



EPA

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Change Log

| Date | Version No. | Description | Page Number | Author |
|-----------|-------------|---|--------------------------|--------|
| 5/13/2015 | 6 | Updated Length/Class for Telephone Number field in PG21 record, from N to X. | 25, 51, 69, 90, 114, 131 | |
| | | Added reference to Note 1 on PG20 Record for reporting Certifying Individual in the proper location of the PGA Message Set. | 24 | |
| | | Updated description of PG22 records to include record's ability to be repeated for multiple document identifiers or conformance declarations. | 27, 53, 72, 93, 117, 129 | |
| | | Added reference to Note 2 for disclaimer codes in PG01 record. | 126-127 | |
| | | Reversed order of Change Log so the most recent revisions appear at the top of the table. | 2-3 | |
| | | Replaced the TSCA example image to correct distortion. | 123 | |
| | | Added Government Agency Program Code table to Note 1 for PG01 records in Pesticides filings. Previous notes shifted to incorporate order. | 61, 104 | |
| | | Removed Disclaimer Section | N/A | |
| 2/13/2015 | 5 | Clarified PG02 record description for V&E to include a description on how to use the PG02 record when reporting at the product/component level, and what records and data are typically included. | 17, 37 | |
| | | For V&E, provided Item Type code descriptions for PG02 record. | 17, 37 | |
| | | Clarified when reporting Test Group Name/Number for V&E in a PG14 record, the Exhaust Engine Family (EFN) and not Evaporative Engine family name is the required LPCO No. | 25, 48 | |
| | | Identified the correct placement for records pertaining to the Certifying Individual For V&E Message Sets. When Reporting the CI using PG19, 20, 21 set, The placement should be after/under the PG22 record. If reporting CI using a PG55 record then it will follow the parent PG21 record. | 26-29, 49-53 | |



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| | | Provided additional guidance on when reporting is required at the component level for commodities imported under V&E Form 3520-21. | 20, 42 | |
| | | Included the 'Notify Party' data element in the "Pesticides Data Map from Existing EPA Form 3540-1". | 57, 81, 101 | |
| | | For Pesticides, corrected the header "Location of goods after examination" to "Location of Goods for Examination after importation". | 58, 82, 102 | |
| | | Clarified that, when a product is comprised of a singular chemical component, all data should be reported at the Product level; but if a product is comprised of multiple chemical components then the components (i.e. Active Ingredients) should be reported at the component level. | 65, 108 | |
| | | For Pesticides, removed LPCO Transaction Type code from the PG14 record. | 67, 112 | |
| | | Updated Program office Contact Information | 5 | |
| | | Added TSCA section, and included ODS under TSCA as appropriate. | 124-131 | |
| 7/31/2014 | 4 | Updated EPA supplemental documentation location links to CBP.gov | 3 | EPA |
| | | Added Contact information for Pesticides Program | 4 | |
| | | Added Section for "Disclaimer for HTS codes marked for EPA" | 5-8 | |
| | | Added Descriptive text to the applicable codes for the V&E pilot | 18 | |
| | | Added Section for "Pesticide" | 62-129 | |
| | | Added Appendix A – Vehicles and Engines Reporting Requirements by Import Code | 130-132 | |
| | | Updated V&E Data mapping Exhibits to better outline which data elements are captured as Entry data | 20-21; 39-40 | |
| | | Updated Record Descriptions for record identifiers to outline EPA reporting requirements | N/A | |
| | | Updated Status Column and field Descriptions for ODS and V&E record identifiers; to EPA filing requirements | N/A | |



| Date | Version No. | Description | Page Number | Author |
|------|-------------|---|-------------|--------|
| | | Removed duplicated Record Identifier descriptions to shorten overall length of document | N/A | |

General Introduction

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

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

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

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

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

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

<http://www.cbp.gov/ace-dis>

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

REMINDERS: The PGA Message Set does not stand-alone and must be submitted in conjunction with one of the following:

- a) ACE Entry Summary Certified for ACS Release
- b) ACE Entry (Cargo Release)
- c) ACE Entry Summary Certified for ACE Release (Cargo Release)

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

EPA Overview

A variety of laws and regulations govern import and export requirements of commodities, including vehicles and engines, fuels, ozone depleting substance, hazardous wastes, pesticides, and chemical substances, which may pose a risk to human health and the environment. The Environmental Protection Agency (EPA) works with the states, tribes, other federal agencies, and foreign governments to ensure compliance with laws governing the import and export of these materials. The EPA Programs which regulate these imports and exports are:

- Office of Transportation and Air Quality - Vehicles and Engines and Fuels



- Office of Air and Radiation - Ozone Depleting Substances and Hazardous Waste
- Office of Pesticide Programs – Pesticides and Devices
- Office of Pollution Protection and Toxics - Toxic and Chemical Substances under the Toxic Substances Control Act (TSCA)

Legal requirements and additional information on import and exports regulated by EPA may be found at: <http://www.epa.gov/compliance/international/importexport.html>

Contact information by Programs:

For questions about ODS, please contact:

David Donaldson, Stratospheric Protection Division, Office of Atmospheric Programs, U.S. EPA (202) 343-9086 or donaldson.david@epa.gov

For questions about Vehicles and Engines, please contact:

EPA Imports Hotline, Compliance Division, Office of Transportation and Air Quality, U.S. EPA (734) 214-4100 or send an email to imports@epa.gov

For questions about Pesticides, please contact:

Scott Drewes, Information Technology and Resources Management Division, Office of Pesticide Programs, U.S. EPA (703) 347-0107 or drewes.scott@epa.gov

For questions about TSCA, please contact:

Laura Nielsen, Compliance Division, Office of Pollution Prevention and Toxics, U.S. EPA (202) 566-0621 or Nielsen.laura@epa.gov

Because of the flexibility of the PGA Message Set, the PGA Records and Data Elements that are required may vary both from program to program and within a single program. For a more expansive set of examples of EPA PGA Message Sets, please refer to the document *EPA Message Set Samples for Pilot Programs*.

Vehicles and Engines (V&E)

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 (Import by an ICI)
 - B (US Certified)
 - F (US Certified – catalyst restoration)
 - G (Repair/Alteration Exemption)
 - I (Testing Exemption)
 - K (Display Exemption)
 - L (Racing Exclusion)
 - O (Nonresident Exemption)
- For 3520-21:
 - 1 (US Certified)
 - 3 (Manufacturer-owned engine)
 - 4 (Replacement engine)
 - 10 (Repair/Alteration Exemption)
 - 11 (Testing Exemption)
 - 12 (Display Exemption)
 - 16 (Partially complete engine)
 - 18 (Competition Exclusion)

The Clean Air Act prohibits importation into the U.S. of any motor vehicle, motor vehicle engine, non-road engine, or equipment that does not conform to EPA emission standards and requirements. U.S. EPA emission standards have been in effect for light-duty motor vehicles since 1968, motorcycles since 1978, heavy-duty on-highway engines since 1970, non-road engines since 1996, marine engines since 1997, and recreational vehicles (dirt bikes, ATVs, ORUVs, and snowmobiles) since 2006. These standards apply to new or used vehicles and engines, including imported motor vehicles, heavy-duty engines, non-road engines, and recreational vehicles manufactured either domestically or abroad.

Vehicle and Engine imports are separated into two regulatory categories based on the EPA Forms 3520-1 and 3520-21. Form 3520-1 is used for importing light-duty, on-road vehicles and engines such as passenger vehicles, highway motorcycles, and corresponding engines. Form 3520-21 is for heavy-duty highway engines and non-road engines. Both forms have a corresponding PGA Message Set, demonstrated by the following V&E Samples.

Note:



EPA Imports Declarations Form 3520-21 covers the importation of non-road, stationary, or heavy-duty highway engines, including engines installed in vehicles or equipment. Form 3520-21 also applies for importation of recreational vehicles, and engines intended for installation in recreational vehicles. Recreational vehicles are generally certified as a complete vehicle. However, EPA regulations allow for recreational vehicle manufacturers meeting certain conditions to certify and import engines that are sold separately (i.e. ‘loose engines’). A valid certificate of conformity is required for either of these cases, so for the purposes of importation, the importer/broker will have to supply a valid engine family name before entry is allowed. It is also possible for manufacturers of recreational vehicles to import loose engines that are covered by the certificate for the vehicle rather than a separate certificate for the engine. Form 3520-21 (box 16) accommodates this arrangement with a provision for “partially complete engines.”

The following are the potential PGA records associated with submitting V&E data regulated by forms 3520-1 and 3520-21.

| PG Record | Description |
|-----------|---|
| OI | The commercial description of the shipment is provided. |
| PG01 | The PGA line number, Government Agency Code, and Government Agency Program Code are provided. Conditionally, the Disclaimer Code is provided. |
| PG02 | Product Identifier. |
| PG24 | Import & Industry Codes and Remarks. |
| PG07 | Model, Manufacture Date, and Item Identity Numbers. |
| PG08 | Report additional item identity numbers. |
| PG10 | Characteristics of the Product or Component. |
| PG14 | Licenses, Permits, Certificates, or Exemptions issued by EPA. |
| PG19 | Entity Role, Entity Identification, Entity Name, and Entity Address 1. |
| PG20 | Entity Address line 2, Apartment/Suite, City, State, and Zip/Postal Code. |
| PG21 | Individual Name, Telephone Number, Fax Number, and Email address. |
| PG55 | Identifies Entity from the previous PG19, PG20, and PG21 group as having additional roles. |
| PG22 | Importers Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications. |



V&E Form 3520-1

A shipment containing a Lamborghini Aventador is imported into the United States by a Non-Resident for personal use over a period less than a year. Because this vehicle is intended for on-road use, the Importer files the Entry under the EPA-V&E Form 3520-1.

EPA-V&E Data Map from Existing V&E Form 3520-1:

Form Approved OMB 2060-0095

| | | | |
|--|---|---|---|
| <p align="center">United States Environmental Protection Agency Declaration Form</p> <p align="center">Importation of Motor Vehicles and Motor Vehicle Engines Subject to Federal Air Pollution Regulations</p> <p align="center">U.S. E.P.A., Compliance Division, 2000 Traverwood Drive, Ann Arbor, MI 48105 www.epa.gov/otaq/imports Phone (734) 214-4100 Fax (734) 214-4676</p> | | | |
| <p>This form must be submitted to the U.S. Customs and Border Protection (Customs) (42 USC 7522, 7601; 19 CFR 12.73) for each motor vehicle (including motorcycles, disassembled vehicles, kit cars, light-duty vehicle/motorcycle engines) imported into the U.S., except that this form is not required for motor vehicles that are imported by their original manufacturer and are new and are covered by an EPA certificate of conformity and bear an EPA emission control label. One form per shipment may be used, with attachments including all information required to fully describe each vehicle or engine as below. Check the box below indicating the provisions under which you are importing this vehicle or engine. Offroad vehicles/engines and heavy-duty engines must use form 3520-21. Note: Although only imports using codes G, I, K, L, M-3, and O require specific written authorization from EPA, Customs may request EPA review of importer documentation and eligibility for any import using this form. A nonconforming vehicle that is ineligible for the exemptions or exclusions listed below, must be imported through an independent commercial importer (ICI) under codes A, C, J, or Z. For codes A, C, J, and Z, EPA does not authorize the release to the vehicle owner.</p> <p>Penalties: Any person who knowingly makes any false or fraudulent statement, or omits or conceals a material fact can be fined up to \$250,000 or imprisoned for up to 5 years, or both (18 USC 1001). Any person who improperly imports a motor vehicle (including a motorcycle) or engine may be fined up to \$32,500 per vehicle or engine (42 USC 7524), and may be subject to forfeiture of the entire importation bond, if applicable (40 CFR 85.1513), and the U.S. Customs Service may seize the vehicle or engine (19 CFR 162.21).</p> | | | |
| <p align="center">Desc. Entry Data ration of Motor Vehicle or Motor Vehicle Engine (Note: Heavy-duty Engines must use form 3520-21)</p> | | | |
| 1. Port code: 2147 | 2. Entry date: (mm/dd/yyyy) 04/21/2014 | 3. Customs entry number: DFG-4567890-1 | 4. Vehicle Identification Number (VIN), or engine serial number: ZHWUJ16M4CLAU PG07 |
| 5. Manufacture date (mm/yyyy): 05/2013 PG07 | 6. Manufacture (make): Lamborghini PG19 | 7. Model: LP700-4 PG07 | |
| 8. ICI imports only, codes A, C, J, Z: | | 9. EPA Exemption Number, required for codes L, G, I, K, O: 2013-JUNE-LD-NORES-450 PG14 | |
| <p align="center">PG22 Names, Addresses, and Telephone Numbers of Relevant Parties</p> <p>Certification: I certify that I have read and understand the purpose of this form, the penalties for falsely declaring information, or 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, importer, or agent for the owner or importer.</p> | | | |
| 10. Importer (code B: must be certificate holder or their agent for shipments of new vehicles prior to introduction into commerce; codes A, C, J, Z: must be ICI): Angelo Giovanni 1234 Mapleleaf Avenue San Diego, CA 92169 US PG19 / PG20 / PG21 | 11. Owner: Angelo Giovanni 1234 Mapleleaf Avenue San Diego, CA 92169 US PG55 | 12. Storage contact: Angelo Giovanni (555) 123-0123 ANGELO.GIOVANNI@TEST.COM PG55 | 13. Signature: PG22 |
| | | 14. Date: 04/21/2014 PG22 | |
| | | 15. Name, company and phone (type or print): Angelo Giovanni (555) 123-0123 PG21 | |
| <p align="center">U.S. conforming and "identical" vehicles</p> <p><input type="checkbox"/> code B - U.S. certified - unmodified vehicle bearing a U.S. EPA emission control label in engine compartment (or on motorcycle frame) in English.</p> <p><input type="checkbox"/> code F - U.S. certified, catalyst restoration - U.S. certified vehicle as described above, except that the catalyst, oxygen sensors or fuel filler neck restrictor were removed or damaged. The importer attests that the catalyst and oxygen sensors and fuel filler neck restrictor, as applicable, will be re-installed or replaced after importation. If leaded gasoline was used, the importer attests that after importation (1) the fuel tank will be drained and refilled with unleaded gasoline, (2) the catalyst and oxygen sensors, if they were left on the vehicle during use of the leaded gasoline, will be replaced, and (3) the fuel filler neck restrictor will be checked and replaced as necessary. No bond or EPA approval is required.</p> <p><input type="checkbox"/> code EE - identical in all material respects to a U.S. certified version - either 1) Canadian vehicle (proof required e.g. Canadian emission control label, registration or title, or letter from the U.S. or Canadian manufacturer representative on letterhead verifying manufacture for sale in Canada) on EPA list of Canadian "identical" models, or 2) vehicle from any country with letter attached to this form from the manufacturer's U.S. representative on letterhead (not a dealer or mechanic) stating that the vehicle is identical to a U.S. EPA certified version with respect to emissions. The importer attests that vehicle is being imported for purposes other than resale or lease. For import of "identical" Canadian vehicles for resale, use code FF.</p> <p><input type="checkbox"/> code FF - Canadian "identical" models imported for resale or lease - Canadian vehicle as described above appearing on EPA list of Canadian "identical" models, imported for resale or lease. The importer attests that the importer will satisfy applicable labeling, warranty and CAFÉ requirements as specified by EPA.</p> <p align="center">EPA exempted vehicles</p> <p><input type="checkbox"/> code M - miscellaneous exemption, either 1) Canadian vehicle as described above (proof required) and the importer is either permanently emigrating to the U.S. or will reside in the U.S. for greater than one year under a worker or student visa, or 2) Canadian vehicle received by U.S. resident through inheritance, or 3) EPA hardship letter based on unforeseen and extraordinary circumstances is attached to this form.</p> <p><input type="checkbox"/> code E - vehicle at least 21 years old (calendar year of manufacture subtracted from year of importation) and in original unmodified configuration is either exempted or excluded from EPA emission requirements, depending on age. Vehicles at least 21 years old with replacement engines are not eligible for this exemption unless they contain equivalent or newer EPA certified engines. Customs may require proof of vehicle age.</p> | | | |

Port Code, Entry Date, and Entry number: These three data elements are captured by CBP Entry data and will not be reported in the PGA Message Set.

Vehicle Identification Number (VIN): VIN numbers are captured on the PG07 line in spaces 64 to 76 and identified by the code "AKG" in spaces 61 to 63.

Manufacture Date: Date the Vehicle was manufactured is located on the PG07 line in spaces 55 to 60.

Manufacture (Make): The name of the Manufacturer is found on the PG19 line in spaces 26 to 57 identified by the code "MF" in spaces 5 to 7.



PGA supplemental - Customs and Trade Automated Interface Requirements



| | |
|--|--|
| <p style="text-align: center;">United States Environmental Protection Agency</p> | |
| Excluded vehicles | |
| <input type="checkbox"/> | code L - racing vehicle as determined by EPA and may not be registered or licensed for use on or operated on public roads or highways (40 CFR 85.1511(e)). EPA letter of approval must be attached to this form. |
| <input type="checkbox"/> | code U - 2005 model year (or older) motorcycle, scooter or moped with engine displacement less than 50cc and with rated speed greater than 5000 rpm. |
| <input type="checkbox"/> | code W - non-chassis-mounted engine to be used in a light-duty vehicle or light-duty truck or motorcycle which is currently covered by an EPA certificate or will be covered by an EPA certificate prior to introduction into commerce. |
| <input type="checkbox"/> | code Y - unregulated fuel - a vehicle that (1) for model years earlier than 1991 operates on fuel other than gasoline or diesel fuel, or (2) for 1991- 1996 model years operates on fuel other than gasoline or diesel or methanol fuel, or (3) for 1997 and later model years operates on fuel other than gasoline or diesel or methanol or ethanol or compressed natural gas (CNG) or liquid petroleum gas (LPG), including propane. This exemption does not apply to 2004 and later model year vehicles. |
| Temporary imports | |
| <input type="checkbox"/> | code G - imported for repair or alteration in accordance with 40 CFR 85.1511(b)(1). May not be registered or licensed for use on, or operated on public roads or highways, or sold or leased in the U.S. Customs bond required. EPA requests that the vehicle be bonded for at least its full value. EPA letter of approval must be attached to this form. |
| <input type="checkbox"/> | code I - imported for testing purposes in accordance with 40 CFR 85.1511(b)(2). May not be registered or licensed for use on or operated on public roads or highways (except operation that is integral to the purpose of the testing program) or sold or leased in the U.S. Customs bond required. EPA requests that the vehicle be bonded for at least its full value. EPA letter of approval must be attached to this form. |
| <input type="checkbox"/> | code K - imported for display (solely for public or business purposes, and not for private purposes or U.S. market sales promotions) in accordance with 40 CFR 85.1511(b)(4). May not be registered or licensed for use on or operated on public roads or highways (except operation that is integral to the purpose of the display) or sold or leased in the U.S. Customs bond required. EPA requests that the vehicle be bonded for at least its full value. EPA letter of approval must be attached to this form. |
| <input type="checkbox"/> | code N - imported for up to one year by member 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 a member of the armed forces of a foreign country with official orders for duty in the U.S. |
| <input checked="" type="checkbox"/> | code O - imported by nonresident for personal use by an individual for a period up to a year. EPA letter of approval must be attached to this form. PG24 Independent commercial importer (ICI) imports |
| <input type="checkbox"/> | code A - imported by an ICI for modifications in accordance with a valid EPA certificate of conformity issued for the specific make, model, and model year in accordance with 40 CFR 85.1505. |
| <input type="checkbox"/> | code C - imported by an ICI for modification and testing in accordance with 40 CFR 85.1509. Vehicle must be at least 6 years old. |
| <input type="checkbox"/> | code J - imported by an ICI for the purpose of pre-certification testing in order to obtain an EPA certificate of conformity. No EPA approval is required. The ICI has 180 days to obtain a certificate or export (40 CFR 85.1511(b)(3)). Customs bond required. |
| <input type="checkbox"/> | code Z - imported by an ICI for the purpose of modifying to be identical to an original equipment manufacturer (OEM) certified version in accordance with written instructions from the OEM that are specific to the vehicle being imported. |
| OEM imports | |
| <input type="checkbox"/> | code H - imported, owned, and controlled directly by an original equipment manufacturer (OEM) on EPA list of OEM certificate holders provided to Customs, for research, development or testing purposes in accordance with 40 CFR 85.1706. This is a temporary exemption without time limit. If the vehicle is subsequently covered by an applicable EPA certificate of conformity, it is released from the restrictions of this exemption. |
| <input type="checkbox"/> | code Q - imported, owned, and controlled directly by an original equipment manufacturer (OEM) on EPA list of OEM certificate holders provided to Customs, for storage pending receipt of the applicable EPA certificate of conformity, which is pending and imminent. Use of this code is no longer permitted once EPA has issued the applicable certificate of conformity. |
| U.S. Department of Transportation Requirements | |
| Note: Importers of vehicles that are primarily manufactured for use on public roads must also file an HS-7 Declaration form to identify the basis for the vehicle's admission under the laws administered by the U.S. Department of Transportation. For more information, see www.nhtsa.dot.gov/cars/rules/import/ . | |
| Paperwork Reduction Act Notice | |
| This information is collected to ensure that motor vehicles and engines imported into the U.S. conform with applicable emission requirements. Responses to this collection are mandatory (40 CFR 85.1501 et seq., and Clean Air Act Sections 203 and 208). Information submitted to the Agency under a claim of confidentiality will be safeguarded according to policies set forth in Title 40, Chapter 1, Part 2, Subpart B. The public reporting and recordkeeping burden for this collection of information is estimated to average 30 minutes per response. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address. | |

EPA Form 3520-1 (Rev. 1-14) Previous editions are obsolete

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Model: The model name of the Vehicle is located on the PG07 line in spaces 40 to 54.

