



2/1/2017

United States government agencies with a role in regulating international trade are working together to meet a White House Executive Order mandating the completion by 2016 of a Single Window for trade submissions of required import and export information. As part of this effort, CBP is transitioning core trade processing capabilities into the Automated Commercial Environment (ACE).

The following list identifies agency forms and/or data elements required at time of entry, and specifies whether the forms and/or data may be submitted via the PGA Message Set or Document Image System (DIS). In addition, this list identifies forms and documents which will continue to remain paper.

In order to file through PGA Message Set or DIS, filers must adhere to the rules, terms and conditions of the pertinent chapters of CBP and Trade Interface Requirements (CATAIR) and/or the technical requirements for transmissions using DIS. Agency specific requirements are also reflected in the CATAIR supplemental implementation guides (IGs). CATAIR and IG information is available at https://www.cbp.gov/trade/ace/catair.

The trade community is advised to check the list below on a regular basis, as new PGA regulations may be promulgated which may require the use of PGA Message Set or DIS for the transmission of PGA data and/or forms. Additional details and how to receive automatic alerts are available through https://www.cbp.gov/ace.

Note that FCC Form 740 was required until July 1, 2016, when FCC's waiver provision took effect. Until that date, filers could submit FCC-required information electronically with CBP in either ACS or ACE. Since July 1, 2016, the form has been suspended and the requirement waived until December 31, 2016.

	<u>Table of Contents</u>							
USDA:	Agriculture Marketing Service	2	DHS:	<b>Customs and Border Protection</b>	7-10			
	Animal and Plant Health Inspection Service - Core	2-3	DOI:	Fish and Wildlife Service	10			
	Animal and Plant Health Inspection Service - Lacey Act	3	DOJ:	Bureau of Alcohol, Tobacco, and Firearms	11			
	Foreign Agricultural Service	3		Drug Enforcement Agency	11			
	Food Safety and Inspection Service	4	State:	Directorate of Defense Trade Controls	11			
DOC:	Enforcement and Compliance	4		Office of Marine Conservation	11			
	National Marine Fisheries Service	5	DOT:	National Highway Traffic Safety Administration	12			
	Office of Textiles and Apparel	5	Treasury:	Alcohol & Tobacco Tax and Trade Bureau	12			
DOD:	Defense Contract Management Agency	6	Independent:	<b>Environment Protection Agency</b>	13			
HHS:	Centers for Disease Control and Prevention	6		Consumer Product Safety Agency	13			
	Food and Drug Administration	6		United States Trade Representative	13			





#### US DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service (AMS)					
Program/	Form or Data Description	Form #	Electronic Submission Via		
Commodity	rolling Data Description		Message Set	DIS	
	Request for Inspection, Reinsertion, Appeal Inspection	FV-237	✓		
	Application for Inspection	FV-356	✓		
AMS - General	Importers Exempt Commodity Form	FV-6	✓		
	Foreign Government Export Certificate			✓	
	Notification of Entry	FV-357	<b>V</b>		
	Import Request Shell Eggs	LPS-222	✓		

A 10 1 100 C	0.000		to a to a chi a to	Common	ADITICA COMO
VANALLAAPSI.	Marie 10			service	APHIS) - Core

Program/	Form or Data Description	Form #	Electronic Submission Via	
Commodity	Form of Data Description	roini#	Message Set	DIS
	Animal Care - Health Certificate	7041	✓	
	Continuation Sheet for Application for Import Permit for Dogs	7040A	✓	
	Continuation Sheet for Veterinary Treatment Agreement	7043A	✓	
	Animal Care - Veterinary Treatment Agreement	7043	✓	
	Application for Import Permit for Dogs	7040	✓	
	Import Permit for Dogs	7040B	✓	
ADLUC	Rabies Vaccination Certificate	7042	✓	
APHIS - Core	Interstate Movement, Importation or Courtesy Permit	2000	✓	
	Foreign Site Certificate of Inspection and/or Treatment	PPQ-203	✓	
	Notice of Arrival	PPQ-368	✓	
	Permit to Import Soil	PPQ-525B	✓	
	Application for Permit to Move Live Plant Pests or Noxious Weeds	PPQ-526	✓	
	Application for Permit to Import Timber or Timber Products (SDS)	PPQ-585	✓	
	Permit to Transit Plants and/or Plant Products, Plant Pests, and/or Associated Soil through the United States	PPQ-586	✓	
	Permit to Import Plant or Plant Products	PPQ 587	✓	





Program/	Form or Data Description	Faure #	<b>Electronic Submission Via</b>	
Commodity	Form or Data Description	Form #	Message Set	DIS
	Controlled Import Permit	PPQ 588	✓	
	General Permit to Engage in the Business of Import, Export, or Re-Exporting Terrestrial Plants	PPQ-622	✓	
	Foreign Government Sanitary Certificate (Veterinary Health Certificates)		To Rema	ain Paper
	U. S. Veterinary Biological Product Permit	2006		✓
	U. S. Veterinary Permit for Importation & Transportation of Controlled Materials and Organisms and Vectors	VS16-6A	✓	
	U.S. Permit to Import (Includes Transit)		To Remain Paper	
APHIS -	Declaration of Importation (Required to Accompany Animal)	VS17-29		✓
Core	Application for Inspection and Dipping	VS17-32		✓
	Agreement of Pet Bird Owner (U.S. Origin Returning)	VS17-8	To Rema	in Paper
	Foreign Meat Certificate		To Rema	nin Paper
	STAT Supporting Statement			✓
	Phytosanitary Certificate (Issued by Country of Origin)		To Rema	nin Paper
	Foreign Government Health Certificates (including dip certificates, spay certificates, test charts, etc.)		To Rema	nin Paper
	Various import documents (invoices, packing list, etc.)			✓

