.1511(b)(1). An EPA letter of approval must be attached. <input type="checkbox"/> 11. Testing. Importing an engine for testing subject to the provisions of 40 CFR 1068.325(b) or 85.1511(b)(2). Appropriate labeling is required for some engines and recommended for all engines. An EPA letter of approval must be attached. <input type="checkbox"/> 12. Display. Importing an engine for display subject to the provisions of 40 CFR 1068.325(c) or 85.1511(b)(4). Appropriate labeling is required for some engines and recommended for all engines. An EPA letter of approval must be attached. <input type="checkbox"/> 13. Export. Importing an engine for eventual export, subject to the provisions of 40 CFR 1068.325(d) or 85.1709. <small>NOTE: The engine and/or shipping container must be labeled or tagged to identify them as solely for export.</small> <input type="checkbox"/> 14. Diplomatic or military. Importing an engine subject to the provisions of 40 CFR 1068.325(e) or 85.1511(d). This exemption is limited to members of the armed forces or personnel of a foreign government on assignment to the U.S. for whom free entry has been authorized in writing by the U.S. Department of State, or for members of the armed forces of a foreign country with official orders for duty in the U.S. This exemption does not apply to locomotive or marine compression-ignition engines. An EPA letter of approval must be required. <input type="checkbox"/> 15. Delegated assembly. Importing a labeled engine for delegated assembly subject to the provisions of 40 CFR 1068.325(f), 85.1713, or 1033.630. This exemption does not apply to handheld spark-ignition engines or engines for recreational vehicles. <input type="checkbox"/> 16. Partially complete engine. Importing an engine not yet in its final configuration covered by a certificate of conformity (or an engine that will be installed in a vehicle covered by a certificate of conformity), subject to the provisions of 40 CFR 1068.325(g). This also applies to an engine covered by a valid exemption. A certificate holder may also import a partially complete engine from its foreign facility to its U.S. facility as described in 40 CFR 1068.325(g).</p>	
<small>EPA Form 3520-21 (Rev. 01-2012). This form approved under OMB control number 2060-0320 until Dec. 31, 2014.</small>	<small>CBP entry no: <u>DFG-4567890-1</u> Pg 1 of 2</small>

Exhibit 1-2: V&E Form 3520-21 Sample Page 2

Importation of Engines Excluded from U.S. EPA Emission Standards			
<input type="checkbox"/> 17. Engine manufactured before emission standards started to apply. These engines must generally have already been placed into service. See the attached schedule. Note that 40 CFR 1068.360 disallows importation of new engines not certified to current standards if the model year is more than one year before the year of importation.			
<input type="checkbox"/> 18. Competition engine. The engine must be used solely for competition, subject to the provisions of 40 CFR 1068.310(a) or 85.1511(e). An EPA letter of approval must be attached.			
<input type="checkbox"/> 19. Stationary compression-ignition engine with displacement at or above 30 liters per cylinder or stationary spark-ignition engine above 19 kW that is not designed to run on gasoline or, if rich-burn, on liquified petroleum gas. These stationary engines are subject to EPA emission standards under 40 CFR Subparts IIII and JJJJ, but are not required to be certified. The engine must be used in a stationary manner. See 40 CFR 60.4219, 60.4248 and 1068.310(b). The engine must be labeled as described in 40 CFR 1039.20 or 1048.20, as applicable. NOTE: Stationary engines may be subject to state or local regulations.			
<input type="checkbox"/> 20. Underground mining. Engine must be used in underground mining and regulated by the Mining Safety and Health Administration (MSHA). See 40 CFR 89.1 and 1039.5; see also 30 CFR parts 7, 31, 32, 36, 56, 57, 70, and 75. For compression-ignition engines only.			
<input type="checkbox"/> 21. Hobby engine. Engine must be used to power a reduced-scale model of a vehicle not capable of transporting a person. See 40 CFR 1068.310(c).			
Exemptions for Specific Engine Categories or Other Special Cases			
<input type="checkbox"/> 22. Transition Program for Equipment Manufacturers. Importing a piece of equipment, subject to the provisions of 40 CFR 89.102 or 40 CFR 1039.625 and 1039.626 (Category D) or 40 CFR 1054.625 and 1054.626 (Category G, 2011 through 2014). Maximum engine power (only for compression-ignition engines): _____ x kW <input type="checkbox"/> HP (or identify the regulatory power category). Exempt from bond? <input type="checkbox"/> . If not exempt, NAIC # for bond issuer: _____, policy number: _____, state of issue: _____.			
<input type="checkbox"/> 23. Personal-use exemption for small spark-ignition engines. Importing three or fewer nonroad spark-ignition engines at or below 19 kW for purposes other than resale, where the importer has not used this exemption in the previous five years, subject to the provisions of 40 CFR 1054.630.			
<input type="checkbox"/> 24. Engine imported by an Independent Commercial Importer recognized by EPA. Only for Categories A and D above.			
<input type="checkbox"/> 24a. For modification under an EPA certificate issued for the specific make, model, and model year under 40 CFR 85.1505, 89.605 or 1039.660.			
<input type="checkbox"/> 24b. For modification and testing according to 40 CFR 85.1509, 89.609, or 1039.660. NOTE: The imported engine must be at least 6 years old.			
<input type="checkbox"/> 24c. For precertification testing to obtain an EPA certificate under 40 CFR 85.1511(b)(3), 89.611(b)(3), or 1039.660. NOTE: CBP bond is required. Specify location of storage (required for 24a and 24b): _____ NOTE: Under 24a and 24b, you may import up to five highway engines and five nonroad engines in a given model year that are certified to standards based on an engine's original production year. You may import any number of engines certified to standards that apply based on the year the engine is modified. See 40 CFR 85.1503 and 89.603.			
<input type="checkbox"/> 25. Other exemption. Describe the exemption, attach EPA approval (if applicable), and identify the regulatory cite: _____ _____ _____			
Declaration of Stationary, Nonroad or Heavy-duty Highway Engine, Nonroad Vehicle or Equipment, or Stationary Equipment			
Port code: 1704 Format: 9999	CBP entry no: DFG-4567890-1 Format: XXX-9999999-9	Entry date: 05/15/2011 Format: mm/dd/yyyy	Engine manufacturer, model and serial number of each engine; for certified engines or vehicles, also identify the engine family name: Make - Toyota (Japan); Model - EM1001; Serial numbers - MHO-874200, MHO-874201, MHO-874202, MHO-874203, MHO-874204, MHO-874205, MHO-874206, MHO-874207
Identify the engine (or vehicle) build date: 12 month 2010 year <input checked="" type="checkbox"/> on engine <input type="checkbox"/> other (explain)			Vehicle or equipment manufacturer, model, serial number, and type of equipment (if applicable): _____
Names, Addresses, and Telephone Numbers of Relevant Parties			
Certification: I certify that I have read and understand the purpose of this form, the penalties for falsely declaring information, for providing misleading information, or for concealing a material fact. The information I have provided is correct, and all required attachments are appended to this form. I authorize EPA Enforcement Officers to conduct inspections or testing permitted by the Clean Air Act. I am the owner, the importer, or an agent of the owner or importer.			
Signature: _____		Printed name: Jane Smith	Date: 01/27/2011 Format: mm/dd/yyyy
Identify the name, address, phone number, and e-mail address for the importer, broker, and owner as applicable:			
Importer (required): Jane Smith, Toyota North America 1234 Peach Tree Street Atlanta, GA 30301, US Telephone - (708) 234-5678 Email - jane.smith@toyotaamerica.com		Broker (optional): _____	Owner (optional): _____