Certification Statement: The certification statement is represented by the code "EP2" in spaces 21 to 24 on the PG22 line.

Importer: Importer entity information is represented by a PG 19, 20, and 21 set.

Owner: Because the Owner is the same individual as the importer, a PG 55 record is used rather than duplicating a PG19, 20, 21 set.

Signature: The signature of the individual certifying the PGA Data is found on the PG22 line, represented by the code "Y".

Date: Date of certification is located

on the PG22 line in spaces 26 to 33.

Certifying Individual: Because the Certifying individual is the same as the Importer, a PG55 record is used rather than duplicating a PG19, 20, 21 set.

Import Code: The import code is located on a PG24 line in space 9, identified by the code "EP2" in spaces 5 to 7.



Record Identifier OI (Input)

This is a mandatory Partner Government Agency line item description input record that provides the description of the item. This record precedes the Record Identifiers for the PGA Message Set. The OI record is a generic description record.

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



Record Identifier PG01 (PGA Identifier)

This is a mandatory PGA input record that provides EPA with data pertaining to the PGA Line Number, Government Agency Code, Government Agency Program Code, and Document Image System (DIS) qualifier.

| <i>Record Identifier PG01 (Input)</i> | | | | | |
|---|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “01” | |
| PGA Line Number | 3N | 5-7 | M | “001” | |
| Government Agency Code | 3AN | 8-10 | M | “EPA” | |
| Government Agency Program Code | 3X | 11-13 | M | “VNE” | |
| Government Agency Processing Code | 3AN | 14-16 | N/A | | |
| Electronic Image Submitted | 1A | 17 | O | Optionally required if image of label, letter, or additional information is provided for the Entry. Such information may be provided in an attempt to prevent a Documents Required request later in the process. | 1 |
| Confidential Information Indicator | 1A | 18 | N/A | | |
| Globally Unique Product Identification Code Qualifier | 4AN | 19-22 | N/A | | |
| Globally Unique Product Identification Code | 19X | 23-41 | N/A | | |
| Intended Use Code | 16X | 42-57 | N/A | | |
| Intended Use Description | 22X | 58-79 | N/A | | |
| Disclaimer | 1A | 80 | C | Code declaring filing does not require a PGA Message Set. For Example, A. | 2 |

Note 1

If the Electronic Image Submitted code is given, at least one image must be submitted to DIS. The image must be filed at the time of its correlating Entry/ PGA Message Set.



Note 2

A code indicating the reason the PGA message set is being disclaimed and not provided. Valid codes are:

- A = product is not regulated by this agency
- B = data is not required per agency guidance
- C = data filed through other agency means
- D = data filed through paper

Codes A and B are NOT allowed if the HTS is flagged as 'Must Be' provided.



Record Identifier PG02 (Product Identifier)

This mandatory PGA input record is used to indicate whether or not the information being provided relates to a product (P) or a component (C) of a product. All subsequent records and reported information will fall under either the Product level or the Component level. When reporting at the product level use any and all records to provide all data elements required for and specific to the product as a whole. This will typically include, but is not limited to, Manufacturer, Certifying individual, Importer, Document Identifier and Certification. When reporting at the component level use any and all records to provide all data elements required for and specific to the component of the product. Do not include any data elements or records that are general to the product as a whole at the component level. Records used for reporting at the component level typically include, but are not limited to, PG7, PG10, PG14, PG19, PG20, and PG21.

| <i>Record Identifier PG02 (Input)</i> | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|---|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “02” | |
| Item Type | 1A | 5 | M | Code identifying the following records as pertaining to the product or a component. For example, P. | 1 |
| Product Code Qualifier | 4AN | 6-9 | N/A | | |
| Product Code Number | 19X | 10-28 | N/A | | |
| Product Code Qualifier | 4AN | 29-32 | N/A | | |
| Product Code Number | 19X | 33-51 | N/A | | |
| Product Code Qualifier | 4AN | 52-55 | N/A | | |
| Product Code Number | 19X | 56-74 | N/A | | |
| Filler | 6X | 75-80 | M | Space fill. | |

Note 1

List of Item Type codes applicable to EPA V&E Form 3520-1 Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
| Item Type | P | Product |
| | C | Component |



Record Identifier PG24 (Import Code)

This is a mandatory input record for all EPA V&E PGA Message Sets. For Entries filed under 3520-1, a minimum of one (1) PG24 record is required, identifying an applicable Import Code.

Additional PG24 records are optional and may be included at the discretion of the filer to provide clarifying remarks or regulatory citations for certain types of exemptions.

See Record Identifier PG21 (Point of Contact)

This is a conditional PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying which entity the Point of Contact is related to. For example, CI. | 1 |
| Individual Name | 23X | 8-30 | M | For example, JANE SIMMONS. | |
| Telephone Number of the Individual | 15X | 31-45 | M | For example, 2025551212. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | M | For example, JSIMMONS@ELEMENTALIMPORTER S.COM. | |

Note 1

List of Entity Role codes applicable to EPA-TSCA Message Sets:

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------|
| Entity Role Codes | CI | Certifying Individual |



Appendix A for Required Reporting Elements listed by Import Code.

| Record Identifier PG24 (Input) | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|---|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “24” | |
| Remarks Type Code | 3AN | 5-7 | M | Code identifying vehicle or engine remarks category. For example, EP2. | 1 |
| Remarks Code | 5AN | 8-12 | C | The appropriate Import Code. For example, O. Conditional based on Remarks Types Code. Mandatory for EP2. | 2 |
| Remarks Text | 68X | 13-80 | C | Conditional based on Remarks Types Code. Mandatory for GEN. | |

Note 1

List of Remarks Type Codes applicable when filing a PGA Message Set for V&E Form 3520-1
If EP2 is used, a “Remarks Code” is required. If GEN is used, the “Remarks Text” field is required for further explanation.

| Data Element | Code | Description |
|---------------------|-------------|--------------------------------------|
| Remarks Type Codes | EP2 | EPA Vehicles and Engines Import Code |
| | GEN | General Remarks |

Note 2

List of Remarks codes applicable when filing a PGA Message Set for V&E Form 3520-1
The import code designated in this field indicates which additional information may be required, such as Test Group or Engine Family Name in a subsequent PG14 record.

| Data Element | Code | Description |
|--|-------------|---|
| Import Codes (For use when EP2 is Remarks Type Code) | | |
| Remarks Codes (Categories of Vehicle and Engine Imports – U.S. Conforming and “Identical” Vehicles) | B | U.S. Certified. |
| | F | U.S. certified catalyst restoration. |
| | EE | Identical in all material respects to a U.S. certified version. |
| | FF | Canadian "identical" models imported for resale or lease. |
| Remarks Codes (Categories of Vehicle and Engine Imports – EPA Exempted Vehicles) | M | Miscellaneous exemption. |
| | E | Vehicle at least 21 years old. |
| Remarks Codes | L | Racing vehicle |



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---|-------------|--|
| Import Codes (For use when EP2 is Remarks Type Code) | | |
| (Categories of Vehicle and Engine Imports – Excluded Vehicles) | U | 2005 model year (or older) motorcycle, scooter or moped with engine displacement less than 50cc and with rated speed greater. |
| | W | Non-chassis-mounted engine. |
| | Y | Unregulated fuel. |
| Remarks Codes (Categories of Vehicle and Engine Imports – Temporary Imports) | G | Imported for repair or alteration. |
| | I | Imported for testing purposes. |
| | K | Imported for display. |
| | N | Imported for up to one year by a member of the armed forces or personnel of a foreign government on assignment to the U.S. |
| | O | Imported by non-resident for personal use by and individual for a period up to a year. |
| Remarks Codes (Categories of Vehicle and Engine Imports – Independent Commercial Importer (ICI) Imports) | A | Imported by an ICI for modifications in accordance with a valid EPA certificate of conformity. |
| | C | Imported by an ICI for modification and testing in accordance with 40 CFR 85.1509 (Vehicle over 6 years old). |
| | J | Imported by an ICI for the purpose of pre-certification testing in order to obtain an EPA certificate of conformity. |
| | Z | Imported by an ICI for purpose of modifying to be identical to an original equipment manufacturer certified version. |
| Remarks Codes (Categories of Vehicle and Engine Imports – OEM Imports) | H | Imported, owned, and controlled directly by an original equipment manufacturer (OEM), research, development or testing purposes. |
| | Q | Imported, owned, and controlled directly by an original equipment manufacturer (OEM), for storage pending receipt of applicable EPA. |



Record Identifier PG07 (Product Details)

This is a mandatory PGA input record that provides EPA with data pertaining to Name, Model, Manufacture Year, and Item Identity Number.

If multiple identical vehicles or engines are being imported, the PG07 record captures the Item Identity Number of **only** the first vehicle or engine. Subsequent Item Identity Numbers can be reported in one or more PG08 record(s).

PG07 may be repeated in an EPA Message Set under the following conditions:

- a) PG07 is used twice in a Message Set, once to describe the product/vehicle (following a PG02P) and once to describe the component/engine (following a PG02C).
- b) PG07 is used in groupings to describe combinations of vehicle/engine using the PG50 and PG51 grouping. For example, multiple tractors and engines where groupings are used to appropriately pair the Engine Serial Number (ENN) with the vehicles Serial Number (SE).

| <i>Record Identifier PG07 (Input)</i> | | | | | |
|---------------------------------------|--------------|----------|--------|--|------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “07” | |
| Trade Name/Brand Name | 35X | 5-39 | N/A | | |
| Model | 15X | 40-54 | M | Commercial Model Number of the vehicle or engine. For example, LP700-4. | |
| Manufacture Month and Year | 6N | 55-60 | M | Manufacture date of the vehicle or engine. The format for this Manufacture date is 2-digit Month and four-digit Year (MMYYYY) For example, 122013, is December 2013. | |
| Item Identity Number Qualifier | 3AN | 61-63 | M | Code identifying the type of Item Identity Number being provided. For example, AKG. | 1 |
| Item Identity Number | 17X | 64-80 | M | The Item Identity Number. For example, a VIN such as ZHWUU16M4CLAU5577. | |

Note 1

List of Item Identity Number Qualifier codes applicable when filing PGA Message Set for V&E Form 3520-1

| Data Element | Code | Description |
|---|------|-------------------------------------|
| Item Identity Number Qualifier Codes (Describes the type of identifying number) | ENN | Engine Number |
| | SE | Serial Number |
| | AKG | Vehicle Identification Number (VIN) |



Record Identifier PG08 (Input) to Report to EPA Individual Item Identity Numbers

This is a conditional PGA input record that is used to report multiple Item Identity Numbers such as Vehicle Identification Numbers (AKG), Engine Serial Numbers (ENN), or Serial Numbers (SE) related to the commodity listed in the preceding PG07. This record must be used in conjunction with the PG07. This record may be repeated.

| <i>Record Identifier PG08 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “08” | |
| Item Identity Number | 17X | 5-21 | M | Additional Item Identity Number. For example, ZHWUU16M1CLAU5578. | |
| Item Identity Number | 17X | 22-38 | C | Additional Item Identity Number. For example, ZHWUU16M3CLAU5579. | |
| Item Identity Number | 17X | 39-55 | C | Additional Item Identity Number. For example, ZHWUU16MXCLAU5580. | |
| Item Identity Number | 17X | 56-72 | C | Additional Item Identity Number. For example, ZHWUU16M1CLAU5581. | |
| Filler | 8X | 73-80 | M | Space fill. | |



Record Identifier PG10 (Input)

This is a conditional PGA input record that provides EPA with additional characteristics of a commodity not reported elsewhere in the PGA Message Set. For Entries filed under 3520-1, with an Import Code of U, A, C, or Z; a minimum of one (1) PG10 record is required. Additional PG10 records are optional and may be included at the discretion of the filer to provide additional characteristics of the product or component.

| <i>Record Identifier PG10 (Input)</i> | | | | | |
|---------------------------------------|--------------|----------|--------|--|------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “10” | |
| Category Type Code | 6AN | 5-10 | N/A | | |
| Category Code | 5AN | 11-15 | N/A | | |
| Commodity Qualifier Code | 4X | 16-19 | M | A code indicating the type of essential or distinctive attribute or quality of an item. For example, V06. | 1 |
| Commodity Characteristic Qualifier | 4AN | 20-23 | C | This code specifies the type of characteristic for the item, for example, AM. | 2 |
| Commodity Characteristic Description | 57X | 24-80 | C | Free form description of the item, either to supplement the above data elements or in place of the above. Manufacture date of the vehicle or engine. The format for the Manufacture date is 2-digit Month and four-digit Year (MMYYYY) For example, if V05 is used 122013, the manufacture date is December 2013. For Model Year, the format is a four-digit year (YYYY). For Example, if V06 is used with 2014, the model year is 2014. | |

Note 1

List of Commodity Qualifier Codes applicable when filing a PGA Message Set for V&E form 3520-1

| Data Element | Code | Definition |
|--|------|--|
| Commodity Qualifier Codes (Provides context to the description field) | V05* | Manufacture date of the vehicle or engine. |
| | V06 | Model year of the vehicle or engine. |

* The V05 Commodity Qualifier Code when used in conjunction with an appropriate Commodity Characteristic Qualifier is used to report the **“location”** of the manufacture date in



the Commodity Characteristic Qualifier element, and not the actual date, which is collected on the PG07.

Note 2

A List of all Commodity Characteristic Qualifiers applicable when filing a PGA Message Set for V&E form 3520-1

| <i>V05: Manufacture Date (Explains the location of the manufacture date)</i> | | |
|--|-------------|--|
| <i>Code</i> | <i>Name</i> | <i>Definition</i> |
| ENG | Engine | The manufacture date is obtained from the engine. |
| VEH | Vehicle | The manufacture date is obtained from the vehicle. |
| OTH | Other | The manufacture date is not obtained from the engine or the vehicle. It is obtained from other resources. Importer must put explanation in the Commodity Characteristic Description field. |



Record Identifier PG14 (License, Permits, Certificates, or Other)

This is a conditional PGA input record which provides EPA with data pertaining to Licenses, Permits, Certificates or Other (LPCO) issued by EPA and other government entities.

For Entries filed under 3520-1, with an Import Code of A, B, C, F, J, or Z; a minimum of one (1) PG14 record containing the Test Group or Engine Family Name (provided in lieu of an EPA Certificate of Conformity) is required. If the Import Code is G, I, K, L, or O; a minimum of one (1) PG14 record containing the Exemption Number (found within the Importer’s EPA Letter of Approval) for the import is required. For Import Codes G, I, K, and J; an additional PG14 record is required to provide the Bond Policy Number.

See Record Identifier PG21 (Point of Contact)

This is a conditional PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying which entity the Point of Contact is related to. For example, CI. | 1 |
| Individual Name | 23X | 8-30 | M | For example, JANE SIMMONS. | |
| Telephone Number of the Individual | 15X | 31-45 | M | For example, 2025551212. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | M | For example, JSIMMONS@ELEMENTALIMPORTERS.COM. | |

Note 1

List of Entity Role codes applicable to EPA-TSCA Message Sets:

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------|
| Entity Role Codes | CI | Certifying Individual |



Appendix A for Required Reporting Elements listed by Import Code.

| Record Identifier PG14 (Input) | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|---|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “14” | |
| LPCO Transaction Type | 1N | 5 | M | Code identifying the use type of LPCO information being provided. For example, 1. | 1 |
| LPCO Type | 3AN | 6-8 | M | Code identifying the type of LPCO information being provided. For example, EP9. | 2, 3 |
| LPCO Number (or Name) | 33X | 9-41 | M | The LPCO information. For example, an exemption number from the Importer’s EPA Letter of Approval, such as 2013-June-LD-NONRES-450. | |
| LPCO Date Qualifier | 1N | 42 | N/A | | |
| LPCO Date | 8N | 43-50 | N/A | | |
| LPCO Quantity | 16N | 51-66 | N/A | | |
| LPCO Unit of Measure | 5AN | 67-71 | N/A | | |
| Exemption Code | 9X | 72-80 | N/A | | |

Note 1

List of LPCO Transaction Type codes applicable when filing EPA-V&E Message Set for 3520-1

| Data Element | Code | Description |
|---|-------------|--------------------|
| LPCO Transaction Type Codes (Categorizes the duration/type of the particular LPCO) | 1 | Single Use |
| | 2 | Continuous |
| | 3 | General |



Note 2

List of LPCO Transaction codes applicable when filing EPA-V&E Message Set for 3520-1

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|--|-------------|--|
| LPCO Transaction Codes (Describes the type of license, permit, certificate, or other) | EP4 | Test Group Name/ Number (From the Certificate of conformity this is the Exhaust Engine Family name (EFN) and not the Evaporative Engine Family name.). |
| | EP7 | EPA Bond Policy Number. |
| | EP9 | EPA Vehicles and Engines Exemption Number. |

Note 3

List of Import Codes (PG24 Remarks Codes) mapped to applicable LPCO Transaction Codes for 3520-1

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> | <i>Required by Import Code:</i> |
|---|-------------|--|---------------------------------|
| LPCO Transaction Codes (Describes the type of license, permit, certificate, or other) | EP4 | Test Group Name/ Number (From the Certificate of conformity this is the Exhaust Engine Family name (EFN) and not the Evaporative Engine Family name.). | A, B, C, F, J, Z |
| | EP7 | EPA Bond Policy Number. | G, I, K, J |
| | EP9 | EPA Vehicles and Engines Exemption Number. | G, I, K, L, O |



Record Identifier PG19 (Entity)

This is a mandatory PGA input record that provides EPA with data pertaining to Entity Role, Entity Identification, Entity Name, and Entity Street Address. This record is mandatory when providing Entity Information. For EPA Form 3520-1, a minimum of four (4) entities must be identified: Importer, Manufacturer, Owner, and Certifying Individual.

For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section C (Data Rules and Record Relationships in the PGA Message Set) in the ACE ABI CATAIR publication.

Note

When reporting the Certifying individual (CI) as an additional role, use a PG55 record, which may appear in a variety of locations in the message set. When reporting the Certifying Individual (CI) with no additional roles, the correct placement of the PG19/20/21 for the CI is following the PG22 record.

| <i>Record Identifier PG19 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “19” | |
| Entity Role Code | 3AN | 5-7 | M | Code identifying the role of the entity being provided. For example, IM. | 1 |
| Entity Identification Code | 3AN | 8-10 | N/A | | |
| Entity Number | 15X | 11-25 | N/A | | |
| Entity Name | 32X | 26-57 | N/A | | |
| Entity Address 1 | 23X | 58-80 | C | Line 1 of the Street Address for the entity being described. For example, 1234 MAPLELEAF AVENUE. Conditional based on Entity Role Code. Required for Importer and Owner. | |

Note 1

List of Entity Role codes applicable when filing EPA-V&E Message Set for 3520-1:

| Data Element | Code | Description |
|-------------------|------|-----------------------|
| Entity Role Codes | IM | Importer |
| | DFP | Owner |
| | MF | Manufacturer |
| | STL | Storage Location |
| | CI | Certifying Individual |



Record Identifier PG20 (Address)

This is a conditional PGA input record that provides additional data pertaining to the Entity identified in the preceding PG19 record; such as Entity Address line 2, Apartment/Suite, City, State, and Zip/Postal Code. A PG20 record is mandatory for these specific entities: Owner, Importer, and Storage Location. Additional PG20 records are optional and may be included at the discretion of the filer to provide additional Entity Information for the Manufacturer and Certifying Individual.

| <i>Record Identifier PG20 (Input)</i> | | | | | |
|--|------------------|----------|--------|-------------------------|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “20” | |
| Entity Address 2 | 32X | 5-36 | C | | |
| Entity Apartment Number/Suite Number | 5X | 37-41 | C | For example, 102 A. | |
| Entity City | 21X | 42-62 | M | For example, SAN DIEGO. | |
| Entity State/Province | 3AN | 63-65 | M | For example, CA. | |
| Entity Country | 2A | 66-67 | M | For example, US. | |
| Entity Zip/Postal Code | 9X | 68-76 | M | For example, 92169. | |
| Filler | 4X | 77-80 | M | Space fill. | |



Record Identifier PG21 (Point of Contact)

This is a conditional PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the entity (the party). A PG21 may stand alone or may be related to a PG19 or PG20. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address. A PG21 record is required for these specific entities: Owner, Importer, Storage Location Contact, and Certifying Individual. Additional PG21 records are optional and may be included at the discretion of the filer. This record may be repeated.

Note

When reporting the Certifying individual (CI) as an additional role, use a PG55 record, which may appear in a variety of locations in the message set. When reporting the Certifying Individual (CI) with no additional roles, the correct placement of the PG19/20/21 for the CI is following the PG22 record.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|--------------|----------|--------|---|------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying which entity the Point of Contact is related to. For example, IM. | 1 |
| Individual Name | 23X | 8-30 | M | For example, ANGELO GIOVANNI. | |
| Telephone Number of the Individual | 15X | 31-45 | C | For example, 5551230123. Conditional based on Entity Role Code. Required for Importer, Owner, Certifying Individual, and Storage Location Contact. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | C | For example, ANGELO.GIOVANNI@TEST.COM. Conditional – current submission is voluntary pending required reporting via EPA rulemaking. | |

Note 1

List of Entity Role codes applicable when filing PGA Message Set for V&E Form 3520-1

| Data Element | Code | Description |
|-------------------|------|-----------------------|
| Entity Role Codes | IM | Importer |
| | DFP | Owner |
| | MF | Manufacturer |
| | STL | Storage Location |
| | CI | Certifying Individual |



Record Identifier PG55 (Additional Roles)

This is a conditional PGA input record used to provide additional roles performed by an Entity or Individual listed in the preceding PG19 or PG21.

