



Document Image System Questions and Answers

Q1. *Can Document Image System (DIS) be used for all entry summaries to respond to a request from U.S. Customs and Border Protection (CBP) for additional documents?*

A1. No, DIS will be available to Automated Commercial Environment (**ACE**) **Entry Summary filers** and for **ACE Entry Summaries** only. This includes ACE Entry Summaries certified for release.

Q2. *Who can send documents via the ACE Secure Data Portal?*

A2. Importers and filers with ACE Portal accounts may send documents via the ACE Secure Data Portal.

Q3. *Who can send documents via DIS?*

A3. ACE Entry Summary filers may transmit documents via DIS for ACE Entry Summaries only including ACE Entry Summaries certified for cargo release.

Q4. *Can documents supported by the Participating Government Agencies (PGAs) be sent via the ACE Secure Data Portal?*

A4. No, PGA documents supported by DIS are not allowed to be transmitted via the ACE Secure Data Portal. They can only be submitted via DIS or mail.

Q5. *Is it mandatory for the trade to submit documents via DIS?*

A5. No, the trade can submit documents just as they do today, via mail, portal upload or DIS. Note, PGA documents supported by DIS can only be submitted via mail or DIS, not by portal upload.

Q6. *Can trade still submit documents via portal and not DIS?*

A6. Yes, trade can submit documents via portal upload. Note, PGA documents supported by DIS can only be submitted via mail or DIS, not by portal upload.

Q7. *Will there be any mandatory fields that must be filled out prior to submission?*

A7. DIS includes the imaged document. If there is a field that is not completed that should be, CBP or the PGA can reject the submission.

Q8. *Is there a benefit to using DIS instead of mailing in documents?*

A8. Yes, these documents will be stored in the DIS and made available for CBP and PGA users for review, acceptance or rejection. DIS will provide for storage of all submitted documents in a secure centralized location in order to link to the corresponding ACE Entry Summaries.

Trade benefits of DIS include:

- Initiation of single window submissions from the Trade to CBP and PGAs,
- Nationwide visibility for CBP and PGAs to trade-submitted documents,
- Central repository for documents submitted by the trade, and
- Reduction in time and cost surrounding paper processes.

Q9. *Will the request for a specific document (s) from CBP (to the trade) be sent in a UC message?*

A9. Yes, the trade could receive a UC for the entire entry summary package, for specific documents, or for an Electronic Invoice if the filer is operational for Automated Invoice Interface (All). The trade could also receive a CBP Form 28 or 29 requesting the information.

Q10. *If I know CBP will request additional documents associated with an ACE Entry Summary, can I submit the documents with the initial transmission or must I wait for CBP to provide an Action Identification Number?*

A10. No, DIS may only be used to transmit CBP documents for ACE Entry Summaries in response to an electronic request where an Action Identification Number is provided (solicited documents). However, for the purposes of PGA forms that are associated to ACE Entry Summaries certified for cargo release, the trade may submit the required documents without a prior request by CBP or the PGA (unsolicited documents). In this case all imaged documents must be submitted when ACE Entry Summaries that are certified for release are filed.

Q11. *What CBP forms and commercial documents are acceptable?*

A11. Please refer to the April 6, 2012 Federal Register Notice (FR 77 20845) for the CBP and PGA forms and commercial documents that will be acceptable with Phase 1 of DIS.

PGA documents in Phase 1 of DIS include documents for Environmental Protection Agency (EPA), Animal and Plant Health Inspection Service (APHIS) and National Marine Fisheries Service/ National Oceanic and Atmospheric Administration (NMFS/NOAA). When additional documents are approved for DIS, there will be new Federal Register Notices (FRN) issued identifying the documents and the agencies.

Q12. *According to the DIS FRN, the test phase will only accept APHIS, EPA and NOAA forms. In the future will there be any forms that may be excluded? If so, which ones?*

A12. The ACE Business Office continues to work with the International Trade Data System (ITDS) and Office of Field Operations (OFO) to determine which forms will be added. There are PGA forms that may be excluded due to statutory requirements. The FRN announced only the first phase of the DIS test, and is limited to the forms specified for this first phase of the test. Additional FRNs will announce the next series of documents that will be made available when we are ready to receive those forms.

Q13. *Is there uniform nomenclature for certain documents such as commercial invoice, packing list, etc that are not identified by a form number?*

A13. The XML schema enumerates the names to be used for such 'generic' documents (Commercial Invoice, Packing List, etc.)

Q14. *Can multiple document types be requested in one message request?*

A14. Yes, the request can be for several specific documents. The request can also include different document types.

Q15. *What entry types are covered utilizing the DIS?*

A15. DIS can only be utilized for entry types supported by ACE, entry types 01, 03 and 11.

Q16. *How do I send the documents to CBP?*

A16. DIS allows documents and associated data to be sent to CBP using XML messages that may be submitted via (1) secure FTP, or (2) secure Web Services or (3) existing ABI-MQ mechanism.

Q17. *What do I do with the original documents or forms?*

A17. For the purpose of the DIS pilot test, original documents must be retained and made available in paper if requested by CBP or PGAs.

Q18. *Will the acknowledgement of the receipt of the imaged document be sent in XML format?*

A18. Yes, the acknowledgement of receipt of documents is sent back to the sender as an XML message in their ABI DIS MQ Queue (new queue for DIS).

Q19. *What is Metadata and why does each document or document type sent via DIS contain different Metadata elements?*

A19. Metadata is identifying data transmitted with a document to DIS. It describes the document and its associations. It is needed to associate and validate the document, for search purposes, and reporting purposes when reports are available.

Q20. *What formats will CBP accept for imaged documents?*

A20. There are no technical restrictions on the Multipurpose-Internet Mail Extension (MIME) types that DIS will accept; however, the following are preferred:

- jpg Joint Photographic Exports Group Format
- gif Graphics Interchange Format
- pdf Portable Document Format
- doc Microsoft Word Application
- xls Microsoft Excel Application

All responses back to the importer, broker and/or surety, will also be sent in the form of an XML message.

Q21. *Where can I find additional information?*

A21. The Implementation Guide for DIS and related documents are available on the CBP website at:

http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_edi_messages/catair_main/abi_catair/catair_chapters/document_imaging_igs/

Please note you may need to copy and paste the URL into your internet browser.

For policy-related questions, contact Monica Crockett at Monica.Crockett@dhs.gov.

For technical questions related to ABI transmissions, contact your assigned client representative. Anyone without an assigned client representative should direct questions to Susan Maskell at Susan.Maskell@dhs.gov.