Exhibit 1-3: V&E PGA Message Set Sample

OI CERTIFIED TOYOTA ENGINES			
PG01001EPAVNE Y			
PG02P			
PG24EP21			
PG24EP1E1N			
PG24EP3G			
PG07			
PG08MH0-874201		EM1001	122010ENNMH0-874200
PG08MH0-874205		MH0-874202	MH0-874203
PG10		MH0-874206	MH0-874204
PG143EP49EPAV01.0ABC		MH0-874207	
PG143EP7123456			
PG19MF		TOYOTA (JAPAN)	
PG19IM		TOYOTA NORTH AMERICA	1234 PEACHTREE STREET
PG20		ATLANTA	GA US30301
PG21IM JANE SMITH		7062345678	JANE.SMITH@TOYOTAAMERICA.COM
PG55CI			
PG19NAI 23456			
PG20			GA
PG22 943		CI EP1 Y01272011	

1.4 Process Steps for Mapping

In the next section we will provide the mapping to PGA Message Set for each element of EPA Form 3520-21. However, it is helpful to understand the process steps that are used in creating the mappings. For illustrative purposes, the following steps are used in mapping one element, the Engine Family Name.

1. **Identify Element Type:** For a given element, Test Group/Engine Family Name, identify the appropriate line number. This is done by recognizing that the Test Group/Engine Family Name is a certificate type (Certificate of Conformity), and will belong in the License/Permit/Certificate/Other (LPCO) category.
2. **Identify Appropriate PG Line:** The *CATAIR's Partner Government Agency's Message Set* accommodates LPCOs in PG14 line.
3. **Review the Record Identifier:** Review the PG14 line to determine which possible elements should be completed and which codes needed. For PG14, the following fields are present:
 - a. Control Identifier
 - b. Record Type
 - c. LPCO Transaction Type
 - d. LPCO Type
 - e. LPCO Number (or Name)
 - f. LPCO Date Qualifier
 - g. LPCO Date
 - h. LPCO Quantity
 - i. LPCO Unit of Measure
 - j. Exemption Code
4. **Review EPA's PGA Message Set Samples:** A review of an EPA sample with the Test Group/Engine Family Name will clarify which of the possible fields in PG14 are required for this element. In most cases, not all of the fields for a particular line are used for each

occurrence of the line. In this case, the PG14 fields used by EPA in the example are “a” through “e” in the list above and shown in the example PG14 line:

PG143EP49EPAV01.0ABC

5. Refer to CATAIR Appendices: As needed, reference the CATAIR appendices for any codes that are not provided directly in the record set. In this case, Appendix PGA provides the code, EP4, for EPA Vehicle and Engine Test Group/Engine Family Name.
6. Complete the PG14 line: Using the space locations and codes from the CATAIR, as well as specific information from the engine (Engine Family Name), the PG14 line can now be constructed as above. The individual components of this completed line are:
 - a. Control Identifier : PG
 - b. Record Type : 14
 - c. LPCO Transaction Type : 3 [code is in the PGA Message Set in CATAIR]
 - d. LPCO Type : EP4 [code is in Appendix PGA in CATAIR]
 - e. LPCO Number (or Name) : 9EPAV01.0ABC [specific to individual engine family name/number]

2 V&E Form 3520-21 to PGA Message Set

2.1 Industry Code

The first section on Form 3520-21 includes the Industry Codes (Exhibit 2-1). This is a checklist; depending on the vehicle or engine being imported, a specific code will be applicable. In this example, the Industry Code is ‘G’ (Exhibit 2-2). In the PGA Message Set, Industry Codes are found in space 8 of PG24 lines (Exhibit 2-3).

The code ‘EP3’ in spaces 5 to 7, on the PG24 line, identifies the letter ‘G’ as a Vehicle and Engine Industry Code. Code ‘G’ is the actual Industry Code found on Form 3520-21.

Exhibit 2-1: Form 3520-21 - Industry Codes

- Identify the type of highway, nonroad, or stationary engine, vehicle, or equipment you are importing from the following list of products:
- ☐ A. Heavy-duty highway engines (for use in motor vehicles with gross vehicle weight rating above 8500 pounds). See 40 CFR parts 85 and 86.
 - ☐ B. Locomotives or locomotive engines. See 40 CFR parts 1033 and 1068.
 - ☐ C. Marine compression-ignition engines. See 40 CFR part 94 or 40 CFR parts 1042 and 1068. This includes propulsion engines and auxiliary engines installed on marine vessels.
 - ☐ D. Other nonroad compression-ignition engines. See 40 CFR part 89 or 40 CFR parts 1039 and 1068.
 - ☐ E. Marine spark-ignition engines. See 40 CFR parts 1045 and 1068.
 - ☐ F. Recreational engines and vehicles, including snowmobiles, off-highway motorcycles, all-terrain vehicles, and offroad utility vehicles that are subject to the same emission standards as all-terrain vehicles. See 40 CFR parts 1051 and 1068.
 - ☒ G. Other nonroad spark-ignition engines at or below 19 kW (or at or below 30 kW if total displacement is at or below 1000 cc). See 40 CFR part 90 or 40 CFR parts 1054 and 1068.
 - ☐ H. Other nonroad spark-ignition engines above 19 kW. See 40 CFR parts 1048 and 1068.
 - ☐ I. Stationary compression-ignition engines. See 40 CFR part 60, subpart IIII.
 - ☐ J. Stationary spark-ignition engines. See 40 CFR part 60, subpart JJJJ.