For further guidance on the use of the PG55 record in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section D (Data Reporting) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG55 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “55” | |
| Entity Role Code | 3AN | 5-7 | M | Code identifying the additional role being assumed by the entity. For example, CI. | 1 |
| Entity Role Code | 3AN | 8-10 | C | Code identifying the additional role being assumed by the entity. For example, DFP. | 1 |
| Entity Role Code | 3AN | 11-13 | C | Code identifying the additional role being assumed by the entity. For example, STL. | 1 |
| Entity Role Code | 3AN | 14-16 | C | Code identifying the additional role being assumed by the entity. For example, MF. | 1 |
| Entity Role Code | 3AN | 17-19 | N/A | | |
| Entity Role Code | 3AN | 20-22 | N/A | | |
| Entity Role Code | 3AN | 23-25 | N/A | | |
| Entity Role Code | 3AN | 26-28 | N/A | | |
| Entity Role Code | 3AN | 29-31 | N/A | | |
| Entity Role Code | 3AN | 32-34 | N/A | | |
| Filler | 46X | 35-80 | M | Space fills. | |

Note 1

List of Entity Role codes applicable when filing PGA Message Set for V&E Form 3520-1

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------|
| Entity Role Codes | IM | Importer |
| | DFP | Owner |
| | MF | Manufacturer |
| | STL | Storage Location |
| | CI | Certifying Individual |



Record Identifier PG22 (Document Identifier / Certification)

This is a mandatory PGA input record that provides data pertaining to Importers' Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications.

| <i>Record Identifier PG22 (Input)</i> | | | | | |
|--|--------------------------|-----------------|---------------|--|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | "PG" | |
| Record Type | 2N | 3-4 | M | "22" | |
| Importers Substantiating Signed Document /Signed Confirmation Letter | 1A | 5 | N/A | | |
| Document Identifier | 7AN | 6-12 | M | Code identifying the EPA Form being filed. For example, 942. | 1 |
| Conformance Declaration | 5X | 13-17 | N/A | | |
| Entity Role Code | 3AN | 18-20 | M | "CI" | |
| Declaration Code | 4AN | 21-24 | M | Code identifying the certification statement of EPA Form 3520-1. For example, EP2. | 2 |
| Declaration Certification | 1A | 25 | M | Designates that the information provided is correct and all required documents have been provided. For example, Y. | |
| Date of Signature | 8N | 26-33 | M | The format for 'Date of Signature is 2-digit Month, 2-digit day, and four-digit Year (MMDDYYYY) For example, 04212014, is April, 21 2014. December 2013. | |
| Invoice Number | 17X | 34-50 | N/A | | |
| Compliance Description | 30X | 51-80 | N/A | | |

Note 1

List of Document Identifiers applicable when filing PGA Message Set for V&E Form 3520-1

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|----------------------|-------------|--------------------|
| Document Identifiers | 942 | EPA 3520-1 |

Note 2

List of Declaration codes applicable when filing PGA Message Set for V&E Form 3520-1

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
|---------------------|-------------|--------------------|



| | | |
|-------------------|-----|--------------------------------------|
| Declaration Codes | EP2 | Certification Statement (EPA 3520-1) |
|-------------------|-----|--------------------------------------|



V&E Form 3520-21

A shipment containing Toyota Engines for off-road use is imported into the United States. Because these engines are intended for off-road use, the Import files the Entry under the EPA-V&E Form 3520-21.

EPA-V&E Data Map from Existing V&E Form 3520-21:



Industry Code:

Identifies the type of highway, non-road or stationary engine/ vehicle; located on a PG24 line in spaces 8 to 12, and identified by the code "EP3" in Space 5 to 7.

Import Code:

Code identifying the Provision under which you are importing the Commodity; located on a PG24 line in spaces 8 to 12, and identified by the code "EP2" in space 5 to 7.

Bond Exemption:

Code identifying if the commodity is exempt from bond; located on a PG24 line in spaces 8 to 12, and identified by the code "EP1" in space 5 to 7.

EPA United States Environmental Protection Agency Declaration Form
Importation of Engines, Vehicles, and Equipment Subject to Federal Air Pollution Regulations
 U.S. EPA, Certification & Compliance Division, 2000 Traverwood Dr., Ann Arbor, Michigan 48105. (734) 214-4100; imports@epa.gov; www.epa.gov/otaq/imports/

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, 7501, 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.

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 40 CFR parts 1051 and 1068.
- G. Other nonroad spark-ignition engines at or below 19 kW (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. **PG24**
- H. Stationary compression-ignition engines. 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.

PG24 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 90.1007 or 1054.69. Exempt from bond? Yes No **PG24** not exempt **PG19** NAIC # for bond issuer: **PG14** policy number: **PG21** state of issue: **CA**

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 CBP's 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 than 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).

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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), 85.1511(e), 89.611(e), 90.612(e), or 94.804(c)(2). 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), 89.1(b)(5), and 90.1(d)(6).

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): 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: _____

Declaration of Stationary, Nonroad or Heavy-duty Highway Engine, Nonroad Vehicle or Equipment, or Stationary Equipment

| | | | |
|---|---|---------------------------|--|
| Port code: 9542 | CBP entry no: BOC-1923874-2 | Entry date: 02/01/2014 | Engine manufacturer, model and serial number of each engine; for certified engines or vehicles, also identify the engine family name: Toyota: PG07 EM1001: PG07 MHO-87420, MHO-87421, MHO-87422, MHO-87423, MHO-87424, MHO-87425, MHO-87426, MHO-87427, BEPAV01UABC-7/22 PG14 PG07/ PG08 |
| Identify the engine (or vehicle) build date: 12 month 2010 year <input checked="" type="checkbox"/> on engine <input type="checkbox"/> other (explain) PG07/ PG10 | Vehicle or equipment manufacturer, model, serial number, and type of equipment (if applicable): | | |

EPA exemption number, required for codes 10, 11, 12, 18: _____

Names, Addresses, and Telephone Numbers of Relevant Parties PG22

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 PG55 | Date: 01/27/2014 PG22 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 Peachtree St, Atlanta GA 30301, US (706) 234-5678 jane.smith@toyotaamerica.com PG19 /PG20/ PG21 | Broker (optional): | Owner (optional): |
|--|--------------------|-------------------|

NAIC # / State: The Bond Issuer NAIC # and State of Issue are located on a PG19/20 group and Identified by the code "NAI" in spaces 5 to 7 of the PG19.

Bond Policy #: The Bond Policy number is located on a PG14 in spaces 9 to 41, and identified by the code "EP7" in spaces 6 to 8.

Port Code, Entry Date, and Entry number: These three data elements are captured by CBP Entry data and will not be reported in the PGA Message Set.

Manufacturer: Manufacturer information is located on a PG19 in spaces 26 to 57, and identified by the code "MF" in space 5 to 7.

Model: The model name is located on a PG07 line in spaces 40 to 54.

Engine Serial Number: The first Serial Number is located on a PG07 line in spaces 64 to 80, and identified by the code "ENN" in spaces 61 to 63, while all other serial numbers are located on the consecutive PG08s.

Engine Family Name: The engine family name/ number is located on a PG14 line in spaces 9-41 and identified by the code "EP7" in spaces 6 to 8.



Build Date / Location: The element describing the location of the build date (manufacture date) is located on a PG07 line in spaces 55 to 60 and a PG10 record in spaces 20 to 23.

Certification Statement: The certification statement is represented by the code “EP1” in spaces 21 to 24 on the PG22 line.

Signature: The signature of the individual certifying the PGA Data is found on the PG22 line, represented by the code “Y”.

Printed Name: Printed name (certifying individual) information is represented by a PG 19, 20, and 21 set.

Date: Date certification was signed is located on the PG22 line in spaces 26 to 33.

Importer: Because the Importer is the same as the Certifying Individual, a PG 55 record is used rather than duplicating a PG19, 20, 21 group.



Record Identifier OI (Input)

This is a mandatory Partner Government Agency line item description input record that provides the description of the item. This record precedes the Record Identifiers for the PGA Message Set. The OI record is a generic description record.

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



Record Identifier PG01 (PGA Identifier)

This is a mandatory PGA input record that provides EPA with data pertaining to the PGA Line Number, Government Agency Code, Government Agency Program Code, and whether e-documents were sent via Document Image System (DIS).

| <i>Record Identifier PG01 (Input)</i> | | | | | |
|---|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “01” | |
| PGA Line Number | 3N | 5-7 | M | “001” | |
| Government Agency Code | 3AN | 8-10 | M | “EPA” | |
| Government Agency Program Code | 3X | 11-13 | M | “VNE” | |
| Government Agency Processing Code | 3AN | 14-16 | N/A | | |
| Electronic Image Submitted | 1A | 17 | O | Optionally required if image of label, letter, or additional information is provided for the Entry. Such information may be provided in an attempt to prevent a Documents Required request later in the process. | 1 |
| Confidential Information Indicator | 1A | 18 | N/A | | |
| Globally Unique Product Identification Code Qualifier | 4AN | 19-22 | N/A | | |
| Globally Unique Product Identification Code | 19X | 23-41 | N/A | | |
| Intended Use Code | 16X | 42-57 | N/A | | |
| Intended Use Description | 22X | 58-79 | N/A | | |
| Disclaimer | 1A | 80 | C | Code declaring filing does not require a PGA message set. For Example, A. | 2 |

Note 1

If the Electronic Image Submitted code is given, at least one image must be submitted to DIS. The image must be filed before its correlating Entry/ PGA Message Set.



Note 2

A code indicating the reason the PGA message set is being disclaimed and not provided. Valid codes are:

- A = product is not regulated by this agency
- B = data is not required per agency guidance
- C = data filed through other agency means
- D = data filed through paper

Codes A and B are NOT allowed if the HTS is flagged as 'Must Be' provided.

Record Identifier PG02 (Product Identifier)

This mandatory PGA input record is used to indicate whether or not the information being provided relates to a product (P) or a component (C) of a product. All subsequent records and reported information will fall under either the Product level or the Component level. When reporting at the product level use any and all records to provide all data elements required for and specific to the product as a whole. This will typically include, but is not limited to, Manufacturer, Certifying individual, Importer, Document Identifier and Certification. When reporting at the component level use any and all records to provide all data elements required for and specific to the component of the product. Do not include any data elements or records that are general to the product as a whole at the component level. Records used for reporting at the component level typically include, but are not limited to, PG7, PG10, PG14, PG19, PG20, and PG21.

| <i>Record Identifier PG02 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “02” | |
| Item Type | 1A | 5 | M | Code identifying the following records as pertaining to the product or a component. For example, P. | 1,2 |
| Product Code Qualifier | 4AN | 6-9 | N/A | | |
| Product Code Number | 19X | 10-28 | N/A | | |
| Product Code Qualifier | 4AN | 29-32 | N/A | | |
| Product Code Number | 19X | 33-51 | N/A | | |
| Product Code Qualifier | 4AN | 52-55 | N/A | | |
| Product Code Number | 19X | 56-74 | N/A | | |
| Filler | 6X | 75-80 | M | Space fill. | |

Note 1

List of Item Type codes applicable to EPA V&E Form 3520-21 Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
| Item Type | P | Product |
| | C | Component |





Note 2

To determine whether an engine is reported as a product or a component of the product; when applicable for each imported stationary, non-road or heavy-duty highway engines incorporated into vehicles or equipment subject to equipment-based standards. For further clarification on equipment-based standards, please review published regulations or policies.



Record Identifier PG24 (Import and Industry Codes)

This is a mandatory input record for all EPA Vehicles and Engine PGA message Sets.

For all Entries filed under 3520-21, a minimum of two (2) PG24 records are required: one identifying the applicable Industry Code **and** a second identifying the applicable Import Code. The following conditions require a third PG24:

- Entries filed under 3520-21 with **both** Industry Code G and Import Code 1 require a third PG24 record identifying the Bond Exemption Status (Remarks Type Code = EP1).
- Entries filed under Import Code 22 require a third PG24 record pertaining to Bond Exemption Status (Remarks Type Code =EP1).
- Entries filed under Import Code 25 require a third PG24 record pertaining to the regulation cited (Remarks Type Code =EP4).

Additional PG24 records are optional and may be included at the discretion of the filer to provide clarifying remarks (Remarks Type Code =GEN).

See Record Identifier PG21 (Point of Contact)

This is a conditional PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying which entity the Point of Contact is related to. For example, CI. | 1 |
| Individual Name | 23X | 8-30 | M | For example, JANE SIMMONS. | |
| Telephone Number of the Individual | 15X | 31-45 | M | For example, 2025551212. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | M | For example, JSIMMONS@ELEMENTALIMPORTER S.COM. | |

Note 1

List of Entity Role codes applicable to EPA-TSCA Message Sets:

| Data Element | Code | Description |
|-------------------|------|-----------------------|
| Entity Role Codes | CI | Certifying Individual |





Appendix A for Required Reporting Elements listed by Import Code.

| Record Identifier PG24 (Input) | | | | | |
|---------------------------------------|---------------------|-----------------|---------------|---|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “24” | |
| Remarks Type Code | 3AN | 5-7 | M | Code identifying vehicle or engine remarks category, for example, EP2. | 1 |
| Remarks Code | 5AN | 8-12 | C | The appropriate Import Code. For example, 1. Conditional based on Remarks Types Code. Mandatory for EP1, EP2, and EP3. | 2 |
| Remarks Text | 68X | 13-80 | C | Conditional based on Remarks Types Codes. Mandatory for EP4 and GEN. | |

Note 1

List of Remarks Type Codes applicable when filing a PGA Message Set for V&E Form 3520-21. If EP1, EP2, or EP3 is used, a “Remarks Code” is required. If EP4 or GEN is used, the “Remarks Text” field is required for further explanation.

| Data Element | Code | Description |
|---------------------|-------------|---|
| 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 |

Note 2

List of Remarks codes applicable when filing PGA Message Sets for V&E Form 3520-21

| Data Element | Code | Description |
|---|-------------|---|
| Bond Exemption Status Codes (For use when EP1 is Remarks Type Code) | | |
| Remarks Codes (Bond Exemption Status Codes) | E1Y | The engine is exempt from Bond |
| | E1N | The engine is not exempt from Bond |
| Import Codes (For use when EP2 is Remarks Type Code) | | |
| Remarks Codes (Categories of Vehicles and Engine Imports – Permanent exemptions for Nonconforming Engines [1-9]) | 1 | U.S certified engine or engine installed in a certified vehicle |
| | 2 | National Security |
| | 3 | Manufacturer-owned engine |
| | 4 | Replacement engine |
| | 5 | Extraordinary circumstances/hardship |
| | 6 | Hardship for small volume manufacturers |
| | 7 | Equipment-manufacturer hardship |
| | 8 | identical configuration |



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|--|---|--|
| Remarks Codes (Categories of Vehicles and Engine Imports – Temporary exemptions for Nonconforming Engines [10-16]; Importation of Engines Excluded from U.S. EPA Emission Standards [17-21]; Exemptions for Specific Engine Categories or Other Special Cases [22-35])) | 9 | ancient engine |
| | 10 | Repairs or alterations |
| | 11 | Testing |
| | 12 | Display |
| | 13 | Export |
| | 14 | Diplomatic or military |
| | 15 | Delegated assembly |
| | 16 | Partially complete engine |
| | 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 |
| | 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 (For use when EP3 is Remarks Type Code) | | |
| Remarks Codes (Categories of Vehicles and Engine Imports) | A | Heavy-duty highway engines (for use in motor vehicles with gross vehicle weight rating above 8500LBS |
| | 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 |



Record Identifier PG07 (Product Details)

This is a mandatory PGA input record that provides EPA with data pertaining to Name, Model, Manufacture Year, and Item Identity Number.

If multiple **identical** vehicles or engines are being imported, the PG07 record captures the Item Identity Number of **only** the first vehicle or engine. Subsequent Item Identity Numbers can be reported in a, or multiple, PG08 record(s).

PG07 may be repeated in an EPA Message Set under the following conditions:

- a) PG07 is used twice in a message set, once to describe the product/vehicle (following a PG02P) and once to describe the component/engine (following a PG02C).
- b) PG07 is used in groupings to describe combinations of vehicle/engine pairs using the PG50 and PG51. For example, multiple tractors and engines where groupings are used to appropriately pair the Engine Serial Number (ENN) with the vehicles Serial Number (SE).

| Record Identifier PG07 (Input) | | | | | |
|---------------------------------------|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “07” | |
| Trade Name/Brand Name | 35X | 5-39 | N/A | | |
| Model | 15X | 40-54 | M | Commercial Model Number of the vehicle or engine. For example, EM1001. | |
| Manufacture Month and Year | 6N | 55-60 | M | Manufacture date of the vehicle or engine. The format for this Manufacture date is 2-digit Month and four-digit Year (MMYYYY) For example, 122013, is December 2013. | |
| Item Identity Number Qualifier | 3AN | 61-63 | M | Code identifying the type of Item Identity Number being provided. For example, ENN. | 1 |
| Item Identity Number | 17X | 64-80 | M | The Item Identity Number. For example, MHO-874204. | |

Note 1

List of Item Identity Number Qualifier codes applicable when filing PGA Message Sets for V&E Form 3520-21



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---|-------------|-------------------------------------|
| Item Identity Number Qualifier Codes (Describes the type of identifying number) | ENN | Engine Number |
| | SE | Serial Number |
| | AKG | Vehicle Identification Number (VIN) |



Record Identifier PG08 (Input) to Report to EPA Individual Item Identity Numbers

This is a conditional PGA input record that is used to report multiple Item Identity Numbers such as Vehicle Identification Numbers (AKG), Engine Serial Numbers (ENN), or Serial Numbers (SE) related to the commodity listed in the preceding PG07. This record must be used in conjunction with the PG07. This record may be repeated.

| <i>Record Identifier PG08 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “08” | |
| Item Identity Number | 17X | 5-21 | M | Additional Item Identity Number. For example, MHO-874205. | |
| Item Identity Number | 17X | 22-38 | C | Additional Item Identity Number. For example, MHO-874206. | |
| Item Identity Number | 17X | 39-55 | C | Additional Item Identity Number. For example, MHO-874207. | |
| Item Identity Number | 17X | 56-72 | C | Additional Item Identity Number. For example, MHO-874208. | |
| Filler | 8X | 73-80 | M | Spaces fill. | |



Record Identifier PG10 (Input)

This is a mandatory PGA input record that provides EPA with additional characteristics of a product or component, not reported elsewhere in the PGA Message Set. All entries filed under V&E Form 3520-21 require a minimum of one (1) PG10 record. If the entry has an Import Code of 22, an additional PG10 record is required to provide the Engine Power Rating. Additional PG10 records are optional and may be included at the discretion of the filer to provide additional characteristics of the product or component.

| <i>Record Identifier PG10 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | Must always equal PG. | |
| Record Type | 2N | 3-4 | M | Must always be 10. | |
| Category Type Code | 6AN | 5-10 | N/A | | |
| Category Code | 5AN | 11-15 | N/A | | |
| Commodity Qualifier Code | 4X | 16-19 | M | A code indicating the type of essential or distinctive attribute or quality of an item. For example, V05. | 1 |
| Commodity Characteristic Qualifier | 4AN | 20-23 | M | This code specifies the type of characteristic for the item, for example, ENN. | 2 |
| Commodity Characteristic Description | 57X | 24-80 | M | Free form description of the item, either to supplement the above data elements or in place of the above. If V03 is used, the number is a normal number format (no implied decimal places. For example if V03 is used with 17, the engine power rating is 17 kW. The format for the Manufacture date is 2-digit Month and four-digit Year (MMYYYY) For example, if V05 is used 122013, the manufacture date is December 2013. For Model Year, the format is a four-digit year (YYYY). For Example, if V06 is used with 2014, the model year is 2014. | |

Note 1

List of Commodity Qualifier Codes applicable when filing a PGA Message Set for V&E Form 3520-21

| | <i>Code</i> | <i>Definition</i> |
|--|-------------|---------------------------------|
| | V03 | Engine power rating (kW or HP). |



| | <i>Code</i> | <i>Definition</i> |
|---------------------------|-------------|--|
| Commodity Qualifier Codes | V05* | Manufacture date of the vehicle or engine. |
| | V06 | Model year of the vehicle or engine. |

* The V05 Commodity Qualifier Code when used in conjunction with an appropriate Commodity Characteristic Qualifier is used to report the **“location”** of the manufacture date in the Commodity Characteristic Qualifier element, and not the actual date, which is collected on the PG07.

Note 2

A List of all Commodity Characteristic Qualifiers applicable when filing a PGA Message Set for V&E form 3520-1

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---|-------------|--|
| Engine Power Rating (For use when V03 is Commodity Qualifier) | | |
| Commodity Characteristic Qualifier (For V03 provides the unit of power) | KW | Maximum engine power value, in kilowatts. |
| | HP | Maximum engine power value, in horsepower. |
| Manufacture Date (For use when V05 is Commodity Qualifier) | | |
| Commodity Characteristic Qualifier (For V05 describes location of manufacture date) | ENG | The manufacture date is obtained from the engine. |
| | VEH | The manufacture date is obtained from the vehicle. |
| | OTH | The manufacture date is not obtained from the engine or the vehicle. It is obtained from other resources. Importer must put explanation in the Commodity Characteristic Description field. |



Record Identifier PG14 (License, Permits, Certificates, or Other)

This is a conditional PGA input record which provides EPA with data pertaining to Licenses, Permits, Certificates or Other (LPCO) issued by EPA and other government entities.

For Entries filed under V&E Form 3520-21, with an Import Code of 2, 5, 6, 7, 10, 11, 12, 14 or 18: a minimum of one (1) PG14 record containing the Exemption Number (found on the Importer’s EPA Letter of Approval) is required. If the Import Code is 1, 3, 4, 16, or 24a: a minimum of one (1) PG14 record containing the Test Group or Engine Family Name (provided in lieu of an EPA Certificate of Conformity) is required. For a commodity filed with **both** an Import Code of 1 and an Industry Code of G, an additional PG14 record is conditionally required to provide an NAIC Bond Number. For a commodity filed with an Import Code of 22, a PG14 containing the NAIC Bond Number is conditionally required. For Import Code 24c, a minimum of one (1) PG14 record containing the CBP Bond Number is required.

