

Document Image System



Document Image System Overview/Benefits

- The Document Image System (DIS) facilitates automated submission of documents and specific data by participating Trade Partners to CBP.
- The submitted documents are electronically processed and securely stored by CBP.
- Submitted documents are made available for review by CBP and Partner Government Agencies (PGAs) via the DIS application.
- DIS will facilitate a single automated gateway that will accept supporting documents that may be needed during the cargo importation and entry summary processes



DIS vs. PGA Message Set

Clarification of Application Roles and Usage

- DIS and PGA Message Set are mechanisms that **compliment** each other.
- Their intent, scope and features **do not overlap** each other.
- Trade will not have to code for DIS submission now and then again code for PGA Message Set submission for the *same* functionality.
- **The PGA Message Set** has been designed to allow Trade to submit many of the *discrete data elements* that may be required by CBP and PGAs, that are currently submitted via a myriad of paper forms.
- **DIS** on the other hand is intended to replace all *additional* actual documents (not discrete data) and Images that are currently submitted to CBP and PGAs in paper form, and may be required as *documents* on-file.



DIS Document Transmission Mechanisms

Electronic Data Interchange (EDI) - The preferred mechanism of document transmission in DIS is via an XML payload transmitted to CBP via any one of three EDI technical mechanisms:

1. Secure FTP,
2. Secure Web Services, or
3. Existing ABI MQ mechanism

Note: EDI is of greater value in a fully automated scenario for technically advanced, high volume trade partners since it is supported by a modern, robust, guaranteed delivery and processing infrastructure

Email - DIS allows certain documents to be transmitted via Email to support Export Manifest and Simplified Entry.

- Only certain pre-approved documents can be submitted as attachments on emails
- Associated meta data is sent in Subject line and Body of email

Note: Email is more suitable in scenarios that are 'Quick-Easy-And-Interim'; Semi-Automated, and Low-Volume (total email size including all attachments may not exceed 10MB).



What is DIS Meta-Data

- Meta-data is *associated data* submitted by the trade along with a transmitted document.
- Could be sent via EDI XML or in the Email subject line and body where approved
- Meta-data elements are used to:
 - Link the document to supporting contextual data
 - Search for specific documents within DIS
 - Further describe a transmitted document
 - Provide specific transactional references for that document (Entry Summary, Bill, etc.)
- Meta-data elements can be common header level elements (ex. *Message Sender, Sent date, etc.*) or transaction specific (ex. *Entry Summary Number, etc.*)



Forms Initially Supported by DIS – CBP and PGA

Documents transmitted via EDI:

Packing List

Commercial Invoice

Invoice Worksheet

Ingredients List

Phytosanitary Certificate

Toxic Substances Control Act (TSCA) Import Certification Form

Environmental Protection Agency (EPA) Form 3520-21 Importation of Motor Vehicles and Engines (off road)

EPA Form 3520–1 Importation of Motor Vehicles and Engines (on road)

EPA Form 3540–1 Notice of Arrival of Pesticides and Devices

EPA Pre-approved Vehicle/Engine Exemption Letter

EPA Pesticide Label

Animal and Plant Health Inspection Service (APHIS) Import Permit

APHIS Transit Permit

APHIS Notice of Arrival

APHIS Pre-Clearance 203

National Oceanic and Atmospheric Administration (NOAA) Form 370 Fisheries Certificate of Origin

NOAA Toothfish Pre-Approval

NOTE: Only documents announced via a Federal Register Notice can be transmitted via EDI.



Forms Initially Supported by DIS for SE

Documents transmitted via Email to support Simplified Entry:

<u>Document Label</u>	<u>Code</u>
Packing List	01
Commercial Invoice	02
Other	03
Passport, D/L, Govt Issued ID	04
CBP-CF3299	05
CBP-CF4455	06
CBP-CF4457	07
CBP-CF3229	08
Vehicle title, certificates	09
Permit	10



Forms Initially Supported by DIS for Export Manifests

Documents transmitted via Email to support Export Manifest:

Documents

Export Manifest (1302A) including RO/RO Export Manifests

Bills of Lading

Declaration of Empties

Images, text files, or spreadsheet files

Any additional supporting documents; letters etc.

NOTE: Until formal notification by CBP, Ocean Carriers participating in the pilot still need to submit **paper versions** of the CBP Forms 1300 and 1302 and any other indicated documentation required by officers at participating ports.



2013 DIS Enhancements

PGA documents added to DIS for EDI transmission:

- Center for Disease Control and Prevention (CDC) Form 0728 Permit to Import or Transfer Etiological Agents or Vectors of Human Disease
- CDC Importation Permission Letter
- Defense Contract Management Agency (DCMA) Certificate of Duty Free Entry
- Food Safety and Inspection Service (FSIS) 9010-1 Exported Goods Returning
- FSIS 9060-5 Export Certificate
- FSIS 9540-4 Importation of Inedible Meat Product
- FSIS 9540-5 Importation of Samples



NOTE: Only documents announced via a Federal Register Notice can be transmitted via EDI.

2013 DIS Enhancements

Allow the following to be submitted at time of manifest (submission of the bill of lading):

- APHIS Notice of Arrival 368
- APHIS Import Permit
- APHIS Transit Permit
- APHIS Pre-Clearance 203
- Phytosanitary Certificates
- Ingredients List
- Commercial Invoice
- Packing List

Allow transmission of annual permits, certificates, and licenses

Allow SE documents to be transmitted via EDI to support SE filings

Reduced required meta-data



NOTE: Only documents announced via a Federal Register Notice can be transmitted via EDI.

DIS Future Enhancements

DIS future enhancements will include:

- Continue to support more documents types that are required by CBP and PGAs during the cargo review and release process
- Bi-directional automation of data exchanges with Trade to provide on-demand queries for status and informational data
- Full integration of DIS with ACE, including end-to-end document processing and review life-cycle; plus enhanced PGA and Trade access functionality.
- Additional levels of integration and collaboration between CBP and PGA systems to allow automated data and event exchanges between CBP and other government agencies.



Document Image System Access

- **PGA participants** may contact ITDS for Participating Government Agency on boarding procedures or view the procedures on the ITDS secure website.
- **Trade participants** may contact their local Client Representatives Branch for trade on boarding procedures for transmitting documents to DIS via EDI.
- **Ocean Carriers** interested in participating in the DIS Export Manifest pilot should contact Adi Abel at Adi.Abel@cbp.dhs.gov.