Exhibit 2-2: Form 3520-21 - Industry Code - Code ‘G’

- Identify the type of highway, nonroad, or stationary engine, vehicle, or equipment you are importing from the following list of products:
- ☐ A. Heavy-duty highway engines (for use in motor vehicles with gross vehicle weight rating above 8500 pounds). See 40 CFR parts 85 and 86.
 - ☐ B. Locomotives or locomotive engines. See 40 CFR parts 1033 and 1068.
 - ☐ C. Marine compression-ignition engines. See 40 CFR part 94 or 40 CFR parts 1042 and 1068. This includes propulsion engines and auxiliary engines installed on marine vessels.
 - ☐ D. Other nonroad compression-ignition engines. See 40 CFR part 89 or 40 CFR parts 1039 and 1068.
 - ☐ E. Marine spark-ignition engines. See 40 CFR parts 1045 and 1068.
 - ☐ F. Recreational engines and vehicles, including snowmobiles, off-highway motorcycles, all-terrain vehicles, and offroad utility vehicles that are subject to the same emission standards as all-terrain vehicles. See 40 CFR parts 1051 and 1068.
 - ☒ G. Other nonroad spark-ignition engines at or below 19 kW (or at or below 30 kW if total displacement is at or below 1000 cc). See 40 CFR part 90 or 40 CFR parts 1054 and 1068.
 - ☐ H. Other nonroad spark-ignition engines above 19 kW. See 40 CFR parts 1048 and 1068.
 - ☐ I. Stationary compression-ignition engines. See 40 CFR part 60, subpart IIII.
 - ☐ J. Stationary spark-ignition engines. See 40 CFR part 60, subpart JJJJ.

Exhibit 2-3: PGA Message Set - Industry Code

PG24EP3 **G**

2.2 Import Code

The second section of Form 3520-21 includes the Import Codes (Exhibit 2-4). Depending on the vehicle or engine being imported, a different code will be applicable. In this example, the Import Code is ‘1’ (Exhibit 2-5). In the PGA Message Set, Import Codes are located in space 8 of a PG24 line (Exhibit 2-6).

The code ‘EP2’ in spaces 5 to 7, on the PG24 line, identifies code ‘1’ as a Vehicle and Engine Import Code. Code ‘1’ is the actual Import Code located on Form 3520-21.

Exhibit 2-4: Form 3520-21 - Import Codes

Check one of the following Codes to indicate the provision under which you are importing the engine, vehicle, or equipment:

☒ 1. U.S. certified engine or engine installed in a certified vehicle, covered by a valid U.S. EPA certificate of conformity and bearing a U.S. EPA emission control label in English. Additional information for Category G engines from 2010 and later model years, starting January 1, 2010 (see 40 CFR 90.1007 or 1054.690): Exempt from bond? ☐ No. If not exempt, NAIC # for bond issuer: 23456, policy number: 123456, state of issue: GA.

Permanent Exemptions for Nonconforming Engines

- ☐ 2. National security. Importing a labeled (where applicable) engine subject to the provisions of 40 CFR 1068.315(a). For certain types of tactical equipment, this exemption may require prior EPA approval.
- ☐ 3. Manufacturer-owned engine. Importing a labeled engine by an engine manufacturer holding a current U.S. EPA certificate of conformity, subject to the provisions of 40 CFR 1068.315(b) or 85.1706.
- ☐ 4. Replacement engine. Importing a labeled engine by an engine manufacturer holding a current U.S. EPA certificate of conformity subject to the provisions of 40 CFR 1068.315(c) or 85.1714. This exemption does not apply to locomotive engines.
- ☐ 5. Extraordinary circumstances/hardship. Importing a labeled engine subject to the provisions of 40 CFR 1068.315(d), 85.1511(c)(2) or 1033.620. An EPA letter of approval must be attached.
- ☐ 6. Hardship for small-volume manufacturers. Importing a labeled engine subject to the provisions of 40 CFR 1068.315(e). An EPA letter of approval must be attached to this form.
- ☐ 7. Equipment-manufacturer hardship. Importing a labeled engine subject to the provisions of 40 CFR 1068.315(f) or 1033.620. This may also apply to secondary engine manufacturers. An EPA letter of approval must be attached to this form.
- ☐ 8. Identical configuration. Importing an engine subject to the provisions of 40 CFR 1068.315(h). Such an engine must be identical in all material respects to a U.S.-certified version as demonstrated by letter from the engine-manufacturer contact on the CBP list, subject to EPA review at CBPs' discretion. This exemption does not apply to locomotives or to stationary, highway, or marine compression-ignition engines. The applicable regulations may require that you own the engine for a certain period before and after importation.
- ☐ 9. Ancient engine. Importing an engine first manufactured at least 21 years earlier that is still in its original configuration, subject to the provisions of 40 CFR 1068.315(i). This exemption does not apply to locomotives or to stationary, highway, or marine engines.

Temporary Exemptions for Nonconforming Engines

The following temporary exemptions apply for importing nonconforming engines. EPA requests bonding with the U.S. Customs and Border Protection for the full value of the imported products to make sure you comply with applicable requirements.

- ☐ 10. Repairs or alterations. Importing an engine for repair or alteration subject to the provisions of 40 CFR 1068.325(a) or 85.1511(b)(1). An EPA letter of approval must be attached.
- ☐ 11. Testing. Importing an engine for testing subject to the provisions of 40 CFR 1068.325(b) or 85.1511(b)(2). Appropriate labeling is required for some engines and recommended for all engines. An EPA letter of approval must be attached.
- ☐ 12. Display. Importing an engine for display subject to the provisions of 40 CFR 1068.325(c) or 85.1511(b)(4). Appropriate labeling is required for some engines and recommended for all engines. An EPA letter of approval must be attached.
- ☐ 13. Export. Importing an engine for eventual export, subject to the provisions of 40 CFR 1068.325(d) or 85.1709.
NOTE: The engine and/or shipping container must be labeled or tagged to identify them as solely for export.
- ☐ 14. Diplomatic or military. Importing an engine subject to the provisions of 40 CFR 1068.325(e) or 85.1511(d). This exemption is limited to members of the armed forces or personnel of a foreign government on assignment to the U.S. for whom free entry has been authorized in writing by the U.S. Department of State, or for members of the armed forces of a foreign country with official orders for duty in the U.S. This exemption does not apply to locomotive or marine compression-ignition engines. An EPA letter of approval may be required.
- ☐ 15. Delegated assembly. Importing a labeled engine for delegated assembly subject to the provisions of 40 CFR 1068.325(f), 85.1713, or 1033.630. This exemption does not apply to handheld spark-ignition engines or engines for recreational vehicles.
- ☐ 16. Partially complete engine. Importing an engine not yet in its final configuration covered by a certificate of conformity (or an engine that will be installed in a vehicle covered by a certificate of conformity), subject to the provisions of 40 CFR 1068.325(g). This also applies to an engine covered by a valid exemption. A certificate holder may also import a partially complete engine from its foreign facility to its U.S. facility as described in 40 CFR 1068.325(g).