See Record Identifier **PG21 (Point of Contact)**

This is a conditional PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying which entity the Point of Contact is related to. For example, CI. | 1 |
| Individual Name | 23X | 8-30 | M | For example, JANE SIMMONS. | |
| Telephone Number of the Individual | 15X | 31-45 | M | For example, 2025551212. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | M | For example, JSIMMONS@ELEMENTALIMPORTER S.COM. | |

Note 1

List of Entity Role codes applicable to EPA-TSCA Message Sets:

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------|
| Entity Role Codes | CI | Certifying Individual |



Appendix A for Required Reporting Elements listed by Import Code.

| Record Identifier PG14 (Input) | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|---|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “14” | |
| LPCO Transaction Type | 1N | 5 | M | Code identifying the use type of LPCO information being provided. For example, 3. | 1 |
| LPCO Type | 3AN | 6-8 | M | Code identifying the type of LPCO information being provided. For example, EP4. | 2, 3 |
| LPCO Number (or Name) | 33X | 9-41 | M | The LPCO information. For example, 8EPAV01.0ABC-772. | |
| LPCO Date Qualifier | 1N | 42 | N/A | | |
| LPCO Date | 8N | 43-50 | N/A | | |
| LPCO Quantity | 16N | 51-66 | N/A | | |
| LPCO Unit of Measure | 5AN | 67-71 | N/A | | |
| Exemption Code | 9X | 72-80 | N/A | | |

Note 1

List of LPCO Transaction Type codes applicable when filing a PGA Message Set for V&E form 3520-21

| Data Element | Code | Description |
|---|-------------|--------------------|
| LPCO Transaction Type Codes (Categorizes the duration/type of the particular LPCO) | 1 | Single Use |
| | 2 | Continuous |
| | 3 | General |

Note 2

List of LPCO Transaction codes applicable when filing a PGA Message Set for V&E form 3520-21

| Data Element | Code | Description |
|---|-------------|---|
| LPCO Transaction Type Codes (Categorizes the duration/type of the particular LPCO) | EP4 | Test Group Name/ Number (From the Certificate of conformity this is the Exhaust Engine Family name (EFN) and not the Evaporative Engine Family name). |
| | EP7 | Bond Policy Number. |
| | EP9 | EPA Vehicles and Engines Exemption Number. |

Note 3



List of Import Codes (PG24 Remarks Codes) mapped to applicable LPCO Transaction Codes for 3520-21

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> | <i>Required by Import Code:</i> |
|--|-------------|--|---------------------------------|
| LPCO Transaction Codes (Describes the type of license, permit, certificate, or other) | EP4 | Test Group Name/ Number (From the Certificate of conformity this is the Exhaust Engine Family name (EFN) and not the Evaporative Engine Family name.) | 1, 3, 4, 16, 24a |
| | EP7 | Bond Policy Number | 24c, 1 + Industry G, 22 |
| | EP9 | EPA Vehicles and Engines Exemption Number | 2, 5, 6, 7, 10, 11, 12, 14, 18 |



Record Identifier PG19 (Entity)

This is a mandatory PGA input record that provides EPA with data pertaining to Entity Role, Entity Identification, Entity Name, and Entity Street Address. For EPA Form 3520-21, a minimum of three (3) entities must be identified: Importer, Certifying Individual, and Manufacturer. NAIC Bond Issuer is mandatory for Import Codes G, I, J, and K. Additional PG19 records are optional and may be included at the discretion of the filer.

For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section C (Data Rules and Record Relationships in the PGA Message Set) in the ACE ABI CATAIR publication.

Note

When reporting the Certifying individual (CI) as an additional role, use a PG55 record, which may appear in a variety of locations in the message set. When reporting the Certifying Individual (CI) with no additional roles, the correct placement of the PG19/20/21 for the CI is following the PG22 record.

| Record Identifier PG19 (Input) | | | | | |
|---------------------------------------|---------------------|-----------------|---------------|---|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “19” | |
| Entity Role Code | 3AN | 5-7 | M | Code identifying the role of the entity being provided. For example, CI. | 1 |
| Entity Identification Code | 3AN | 8-10 | N/A | | |
| Entity Number | 15X | 11-25 | C | Identification number assigned to an entity. For example, 98102. | |
| Entity Name | 32X | 26-57 | N/A | | |
| Entity Address 1 | 23X | 58-80 | C | Line 1 of the Street Address for the entity being described. For example, 1234 PEACHTREE STREET. Conditional based on Entity Role Code Mandatory for Importer and Storage Location. | |

Note 1

List of Entity Role codes applicable when filing a PGA Message Set for V&E form 3520-21

| Data Element | Code | Description |
|---------------------|-------------|-----------------------|
| Entity Role Codes | IM | Importer |
| | DFP | Owner |
| | STL | Storage Location |
| | CI | Certifying Individual |
| | MF | Manufacturer |



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
| | CB | Broker |
| | NAI | NAIC Bond Issuer |



Record Identifier PG20 (Address)

This is a conditional PGA input record that provides additional data pertaining to the Entity identified in the preceding PG19 record; such as Entity Address line 2, Apartment/Suite, City, State, and Zip/Postal Code. A PG20 record is mandatory for these specific entities: Importer, Owner, and NAIC Bond Issuer (when NAIC Bond Issuer is required by Import Code). Additional PG20 records are optional and may be included at the discretion of the filer to provide additional Entity Information for the Broker, Owner, Storage location, and Certifying Individual.

| Record Identifier PG20 (Input) | | | | | |
|---------------------------------------|---------------------|-----------------|---------------|---|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “20” | |
| Entity Address 2 | 32X | 5-36 | C | | |
| Entity Apartment Number/Suite Number | 5X | 37-41 | C | For example, 102 A. | |
| Entity City | 21X | 42-62 | C | For example, ATLANTA. Conditional based on Entity Role Code. Mandatory for Importer. | |
| Entity State/Province | 3AN | 63-65 | M | For example, GA. | |
| Entity Country | 2A | 66-67 | C | For example, US. Conditional based on Entity Role Code. Mandatory for Importer and Storage Location. | |
| Entity Zip/Postal Code | 9X | 68-76 | C | For example, 30301. Conditional based on Entity Role Code. Mandatory for Importer and Storage Location. | |
| Filler | 4X | 77-80 | M | Space fill. | |



Record Identifier PG21 (Point of Contact)

This is a conditional PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the Entity (the party). A PG21 may stand alone or may be related to a PG19 or PG20. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address. A PG21 record is required for these specific entities: Owner, Importer, Storage Location Contact, and Certifying Individual. Additional PG21 records are optional and may be included at the discretion of the filer. This record may be repeated.

Note

When reporting the Certifying individual (CI) as an additional role, use a PG55 record, which may appear in a variety of locations in the message set. When reporting the Certifying Individual (CI) with no additional roles, the correct placement of the PG19/20/21 for the CI is following the PG22 record.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying which entity the Point of Contact is related to. For example, IM is the POC for the Importer. | 1 |
| Individual Name | 23X | 8-30 | M | For example, JANE SMITH. | |
| Telephone Number of the Individual | 15X | 31-45 | M | For example, 7062345678. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | C | For example, JANE.SMITH@TEST.COM. Conditional based on Entity Role Code. Mandatory for Importer. | |

Note 1

List of Entity Role codes applicable when filing a PGA Message Set for V&E form 3520-21

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------|
| Entity Role Codes | IM | Importer |
| | DFP | Owner |
| | STL | Storage Location |
| | CI | Certifying Individual |
| | MF | Manufacturer |
| | CB | Broker |
| | NAI | NAIC Bond Issuer |



Record Identifier PG55 (Additional Roles)

This is a conditional PGA input record used to provide additional roles performed by an Entity or Individual listed in the preceding PG19.

For further guidance on the use of the PG55 record in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section D (Data Reporting) in the ACE ABI CATAIR.

| <i>Record Identifier PG55 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “55” | |
| Entity Role Code | 3AN | 5-7 | M | Code identifying the additional role being assumed by the entity. For example, IM. | 1 |
| Entity Role Code | 3AN | 8-10 | C | Code identifying the additional role being assumed by the entity. For example, DFP. | 1 |
| Entity Role Code | 3AN | 11-13 | C | Code identifying the additional role being assumed by the entity. For example, MF. | 1 |
| Entity Role Code | 3AN | 14-16 | N/A | | |
| Entity Role Code | 3AN | 17-19 | N/A | | |
| Entity Role Code | 3AN | 20-22 | N/A | | |
| Entity Role Code | 3AN | 23-25 | N/A | | |
| Entity Role Code | 3AN | 26-28 | N/A | | |
| Entity Role Code | 3AN | 29-31 | N/A | | |
| Entity Role Code | 3AN | 32-34 | N/A | | |
| Filler | 46X | 35-80 | M | Space fills. | |

Note 1

List of Entity Role codes applicable when filing a PGA Message Set for V&E form 3520-21

| Data Element | Code | Description |
|-------------------|------|-----------------------|
| Entity Role Codes | IM | Importer |
| | DFP | Owner |
| | STL | Storage Location |
| | CI | Certifying Individual |
| | MF | Manufacturer |
| | CB | Broker |
| | NAI | NAIC Bond Issuer |



Record Identifier PG22 (Document Identifier / Certification)

This is a mandatory PGA input record that provides data pertaining to Importers' Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications.

| <i>Record Identifier PG22 (Input)</i> | | | | | |
|--|--------------------------|-----------------|---------------|---|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | "PG" | |
| Record Type | 2N | 3-4 | M | "22" | |
| Importers Substantiating Signed Document /Signed Confirmation Letter | 1A | 5 | N/A | | |
| Document Identifier | 7AN | 6-12 | M | Code identifying the EPA Form the PGA Message Set is being filed in place of. For example, 943. | 1 |
| Conformance Declaration | 5X | 13-17 | N/A | | |
| Entity Role Code | 3AN | 18-20 | M | "CI" | |
| Declaration Code | 4AN | 21-24 | M | Code identifying the certification statement signed by the Certifying Individual. For example, EP1. | 2 |
| Declaration Certification | 1A | 25 | M | Designates that the information provided is correct and all required documents have been provided. For example, Y. | |
| Date of Signature | 8N | 26-33 | M | The format for 'Date of Signature is 2-digit Month, 2-digit day, and four-digit Year (MMDDYYYY) For example, 04212014, is April, 21 2014. | |
| Invoice Number | 17X | 34-50 | N/A | | |
| Compliance Description | 30X | 51-80 | N/A | | |

Note 1

List of Document Identifiers applicable when filing a PGA Message Set for V&E form 3520-21

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|----------------------|-------------|--------------------|
| Document Identifiers | 943 | EPA 3520-21 |

Note 2

List of Declaration codes applicable when filing a PGA Message Set for V&E form 3520-21



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|---------------------------------------|
| Declaration Codes | EP1 | Certification Statement (EPA 3520-21) |

Pesticides

The Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) provides the U.S. Environmental Protection Agency (EPA) with the authority to oversee the distribution, sale, and use of pesticides and pesticide devices. In accordance with the implementation of regulations in 40 CFR Parts 150-189, pesticides must be registered with EPA, unless they are exempt from registration under FIFRA. Imported pesticides must also be registered, except those that are exempt from regulation under FIFRA or that meet certain conditions specified in 40 CFR 152.30. All pesticides must be distributed with their label.

U.S. Customs and Border Protection (CBP) Regulations implement the import notification requirements for pesticides and devices under FIFRA section 17 (c). The provisions in 19 CFR 12.110-117 apply to registered pesticides, unregistered pesticides, and pesticide devices. The regulations require an importer, desiring to import pesticides or devices into the United States, to submit EPA Form 3540-1, Notice of Arrival of Pesticides and Devices (NOA), to EPA prior to the arrival of the shipment in the United States. On the NOA, importers must provide the registration status of the pesticide, the active ingredients and their percent composition, the quantity of the pesticide chemical, and additional required data. The PGA Message Set has been designed to allow importers to provide the required data elements electronically, expediting the filing process. An image of the Pesticide Label must be submitted to the Document Image System prior to filing the PGA Message Set.

The following are the potential PGA records associated with submitting Pesticide Data regulated by EPA Form 3540-1:

| PG Record | Description |
|-----------|---|
| OI | The commercial description of the shipment is provided. |
| PG01 | PGA Line Number, Government Agency Code, Government Agency Program Code, Electronic Image qualifier, and Intended Use Code. |
| PG02 | The item type (Product or Component). |
| PG07 | Trade/Brand name of the shipment. |
| PG14 | LPCO Type information (EPA Registration Numbers (includes section 3, 5, 18, 24(c) and distributor products). |
| PG19 | Entity Role identification and Address line 1. |
| PG20 | Supplemental Entity information (Conditional; Address line 2). |
| PG21 | Entity's individual point of contact, phone number and email. |
| PG55 | Additional roles of the entity identified in the previous PG19 / 20 / 21 records. |
| PG22 | Document Identifier, Declaration Code, and Declaration Certification are provided. |



| PG Record | Description |
|-----------|--|
| PG24 | Remarks Type and Remarks for pesticides. |
| PG26 | Unit Size and Quantity of imported pesticide, additional packaging levels. |
| PG29 | Total Net Weight of the imported pesticide. |
| PG04 | Percent Composition by Active Ingredient. |

Registered Pesticides Sample

A shipment of Off Mosquito Repellent is imported into the United States. This product contains four active ingredients.

EPA-Pesticides Data Map from Existing EPA Form 3540-1:



PGA supplemental - Customs and Trade Automated Interface Requirements



| | | | | | | | |
|--|--|---|--|---|--|--|--|
| | | United States Environmental Protection Agency Washington, DC 20460 | | Send Completed Form to Appropriate Regional Office Listed in the Instructions for this Form. | | OMB Control No. 2070-0020 Approval Expires 11/30/2016 | |
| Note: Read Instructions before completing form. | | | | | | | |
| Part I: To Be Completed by Importer of Record or Licensed Customs Broker | | | | | | | |
| 1. Name and Complete Address of Licensed Customs Broker John Smith - Super Customs Brokerage Company 500 East 17th St. APT 100 New York, NY 10012 US Phone: (202) 234-5678; Email: john.smith@superbrokerage.com PG19/20/21 | | | | 2. Name and Complete Address of Importer of Record JANE SMITH - BUG SPRAY IMPORT COMPANY 345 NEWBERRY STREET APT 203 BOSTON, MA 02105 US Phone:6172345678; Email: jane.smith@bugsprayimport.com PG19/20/21 | | | |
| <input type="checkbox"/> Return Form to this Address | | | | <input checked="" type="checkbox"/> Return Form to this Address PG55 | | | |
| 3. Name and Complete Address of Shipper John Reyes - Superior Shipping Company 432 Port Blvd Lapu-Lapu City PG323402486 Phone: +63 324115800; Email: john.reyes@superiorshipping.ph PG19/20/21 | | | | 4. EPA Registration Number 69340-8 PG14 | | 5. EPA Producer Establishment No. 01234CHN02 PG19 | |
| | | | | 6. Brand Name of Product Off Mosquito Repellent PG07 | | | |
| 7. Active Ingredients and Percentage of Each PG04 Deet - 15.3757%, IR3535 - 35%, Picaridin - 5.5%, bt moCry 1F - 2.1% | | | | | | | |
| 8. Unit Size PG26 10 OZ | | 9. Quantity PG26 1000 Bottles | | 10. Total Net Weight PG29 284.53kg | | 11. Country of Origin China Entry Data | |
| 12. Port of Entry Newark, NY Entry Data | | | | 13. Name and Complete Address of Carrier Jay Smith - Maritime Industrial Shippers 500 E 17th St. APT 500 New York, NY 10012 US Phone:(202) 345-6789; Email: jay.smith@maritimeshippers.com PG19/20/21 | | | |
| 14. Entry Number SP3-34563756 Entry Data | | 15. Anticipated Entry Date 4/11/2014 Entry Data | | | | | |
| 17. Location of Goods for Examination after Importation Famous Storage and Warehouse 12345 Jersey AVE Newark, NJ 07310 US PG19/20/21 | | | | 16. I assert that information constituting Confidential Business Information is shown in the above blocks numbered: (Note: Blocks 4, 5, 6, 7 are not entitled to CBI treatment--see Instructions) N/A PG01 | | | |
| 18. To be Completed for Pesticides without an EPA Registration Number (The following information is optional, but may expedite processing of the Notice of Arrival. Check all that apply and provide additional information as indicated) | | | | | | | |
| <input type="checkbox"/> 18a. A pesticide transferred between registered establishments operated by the same producer. Domestic Producer Establishment Number: _____ | | | | | | | |
| <input type="checkbox"/> 18b. A pesticide transferred between registered establishments not operated by the same producer. Domestic Producer Establishment Number _____ EPA Registration Number of Product being Formulated, if applicable: _____ | | | | | | | |
| <input type="checkbox"/> 18c. A pesticide distributed under an Experimental Use Permit. Experimental Use Permit Number: _____ | | | | | | | |
| <input type="checkbox"/> 18d. A pesticide distributed for research and development purposes without an Experimental Use Permit. | | | | | | | |
| <input type="checkbox"/> 18e. A pesticide transferred solely for export. Domestic Producer Establishment Number: _____ PG01/24 | | | | | | | |
| <input type="checkbox"/> 18f. A pesticide distributed under an emergency exemption. Emergency Exemption Number: _____ | | | | | | | |
| <input type="checkbox"/> 18g. A pesticide transferred for the purposes of disposal. | | | | | | | |
| <input type="checkbox"/> 18h. Other. Provide an explanation including the intended use and a description of why the product is being imported into the United States in the Remarks (block 19). | | | | | | | |

Customs Broker: The customs broker entity information is provided within a PG19/20/21 record set.

Importer of Record: The importer entity information is provided within a PG19/20/21 record set.

Notify Party: The return form to this address party is provided within a PG55 record.

Shipper: The shipper entity information is provided within a PG19/20/21 record set.

Brand Name: The brand name of the product is provided within a PG07 record.

EPA Registration Number: Provided within a PG14 record with an “EP8” transaction type.

EPA Producer

Establishment Number: Provided within a PG19 record with an “EPN” entity role type.

Active Ingredients: Provided in separate PG04 records immediately after a PG02 that identifies the component (“C”) by its CAS number.

Unit Size: Provided in a PG26. Packaging Qualifier in position 5 identifies the level based on relative quantity (1-6, where 1 is the largest quantity in the shipment). Positions 8-9 are reserved for Unit of Measure.

Quantity: Provided in a PG26.

EPA Form 3540-1 (Rev. 11/13. Previous versions are obsolete.)



Total Net Weight: Provided in a PG29. Positions 5-6 are reserved for Unit of Measure.

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| | | | |
|---|--|---|-------------|
| 19. Remarks (Provide additional information here. It is recommended that a copy of the label affixed to the product be submitted with the NOA.) | | | |
| N/A | | PG24 | |
| Certification | | | |
| I certify that the statements I have made on this form and all attachments thereto are true, accurate, and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law | | | |
| | | PG22 | |
| 20. Printed Name of Importer of Record or Licensed Customs Broker | Telephone Number | 21. Signature of Importer of Record or Licensed Customs Broker | Date Signed |
| Jane Smith | (617) 234-5678 | | |
| PG21 | PG21 | PG22 | PG22 |
| Part II: To Be Completed by U.S. Environmental Protection Agency | | | |
| Action to be taken by U.S. Customs and Border Protection | | | |
| <input type="checkbox"/> Release Shipment | <input type="checkbox"/> Detain for Inspection | <input type="checkbox"/> Release shipment to consignee under bond. Shipment must be held intact pending inspection. | |
| <input type="checkbox"/> Other (Specify) | | | |
| Remarks | | | |
| Signature and Title of EPA Official | | | Date |
| Part III: To Be Completed by U.S. Customs and Border Protection | | | |
| The information shown in Part I was compared with the entry papers for this shipment and no discrepancies were noted. The shipment was handled as instructed by EPA in Part II. Any deviations should be brought to the attention of EPA before releasing shipment and should also be noted in "Remarks." | | | |
| Remarks | | | |
| Signature of District Director of Customs | | | Date |
| Paperwork Reduction Act Notice: The estimated average time to read the instructions and complete this form is 26 minutes. Send comments regarding the burden estimate or any other aspect of this collection of information to: Director, Collection Strategies Division, Office of Environmental Information (OEI), U.S. Environmental Protection Agency (Mail Code 2822), 1200 Pennsylvania Avenue, NW, Washington, DC 20460. Include OMB number 2070-0020 in any correspondence. | | | |

Port Code, Entry Date, Country of Origin, and Entry number: These four data elements are captured by CBP Entry data and will not be reported in the PGA Message Set.

Carrier: The carrier entity information is provided within a PG19/20/21 record set.

Location of Goods for Examination after importation: The storage location entity information is provided within a PG19/20/21 record set.

CBI Indicator: Location 14 of the PG01 record is reserved for indicating the presence of CBI.

Box 18: This optional supplemental information is provided within a PG24 record.

Remarks: Remarks are provided within a PG24 record with a "GEN" qualifier in positions 5-7.

Certification Statement: The certification statement is represented by the code "EP3" in spaces 21 to 23 on the PG22 line.

Signature: The signature of the individual certifying the PGA Data is found on the PG22 line, represented by the code "Y".

Printed Name: Printed name (certifying individual) information is represented by a PG 19, 20, and 21 set.

Date: Date certification was signed is located on the PG22 line in spaces 26 to 33.



Importer: Because the Importer is the same as the Certifying Individual, a PG 55 record is used rather than duplicating a PG19, 20, 21 group.