Importation of Engines Excluded from U.S. EPA Emission Standards

- ☐ 17. Engine manufactured before emission standards started to apply. These engines must generally have already been placed into service. See the attached schedule. Note that 40 CFR 1068.360 disallows importation of new engines not certified to current standards if the model year is more than one year before the year of importation.
- ☐ 18. Competition engine. The engine must be used solely for competition, subject to the provisions of 40 CFR 1068.310(a) or 85.1511(e). An EPA letter of approval must be attached.
- ☐ 19. Stationary compression-ignition engine with displacement at or above 30 liters per cylinder or stationary spark-ignition engine above 19 kW that is not designed to run on gasoline or, if rich-burn, on liquefied petroleum gas. These stationary engines are subject to EPA emission standards under 40 CFR Subparts IIII and JJJJ, but are not required to be certified. The engine must be used in a stationary manner. See 40 CFR 60.4219, 60.4248 and 1068.310(b). The engine must be labeled as described in 40 CFR 1039.20 or 1048.20, as applicable. NOTE: Stationary engines may be subject to state or local regulations.
- ☐ 20. Underground mining. Engine must be used in underground mining and regulated by the Mining Safety and Health Administration (MSHA). See 40 CFR 89.1 and 1039.5; see also 30 CFR parts 7, 31, 32, 36, 56, 57, 70, and 75. For compression-ignition engines only.
- ☐ 21. Hobby engine. Engine must be used to power a reduced-scale model of a vehicle not capable of transporting a person. See 40 CFR 1068.310(c).

Exemptions for Specific Engine Categories or Other Special Cases

- ☐ 22. Transition Program for Equipment Manufacturers. Importing a piece of equipment, subject to the provisions of 40 CFR 89.102 or 40 CFR 1039.625 and 1039.626 (Category D) or 40 CFR 1054.625 and 1054.626 (Category G, 2011 through 2014). Maximum engine power (only for compression-ignition engines): x kW ☐ HP (or identify the regulatory power category). Exempt from bond? ☐ . If not exempt, NAIC # for bond issuer: , policy number: , state of issue: .
- ☐ 23. Personal-use exemption for small spark-ignition engines. Importing three or fewer nonroad spark-ignition engines at or below 19 kW for purposes other than resale, where the importer has not used this exemption in the previous five years, subject to the provisions of 40 CFR 1054.630.
24. Engine imported by an Independent Commercial Importer recognized by EPA. Only for Categories A and D above.
- ☐ 24a. For modification under an EPA certificate issued for the specific make, model, and model year under 40 CFR 85.1505, 89.605 or 1039.660.
- ☐ 24b. For modification and testing according to 40 CFR 85.1509, 89.609, or 1039.660. NOTE: The imported engine must be at least 6 years old.
- ☐ 24c. For precertification testing to obtain an EPA certificate under 40 CFR 85.1511(b)(3), 89.611(b)(3), or 1039.660. NOTE: CBP bond is required.
- Specify location of storage (required for 24a and 24b):
- NOTE: Under 24a and 24b, you may import up to five highway engines and five nonroad engines in a given model year that are certified to standards based on an engine's original production year. You may import any number of engines certified to standards that apply based on the year the engine is modified. See 40 CFR 85.1503 and 89.603.
- ☐ 25. Other exemption. Describe the exemption, attach EPA approval (if applicable), and identify the regulatory cite:

Exhibit 2-5: Form 3520-21 - Import Codes - Code '1'

Check one of the following Codes to indicate the provision under which you are importing the engine, vehicle, or equipment:
☒ 1. U.S. certified engine or engine installed in a certified vehicle, covered by a valid U.S. EPA certificate of conformity and bearing a U.S. EPA emission control label in English. Additional information for Category G engines from 2010 and later model years, starting January 1, 2010 (see 40 CFR 90.1007 or 1054.690): Exempt from bond? No. If not exempt, NAIC # for bond issuer: 23456, policy number: 123456, state of issue: GA.

Permanent Exemptions for Nonconforming Engines

- ☐ 2. National security. Importing a labeled (where applicable) engine subject to the provisions of 40 CFR 1068.315(a). For certain types of tactical equipment, this exemption may require prior EPA approval.
- ☐ 3. Manufacturer-owned engine. Importing a labeled engine by an engine manufacturer holding a current U.S. EPA certificate of conformity, subject to the provisions of 40 CFR 1068.315(b) or 85.1706.
- ☐ 4. Replacement engine. Importing a labeled engine by an engine manufacturer holding a current U.S. EPA certificate of conformity subject to the provisions of 40 CFR 1068.315(c) or 85.1714. This exemption does not apply to locomotive engines.
- ☐ 5. Extraordinary circumstances/hardship. Importing a labeled engine subject to the provisions of 40 CFR 1068.315(d), 85.1511(c)(2) or 1033.620. An EPA letter of approval must be attached.
- ☐ 6. Hardship for small-volume manufacturers. Importing a labeled engine subject to the provisions of 40 CFR 1068.315(e). An EPA letter of approval must be attached to this form.
- ☐ 7. Equipment-manufacturer hardship. Importing a labeled engine subject to the provisions of 40 CFR 1068.315(f) or 1033.620. This may also apply to secondary engine manufacturers. An EPA letter of approval must be attached to this form.
- ☐ 8. Identical configuration. Importing an engine subject to the provisions of 40 CFR 1068.315(h). Such an engine must be identical in all material respects to a U.S.-certified version as demonstrated by letter from the engine-manufacturer contact on the CBP list, subject to EPA review at CBPs' discretion. This exemption does not apply to locomotives or to stationary, highway, or marine compression-ignition engines. The applicable regulations may require that you own the engine for a certain period before and after importation.
- ☐ 9. Ancient engine. Importing an engine first manufactured at least 21 years earlier that is still in its original configuration, subject to the provisions of 40 CFR 1068.315(i). This exemption does not apply to locomotives or to stationary, highway, or marine engines.

Exhibit 2-6: PGA Message Set - Import Code

PG24EP2 **1**

2.3 Test Group/Engine Family Name

Import Code '1' was selected; this means the Test Group/Engine Family Name, more commonly known as Certificate of Conformity, must be included (Exhibit 2-7). In the PGA Message Set, this number is located in spaces 9 to 41 on a PG14 line (Exhibit 2-8).