Registered Pesticides Message Set Sample Layout

Table with 100 columns and multiple rows of data. Columns are numbered 1-100. Rows contain alphanumeric codes and text such as 'OFF MOSQUITO REPELLENT', 'SUPER CUSTOMS BROKERAGE COMPANY', 'JOHN SMITH', 'JANE SMITH', 'JAY SMITH', 'JOHN REYES', 'MARK', 'BO', 'OZ', 'KG', 'CCAS', 'YDEET', 'YR3535', 'YPI CARI DIN', 'CPC', 'YBT MOCRY 1F'. Some rows have numerical values on the right side.

Registered Pesticides Message Set Description

The following records and codes are used to create Pesticide Message Sets for Registered Pesticides. For the Registered Pesticides Pilot some data elements are mandatory, while others are conditional or optional. The status column identifies each data element as Mandatory (M), Conditional (C), Optional (O), or Not Applicable (N/A). Mandatory Data Elements are required because, either that particular record requires it, or it is required by the regulatory authority of the Pesticides program office.

BEFORE the PGA Message Set is submitted, an image of the Pesticide Label must be submitted to the Document Image System.

Because of the flexibility of the PGA Message Set, the PGA Records and Data Elements that are required may vary both from program to program and within a single program. For a more expansive set of examples of EPA PGA Message Sets, please refer to the document EPA PGA Message Set Samples Pilot Programs.



Record Identifier OI (Input)

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

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



Record Identifier PG01 (PGA Identifier)

This is a mandatory PGA input record that provides EPA with data pertaining to the PGA Line Number, Government Agency Code, Government Agency Program Code, Electronic Image qualifier, and Intended Use Code.

| Record Identifier PG01 (Input) | | | | | |
|---|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “01” | |
| PGA Line Number | 3N | 5-7 | M | “001” | |
| Government Agency Code | 3AN | 8-10 | M | “EPA” | |
| Government Agency Program Code | 3X | 11-13 | M | “PS1” | 1 |
| Government Agency Processing Code | 3AN | 14-16 | N/A | | |
| Electronic Image Submitted | 1A | 17 | M | Identifying whether an image has been submitted via DIS. For example, Y. | 2 |
| Confidential Information Indicator | 1A | 18 | C | Identifying whether confidential information was included in the filing. For example, Y. | 3 |
| Globally Unique Product Identification Code Qualifier | 4AN | 19-22 | N/A | | |
| Globally Unique Product Identification Code | 19X | 23-41 | N/A | | |
| Intended Use Code | 16X | 42-57 | N/A | | |
| Intended Use Description | 22X | 58-79 | N/A | | |
| Disclaimer | 1A | 80 | C | Code declaring filing does not require a PGA Message Set. For Example, A. | 4 |

Note 1

List of Government Agency Program Codes applicable when filing a PGA Message Set for Pesticides Form 3540-1.

| Data Element | Code | Description |
|---------------------------------|-------------|-----------------------|
| Government Agency Program Codes | PS1 | Registered Pesticides |
| | PS2 | Pesticides – Devices |



| | | |
|--|-----|--------------------|
| | PS3 | Pesticides – Other |
|--|-----|--------------------|

Note 2

At least one image, pesticides label, must be submitted to DIS. The image must be filed before its correlating Entry/ PGA Message Set.

Note 3

The confidential information indicator is a singular code of ‘Y’ indicating that all applicable data elements, except those which cannot be declared Confidential Business Information (CBI) by EPA regulation, are considered CBI. If a “Y” is indicated, comments should be provided in a PG24 line.

| <i>Non applicable data elements</i> | <i>PGA Record Location</i> |
|---|----------------------------|
| EPA Registration Number | PG14 |
| Producer Establishment Number | PG19 |
| Brand Name of Product | PG07 |
| Major Active Ingredients and Percentage of Each | PG02 / PG04 group |

Note 4

A code indicating the reason the PGA message set is being disclaimed and not provided. Valid codes are:

- A = product is not regulated by this agency
- B = data is not required per agency guidance
- C = data filed through other agency means
- D = data filed through paper

Codes A and B are NOT allowed if the HTS is flagged as 'Must Be' provided.



Record Identifier PG02 (Product Identifier)

This mandatory PGA input record which is used to indicate whether the information being provided relates to a product (P) or a component (C) of a product. All Registered Pesticide Message Sets require one (1) PG02 record identifying the product.

| Record Identifier PG02 (Input) | | | | | |
|---------------------------------------|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “02” | |
| Item Type | 1A | 5 | M | Identifies the following records as pertaining to the product or a component of the product. For example, P. | 1 |
| Product Code Qualifier | 4AN | 6-9 | O | Product Code Qualifier identifying the type of product code number. For example, CAS. | 2 |
| Product Code Number | 19X | 10-28 | O | Product Code number identified by the Product Code Qualifier. For example, 94271-03-1. | 3 |
| Product Code Qualifier | 4AN | 29-32 | N/A | | |
| Product Code Number | 19X | 33-51 | N/A | | |
| Product Code Qualifier | 4AN | 52-55 | N/A | | |
| Product Code Number | 19X | 56-74 | N/A | | |
| Filler | 6X | 75-80 | M | Space fill. | |

Note 1

List of Item Type codes applicable to EPA-Registered Pesticide Message Sets

| Data Element | Code | Description |
|---------------------|-------------|--------------------|
| Item Type | P | Product |
| | C | Component |

Note 2

List of LPCO Type codes applicable to EPA-Pesticide Message Sets

| Data Element | Code | Description |
|---|-------------|----------------------------------|
| Product Code Qualifier (Describes the type of Product code) | CAS | Chemical Abstract Service Number |
| | PC | Pesticides Control Number |



Note 3

If the product is comprised of a singular chemical component, then all reported data should be at the Product level. If the product is comprised of multiple chemical components, then reported data for the components of the product should be provided at the Component level. If an EPA Registration Number was provided, or the product is a device, the product codes may be left blank. To expedite review of the NOA, it is recommended that each active ingredient be listed to ensure accuracy of information.



Record Identifier PG07 (Product Details)

This is a mandatory PGA input record that provides EPA with data pertaining to the Trade or Brand Name of the product. When filing a PGA Message Set for a Registered Pesticide, one (1) PG07 record containing the Trade/Brand name is required.

| <i>Record Identifier PG07 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “07” | |
| Trade Name/Brand Name | 35X | 5-39 | M | Free-form description of the product Trade/Brand name. For example, OFF MOSQUITO REPELLENT. | |
| Model | 15X | 40-54 | N/A | | |
| Manufacture Month and Year | 6N | 55-60 | N/A | | |
| Item Identity Number Qualifier | 3AN | 61-63 | N/A | | |
| Item Identity Number | 17X | 64-80 | N/A | | |



Record Identifier PG14 (License, Permits, Certificates, or Other)

This is a mandatory PGA input record which provides EPA with data pertaining to License, Permits, Certificates, or Other (LPCO). When filing a PGA Message Set for a Registered Pesticide, one (1) PG14 record containing the EPA registration number is required.

| <i>Record Identifier PG14 (Input)</i> | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|--|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “14” | |
| LPCO Transaction Type | 1N | 5 | N/A | | |
| LPCO Type | 3AN | 6-8 | M | Code identifying the type of LPCO. For example, EP8. | 1 |
| LPCO Number (or Name) | 33X | 9-41 | M | LPCO number. For example, 69340-8. | |
| LPCO Date Qualifier | 1N | 42 | N/A | | |
| LPCO Date | 8N | 43-50 | N/A | | |
| LPCO Quantity | 16N | 51-66 | N/A | | |
| LPCO Unit of Measure | 5AN | 67-71 | N/A | | |
| Exemption Code | 9X | 72-80 | N/A | | |

Note 1

List of LPCO Transaction codes applicable to EPA-Registered Pesticide Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---|-------------|---|
| LPCO Transaction Codes (Describes the type of license, permit, certificate, or other) | EP8 | EPA Registration Number (includes FIFRA section 3, 5, 18, 24(c) and distributor products) |

Record Identifier PG19 (Entity)

This is a mandatory PGA input record that provides EPA with data pertaining to Entity Role, Entity Identification, Entity Name, and Entity Street Address. This record is mandatory when providing Entity Information. For Registered Pesticides, a minimum of six (6) entities must be identified: Agent/Broker, Importer/Consignee, Shipper, EPA Producer Establishment No., Carrier, and Location of Goods.

For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section C (Data Rules and Record Relationships in the PGA Message Set) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG19 (Input)</i> | | | | | |
|---------------------------------------|---------------------|-----------------|---------------|---|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “19” | |
| Entity Role Code | 3AN | 5-7 | M | Code identifying the Role of the Entity. For example, CB. | 1 |
| Entity Identification Code | 3AN | 8-10 | N/A | | |
| Entity Number | 15X | 11-25 | C | ID number assigned to an Entity. For example, 012345CHN002. | 2 |
| Entity Name | 32X | 26-57 | C | Entity name, such as a company. For Example, SUPER CUSTOMS BROKERAGE COMPANY. | 3 |
| Entity Address 1 | 23X | 58-80 | C | Address of Entity. For example, 500 EAST 17TH STREET. | 3 |

Note 1

List of Entity Role codes applicable to EPA-Registered Pesticide Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------------------|
| Entity Role Codes | IM | Importer |
| | OV | Carrier |
| | DEQ | Shipper |
| | EPN | EPA Producer Establishment Number |
| | LG | Location of Goods |
| | CB | Customs Broker |

Note 2

Entity Number field is required when the Entity Role code is ‘EPN’

Note 3

Entity Name and Entity Address 1 fields are required with all Entity Role codes except ‘EPN’



Record Identifier PG20 (Address)

This is a conditional PGA input record that provides EPA with additional data pertaining to the Entity identified in the preceding PG19 record; such as Entity Address line 2, Apartment/Suite, City, State, and Zip/Postal Code. A PG20 record cannot stand on its own and must always follow a PG19. A PG20 record is mandatory for these specific entities: Importer, Carrier, Shipper, Location of Goods, and Broker.

| Record Identifier PG20 (Input) | | | | | |
|--|--------------------------|-----------------|---------------|---------------------------------|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “20” | |
| Entity Address 2 | 32X | 5-36 | C | For example, VEHICLE DEPARTMENT | |
| Entity Apartment Number/Suite Number | 5X | 37-41 | C | For example, 100. | |
| Entity City | 21X | 42-62 | M | For example, NEW YORK | |
| Entity State/Province | 3AN | 63-65 | M | For example, NY. | |
| Entity Country | 2A | 66-67 | M | For example, US. | |
| Entity Zip/Postal Code | 9X | 68-76 | M | For example, 10012. | |
| Filler | 4X | 77-80 | M | Space fill. | |

Record Identifier PG21 (Point of Contact)

This is a conditional PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address. A PG21 record is required for these specific entities: Importer, Carrier, Shipper, and Broker. Additional PG21 records are optional, and may be included at the discretion of the filer to provide information for additional Entities.

For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section C (Data Rules and Record Relationships in the PGA Message Set) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|--------------------------|-----------------|---------------|--|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying the Role of the Entity POC. For example, CB. | 1 |
| Individual Name | 23X | 8-30 | M | Entity Point of contact name. For example, JOHN SMITH. | |
| Telephone Number of the Individual | 15X | 31-45 | M | Entity Point of contact phone number. For example, 2022345678. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | M | Entity Point of contact email. For example, JOHN.SMITH@SUPERBROKERAGE.COM. | |

Note 1

List of Entity Role codes applicable to EPA-Registered Pesticide Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
| Entity Role Codes | IM | Importer |
| | OV | Carrier |
| | DEQ | Shipper |
| | LG | Location of Goods |
| | CB | Customs Broker |



Record Identifier PG55 (Additional Roles)

This is a mandatory PGA input record used to provide additional roles performed by an Entity or individual previously listed in a PG19. When filing a PGA Message Set for a Registered Pesticide, a minimum of one (1) PG55 record is mandatory to capture the Notifying Party and Certifying Individual. Additional PG55 records are optional and may be included at the discretion of the filer to provide additional Entity Roles.

For further guidance on the use of the PG55 record in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section D (Data Reporting) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG55 (Input)</i> | | | | | |
|---------------------------------------|--------------|----------|--------|--|------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “55” | 1 |
| Entity Role Code | 3AN | 5-7 | M | Code identifying the Role of the Entity. For example, NP. | 1 |
| Entity Role Code | 3AN | 8-10 | M | Code identifying the Role of the Entity. For example, CI. | 1 |
| Entity Role Code | 3AN | 11-13 | C | Code identifying the Role of the Entity. For example, DEQ. | 1 |
| Entity Role Code | 3AN | 14-16 | C | Code identifying the Role of the Entity. For example, IM. | 1 |
| Entity Role Code | 3AN | 17-19 | C | Code identifying the Role of the Entity. For example, LG. | 1 |
| Entity Role Code | 3AN | 20-22 | C | Code identifying the Role of the Entity. For example, CB. | 1 |
| Entity Role Code | 3AN | 23-25 | C | Code identifying the Role of the Entity. For example, OV. | 1 |
| Entity Role Code | 3AN | 26-28 | N/A | | |
| Entity Role Code | 3AN | 29-31 | N/A | | |
| Entity Role Code | 3AN | 32-34 | N/A | | |
| Filler | 46X | 35-80 | M | Spaces fill. | |

Note 1

List of Entity Role codes applicable to EPA-Registered Pesticide Message Sets

| Data Element | Code | Description |
|-------------------|------|-----------------------|
| Entity Role Codes | IM | Importer |
| | OV | Carrier |
| | DEQ | Shipper |
| | LG | Location of Goods |
| | CI | Certifying Individual |



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
| | CB | Customs Broker |
| | NP | Notify Party |



Record Identifier PG22 (Document Identifier / Certification)

This is a mandatory PGA input record that provides EPA with data pertaining to Importers' Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications.

| <i>Record Identifier PG22 (Input)</i> | | | | | |
|--|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | "PG" | |
| Record Type | 2N | 3-4 | M | "22" | |
| Importers Substantiating Signed Document /Signed Confirmation Letter | 1A | 5 | N/A | | |
| Document Identifier | 7AN | 6-12 | M | "944" This is the only acceptable document identifier for EPA Pesticides. | 1 |
| Conformance Declaration | 5X | 13-17 | N/A | | |
| Entity Role Code | 3AN | 18-20 | M | "CI" | |
| Declaration Code | 4AN | 21-24 | M | "EP3" | 2 |
| Declaration Certification | 1A | 25 | M | Designates that the information provided is correct and all required documents have been provided. For example, Y. | |
| Date of Signature | 8N | 26-33 | M | The format for 'Date of Signature is 2-digit Month, 2-digit day, and four-digit Year (MMDDYYYY) For example, 02112014, is February, 11 2014. | |
| Invoice Number | 17X | 34-50 | N/A | | |
| Compliance Description | 30X | 51-80 | N/A | | |

Note 1

List of Document Identifiers applicable to EPA-Registered Pesticide Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|----------------------|-------------|--------------------|
| Document Identifiers | 944 | EPA 3540-1 |

Note 2

EP3 is the only acceptable declaration code for EPA Pesticides. It specifically refers to the certification statement from the EPA Form 3540-1.

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
|---------------------|-------------|--------------------|



| | | |
|-------------------|-----|--------------------------------------|
| Declaration Codes | EP3 | Certification Statement (EPA 3540-1) |
|-------------------|-----|--------------------------------------|

Note 3

The format for Date of Signature is MMDDYYYY. Do not include any special characters or spaces.



Record Identifier PG24 (Remarks)

This is an optional PGA input record that provides EPA with data pertaining to the Notice of Arrival (NOA) Form for Registered Pesticides.

| <i>Record Identifier PG24 (Input)</i> | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|---|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “24” | |
| Remarks Type Code | 3AN | 5-7 | O | Pesticides remark type code. For example, GEN. | 1 |
| Remarks Code | 5AN | 8-12 | N/A | | |
| Remarks Text | 68X | 13-80 | O | Free-form remarks text field. For example, PESTICIDES REMARK. | |

Note 1

List of Remarks Type Codes applicable to EPA-Pesticide Message Sets

If EP5 or GEN is used, the “Remarks Text” field is required for further explanation.

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|---|
| Remarks Type Codes | EP5 | EPA Notice of Arrival of Pesticides and Devices |
| | GEN | General Remarks |

Record Identifier PG26 (Packaging Qualifier)

This is a mandatory PGA input record that provides EPA with data pertaining to Packaging Qualifier, Quantity, Unit of Measure, Package Identifier, Packaging Method, Package Material, and Packaging Filler. This record can be repeated up to six (6) times, once for each unique packaging level. The first record is used to describe the largest (outermost) container and the number of containers at this packaging level. The second record is used to describe the contents of the next largest container. If needed, qualifiers 3-6 are used in a similar manner (largest to smallest container). The final record must describe the actual amount of the product in the smallest container.

When using multiple PG26 records to report different package sizes of the same product, there is no mandated order for packaging qualifier, i.e. packaging levels can go from largest to smallest, smallest to largest, or out of order.

| <i>Record Identifier PG26 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “26” | |
| Packaging Qualifier | 1N | 5 | M | Code identifying the level of packaging. For example, 1. | 1 |
| Quantity | 12N | 6-17 | M | “Quantity of the packaging level, For example, 000000100000. | 2 |
| Unit of Measure (Packaging Level) | 5X | 18-22 | M | Type of packaging / packaging level. For example, BO. | 3 |
| Package Identifier | 25X | 23 - 47 | N/A | | |
| Packaging Method | 3AN | 48-50 | N/A | | |
| Package Material | 15X | 51-65 | N/A | | |
| Package Filler | 15X | 66-80 | N/A | | |

Note 1

This code identifies the level of packaging for the product. Outermost (largest=1) packages to the innermost (smallest=6) packages. There can be up to 6 levels of packaging. If reporting only one level, provide the total quantity of the item at packaging level 6.

Note 2

There are two implied decimal points when writing the quantity. In this example, 1,000 bottles are represented as 000000100000, with the six leading zeroes as “fill” and two decimal places following the value.

Note 3

List of Unit of Measure codes applicable to EPA-Pesticide Message Sets



For a full list of applicable Unit of Measure codes, please refer to the Appendix PGA of the CATAIR.

| <i>Code</i> | <i>Description</i> |
|-------------|------------------------------------|
| AE | Aerosol |
| BO | Bottle, Non-Protected, Cylindrical |
| BQ | Bottle, Protected, Cylindrical |
| BX | Box |
| CA | Can, Rectangular |
| CX | Can, Cylindrical |
| TU | Tube |



Record Identifier PG29 (Gross/Net Unit of Measure)

This is a mandatory PGA input record that provides EPA with data pertaining to the Net or Gross Unit of Measure (UOM) of the commodity. This can be provided at the PGA Line level and/or the Individual Unit level.

| <i>Record Identifier PG29 (Input)</i> | | | | | |
|--|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “29” | |
| Unit of Measure (PGA line - net) | 3AN | 5-7 | M | Unit of Measure of the Product. For example, OZ. | 1 |
| Commodity Net Quantity (PGA line - net) | 12N | 8-19 | M | Net quantity of the product. For example, 000000028453. | 2 |
| Unit of Measure (PGA line - gross) | 3AN | 20-22 | N/A | | |
| Commodity Gross Quantity (PGA line - gross) | 12N | 23-34 | N/A | | |
| Unit of Measure (Individual Unit - net) | 3AN | 35-37 | N/A | | |
| Commodity Net Quantity (Individual Unit - net) | 12N | 38-49 | N/A | | |
| Unit of Measure (Individual Unit - gross) | 3AN | 50-52 | N/A | | |
| Commodity Gross Quantity (Individual Unit - gross) | 12N | 53-64 | N/A | | |
| Filler | 16X | 65-80 | N/A | | |

Note 1

See the table below for a list of Unit of Measure codes applicable to EPA-Registered Pesticide Message Sets.

For a full list of applicable Unit of Measure codes, please refer to the Appendix PGA of the CATAIR.

| <i>Code</i> | <i>Description</i> |
|-------------|--------------------|
| G | Gram |
| KG | Kilogram |
| MG | Milligram |



| <i>Code</i> | <i>Description</i> |
|-------------|--------------------|
| OZ | Ounces |
| OTL | Quarts |
| ML | Milliliters |
| GAL | Gallons |

Note 2

There are two implied decimal points when writing the Commodity Net Quantity. As in this example, 10,000 Oz is represented as 000001000000, with five leading zeroes as “fill” and two decimal places following the value.



Record Identifier PG04 (Gross/Net Unit of Measure)

This is an optional PGA input record that provides EPA with data pertaining to Constituent Active Ingredient Qualifier, Name of the Constituent Element, Quantity of Constituent Element, Unit of Measure, and Percent of Constituent Element. This record can be repeated.

For further guidance on the format of reporting component information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section D – Product and Component in the ACE ABI CATAIR publication.

| <i>Record Identifier PG04 (Input)</i> | | | | | |
|---|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “04” | |
| Constituent Active Ingredient Qualifier | 1A | 5 | C | Code identifying whether component identified in this record is an Active Ingredient. For example, Y. | |
| Name of the Constituent Element | 51X | 6-56 | M | The specific name of the ingredient or product/component of an ingredient. For example, DEET. | |
| Quantity of Constituent Element | 12N | 57-68 | N/A | | |
| Unit of Measure (Constituent Element) | 5AN | 69-73 | N/A | | |
| Percent of Constituent Element | 7N | 74-80 | M | “Percent of component in relations to the product. For example, 0153757. | 1 |

Note 1

There are four implied decimal points when writing the Percent of Constituent Element. As in this example, 15.3757% is represented as 0153757, with one leading zero as “fill”.

Examples of Percentages:

| | | |
|---------|---|--------|
| 1000000 | = | 100% |
| 0990000 | = | 99% |
| 0090000 | = | 9% |
| 0009000 | = | .9% |
| 0000900 | = | .09% |
| 0000090 | = | .009% |
| 0000009 | = | .0009% |



Pesticides - Devices Sample

A shipment of Victor Rat Power Killer is imported into the United States. This product does not have an EPA Registration Number.

EPA-Pesticides Data Map from Existing EPA Form 3540-1:

| | | | | | | | |
|---|--|---|--|---|--|--|--|
| | | United States Environmental Protection Agency Washington, DC 20460 | | Send Completed Form to Appropriate Regional Office Listed in the Instructions for this Form. | | OMB Control No. 2070-0020 Approval Expires 11/30/2016 | |
| Note: Read instructions before completing form. | | | | | | | |
| Part I: To Be Completed by Importer of Record or Licensed Customs Broker | | | | | | | |
| 1. Name and Complete Address of Licensed Customs Broker John Smith - Super Customs Brokerage Company 500 East 17th St. APT 100 New York, NY 10012 US Phone - 2022345678 Email - john.smith@superbrokerage.com <input type="checkbox"/> Return Form to this Address | | | | 2. Name and Complete Address of Importer of Record Jane Smith - Bug Spray Import Company 345 Newberry St. APT 203 Boston, MA 02105, US Phone - 6172345678 Email - jane.smith@bugsprayimport.com <input checked="" type="checkbox"/> Return Form to this Address | | | |
| 3. Name and Complete Address of Shipper John Reyes - Superior Shipping Company 432 Port Blvd. Lapu-Lapu City 323402486 Philippines | | | | 4. EPA Registration Number DEVICE | | 5. EPA Producer Establishment No. 012345CHN002 | |
| 7. Active Ingredients and Percentage of Each N/A | | | | 6. Brand Name of Product Victor Rat Power Killer | | | |
| 8. Unit Size 112.5 G | | 9. Quantity 1000 Boxes | | 10. Total Net Weight 112.50kg | | 11. Country of Origin China | |
| 12. Port of Entry 4601 | | | | 13. Name and Complete Address of Carrier Jay Smith - Maritime Industrial Shippers 600 Port Rd Newark, NJ 20034 US Phone - 4101123456 Email - jay.smith@maritimeshippers.com | | | |
| 14. Entry Number 988-0871234 | | 15. Anticipated Entry Date 5/22/2014 | | | | | |
| 17. Location of Goods for Examination after Importation Famous Storage and Warehouse 12345 Jersey Ave. Newark, NJ 07310 US | | | | 16. I assert that information constituting Confidential Business Information is shown in the above blocks numbered: (Note: Blocks 4, 5, 6, 7 are not entitled to CBI treatment—see instructions.) | | | |
| 18. To be Completed for Pesticides without an EPA Registration Number (The following information is optional, but may expedite processing of the Notice of Arrival. Check all that apply and provide additional information as indicated) | | | | | | | |
| <input type="checkbox"/> 18a. A pesticide transferred between registered establishments operated by the same producer. Domestic Producer Establishment Number: _____ <input type="checkbox"/> 18b. A pesticide transferred between registered establishments not operated by the same producer. Domestic Producer Establishment Number _____ EPA Registration Number of Product being Formulated, if applicable: _____ <input type="checkbox"/> 18c. A pesticide distributed under an Experimental Use Permit. Experimental Use Permit Number: _____ <input type="checkbox"/> 18d. A pesticide distributed for research and development purposes without an Experimental Use Permit. <input type="checkbox"/> 18e. A pesticide transferred solely for export. Domestic Producer Establishment Number: _____ <input type="checkbox"/> 18f. A pesticide distributed under an emergency exemption. Emergency Exemption Number: _____ <input type="checkbox"/> 18g. A pesticide transferred for the purposes of disposal. <input type="checkbox"/> 18h. Other. Provide an explanation including the intended use and a description of why the product is being imported into the United States in the Remarks (block 19). | | | | | | | |

Customs Broker: The customs broker entity information is provided within a PG19/20/21 record set.

Importer of Record: The importer entity information is provided within a PG19/20/21 record set.

Notify Party: The return form to this address party is provided within a PG55 record.

Shipper: The shipper entity information is provided within a PG19/20/21 record set.

Brand Name: The brand name of the product is provided within a PG07 record.

EPA Registration Number/Device: Device is indicated within the PG01 record by a “PS2” Government Agency Program Code.

EPA Producer Establishment Number: Provided within a PG19 record with an “EPN” entity role type.



Unit Size: Provided in a PG26. Packaging Qualifier in position 5 identifies the level based on relative quantity (1-6, where 1 is the largest quantity in the shipment).

| | | | |
|---|--------------------------------|--|---------------------|
| 19. Remarks (Provide additional information here. It is recommended that a copy of the label affixed to the product be submitted with the NOA.) | | | |
| PG24 | | | |
| Certification I certify that the statements I have made on this form and all attachments thereto are true, accurate, and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law | | | |
| 20. Printed Name of Importer of Record or Licensed Customs Broker Jane Smith | Telephone Number 6172345678 | 21. Signature of Importer of Record or Licensed Customs Broker PG22 | Date Signed PG22 |
| Part II: To Be Completed by U.S. Environmental Protection Agency | | | |
| Action to be taken by U.S. Customs and Border Protection | | | |
| <input type="checkbox"/> Release Shipment <input type="checkbox"/> Detain for Inspection <input type="checkbox"/> Release shipment to consignee under bond. Shipment must be held intact pending inspection. <input type="checkbox"/> Other (Specify) | | | |
| Remarks | | | |
| Signature and Title of EPA Official | | | Date |
| Part III: To Be Completed by U.S. Customs and Border Protection | | | |
| The information shown in Part I was compared with the entry papers for this shipment and no discrepancies were noted. The shipment was handled as instructed by EPA in Part II. Any deviations should be brought to the attention of EPA before releasing shipment and should also be noted in "Remarks." | | | |
| Remarks | | | |
| Signature of District Director of Customs | | | Date |
| Paperwork Reduction Act Notice: The estimated average time to read the instructions and complete this form is 26 minutes. Send comments regarding the burden estimate or any other aspect of this collection of information to: Director, Collection Strategies Division, Office of Environmental Information (OEI), U.S. Environmental Protection Agency (Mail Code 2822), 1200 Pennsylvania Avenue, NW, Washington, DC 20460. Include OMB number 2070-0020 in any correspondence. | | | |

Quantity: Provided in a PG26.

Total Net Weight: Provided in a PG29.

Port Code, Entry Date, Country of Origin, and Entry number: These four data elements are captured by CBP Entry data and will not be reported in the PGA Message Set.

Carrier: The carrier entity information is provided within a PG19/20/21 record set.

Location of Goods for Examination after importation: The storage location entity information is provided within a PG19/20/21 record set.

CBI Indicator: Location 14 of the PG01 record is

reserved for indicating the presence of CBI.

Box 18: This optional supplemental information is provided within a PG24 record.

Remarks: Remarks are provided within a PG24 record with a "GEN" qualifier in positions 5-7.

Certification Statement: The certification statement is represented by the code "EP3" in spaces 21 to 23 on the PG22 line.

Signature: The signature of the individual certifying the PGA Data is found on the PG22 line, represented by the code "Y".

Printed Name: Printed name (certifying individual) information is represented by a PG 19, 20, and 21 set.



Record Identifier OI (Input)

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

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



Record Identifier PG01 (PGA Identifier)

This is a mandatory PGA input record that provides EPA with data pertaining to the PGA Line Number, Government Agency Code, Government Agency Program Code, Electronic Image qualifier, and Intended Use Code.

| Record Identifier PG01 (Input) | | | | | |
|---|---------------------|-----------------|---------------|---|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “01” | |
| PGA Line Number | 3N | 5-7 | M | “001” | |
| Government Agency Code | 3AN | 8-10 | M | “EPA” | |
| Government Agency Program Code | 3X | 11-13 | M | “PS2” | |
| Government Agency Processing Code | 3AN | 14-16 | N/A | | |
| Electronic Image Submitted | 1A | 17 | M | Code declaring an image has been submitted via DIS. For example, Y. | 1 |
| Confidential Information Indicator | 1A | 18 | C | Code declaring confidential information was included in the filing. For example, Y. | 2 |
| Globally Unique Product Identification Code Qualifier | 4AN | 19-22 | N/A | | |
| Globally Unique Product Identification Code | 19X | 23-41 | N/A | | |
| Intended Use Code | 16X | 42-57 | N/A | | |
| Intended Use Description | 22X | 58-79 | N/A | | |
| Disclaimer | 1A | 80 | C | Code declaring filing does not require a PGA Message Set. For Example, A. | 3 |

Note 1

At least one image, pesticides label, must be submitted to DIS. The image must be filed before its correlating Entry/ PGA Message Set.

Note 2

The confidential information indicator is a singular code of ‘Y’ indicating that all applicable data elements, except those which cannot be declared Confidential Business Information (CBI) by



EPA regulation, are considered CBI. If a “Y” is indicated, comments should be provided in a PG24 line.

| <i>Non applicable data elements</i> | <i>PGA Record Location</i> |
|---|----------------------------|
| EPA Registration Number | PG14 |
| Producer Establishment Number | PG19 |
| Brand Name of Product | PG07 |
| Major Active Ingredients and Percentage of Each | PG02 / PG04 group |

Note 3

A code indicating the reason the PGA message set is being disclaimed and not provided. Valid codes are:

- A = product is not regulated by this agency
- B = data is not required per agency guidance
- C = data filed through other agency means
- D = data filed through paper

Codes A and B are NOT allowed if the HTS is flagged as 'Must Be' provided.



Record Identifier PG02 (Product Identifier)

This mandatory PGA input record which is used to indicate whether the information being provided relates to a product (P) or a component (C) of a product. All Pesticide Device Message Sets require one (1) PG02 record identifying the product.

| Record Identifier PG02 (Input) | | | | | |
|---------------------------------------|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “02” | |
| Item Type | 1A | 5 | M | Identifies the following records as pertaining to the product or a component of the product. For example, P. | 1 |
| Product Code Qualifier | 4AN | 6-9 | N/A | | |
| Product Code Number | 19X | 10-28 | N/A | | |
| Product Code Qualifier | 4AN | 29-32 | N/A | | |
| Product Code Number | 19X | 33-51 | N/A | | |
| Product Code Qualifier | 4AN | 52-55 | N/A | | |
| Product Code Number | 19X | 56-74 | N/A | | |
| Filler | 6X | 75-80 | M | Space fill. | |

Note 1

List of Item Type codes applicable to EPA Pesticide-Devices Message Sets

| Data Element | Code | Description |
|---------------------|-------------|--------------------|
| Item Type | P | Product |
| | C | Component |



Record Identifier PG07 (Product Details)

This is a Mandatory PGA input record that provides EPA with data pertaining to the Trade or Brand Name of the product. When filing a PGA Message Set for Pesticide - Devices, one (1) PG07 record containing the Trade/Brand name is required.

| <i>Record Identifier PG07 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “07” | |
| Trade Name/Brand Name | 35X | 5-39 | M | Free-form description of the product Trade/Brand name. For example, VICTOR RAT POWER KILLER. | |
| Model | 15X | 40-54 | N/A | | |
| Manufacture Month and Year | 6N | 55-60 | N/A | | |
| Item Identity Number Qualifier | 3AN | 61-63 | N/A | | |
| Item Identity Number | 17X | 64-80 | N/A | | |

Record Identifier PG19 (Entity)

This is a mandatory PGA input record that provides EPA with data pertaining to Entity Role, Entity Identification, Entity Name, and Entity Street Address. This record is mandatory when providing Entity Information. For Pesticide - Devices, a minimum of six (6) entities must be identified: Agent/Broker, Importer/Consignee, Shipper, EPA Producer Establishment No., Carrier, and Location of Goods.

For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section C (Data Rules and Record Relationships in the PGA Message Set) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG19 (Input)</i> | | | | | |
|---------------------------------------|---------------------|-----------------|---------------|---|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “19” | |
| Entity Role Code | 3AN | 5-7 | M | Code identifying the Role of an Entity. For example, EPN. | 1 |
| Entity Identification Code | 3AN | 8-10 | N/A | | |
| Entity Number | 15X | 11-25 | C | ID number assigned to an Entity. For example, 012345CHN002. | 2 |
| Entity Name | 32X | 26-57 | C | Entity name, such as a company. For example, SUPER CUSTOMS BROKERAGE COMPANY. | 3 |
| Entity Address 1 | 23X | 58-80 | C | Address of Entity. For example, 500 EAST 17TH STREET. | 3 |

Note 1

List of Entity Role codes applicable to EPA Pesticide Device Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------------------|
| Entity Role Codes | IM | Importer |
| | OV | Carrier |
| | DEQ | Shipper |
| | EPN | EPA Producer Establishment Number |
| | LG | Location of Goods |
| | CB | Customs Broker |

Note 2

Entity Number field is required when the Entity Role code is ‘EPN’

Note 3



Entity Name and Entity Address 1 fields are required with all Entity Role codes except 'EPN'



Record Identifier PG20 (Address)

This is a conditional PGA input record that provides EPA with additional data pertaining to the Entity identified in the preceding PG19 record; such as: Entity Address line 2, Apartment/Suite, City, State, and Zip/Postal Code. A PG20 record cannot stand on its own, and must always follow a PG19. A PG20 record is mandatory for these specific entities: Importer, Carrier, Shipper, Location of Goods, and Broker.

| Record Identifier PG20 (Input) | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|-------------------------------------|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “20” | |
| Entity Address 2 | 32X | 5-36 | C | For example, PESTICIDES DEPARTMENT. | |
| Entity Apartment Number/Suite Number | 5X | 37-41 | C | For example, 100. | |
| Entity City | 21X | 42-62 | M | For example, NEW YORK | |
| Entity State/Province | 3AN | 63-65 | M | For example, NY. | |
| Entity Country | 2A | 66-67 | M | For example, US. | |
| Entity Zip/Postal Code | 9X | 68-76 | M | For example, 10012. | |
| Filler | 4X | 77-80 | M | Space fill. | |

Record Identifier PG21 (Point of Contact)

This is a mandatory PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address. A PG21 record is required for these specific entities: Importer, Carrier, Shipper, and Broker. Additional PG21 records are optional, and may be included at the discretion of the filer to provide information for additional Entities.

For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section C (Data Rules and Record Relationships in the PGA Message Set) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying the Role of the Entity POC. For example, CB. | 1 |
| Individual Name | 23X | 8-30 | M | Entity Point of contact name. For example, JOHN SMITH. | |
| Telephone Number of the Individual | 15X | 31-45 | M | Entity Point of contact phone number. For example, 2022345678. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | M | Entity Point of contact email. For example, JOHN.SMITH@SUPERBROKERAGE.COM. | |

Note 1

List of Entity Role codes applicable to EPA Pesticide-Devices Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
| Entity Role Codes | IM | Importer |
| | OV | Carrier |
| | DEQ | Shipper |
| | LG | Location of Goods |
| | CB | Customs Broker |

Record Identifier PG55 (Additional Roles)

This is a mandatory PGA input record used to provide additional roles performed by an Entity or individual previously listed in a PG19. When filing a PGA Message Set for a Pesticide Device, a minimum of one (1) PG55 record is required to capture the Notifying Party and Certifying Individual. Additional PG55 records are optional and may be included at the discretion of the filer to provide additional Entity Roles.

For further guidance on the use of the PG55 record in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section D (Data Reporting) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG55 (Input)</i> | | | | | |
|---------------------------------------|--------------|----------|--------|--|------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “55” | 1 |
| Entity Role Code | 3AN | 5-7 | M | Code identifying the Role of the Entity. For example, NP. | 1 |
| Entity Role Code | 3AN | 8-10 | M | Code identifying the Role of the Entity. For example, CI. | 1 |
| Entity Role Code | 3AN | 11-13 | C | Code identifying the Role of the Entity. For example, DEQ. | 1 |
| Entity Role Code | 3AN | 14-16 | C | Code identifying the Role of the Entity. For example, IM. | 1 |
| Entity Role Code | 3AN | 17-19 | C | Code identifying the Role of the Entity. For example, LG. | 1 |
| Entity Role Code | 3AN | 20-22 | C | Code identifying the Role of the Entity. For example, CB. | 1 |
| Entity Role Code | 3AN | 23-25 | C | Code identifying the Role of the Entity. For example, OV. | 1 |
| Entity Role Code | 3AN | 26-28 | N/A | | |
| Entity Role Code | 3AN | 29-31 | N/A | | |
| Entity Role Code | 3AN | 32-34 | N/A | | |
| Filler | 46X | 35-80 | M | Spaces fill. | |

Note 1

List of Entity Role codes applicable to EPA Pesticide-Devices Message Sets

| Data Element | Code | Description |
|-------------------|------|-----------------------|
| Entity Role Codes | IM | Importer |
| | OV | Carrier |
| | DEQ | Shipper |
| | LG | Location of Goods |
| | CI | Certifying Individual |



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
| | CB | Customs Broker |
| | NP | Notify Party |



Record Identifier PG22 (Document Identifier / Certification)

This is a mandatory PGA input record that provides EPA with data pertaining to Importers' Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications.

| <i>Record Identifier PG22 (Input)</i> | | | | | |
|--|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | "PG" | |
| Record Type | 2N | 3-4 | M | "22" | |
| Importers Substantiating Signed Document /Signed Confirmation Letter | 1A | 5 | N/A | | |
| Document Identifier | 7AN | 6-12 | M | "944" This is the only acceptable document identifier for EPA Pesticides. | 1 |
| Conformance Declaration | 5X | 13-17 | N/A | | |
| Entity Role Code | 3AN | 18-20 | M | "CI" | |
| Declaration Code | 4AN | 21-24 | M | "EP3" This is the only acceptable declaration code for EPA Pesticides. It specifically refers to the certification statement from the EPA Form 3540-1. | 2 |
| Declaration Certification | 1A | 25 | M | Designates that the information provided is correct and all required documents have been provided. For example, Y. | |
| Date of Signature | 8N | 26-33 | M | The format for 'Date of Signature is 2-digit Month, 2-digit day, and four-digit Year (MMDDYYYY) For example, 02112014, is February, 11 2014. | |
| Invoice Number | 17X | 34-50 | N/A | | |
| Compliance Description | 30X | 51-80 | N/A | | |

Note 1

List of Document Identifiers applicable to EPA Pesticide-Devices Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|----------------------|-------------|--------------------|
| Document Identifiers | 944 | EPA 3540-1 |

Note 2

List of Declaration codes applicable to EPA Pesticide-Devices Message Sets



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------------------------|
| Declaration Codes | EP3 | Certification Statement (EPA 3540-1) |



Record Identifier PG24 (Remarks)

This is an optional PGA input record that provides EPA with data pertaining to the Notice of Arrival (NOA) Form for Pesticide Devices.

| <i>Record Identifier PG24 (Input)</i> | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|---|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “24” | |
| Remarks Type Code | 3AN | 5-7 | O | Pesticides remark type code. For example, GEN. | 1 |
| Remarks Code | 5AN | 8-12 | N/A | | |
| Remarks Text | 68X | 13-80 | O | Free-form remarks text field. For example, PESTICIDES REMARK. | |

Note 1

List of Remarks Type Codes applicable to EPA Pesticide Device Message Sets
 If EP5 or GEN is used, the “Remarks Text” field is required for further explanation.

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|---|
| Remarks Type Codes | EP5 | EPA Notice of Arrival of Pesticides and Devices |
| | GEN | General Remarks |

Record Identifier PG26 (Packaging Qualifier)

This is a mandatory PGA input record that provides EPA with data pertaining to Packaging Qualifier, Quantity, Unit of Measure, Package Identifier, Packaging Method, Package Material, and Packaging Filler. This record can be repeated up to six (6) times; once for each unique packaging level. The first record is used to describe the largest (outermost) container and the number of containers at this packaging level. The second record is used to describe the contents of the next largest container. If needed, qualifiers 3-6 are used in a similar manner (largest to smallest container). The final record must describe the actual amount of the product in the smallest container.

When using multiple PG26 records to report different package sizes of the same product, there is no mandated order for packaging qualifier, i.e. packaging levels can go from largest to smallest, smallest to largest, or out of order.

| <i>Record Identifier PG26 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “26” | |
| Packaging Qualifier | 1N | 5 | M | Code identifying the level of packaging. For example, 2. | 1 |
| Quantity | 12N | 6-17 | M | “Quantity of the packaging level, For example, 000000011250. | 2 |
| Unit of Measure (Packaging Level) | 5X | 18-22 | M | Type of packaging / packaging level. For example, G. | 3 |
| Package Identifier | 25X | 23 - 47 | N/A | | |
| Packaging Method | 3AN | 48-50 | N/A | | |
| Package Material | 15X | 51-65 | N/A | | |
| Package Filler | 15X | 66-80 | N/A | | |

Note 1

This code identifies the level of packaging for the product. Outermost (largest=1) packages to the innermost (smallest=6) packages. There can be up to 6 levels of packaging. If reporting only one level, provide the total quantity of the item at packaging level 6.

Note 2

There are two implied decimal points when writing the quantity. In this example, 112.50 grams are represented as 000000011250, with the six leading zeroes as “fill” and two decimal places following the value.