Code 3 in space 5 of the PG14 line indicates the LPCO Type is a "General" type. The 'EP4' code found on spaces 6 to 8 clarifies that the number in spaces 9 to 24 is the Test Group/Engine Family Name (Certificate of Conformity).

Exhibit 2-7: Form 3520-21 - Supplemental Information Required

Check one of the following Codes to indicate the provision under which you are importing the engine, vehicle, or equipment:
☒ 1. U.S. certified engine or engine installed in a certified vehicle, covered by a valid U.S. EPA certificate of conformity and bearing a U.S. EPA emission control label in English. Additional information for Category G engines from 2010 and later model years, starting January 1, 2010 (see 40 CFR 90.1007 or 1054.690): Exempt from bond? No. If not exempt, NAIC # for bond issuer: 23456, policy number: 123456, state of issue: GA.

Exhibit 2-8: PGA Message Set - Certificate of Conformity Information

PG143EP1 **9EPAV01.0ABC**

2.4 Bond Number

The Engines being imported were manufactured in 2010, this means that the shipment is not exempt from Bond, and that the Bond Policy number must also be included (Exhibit 2-9). In the PGA Message Set, this information is found in two different locations. First, the 'E1N' code found in spaces 8 to 12 of the PG24 line identifies that this shipment is not exempt from bond, while the bond number is located in spaces 9 to 41 of a PG14 line.

The code 'EP1' in spaces 5 to 7 on the PG24 line defines this PG24 record as pertaining to Bond Exemption. On the PG14 line, code '3' in space 5 indicates the LPCO Type in this record is a "General" type. The 'EP7' code, spaces 6 to 8 of the same PG14 clarifies that the number in spaces 9 to 14 is the Bond Policy Number.

Exhibit 2-9: Form 3520-21 - Bond Exemption and Policy Number

Check one of the following Codes to indicate the provision under which you are importing the engine, vehicle, or equipment:
☒ 1. U.S. certified engine or engine installed in a certified vehicle, covered by a valid U.S. EPA certificate of conformity and bearing a U.S. EPA emission control label in English. Additional information for Category G engines from 2010 and later model years, starting January 1, 2010 (see 40 CFR 90.1007 or 1054.690): Exempt from bond? No If not exempt, NAIC # for bond issuer: 23456 policy number: 123456 state of issue: GA

Exhibit 2-10: PGA Message Set - Bond Exemption and Policy Number

PG24EP1	E1N			
PG07		EM1001		122010ENNMMH0-874200
PG08MH0-874201	MH0-874202	MH0-874203		MH0-874204
PG08MH0-874205	MH0-874206	MH0-874207		
PG10	V05 ENG 12/2010			
PG143EP7	123456			

2.5 Bond Issuer Number and State

Form 3520-21 also requires the NAIC Number for the bond issuer, and the state in which it was issued (Exhibit 2-11). The NAIC Number and State of Issue are captured in the PGA Message Set by a set of PG19 and PG20 lines. The NAIC Number is found in spaces 11 to 15 on the PG19 line, while the State of Issue is found in spaces 63 and 64 on the PG20 line.

The code 'NAI' in spaces 5-7 of the PG19 line, defines these PG19 and 20 records as relating to the NAIC Bond Issuer. The 'NAI' code is not repeated in PG20 lines, as the PG20 line is a continuation of whatever code is indicated in the preceding PG19.

Exhibit 2-11: Form 3520-21 - Bond Issuer Number and State

Check one of the following Codes to indicate the provision under which you are importing the engine, vehicle, or equipment:
☒ 1. U.S. certified engine or engine installed in a certified vehicle, covered by a valid U.S. EPA certificate of conformity and bearing a U.S. EPA emission control label in English. Additional information for Category G engines from 2010 and later model years, starting January 1, 2010 (see 40 CFR 90.1007 or 1054.690): Exempt from bond? No If not exempt, NAIC # for bond issuer: 23456 policy number: 123456 state of issue: GA

Exhibit 2-12: PGA Message Set - Bond Issuer Number and State

PG19NAI	23456	
PG20		GA

2.6 Port Code / Entry Number / Entry Date

The information found in the first three blocks of Form 3520-21 represent the Port code, Entry Number, and Entry Date of the shipment (Exhibit 2-13). This information is not represented in the PGA Message Set as they are collected by CBP in the Entry Data.

Exhibit 2-13: Form 3520-21 - Port Code / Entry Number / Entry Date

Declaration of Stationary, Nonroad or Heavy-duty Highway Engine, Nonroad Vehicle or Equipment, or Stationary Equipment			
Port code: 1704 Format: 9999	CBP entry no: DFG-4567890-1 Format: XXX-9999999-9	Entry date: 05/15/2011 Format: mm/dd/yyyy	Engine manufacturer, model and serial number of each engine; for certified engines or vehicles, also identify the engine family name: Make - Toyota (Japan); Model - EM1001; Serial numbers - MHO-874200, MHO-874201, MHO-874202, MHO-874203, MHO-874204, MHO-874205, MHO-874206, MHO-874207
Identify the engine (or vehicle) build date: 12 month 2010 year <input checked="" type="checkbox"/> on engine <input type="checkbox"/> other (explain)			Vehicle or equipment manufacturer, model, serial number, and type of equipment (if applicable):

2.7 Engine Manufacturer

Following the Port Code and Entry Data, is a block containing the Manufacturer of the vehicle or engine being imported (Exhibit 2-14). Within the PGA Message Set, the name of the Manufacturer is found in spaces 26 to 57 of a PG19 line (Exhibit 2-15).

The Code 'MF' in spaces 5 to 6 of PG19 defines this PG19 record as pertaining to the Manufacturer of the engines being imported. The name found in spaces 26 to 39 is the name of the Manufacturer.