Note 3

List of Unit of Measure codes applicable to EPA-Pesticide Message Sets



For a full list of applicable Unit of Measure codes, please refer to the Appendix PGA of the CATAIR.

| <i>Code</i> | <i>Description</i> |
|-------------|------------------------------------|
| G | Grams |
| KG | Kilograms |
| AE | Aerosol |
| BO | Bottle, Non-Protected, Cylindrical |
| BQ | Bottle, Protected, Cylindrical |
| BX | Box |
| CA | Can, Rectangular |
| CX | Can, Cylindrical |
| TU | Tube |



Record Identifier PG29 (Gross/Net Unit of Measure)

This is a mandatory PGA input record that provides EPA with data pertaining to the Net or Gross Unit of Measure (UOM) of the commodity. This can be provided at the PGA Line level and/or the Individual Unit level.

| <i>Record Identifier PG29 (Input)</i> | | | | | |
|--|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “29” | |
| Unit of Measure (PGA line - net) | 3AN | 5-7 | M | Unit of Measure of the Product. For example, KG. | 1 |
| Commodity Net Quantity (PGA line - net) | 12N | 8-19 | M | Net quantity of the product. For example, 000000011250. | 2 |
| Unit of Measure (PGA line - gross) | 3AN | 20-22 | N/A | | |
| Commodity Gross Quantity (PGA line - gross) | 12N | 23-34 | N/A | | |
| Unit of Measure (Individual Unit - net) | 3AN | 35-37 | N/A | | |
| Commodity Net Quantity (Individual Unit - net) | 12N | 38-49 | N/A | | |
| Unit of Measure (Individual Unit - gross) | 3AN | 50-52 | N/A | | |
| Commodity Gross Quantity (Individual Unit - gross) | 12N | 53-64 | N/A | | |
| Filler | 16X | 65-80 | N/A | | |

Note 1

See the table below for a list of Unit of Measure codes applicable to EPA-Registered Pesticide Message Sets.

For a full list of applicable Unit of Measure codes, please refer to the Appendix PGA of the CATAIR.

| <i>Code</i> | <i>Description</i> |
|-------------|--------------------|
| G | Gram |
| KG | Kilogram |
| MG | Milligram |



| <i>Code</i> | <i>Description</i> |
|-------------|--------------------|
| OZ | Ounces |
| OTL | Quarts |
| ML | Milliliters |
| GAL | Gallons |

Note 2

There are two implied decimal points when writing the Commodity Net Quantity. As in this example, 112.50 kg is represented as 000000011250, with the seven leading zeroes as “fill” and two decimal places following the value.



Pesticides - Other Sample

A shipment of L-Glutathione is imported into the United States for Research and development, without an experimental use permit. This product does not have an EPA registration number.

EPA-Pesticides Data Map from Existing EPA Form 3540-1:

| | | | | | | | |
|--|--|---|--|--|--|--|--|
| | | United States Environmental Protection Agency Washington, DC 20460 | | Send Completed Form to Appropriate Regional Office Listed in the Instructions for this Form. | | OMB Control No. 2070-0020 Approval Expires 11/30/2016 | |
| Notice of Arrival of Pesticides and Devices | | | | | | | |
| Note: Read instructions before completing form. | | | | | | | |
| Part I: To Be Completed by Importer of Record or Licensed Customs Broker | | | | | | | |
| 1. Name and Complete Address of Licensed Customs Broker John Smith - Super Customs Brokerage Company 500 East 17th Street APT 100 New York, NY 10012 US Phone: (202) 234-5678 Email: john.smith@superbrokerage.com PG19/20/21 | | | | 2. Name and Complete Address of Importer of Record Jane Smith - Bug Spray Import Company 345 Newberry Street APT 203 Boston, MA 02105 US Phone: 6172345678 Email: jane.smith@bugsprayimport.com PG19/20/21 | | | |
| <input type="checkbox"/> Return Form to this Address | | | | <input checked="" type="checkbox"/> Return Form to this Address | | | |
| 3. Name and Complete Address of Shipper John Reyes - Superior Shipping Company 432 Port Blvd Lapu-Lapu City Philippines323402486 Phone: +63 324115800 Email: john.reyes@superiorshipping.ph PG19/20/21 | | | | 4. EPA Registration Number Other PG01 | | 5. EPA Producer Establishment No. 01234CHN002 PG19 | |
| | | | | 6. Brand Name of Product L-Glutathione PG07 | | | |
| 7. Active Ingredients and Percentage of Each L-Glutathione - 100% PG02/04 | | | | | | | |
| 8. Unit Size .75 Kg PG26 | | 9. Quantity 2 bottles PG26 | | 10. Total Net Weight 1.5 Kg PG29 | | 11. Country of Origin China Entry Data | |
| 12. Port of Entry 6544 Entry Data | | | | 13. Name and Complete Address of Carrier Jay Smith - Maritime Industrial Shippers 500 E. 17th Street APT 500 New York, NY 10012 US Phone: 202-345-6789 Email: jay.smith@maritimeshippers.com PG19/20/21 | | | |
| 14. Entry Number 345-24567865 Entry Data | | 15. Anticipated Entry Date 5/11/2014 Entry Data | | | | | |
| 17. Location of Goods for Examination after Importation Famous Storage and Warehouse 12345 Jersey AVE Newark, NJ 07310 US PG19/20/21 | | | | 16. I assert that information constituting Confidential Business Information is shown in the above blocks numbered: (Note: Blocks 4, 5, 6, 7 are not entitled to CBI treatment-see Instructions) N/A PG01 | | | |
| 18. To Be Completed for Pesticides without an EPA Registration Number (The following information is optional, but may expedite processing of the Notice of Arrival. Check all that apply and provide additional information as indicated). | | | | | | | |
| <input type="checkbox"/> 18a. A pesticide transferred between registered establishments operated by the same producer. Domestic Producer Establishment Number: _____ | | | | | | | |
| <input type="checkbox"/> 18b. A pesticide transferred between registered establishments not operated by the same producer. Domestic Producer Establishment Number: _____ EPA Registration Number of Product being Formulated, if applicable: _____ | | | | | | | |
| <input checked="" type="checkbox"/> 18c. A pesticide distributed under an Experimental Use Permit. Experimental Use Permit Number: PG24 | | | | | | | |
| <input type="checkbox"/> 18d. A pesticide distributed for research and development purposes without an Experimental Use Permit. | | | | | | | |
| <input type="checkbox"/> 18e. A pesticide transferred solely for export. Domestic Producer Establishment Number: _____ | | | | | | | |
| <input type="checkbox"/> 18f. A pesticide distributed under an emergency exemption. Emergency Exemption Number: _____ | | | | | | | |
| <input type="checkbox"/> 18g. A pesticide transferred for the purposes of disposal. | | | | | | | |
| <input type="checkbox"/> 18h. Other. Provide an explanation including the intended use and a description of why the product is being imported into the United States in the Remarks (block 19). | | | | | | | |

Customs Broker: The customs broker entity information is provided within a PG19/20/21 record set.

Importer of Record: The importer entity information is provided within a PG19/20/21 record set.

Notify Party: The return form to this address party is provided within a PG55 record.

Shipper: The shipper entity information is provided within a PG19/20/21 record set.

Brand Name: The brand name of the product is provided within a PG07 record.

EPA Registration Number/Other: Other is indicated within the PG01 record by a "PS3" Government Agency Program Code.

EPA Producer Establishment Number: Provided within a PG19 record with an "EPN" entity role type.



Active Ingredients: Provided in separate PG04 records immediately after a PG02 that identifies the component (“C”) by its CAS number.

Unit Size: Provided in a PG26. Packaging Qualifier in position 5 identifies the level based on relative quantity (1-6, where 1 is the largest quantity in the shipment). Positions 8-9 are reserved for Unit of Measure.

Quantity: Provided in a PG26.

Total Net Weight: Provided in a PG29. Positions 5-6 are reserved for Unit of Measure.

Port Code, Entry Date, Country of Origin, and Entry number: These four data elements are captured by CBP Entry data and will not be reported in the PGA Message Set.

Carrier: The carrier entity information is provided within a PG19/20/21 record set.

Location of Goods for Examination after importation: The storage location entity information is provided within a PG19/20/21 record set.

CBI Indicator: Location 14 of the PG01 record is reserved for indicating

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| | | | |
|---|--|------------------|--|
| 19. Remarks (Provide additional information here. It is recommended that a copy of the label affixed to the product be submitted with the NOA.) | | | |
| N/A | | PG24 | |
| Certification I certify that the statements I have made on this form and all attachments thereto are true, accurate, and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law | | | |
| 20. Printed Name of Importer of Record or Licensed Customs Broker | | Telephone Number | 21. Signature of Importer of Record or Licensed Customs Broker |
| Jane Smith | | (617) 234-5678 | |
| PG21 | | PG21 | PG22 |
| Date Signed | | | |
| PG22 | | | |
| Part II: To Be Completed by U.S. Environmental Protection Agency | | | |
| Action to be taken by U.S. Customs and Border Protection | | | |
| <input type="checkbox"/> Release Shipment <input type="checkbox"/> Detain for Inspection <input type="checkbox"/> Release shipment to consignee under bond. Shipment must be held intact pending inspection. | | | |
| <input type="checkbox"/> Other (Specify) | | | |
| Remarks | | | |
| Signature and Title of EPA Official | | | Date |
| Part III: To Be Completed by U.S. Customs and Border Protection | | | |
| The information shown in Part I was compared with the entry papers for this shipment and no discrepancies were noted. The shipment was handled as instructed by EPA in Part II. Any deviations should be brought to the attention of EPA before releasing shipment and should also be noted in "Remarks." | | | |
| Remarks | | | |
| Signature of District Director of Customs | | | Date |
| Paperwork Reduction Act Notice: The estimated average time to read the instructions and complete this form is 26 minutes. Send comments regarding the burden estimate or any other aspect of this collection of information to: Director, Collection Strategies Division, Office of Environmental Information (OEI), U.S. Environmental Protection Agency (Mail Code 2822), 1200 Pennsylvania Avenue, NW, Washington, DC 20460. Include OMB number 2070-0020 in any correspondence. | | | |

the presence of CBI.

Box 18: This optional supplemental information is provided within a PG24 record.

Remarks: Remarks are provided within a PG24 record with a “GEN” qualifier in positions 5-7.



Because of the flexibility of the PGA Message Set, the PGA Records and Data Elements that are required may vary both from program to program and within a single program. For a more expansive set of examples of EPA PGA Message Sets, please refer to the document *EPA PGA Message Set Samples Pilot Programs*.



Record Identifier OI (Input)

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

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



Record Identifier PG01 (PGA Identifier)

This is a mandatory PGA input record that provides EPA with data pertaining to the PGA Line Number, Government Agency Code, Government Agency Program Code, Electronic Image qualifier, and Intended Use Code.

| Record Identifier PG01 (Input) | | | | | |
|---|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “01” | |
| PGA Line Number | 3N | 5-7 | M | “001” | |
| Government Agency Code | 3AN | 8-10 | M | “EPA” | |
| Government Agency Program Code | 3X | 11-13 | M | “PS3” | 1 |
| Government Agency Processing Code | 3AN | 14-16 | N/A | | |
| Electronic Image Submitted | 1A | 17 | M | Identifying whether an image has been submitted via DIS. For example, Y. | 2 |
| Confidential Information Indicator | 1A | 18 | C | Identifying whether confidential information was included in the filing. For example, Y. | 3 |
| Globally Unique Product Identification Code Qualifier | 4AN | 19-22 | N/A | | |
| Globally Unique Product Identification Code | 19X | 23-41 | N/A | | |
| Intended Use Code | 16X | 42-57 | C | The code indicating the intended use base code of the product followed by the intended use sub code. For example, 130.299 (For valid codes, refer to CATAIR Appendix R Intended Use Codes.) | |
| Intended Use Description | 22X | 58-79 | N/A | | |
| Disclaimer | 1A | 80 | C | Code declaring filing does not require a PGA Message Set. For Example, A. | 4 |

Note 1

List of Government Agency Program Codes applicable when filing a PGA Message Set for Pesticides Form 3540-1.



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------------------|-------------|-----------------------|
| Government Agency Program Codes | PS1 | Registered Pesticides |
| | PS2 | Pesticides – Devices |
| | PS3 | Pesticides – Other |

Note 2

At least one image, pesticides label, must be submitted to DIS. The image must be filed before its correlating Entry/ PGA Message Set.

Note 3

The confidential information indicator is a singular code of ‘Y’ indicating that all applicable data elements, except those which cannot be declared CBI by EPA regulation, are considered Confidential Business Information (CBI). If a “Y” is indicated, comments should be provided in a PG24 line.

| <i>Non applicable data elements</i> | <i>PGA Record Location</i> |
|---|----------------------------|
| EPA Registration Number | PG14 |
| Producer Establishment Number | PG19 |
| Brand Name of Product | PG07 |
| Major Active Ingredients and Percentage of Each | PG02 / PG04 group |

Note 4

A code indicating the reason the PGA message set is being disclaimed and not provided. Valid codes are:

- A = product is not regulated by this agency
- B = data is not required per agency guidance
- C = data filed through other agency means
- D = data filed through paper

Codes A and B are NOT allowed if the HTS is flagged as 'Must Be' provided.



Record Identifier PG02 (Product Identifier)

This mandatory PGA input record which is used to indicate whether or not the information being provided relates to a product (P) or a component (C) of a product. All Pesticides - Other Message Sets require one (1) PG02 record designating the product.

| Record Identifier PG02 (Input) | | | | | |
|---------------------------------------|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “02” | |
| Item Type | 1A | 5 | M | Identifies the following records as pertaining to the product or a component of the product. For example, P. | 1 |
| Product Code Qualifier | 4AN | 6-9 | C | Product Code Qualifier identifying the type of product code number. For example, CAS. | 2 |
| Product Code Number | 19X | 10-28 | C | “Product Code number identified by the Product Code Qualifier. For example, 17-18-8. | 3 |
| Product Code Qualifier | 4AN | 29-32 | N/A | | |
| Product Code Number | 19X | 33-51 | N/A | | |
| Product Code Qualifier | 4AN | 52-55 | N/A | | |
| Product Code Number | 19X | 56-74 | N/A | | |
| Filler | 6X | 75-80 | M | Space fill. | |

Note 1

List of Item Type codes applicable to EPA-Registered Pesticide Message Sets

| Data Element | Code | Description |
|---------------------|-------------|--------------------|
| Item Type | P | Product |
| | C | Component |

Note 2

List of LPCO Transaction Type codes applicable to EPA-Pesticide Message Sets

| Data Element | Code | Description |
|------------------------|-------------|----------------------------------|
| Product Code Qualifier | CAS | Chemical Abstract Service Number |
| | PC | Pesticides Control Number |



Note 3

If the Product is comprised of a singular chemical component, then all reported data should be at the product level. If the product is comprised of multiple chemical components than reported data for the components of the product should be provided at the Component level. If an EPA Registration Number was provided, or the product is a device, the product codes may be left blank. To expedite review of the NOA, it is recommended that each active ingredient be listed to ensure accuracy of information.



Record Identifier PG24 (Remarks)

This is an optional PGA input record that provides EPA with data pertaining to the Notice of Arrival (NOA) for Pesticides form.

| <i>Record Identifier PG24 (Input)</i> | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|---|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “24” | |
| Remarks Type Code | 3AN | 5-7 | O | Pesticides remark type code. For example, GEN. | 1 |
| Remarks Code | 5AN | 8-12 | O | Remarks Code providing additional information for unregistered pesticides. For Example, RD. | |
| Remarks Text | 68X | 13-80 | O | Free-form remarks text field. For example, PESTICIDES REMARK. | 2 |

Note 1

List of Remarks Type Codes applicable to EPA-Pesticide Message Sets

If GEN is used, the “Remarks Text” field is required for further explanation. If EP5 is used, the “Remarks Code” field is required, and the “Remarks Text Field” is for further explanation.

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|---|
| Remarks Type Codes | EP5 | EPA Notice of Arrival of Pesticides and Devices |
| | GEN | General Remarks |

Note

List of Remarks Codes applicable to EPA-Pesticide Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--|
| Remarks Codes | EUP | Experimental Use Permit |
| | RD | Research and Development (experimental use permit not required) |
| | EEX | Emergency Exemption |
| | REX | Re-export (import for export) |
| | DSP | Disposal |
| | TR1 | Transfer between Registered Establishments. operated by same producer |
| | TR2 | Transfer between Registered Establishments operated by different producers |



| | | |
|--|-----|--|
| | OTR | Other, provide remarks including the intended use and description of why product is being imported |
|--|-----|--|



Record Identifier PG04 (Gross/Net Unit of Measure)

This is an optional PGA input record that provides EPA with data pertaining to Constituent Active Ingredient Qualifier, Name of the Constituent Element, Quantity of Constituent Element, Unit of Measure, and Percent of Constituent Element. This record can be repeated.

For further guidance on the format of reporting component information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section D – Product and Component in the ACE ABI CATAIR publication.

| <i>Record Identifier PG04 (Input)</i> | | | | | |
|---|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “04” | |
| Constituent Active Ingredient Qualifier | 1A | 5 | C | Code identifying whether component identified in this record is an Active Ingredient. For example, Y. | |
| Name of the Constituent Element | 51X | 6-56 | C | The specific name of the ingredient or product/component of an ingredient. For example, DEET. | |
| Quantity of Constituent Element | 12N | 57-68 | N/A | | |
| Unit of Measure (Constituent Element) | 5AN | 69-73 | N/A | | |
| Percent of Constituent Element | 7N | 74-80 | M | “Percent of component in relations to the product. For example, 1000000. | 1 |

Note 1

There are four implied decimal points when writing the Percent of Constituent Element. As in this example, 100% is represented as 1000000.

Examples of Percentages:

| | | |
|---------|---|--------|
| 1000000 | = | 100% |
| 0990000 | = | 99% |
| 0090000 | = | 9% |
| 0009000 | = | .9% |
| 0000900 | = | .09% |
| 0000090 | = | .009% |
| 0000009 | = | .0009% |



Record Identifier PG07 (Product Details)

This is a Mandatory PGA input record that provides EPA with data pertaining to the Trade or Brand Name of the product. When filing a PGA Message Set for Pesticide - Other, one (1) PG07 record containing the Trade/Brand name is required.

| <i>Record Identifier PG07 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “07” | |
| Trade Name/Brand Name | 35X | 5-39 | M | Free-form description of the product Trade/Brand name. For example, L-Glutathione. | |
| Model | 15X | 40-54 | N/A | | |
| Manufacture Month and Year | 6N | 55-60 | N/A | | |
| Item Identity Number Qualifier | 3AN | 61-63 | N/A | | |
| Item Identity Number | 17X | 64-80 | N/A | | |



Record Identifier PG14 (License, Permits, Certificates, or Other)

This is an Optional PGA input record which provides EPA with data pertaining to License, Permits, Certificates, or Other. When filing a PGA Message Set for Pesticides - Other, it is **not** required to provide “Other” as in the paper form.

| <i>Record Identifier PG14 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “14” | |
| LPCO Transaction Type | 1N | 5 | O | | |
| LPCO Type | 3AN | 6-8 | O | Code identifying the type of LPCO. For example, EP6. | 1 |
| LPCO Number (or Name) | 33X | 9-41 | O | LPCO number. For example, 12-20 (Emergency exception number). | |
| LPCO Date Qualifier | 1N | 42 | N/A | | |
| LPCO Date | 8N | 43-50 | N/A | | |
| LPCO Quantity | 16N | 51-66 | N/A | | |
| LPCO Unit of Measure | 5AN | 67-71 | N/A | | |
| Exemption Code | 9X | 72-80 | N/A | | |

Note 1

List of LPCO Transaction codes applicable to EPA-Registered Pesticide Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---|-------------|---|
| LPCO Transaction Codes (Describes the type of license, permit, certificate, or other) | EP8 | EPA Registration Number (includes FIFRA section 3, 5, 18, 24(c) and distributor products) |

Record Identifier PG19 (Entity)

This is a mandatory PGA input record that provides EPA with data pertaining to Entity Role, Entity Identification, Entity Name, and Entity Street Address. This record is mandatory when providing Entity Information. For Registered Pesticides, a minimum of six (6) entities must be identified: Agent/Broker, Importer/Consignee, Shipper, EPA Producer Establishment No., Carrier, Location of Goods, and Certifying Individual.

For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section C (Data Rules and Record Relationships in the PGA Message Set) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG19 (Input)</i> | | | | | |
|---------------------------------------|--------------|----------|--------|--|------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “19” | |
| Entity Role Code | 3AN | 5-7 | M | Code identifying the Role of the Entity. For example, CB. | 1 |
| Entity Identification Code | 3AN | 8-10 | N/A | | |
| Entity Number | 15X | 11-25 | C | ID number assigned to an Entity. For example, 012345CHN002. | 2 |
| Entity Name | 32X | 26-57 | C | Entity name such as a company. For Example, SUPER CUSTOMS BROKERAGE COMPANY. | 3 |
| Entity Address 1 | 23X | 58-80 | C | Address of Entity. For example 500 EAST 17TH STREET. | 3 |

Note 1

List of Entity Role codes applicable to EPA-Registered Pesticide Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------------------|
| Entity Role Codes | IM | Importer |
| | OV | Carrier |
| | DEQ | Shipper |
| | EPN | EPA Producer Establishment Number |
| | LG | Location of Goods |
| | CB | Customs Broker |

Note 2

Entity Number field is required when the Entity Role code is ‘EPN’

Note 3

Entity Name and Entity Address 1 fields are required with all Entity Role codes except ‘EPN’



Record Identifier PG20 (Address)

This is a conditional PGA input record that provides EPA with additional data pertaining to the Entity identified in the preceding PG19 record; such as Entity Address line 2, Apartment/Suite, City, State, and Zip/Postal Code. A PG20 record cannot stand on its own and must always follow a PG19. A PG20 record is mandatory for these specific entities: Importer, Carrier, Shipper, Location of Goods, and Broker.

| Record Identifier PG20 (Input) | | | | | |
|---------------------------------------|--------------------------|-----------------|---------------|------------------------------------|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “20” | |
| Entity Address 2 | 32X | 5-36 | C | For example, PESTICIDE DEPARTMENT. | |
| Entity Apartment Number/Suite Number | 5X | 37-41 | C | For example, 100. | |
| Entity City | 21X | 42-62 | M | For example, NEW YORK | |
| Entity State/Province | 3AN | 63-65 | M | For example, NY. | |
| Entity Country | 2A | 66-67 | M | For example, US. | |
| Entity Zip/Postal Code | 9X | 68-76 | M | For example, 10012. | |
| Filler | 4X | 77-80 | M | Space fill. | |

Record Identifier PG21 (Point of Contact)

This is a conditional PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address. A PG21 record is required for these specific entities: Importer, Carrier, Shipper, and Broker. Additional PG21 records are optional and may be included at the discretion of the filer to provide additional Entity Information for additional Entities.