Exhibit 2-14: Form 3520-21 - Manufacturer

Declaration of Stationary, Nonroad or Heavy-duty Highway Engine, Nonroad Vehicle or Equipment, or Stationary Equipment			
Port code: 1704 Format: 9999	CBP entry no: DFG-4567890-1 Format: XXX-9999999-9	Entry date: 05/15/2011 Format: mm/dd/yyyy	Engine manufacturer, model and serial number of each engine; for certified engines or vehicles, also identify the engine family name: Make - Toyota (Japan); Model - EM1001; Serial numbers - MHO-874200, MHO-874201, MHO-874202, MHO-874203, MHO-874204, MHO-874205, MHO-874206, MHO-874207
Identify the engine (or vehicle) build date: 12 month 2010 year <input checked="" type="checkbox"/> on engine <input type="checkbox"/> other (explain)			Vehicle or equipment manufacturer, model, serial number, and type of equipment (if applicable):

Exhibit 2-15: PGA message Set - Manufacturer

PG19MF	TOYOTA (JAPAN)
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2.8 Model and Serial Number

In Form 3520-21, the Model and Serial Number, of each vehicle or engine being imported, are also captured within the same block as the Manufacturer (Exhibit 2-16). Within the PGA Message Set, the Model Name is found in spaces 40 to 54 of a PG07 line (Exhibit 2-17). The first Serial Number in the PGA Message Set is found on the same PG07 line as the Model Name in spaces 64 to 80, while additional serial numbers are found on the following PG08 lines (Exhibit 2-17), up to four per line, in spaces 5 to 21, 22 to 38, 39 to 55, and 56 to 72. There can be as many PG08 lines as the shipment requires.

The code 'ENN,' in spaces 61-63 of line PG07, indicates that the information following the code is an Engine Serial Number. The 'ENN' code is not repeated in PG08 lines, as PG08 lines are a continuation of whatever code is indicated in the preceding PG07.

Note: If the shipment contains more than 20 VIN numbers only a range is required.

Exhibit 2-16: Form 3520-21 - Model and Serial Numbers

Declaration of Stationary, Nonroad or Heavy-duty Highway Engine, Nonroad Vehicle or Equipment, or Stationary Equipment			
Port code: 1704 Format: 9999	CBP entry no: DFG-4567890-1 Format: XXX-9999999-9	Entry date: 05/15/2011 Format: mm/dd/yyyy	Engine manufacturer, model and serial number of each engine; for certified engines or vehicles, also identify the engine family name: Make - Toyota (Japan); Model - EM1001; Serial numbers - MHO-874200, MHO-874201, MHO-874202, MHO-874203, MHO-874204, MHO-874205, MHO-874206, MHO-874207
Identify the engine (or vehicle) build date: 12 month 2010 year <input checked="" type="checkbox"/> on engine <input type="checkbox"/> other (explain)			Vehicle or equipment manufacturer, model, serial number, and type of equipment (if applicable):

Exhibit 2-17: PGA Message Set - Model and Serial Numbers

PG07		EM1001	122010ENN	MHO-874200
PG08	MHO-874201	MHO-874202	MHO-874203	MHO-874204
PG08	MHO-874205	MHO-874206	MHO-874207	

2.9 Manufacture Date

The Build Date block on Form 3520-21 contains the Manufacture Date of the vehicle or engine in the shipment, and where that date can be located, whether “on engine” or “other” (Exhibit 2-18). In the PGA Message Set, the Manufacture Date can be found in spaces 24 to 30 on a PG10 line (Exhibit 2-19).

The code ‘V05’ on line 16 to 18 of the PG 10 line defines this PG10 record as pertaining to the Vehicle or Engine Manufacture Date. The Code ‘ENG’ on line 20-22 signifies that the Manufacture Date can be located on the engine.

Exhibit 2-18: Form 3520-21 - Manufacture Date

Declaration of Stationary, Nonroad or Heavy-duty Highway Engine, Nonroad Vehicle or Equipment, or Stationary Equipment			
Port code: 1704 Format: 9999	CBP entry no: DFG-4567890-1 Format: XXX-9999999-9	Entry date: 05/15/2011 Format: mm/dd/yyyy	Engine manufacturer, model and serial number of each engine; for certified engines or vehicles, also identify the engine family name: Make - Toyota (Japan); Model - EM1001; Serial numbers - MHO-874200, MHO-874201, MHO-874202, MHO-874203, MHO-874204, MHO-874205, MHO-874206, MHO-874207
Identify the engine (or vehicle) build date: 12 month 2010 year <input checked="" type="checkbox"/> on engine <input type="checkbox"/> other (explain)			Vehicle or equipment manufacturer, model, serial number, and type of equipment (if applicable):

Exhibit 2-19: PGA Message Set - Manufacture Date

PG10	V05 ENG	12/2010
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2.10 Certification Statement

The Certification Statement in Form 3520-21 (Exhibit 2-20) is represented on a PG22 line within the PGA Message Set (Exhibit 2-21).

The Code ‘943’ in spaces 6 to 8 of the PG22 line identifies this PG22 record as pertaining to the V&E Form 3520-21. The entity code ‘CI’ in spaces 18 to 20 indicates that the information relates to the Certifying Individual. Note that the Certifying Individual on the paper form is the individual signing the document. The ‘EP1’ code in spaces 21 to 24 represents the actual Certification Statement for the Form 3520-21.

Exhibit 2-20: Form 3520-21 - Certification Statement

Names, Addresses, and Telephone Numbers of Relevant Parties Certification: I certify that I have read and understand the purpose of this form, the penalties for falsely declaring information, for providing misleading information, or for concealing a material fact. The information I have provided is correct, and all required attachments are appended to this form. I authorize EPA Enforcement Officers to conduct inspections or testing permitted by the Clean Air Act. I am the owner, the importer, or an agent of the owner or importer.		
Signature:	Printed name: Jane Smith	Date: 01/27/2011 Format: mm/dd/yyyy

Exhibit 2-21: PGA Message Set - Certification Statement

PG22 943	CI	EP1	Y01272011
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2.11 Signature and Date

After the Certification Statement, Form 3520-21 asks for the signature of the importer or agent who is signing the Certification Statement for this document, and the date the document was signed (Exhibit 2-22). Within the PGA Message Set, the signature is found in space 25 on a PG22 line, and the date is found on the same PG22 line but in spaces 26 to 33. Note that this is not an electronic signature, but a representation of the signature by the code 'Y;' indicating yes, the individual certifies the content of the submission (Exhibit 2-23).

The PGA form code '943' in spaces 6 to 8 of the PG22 line identifies this PG22 line as pertaining to the V&E Form 3520-21. The 'CI' in spaces 18 and 19 represents the Certifying Individual, and the 'EP1' code represents the Certification Statement for Form 3520-21. The date of the certification represented in spaces 26 to 33 is in the format MMDDYYYY.

Exhibit 2-22: Form 3520-21 – Signature and Date

Names, Addresses, and Telephone Numbers of Relevant Parties Certification: I certify that I have read and understand the purpose of this form, the penalties for falsely declaring information, for providing misleading information, or for concealing a material fact. The information I have provided is correct, and all required attachments are appended to this form. I authorize EPA Enforcement Officers to conduct inspections or testing permitted by the Clean Air Act. I am the owner, the importer, or an agent of the owner or importer.		
Signature:	Printed name: Jane Smith	Date: 01/27/2011 Format: mm/dd/yyyy

Exhibit 2-23: PGA Message Set – Signature and Date

PG22 943	CI	EP1	Y01272011
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2.12 Printed Name of Certifying individual

After the Signature, the next block contains the printed name of the individual who signed the Certification Statement (Exhibit 2-24). The information is normally represented by a PG19, 20, and 21 set for the entity, as is found for the Importer of Record (Exhibit 2-27). In order to reduce redundancy, if an individual or entity has multiple roles (i.e. Importer and Certifying Individual as in this sample) the second role is captured by a PG55 record immediately following the PG19, 20, 21 set to which it relates (Exhibit 2-25). In this example, the Certifying Individual is the same as the Importer. The 'CI' code in spaces 5 to 6 of the PG55 record identifies the entity information found in the preceding PG19, 20, 21 grouping as also pertaining to the Certifying individual.

Exhibit 2-24: Form 3520-21 - Printed Name

Names, Addresses, and Telephone Numbers of Relevant Parties		
Certification: I certify that I have read and understand the purpose of this form, the penalties for falsely declaring information, for providing misleading information, or for concealing a material fact. The information I have provided is correct, and all required attachments are appended to this form. I authorize EPA Enforcement Officers to conduct inspections or testing permitted by the Clean Air Act. I am the owner, the importer, or an agent of the owner or importer.		
Signature:	Printed name: Jane Smith	Date: 01/27/2011 Format: mm/dd/yyyy

Exhibit 2-25: PGA Message Set - Certifying Individual Information

PG19IM	TOYOTA NORTH AMERICA	1234 PEACHTREE STREET
PG20	ATLANTA	GA US30301
PG21IM JANE SMITH	7062345678	JANE.SMITH@TOYOTAAMERICA.COM
PG55	CI	

2.13 Importer Contact Information

Form 3520-21 asks for the name and complete address of the Importer as a required field (Exhibit 2-26). This information is represented in the PGA Message Set by a set of PG lines - PG19, PG20, and PG21 (Exhibit 2-27). The PG19 line captures the company name, in spaces 26 to 57, and the first line of the address, in spaces 58 to 80, while a PG20 contains the additional address fields (City - spaces 42 to 62, State - spaces 63 to 65, Country - spaces 66 to 67, and Postal Code - spaces 68 to 76). The PG21 captures the Company's point of contact information (Name - spaces 8 to 30, Phone Number - spaces 31 to 45, and Email - spaces 46 to 80).

The 'IM' code found in spaces 5 and 6 of the PG19 and 21 lines, defines this PG19, 20, 21 grouping as pertaining to the Importer of Record. All information located on these lines represents the Importer's information.

Exhibit 2-26: Form 3520-21 - Importer Contact Information

Signature:	Printed name: Jane Smith	Date: 01/27/2011 Format: mm/dd/yyyy
Identify the name, address, phone number, and e-mail address for the importer, broker, and owner as applicable:		
Importer (required): Jane Smith, Toyota North America 1234 Peach Tree Street Atlanta, GA 30301, US Telephone - (706) 234-5678 Email - jane.smith@toyotaamerica.com	Broker (optional):	Owner (optional):

Exhibit 2-27: PGA Message Set - Importer Contact Information

PG19IM	TOYOTA NORTH AMERICA	1234 PEACHTREE STREET
PG20	ATLANTA	GA US30301
PG21IM JANE SMITH	7062345678	JANE.SMITH@TOYOTAAMERICA.COM

2.14 Broker and Owner Contact information

The Broker and Owner Contact Information blocks are optional in Form 3520-1 (Exhibit 2-28). In this PGA Message Set example, the Broker and Owner information is not included; if they were, they would follow the same pattern as for the Certifying Individual (Exhibit 2-25).

Exhibit 2-28: Form 3520-21 – Broker / Owner, Optional, Contact Information

Signature:	Printed name: Jane Smith	Date: 01/27/2011 Format: mm/dd/yyyy
Identify the name, address, phone number, and e-mail address for the importer, broker, and owner as applicable:		
Importer (required): Jane Smith, Toyota North America 1234 Peach Tree Street Atlanta, GA 30301, US Telephone - (7080) 234-5678 Email - jane.smith@toyotaamerica.com	Broker (optional):	Owner (optional):

Appendix A. Form 3520-21 to PGA Message set Data Elements

Exhibit 2-29: Mapping between Form 3520-21 and PGA Message Set

Form 3520-21 Block #	Data Elements	Location in PGA Message Set
Industry Codes	Industry Codes	PG24
Import Codes	Import Codes	PG24
Supplemental Information – Engine Family name/number	Engine Family name/ number (Certificate of Conformity)	PG14
Port Code	Port Code	Not Included
CBP Entry Number	Entry Number	Not Included
Entry Date	Entry Date	Not Included
Engine manufacturer	Engine Manufacturer	PG19
Model Number	Model Number	PG07
Serial Number	Serial Number	PG07/PG08
Build Date	Manufacture Date	PG10
Build Date	Location of Date	PG10
Certification Statement	Certification Statement	PG22
Signature	Signature	PG22
Date	Date Certification Statement Signed	PG22
Not included	Certifying Individual Company	PG 19/PG55
Not included	Certifying Individual - Address 1	PG19/PG55
Not included	Certifying Individual - Address 2	PG20/PG55
Not included	Certifying Individual - Apt / Suite Number	PG20/PG55
Not included	Certifying Individual - City	PG 20/PG55
Not included	Certifying Individual - Country	PG20/PG55
Not included	Certifying Individual - State	PG20/PG55
Not included	Certifying Individual - Zip	PG20/PG55
Printed Name	Certifying Individual - Name	PG 21/PG55
Not included	Certifying Individual - Phone Number	PG21/PG55
Not included	Certifying Individual - Email	PG21/PG55
Importer	Importer Company	PG 19/PG55
Importer	Importer - Address 1	PG19/PG55
Importer	Importer - Address 2	PG20/PG55
Importer	Importer - Apt / Suite Number	PG20/PG55
Importer	Importer - City	PG 20/PG55
Importer	Importer - Country	PG20/PG55
Importer	Importer - State	PG20/PG55
Importer	Importer - Zip	PG20/PG55
Importer	Importer Name	PG 21/PG55
Importer	Importer Phone Number	PG21/PG55
Importer	Importer Email	PG21/PG55
Owner	Owner Company	PG19/PG55
Owner	Owner - Address 1	PG19/PG55