For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section C (Data Rules and Record Relationships in the PGA Message Set) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|---------------------|-----------------|---------------|--|-------------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying the Role of the Entity POC. For example, CB. | 1 |
| Individual Name | 23X | 8-30 | M | Entity Point of contact name. For example, JOHN SMITH. | |
| Telephone Number of the Individual | 15X | 31-45 | M | Entity Point of contact phone number. For example, 2022345678. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | M | Entity Point of contact email. For example, JOHN.SMITH@SUPERBROKERAGE.COM. | |

Note 1

List of Entity Role codes applicable to EPA-Registered Pesticide Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
| Entity Role Codes | IM | Importer |
| | OV | Carrier |
| | DEQ | Shipper |
| | LG | Location of Goods |
| | CB | Customs Broker |



Record Identifier PG55 (Additional Roles)

This is a Mandatory PGA input record used to provide additional roles performed by an Entity or individual previously listed in a PG19. When filing a PGA Message Set for a Registered Pesticide, a minimum of one (1) PG55 record is mandatory to capture the Notifying party and Certifying individual. Additional PG55 records are optional and may be included at the discretion of the filer to provide additional Entity roles.

For further guidance on the use of the PG55 record in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section D (Data Reporting) in the ACE ABI CATAIR publication.

| <i>Record Identifier PG55 (Input)</i> | | | | | |
|---------------------------------------|--------------|----------|--------|--|------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “55” | 1 |
| Entity Role Code | 3AN | 5-7 | C | Code identifying the Role of the Entity. For example, NP. | 1 |
| Entity Role Code | 3AN | 8-10 | C | Code identifying the Role of the Entity. For example, CI. | 1 |
| Entity Role Code | 3AN | 11-13 | C | Code identifying the Role of the Entity. For example, DEQ. | 1 |
| Entity Role Code | 3AN | 14-16 | C | Code identifying the Role of the Entity. For example, IM. | 1 |
| Entity Role Code | 3AN | 17-19 | C | Code identifying the Role of the Entity. For example, LG. | 1 |
| Entity Role Code | 3AN | 20-22 | C | Code identifying the Role of the Entity. For example, CB. | 1 |
| Entity Role Code | 3AN | 23-25 | C | Code identifying the Role of the Entity. For example, OV. | 1 |
| Entity Role Code | 3AN | 26-28 | N/A | | |
| Entity Role Code | 3AN | 29-31 | N/A | | |
| Entity Role Code | 3AN | 32-34 | N/A | | |
| Filler | 46X | 35-80 | M | Spaces fill. | |

Note 1

List of Entity Role codes applicable to EPA-Registered Pesticide Message Sets

| Data Element | Code | Description |
|-------------------|------|-----------------------|
| Entity Role Codes | IM | Importer |
| | OV | Carrier |
| | DEQ | Shipper |
| | LG | Location of Goods |
| | CI | Certifying Individual |



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------|
| | CB | Customs Broker |
| | NP | Notify Party |



Record Identifier PG22 (Document Identifier / Certification)

This is a Mandatory PGA input record that provides EPA with data pertaining to Importers Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications.

| <i>Record Identifier PG22 (Input)</i> | | | | | |
|--|------------------|----------|--------|--|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “22” | |
| Importers Substantiating Signed Document /Signed Confirmation Letter | 1A | 5 | N/A | | |
| Document Identifier | 7AN | 6-12 | M | “944” This is the only acceptable document identifier for EPA Pesticides. | 1 |
| Conformance Declaration | 5X | 13-17 | N/A | | |
| Entity Role Code | 3AN | 18-20 | M | “CI” | |
| Declaration Code | 4AN | 21-24 | C | “EP3” This is the only acceptable declaration code for EPA Pesticides. It specifically refers to the certification statement from the EPA Form 3540-1. | 2 |
| Declaration Certification | 1A | 25 | C | Designates that the information provided is correct and all required documents have been provided. For example, Y. | |
| Date of Signature | 8N | 26-33 | M | The format for ‘Date of Signature is 2-digit Month, 2-digit day, and four-digit Year (MMDDYYYY) For example, 02112014, is February, 11 2014. | |
| Invoice Number | 17X | 34-50 | N/A | | |
| Compliance Description | 30X | 51-80 | N/A | | |

Note 1

List of Document Identifiers applicable to EPA-Registered Pesticide Message Sets

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|----------------------|-------------|--------------------|
| Document Identifiers | 944 | EPA 3540-1 |

Note 2

List of Declaration codes applicable to EPA-Registered Pesticide Message Sets



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|--------------------------------------|
| Declaration Codes | EP3 | Certification Statement (EPA 3540-1) |



Record Identifier PG26 (Packaging Qualifier)

This is a mandatory PGA input record that provides EPA with data pertaining to Packaging Qualifier, Quantity, Unit of Measure, Package Identifier, Packaging Method, Package Material, and Packaging Filler. This record can be repeated up to six times per unique package size. The first record is used to describe the largest container (outermost container) and the number of containers. The second record is used to describe the contents of the next largest container. If needed, qualifiers 3-6 are used in a similar manner (largest to smallest container). The last quantity record used must describe the actual amount of the product in the smallest container.

When using multiple PG26 records to report different package sizes of the same product, there is no mandated order for packaging qualifier, i.e. packaging levels can go from largest to smallest, smallest to largest, or out of order.

| <i>Record Identifier PG26 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “26” | |
| Packaging Qualifier | 1N | 5 | M | Code identifying the level of packaging. For example, 2. | 1 |
| Quantity | 12N | 6-17 | M | “Quantity of the packaging level, For example, 00000000075. | 2 |
| Unit of Measure (Packaging Level) | 5X | 18-22 | M | Type of packaging / packaging level. For example, KG. | 3 |
| Package Identifier | 25X | 23 - 47 | N/A | | |
| Packaging Method | 3AN | 48-50 | N/A | | |
| Package Material | 15X | 51-65 | N/A | | |
| Package Filler | 15X | 66-80 | N/A | | |

Note 1

This code identifies the level of packaging for the product. Outermost (largest=1) packages to the innermost (smallest=6) packages. There can be up to 6 levels of packaging. If reporting only one level, show the total quantity for the item and report that as packaging level 6.

Note 2

There are two implied decimal points when writing the quantity. In this example, .75 Kg are represented as 00000000075, with the ten leading zeroes as “fill”. The quantity of .75 has two implied decimal places, so it is actually .75 represented by the 00000000075 value in the field.

Note 3

List of Unit of Measure codes applicable to EPA-Pesticide Message Sets



For a full list of applicable Unit of Measure codes, please refer to the Appendix PGA of the CATAIR.

| <i>Code</i> | <i>Description</i> |
|-------------|------------------------------------|
| AE | Aerosol |
| OZ | Ounce |
| BO | Bottle, Non-Protected, Cylindrical |
| BQ | Bottle, Protected, Cylindrical |
| BX | Box |
| CA | Can, Rectangular |
| CX | Can, Cylindrical |
| TU | Tube |



Record Identifier PG29 (Gross/Net Unit of Measure)

This is a mandatory PGA input record that provides EPA with data pertaining to the net or gross unit of measure of the commodity. This can be provided at the overall PGA Line Number and/or the Individual Unit level.

| <i>Record Identifier PG29 (Input)</i> | | | | | |
|--|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “29” | |
| Unit of Measure (PGA line - net) | 3AN | 5-7 | M | Unit of Measure of the Product. For example, KG. | 1 |
| Commodity Net Quantity (PGA line - net) | 12N | 8-19 | M | Net quantity of the product. For example, 000000000150. | 2 |
| Unit of Measure (PGA line - gross) | 3AN | 20-22 | N/A | | |
| Commodity Gross Quantity (PGA line - gross) | 12N | 23-34 | N/A | | |
| Unit of Measure (Individual Unit - net) | 3AN | 35-37 | N/A | | |
| Commodity Net Quantity (Individual Unit - net) | 12N | 38-49 | N/A | | |
| Unit of Measure (Individual Unit - gross) | 3AN | 50-52 | N/A | | |
| Commodity Gross Quantity (Individual Unit - gross) | 12N | 53-64 | N/A | | |
| Filler | 16X | 65-80 | N/A | | |

Note 1

See the table below for a list of Unit of Measure codes applicable to EPA-Registered Pesticide Message Sets.

For a full list of applicable Unit of Measure codes, please refer to the Appendix PGA of the CATAIR.

| <i>Code</i> | <i>Description</i> |
|-------------|--------------------|
| G | Gram |
| KG | Kilogram |
| MG | Milligram |



| <i>Code</i> | <i>Description</i> |
|-------------|--------------------|
| OZ | Ounces |
| OTL | Quarts |
| ML | Milliliters |
| GAL | Gallons |

Note 2

There are two implied decimal points when writing the commodity net quantity. As in this example, 1.5 kg is represented as 000000000150, with the nine leading zeroes as “fill”. The quantity of 1.50 kg has two implied decimal places, so it is represented by the 150 value in the field.



Toxic Substance Control Act (TSCA), including Ozone Depleting Substances (ODS)

Under the Toxic Substances Control Act (TSCA), EPA has the authority to regulate the manufacture (including import), processing, use, distribution in commerce, and disposal of chemical substances and mixtures that present, or will present, an unreasonable risk to human health or the environment. Importers of chemicals in bulk or as part of mixtures are required to certify that their imported chemicals or mixtures are either in compliance with TSCA or not subject to TSCA.

The construction of an EPA PGA Message Set for TSCA certification can be used to declare the positive or negative TSCA certification statement. The certification statements are as follows:

- **Positive** - I certify that all chemical substances in this shipment comply with all applicable rules or orders under TSCA and that I am not offering a chemical substance for entry in violation of TSCA or any applicable rule or order under TSCA.
- **Negative** - I certify that all chemicals in this shipment are not subject to TSCA.

When filing a TSCA certification statement the PGA records that are utilized are:

| PG Record | Description |
|-----------|--|
| OI | Commercial description of the shipment |
| PG01 | Government Agency and Program office |
| PG02 | Product/Component level identifier |
| PG22 | Certifying Individual, Positive TSCA certification, and Declaration code |
| PG21 | Certifying individual point of contact, phone number and email |

TSCA Sample

A shipment of Aluminum Chloride is imported into the United States. It is regulated by TSCA and is listed in the TSCA Chemical Inventory, and the filer submits a positive TSCA certification PGA Message Set.

TSCA Message Set Layout for Sample

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---------------|---|---|---|---|---|---|---|---|---|-------------------|---|---|---|---|---|---|---|---|---|------------|---|---|---|---|---|---|---|---|---|---------------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 |
| OI | | | | | | | | | | ALUMINUM CHLORIDE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| PG01001EPATS1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| PG02P | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| PG22 | | | | | | | | | | CI EP4 Y | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| PG21CI | | | | | | | | | | JANE SIMMONS | | | | | | | | | | 2025551212 | | | | | | | | | | JSIMMONS@CLEMENYALIMPORTERS.COM | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |



TSCA Message Set Description

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

Because of the flexibility of the PGA Message Set, the PGA Records and Data Elements that are required may vary both from program to program and within a single program. For a more expansive set of examples of EPA PGA Message Sets, please refer to the document *EPA PGA Message Set Samples Pilot Programs*.



Record Identifier OI (Input)

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

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



Record Identifier PG01 (PGA Identifier)

This is a mandatory PGA input record that provides data pertaining to the PGA Line Number, Government Agency Code, Government Agency Program Code, and Disclaimer.

| <i>Record Identifier PG01 (Input)</i> | | | | | |
|---|--------------|----------|--------|--|------|
| Data Element | Length/Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “01” | |
| PGA Line Number | 3N | 5-7 | M | “001” | |
| Government Agency Code | 3AN | 8-10 | M | “EPA” | |
| Government Agency Program Code | 3X | 11-13 | N | Code designating the Government Agency Program that is applicable. For Example, TS1. | 1 |
| Government Agency Processing Code | 3AN | 14-16 | N/A | | |
| Electronic Image Submitted | 1A | 17 | N/A | | |
| Confidential Information Indicator | 1A | 18 | N/A | | |
| Globally Unique Product Identification Code Qualifier | 4AN | 19-22 | N/A | | |
| Globally Unique Product Identification Code | 19X | 23-41 | N/A | | |
| Intended Use Code | 16X | 42-57 | N/A | | |
| Intended Use Description | 22X | 58-79 | N/A | | |
| Disclaimer | 1A | 80 | C | Code declaring filing does not require a PGA Message Set. For Example, A. | 2 |

Note 1

List of applicable Government Agency Program codes for TSCA PGA Message Sets:

| <i>Government Agency Program Code</i> | <i>Description</i> |
|---------------------------------------|-------------------------------|
| TS1 | Toxic Substance Control Act |
| TS2 | To be Defined at a later date |
| ODS | Ozone Depleting Substances |



Note 2

A code indicating the reason the PGA message set is being disclaimed and not provided. Valid codes are:

- A = product is not regulated by this agency
- B = data is not required per agency guidance
- C = data filed through other agency means
- D = data filed through paper

Codes A and B are NOT allowed if the HTS is flagged as 'Must Be' provided.



Record Identifier PG02 (Product Identifier)

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

| <i>Record Identifier PG02 (Input)</i> | | | | | |
|---------------------------------------|------------------|----------|--------|---|------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “02” | |
| Item Type | 1A | 5 | M | Code identifying the following records as pertaining to the product or a component. For example, P. | |
| Product Code Qualifier | 4AN | 6-9 | N/A | | |
| Product Code Number | 19X | 10-28 | N/A | | |
| Product Code Qualifier | 4AN | 29-32 | N/A | | |
| Product Code Number | 19X | 33-51 | N/A | | |
| Product Code Qualifier | 4AN | 52-55 | N/A | | |
| Product Code Number | 19X | 56-74 | N/A | | |
| Filler | 6X | 75-80 | M | Space fill. | |



Record Identifier PG22 (Document Identifier / Certification)

This is a mandatory PGA input record that provides data pertaining to Importers' Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications.

| <i>Record Identifier PG22 (Input)</i> | | | | | |
|--|--------------------------|-----------------|---------------|--|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | "PG" | |
| Record Type | 2N | 3-4 | M | "22" | |
| Importers Substantiating Signed Document /Signed Confirmation Letter | 1A | 5 | N/A | | |
| Document Identifier | 7AN | 6-12 | N/A | | |
| Conformance Declaration | 5X | 13-17 | N/A | | |
| Entity Role Code | 3AN | 18-20 | M | "CI" | 1 |
| Declaration Code | 4AN | 21-24 | M | Code identifying TSCA positive or negative certification. For example, EP4. | 2 |
| Declaration Certification | 1A | 25 | M | Designates that the information provided is correct and all required documents have been provided. For example, Y. | |
| Date of Signature | 8N | 26-33 | N/A | | |
| Invoice Number | 17X | 34-50 | N/A | | |
| Compliance Description | 30X | 51-80 | N/A | | |

Note 1

List of Entity Role codes applicable to EPA-TSCA Message Sets:

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------|
| Entity Role Codes | CI | Certifying Individual |

Note 2

List of Declaration codes applicable to EPA-TSCA Message Sets:

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|------------------------------------|---|
| TSCA Certification | EP4 (Positive Certification) | I certify that all chemical substances in this shipment comply with all applicable rules or orders under TSCA and that I am not offering a chemical substance for entry in violation of |



| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|------------------------------------|--|
| | | TSCA or any applicable rule or order under TSCA. |
| | EP5 (Negative Certification) | I certify that all chemicals in this shipment are not subject to TSCA. |



Record Identifier PG21 (Point of Contact)

This is a conditional PGA input record that provides EPA with data about an Individual Point of Contact (POC) related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, Fax Number, and Email address.

| <i>Record Identifier PG21 (Input)</i> | | | | | |
|--|--------------------------|-----------------|---------------|--|-------------|
| Data Element | Length/ Class | Position | Status | Description | Note |
| Control Identifier | 2A | 1-2 | M | “PG” | |
| Record Type | 2N | 3-4 | M | “21” | |
| Individual Qualifier | 3AN | 5-7 | M | Code identifying which entity the Point of Contact is related to. For example, CI. | 1 |
| Individual Name | 23X | 8-30 | M | For example, JANE SIMMONS. | |
| Telephone Number of the Individual | 15X | 31-45 | M | For example, 2025551212. | |
| Email Address or Fax Number for the Individual | 35X | 46-80 | M | For example, JSIMMONS@ELEMENTALIMPORTER S.COM. | |

Note 1

List of Entity Role codes applicable to EPA-TSCA Message Sets:

| <i>Data Element</i> | <i>Code</i> | <i>Description</i> |
|---------------------|-------------|-----------------------|
| Entity Role Codes | CI | Certifying Individual |

Appendix A

Vehicles and Engines Reporting Requirements by Import Code

| <i>Import Codes (EPA Form 3520-1)</i> | | |
|---------------------------------------|---|--|
| Import Code | Vehicles and Engines Required Data element | Applicable PGA Record |
| B | Image of US EPA emission control label in the engine compartment | PG01 (DIS filing – Electronic Image Indicator) |
| F | Image of US EPA emission control label in the engine compartment | PG01 (DIS filing – Electronic Image Indicator) |
| EE | Canadian emissions control label or letter from OEM or Registration/Title | PG01 (DIS filing – Electronic Image Indicator) |
| | Certification of not importing for lease or resale | PG24 |
| FF | Certification that labeling, warranty and CAFÉ requirements will be met | PG24 |
| | Canadian emissions control label, letter from OEM, or Registration or title | PG01 (DIS filing – Electronic Image Indicator) |
| M | Explanation of exemption <ul style="list-style-type: none"> Canadian vehicle received by US resident Importer is either permanently emigrating to the US or will reside for greater than one year with a student or work visa | PG24 |
| | Explanation of exemption <ul style="list-style-type: none"> Importer has an EPA hardship letter | PG01 (DIS filing – Electronic Image Indicator) |
| E | N/A | N/A |
| L | Exemption Number | PG14 |
| U | Model year and Power rating | PG10 |
| W | Test Group Name/ Engine Family Number | PG14 |
| | Or statement if Test Group Name/ Engine Family Number is pending | PG24 |
| Y | Model Year and Fuel type | PG10 |
| G | Exemption number and CBP bond number | (2) PG14 |
| I | Exemption number and CBP bond number | (2) PG14 |
| K | Exemption number and CBP bond number | (2) PG14 |
| N | Letter from Department of State (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |
| O | Exemption number | PG14 |
| A | Test Group Name/ Engine Family Number | PG14 |
| | Model year | PG10 |



| <i>Import Codes (EPA Form 3520-1)</i> | | |
|--|---|--|
| C | Model year | PG10 |
| J | CBP bond number | PG10 |
| Z | Model year | PG10 |
| H | N/A | N/A |
| Q | N/A | N/A |
| <i>Import Codes (EPA Form 3520-21)</i> | | |
| Import Code | Vehicles and Engines Required Data Element | Applicable PGA Record |
| 1 | Test Group Name/ Engine Family Number | PG14 |
| | <i>When combined with Industry code G:</i> | |
| | Model year | PG10 |
| | Bond exemption status | PG24 |
| | NAIC # for Bond issuer | PG19 |
| | Bond Policy number | PG14 |
| 2 | Engine Label (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |
| 3 | Engine Label (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |
| | Test Group Name/ Engine Family Number | PG14 |
| 4 | Engine Label (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |
| | Test Group Name/ Engine Family Number | PG14 |
| 5 | Engine Label (DIS filing) | Engine Label (DIS filing) |
| | Test Group Name/ Engine Family Number | PG14 |
| 6 | Engine Label (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |
| | Test Group Name/ Engine Family Number | PG14 |
| 7 | Engine Label (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |
| | Test Group Name/ Engine Family Number | PG14 |
| 8 | Letter from Engine Manufacturer (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |
| 9 | Model year | PG10 |
| 10 | Exemption Number (EPA Letter of Approval) | PG14 |
| 11 | Engine Label (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |
| | Exemption number (EPA Letter of Approval) | PG14 |
| 12 | Engine Label (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |



| <i>Import Codes (EPA Form 3520-1)</i> | | |
|---------------------------------------|--|--|
| | Exemption number (EPA Letter of Approval) | PG14 |
| 13 | Engine Label | PG01 (DIS filing – Electronic Image Indicator) |
| 14 | Letter from Department of State (DIS filing) | PG01 (DIS filing – Electronic Image Indicator) |
| | Exemption number | PG14 |
| 15 | Engine Label | PG01 (DIS filing – Electronic Image Indicator) |
| 16 | Test Group Name/ Engine Family Number | PG14 |
| 17 | Model year | PG10 |
| 18 | Exemption number | PG14 |
| 19 | Power rating and Model year | PG10 |
| 20 | N/A | N/A |
| 21 | Explanation of exemption | PG24 |
| 22 | Model year and Power Rating | PG10 |
| | Bond exemption status | PG24 |
| | NAIC bond issuer number | PG19 |
| | Policy number | PG14 |
| | State of issue | PG20 |
| 23 | Power rating | PG10 |
| 24a | Model year | PG10 |
| | Storage location | PG19, PG20, PG21 Series |
| 24b | Model year | PG10 |
| | Storage location | PG19, PG20, PG21 Series |
| 24c | CBP Bond number | PG14 |
| 25 | Regulatory Citation for other exemption | PG24 |