Form 3520-21 Block #	Data Elements	Location in PGA Message Set
Owner	Owner - Address 2	PG20/PG55
Owner	Owner - Apt / Suite Number	PG20/PG55
Owner	Owner - City	PG20/PG55
Owner	Owner - Country	PG20/PG55
Owner	Owner - State	PG20/PG55
Owner	Owner - Zip	PG20/PG55
Owner	Owner Email	PG21/PG55
Owner	Owner Name	PG21/PG55
Owner	Owner Phone	PG21/PG55
Broker	Broker Company	PG 19/PG55
Broker	Broker - Address 1	PG19/PG55
Broker	Broker - Address 2	PG20/PG55
Broker	Broker - Apt / Suite Number	PG20/PG55
Broker	Broker - City	PG 20/PG55
Broker	Broker - Country	PG20/PG55
Broker	Broker - State	PG20/PG55
Broker	Broker - Zip	PG20/PG55
Broker	Broker Name	PG 21/PG55
Broker	Broker Phone Number	PG21/PG55
Broker	Broker Email	PG21/PG55
Import Code: 2, 5, 6, 7, 10, 11, 12, 14, 18	EPA letter of Approval	PG01
Import Code: 3, 4, 16, 24c	Certificate of Conformity	PG14
Import Code: 3, 4, 16, 24c	Certificate of Conformity expiration date	PG14
Import Code: 11, 12, 19	Intact engine Labeling	PG01 (DIS)
Import code: 13	Shipping Label	PG01 (DIS)
Import Code: 1	Bond exemption code	PG24
Import Code: 1	Bond Policy Number	PG14
Import Code: 1	Bond Issuer Number	PG19
Import Code: 1	Bond State of issue	PG20
Import Code: 22	Maximum Engine power	PG10
Import Code: 22	Bond exemption code	PG24
Import Code: 22	Bond Policy Number	PG14
Import Code: 22	Bond Issuer Number	PG19
Import Code: 22	Bond State of issue	PG20
Import Code: 24c	CBP Bond Number	PG14
Import Code: 24c	Storage Location	PG24
Import Code: 25	Remarks Code	PG24

Appendix B. PGA Message Set codes by PG line Number

Exhibit 2-30: PGA Message Set Codes Relevant to V&E Form 3520-21

Data Element	Code	Description
PG01		
Government Agency Code	EPA	Environmental Protection Agency
Government Agency Program Code	VNE	Vehicles and Engines
Confidential information indicator	Y	Included
Electronic Image transmitted	Y	Yes
PG02		
Item Type	P	Product
	C	Component
PG07		
Item Identity Number Qualifier Codes	ENN	Engine Number
	MN	Model Number
	SE	Serial Number
	RN	Registered Number
	AKG	Vehicle Identification Number (VIN
PG10		
Commodity Qualifier Codes	V03	Engine Power rating
	V05	Manufacture date of the vehicle or engine
	V06	Model year of the vehicle or engine
	ENG	Engine
	VEH	Vehicle
	OTH	Other
	KW	Kilowatts
	HP	Horsepower
Item Identity Number Qualifier Codes	Same as PG07	Same as PG07
PG14		
LPCO Transaction Type	1	Single Use
	2	Continuous
	3	General
LPCO Transaction Codes	EP4	Test group name/ number

Data Element	Code	Description
	EP7	EPA Bond Policy Number
	EP8	EPA Registration Number
	EP9	EPA Vehicles and Engines Exemption Number
PG19		
Entity Role Codes	IM	Importer
	DFP	Owner
	DEQ	Shipper
	STL	Storage Location
	CI	Certifying Individual
	NAI	NAIC Bond Issuer
	UC	Ultimate Consignee
Entity Identification code	340	EPA-assigned
PG21		
Entity Role Codes	Same as PG19	Same as PG 19
PG22		
Document Identifiers	942	EPA 3520-1
	943	EPA 3520-21
Declaration Code	EP1	Certification Statement (EPA 3520-21)
	EP2	Certification Statement (EPA 3520-1)
PG24		
Remarks Type Codes	EP1	Vehicles and Engines Bond Exemption
	EP2	EPA Vehicles and Engines Import Code
	EP3	EPA Vehicles and Engines Industry Code
	EP4	EPA Vehicles and Engines Regulation Cited for other exemption
	GEN	General Remarks
Remarks Codes	E1Y	Exempt from Bond
	E1N	Not Exempt from Bond
Import Codes		
		Permanent exemptions for Nonconforming Engines
Remarks Codes	1	U.S certified engine or engine installed in a certified vehicle
	2	National Security.

Data Element	Code	Description
	3	Manufacturer-owned engine
	4	Replacement engine
	5	Extraordinary circumstances/hardship
	6	Hardship for small volume manufacturers
	7	Equipment-manufacturer hardship
	8	Identical configuration
	9	Ancient engine
		Temporary Exemptions for Nonconforming Engines
Remarks Codes	10	Repairs or alterations
	11	Testing
	12	Display
	13	Export
	14	Diplomatic or military
	15	Delegated assembly
	16	Partially complete engine
		Importation of Engines Excluded from U.S. EPA Emission Standards
	17	Engine manufactured before emission standards started to apply
	18	Competition engine
	19	Stationary compression-ignition engine with displacement at or above 30 liters per cylinder or stationary spark-ignition engine above 19kW that is not designed to run on gasoline or, if rich-burn, on liquefied petroleum gas.
	20	Underground mining
	21	Hobby engine
		Exemptions for Specific Engine Categories or Other Special Cases
	22	Transition program for equipment manufacturers
	23	Personal-use exemption for small spark-ignition engines
	24	Engine imported by an independent commercial importer recognized by EPA
	25	Other exemption
Industry Codes		
Remarks Codes	A.	Heavy-duty highway engines (for use in motor vehicles with gross vehicle weight rating above 8500LBS)

Data Element	Code	Description
	B.	Locomotives or locomotive engines
	C.	Marine compression-ignition engines
	D.	Other non-road compression-ignition engines
	E.	Marine spark-ignition engines
	F.	Recreational engines and vehicles, including snowmobiles, off-highway motorcycles, all-terrain vehicles, and off-road utility vehicles
	G.	Other non-road spark-ignition engines at or below 19kW or below 30kW if total displacement is at or below 1000cc
	H.	Other non-road spark-ignition engines above 19kW
	I.	Stationary compression-ignition engines
	J.	Stationary Spark-ignition engines
PG50		
N/A		PG50 records contain no codes
PG51		
N/A		PG51 records contain no codes
PG55		
Entity Role Codes	See PG19	Same as the Entity role codes located in the PG19