Program/	Form or Data Description	Form #	Electronic Submission Via	
Commodity	Form of Data Description	roilli#	Message Set	DIS
Lacey Act	Lacey Act Data	PPQ-505	✓	

### Foreign Agricultural Service (FAS)

Program/	Form or Data Description	Form #	Electronic Su	bmission Via
Commodity		FOIIII#	Message Set	DIS
	Certificate of Quota Eligibility	961		✓
FAS - General	Specialty Sugar Certificate			✓
	General Note 15(c) Letter of exemption from Quota			✓





# Food Safety and Inspection Service (FSIS) Program/ Commodity Application For The Return Of Exported Products to the United States FSIS - General Import Inspection Application and Report Official Foreign Inspection Certificate Form # Electronic Submission Via Message Set DIS 70 Remain Paper To Remain Paper

#### US DEPARTMENT OF COMMERCE

Program/	Form or Data Description	Form #	Electronic Sub	mission Via
Commodity	Total of buta bescription	101111#	Message Set	DIS
	AD/CVD Foreign Government Export License: Uranium products from Russia, Ukraine and France			✓
	AD/CVD Foreign Government Export Certificate: Uranium products from Russia			✓
	AD/CVD Foreign Government Export License: Sugar from Mexico			✓
	Anticircumvention/Scope Certifications: Uranium Products from any country including Russia			✓
	Anticircumvention/Scope Certifications: AD/CVD Case-Specific Producer/Further Processor/Country of Origin certifications			✓
	Declaration of Intent to Re-Export Uranium Products from Russia within a Certain Period			✓
	Declaration of Intent to Re-Export Uranium Products from France			✓
&C - General	Processor Certification: Uranium Products from Russia			✓
	End-User Certification: Uranium Products from Russia			✓
	End-User Certification: Uranium Products from France			✓
	Origin Certification: Uranium Products from any Country Including Russia			✓
	Permit to enter watches and watch movements into the Customs Territory of United States	ITA-340P	To Remain	Paper
	Request for Duty-Free Entry of Scientific Instruments or Apparatus	ITA-338P	To Remain	Paper
	Certificate of Entitlement to Secure the Refund of Duties on Articles that Entered the Customs Territory of the United States Duty Paid	ITA-360P	No longer in use, this aspect of the second	
	Request for Refund of Duties on Articles that Entered the Customs Territory of the United States Duty Paid	ITA-361P	To Remain	Paper





#### National Marine Fisheries Service (NMFS)

Program/	Form or Data Description	Form #	Electronic Submission Via		
Commodity	·	Form #	Message Set	DIS	
	International Fisheries Trade Permit (IFTP) (replacing collection of AMLR Dealer Permit and HMS International Trade Permit data)		✓		
	Dissostichus Catch Document*		✓	✓	
Antarctic Marine Living Resource	Dissostichus Re-Export Document*		✓	✓	
	Reporting Form for Catch Documents Accompanying Fresh, Air-shipped Shipments of Toothfish*		✓	✓	
	Toothfish Pre-Approval*		✓		
	CCSBT Catch Monitoring Form*		✓	✓	
	CCSBT Re-Export/Export After Landing of Domestic Product*		✓	✓	
	IATTC Bigeye Tuna Statistical Document *		✓	✓	
	IATTC Bigeye Tuna Re-export Certificate*		✓	✓	
Highly	ICCAT Bigeye Tuna Statistical Document*		✓	✓	
Migratory	ICCAT Bigeye Tuna Re-export Certificate*		✓	✓	
Species	ICCAT Bluefin Tuna Catch Document*		✓	✓	
	ICCAT Swordfish Statistical Document*		✓	✓	
	ICCAT Swordfish Re-export Certificate*		✓	✓	
	IOTC Bigeye Tuna Statistical Document*		✓	✓	
	IOTC Bigeye Tuna Re-export Certificate*		✓	✓	
	Fisheries Certificate of Origin	NOAA 370	✓	✓	
Tuna Tracking	Attachment: IDCP Member Nation Certification			✓	
and Verification	Attachment: Captain's Statement			✓	
	Attachment: Observer's Statement			✓	

<sup>\* -</sup> NMFS may require certain data from this form to be submitted through PGA Message Set and an image of the form to be submitted via DIS

#### Office of Textiles and Apparel (OTEXA)

Program/	Form or Data Description	Form #	Electronic Submission Via		
Commodity	Torm of Data Description	101111#	Message Set	DIS	
OTEXA -	Dominican Republic Earned Import Allowance Program		·	✓	
General	Haiti Earned Import Allowance Program			✓	





#### US DEPARTMENT OF DEFENSE

Defense Contracts Management Agency (DCMA)					
Program/	Form or Data Description Form #	Form #	Electronic Submission Via		
Commodity		roini#	Message Set	DIS	
DCMA - General	Certificate of Duty Free Entry			✓	

#### US DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention (CDC)					
Program/	Form or Data Description	Form#	Electronic Submission Via		
Commodity	Torm of Bata Bescription	101111#	Message Set	DIS	
	Permit to Import or Transfer Etiologic Agents or Vectors of Human Disease	0728		✓	
	Permission Letters to import African Rodents, Civets or Turtles			✓	
	Notice to Owners and Importers of Dogs (Requirement for Dog Confinement)	75.37	To Rema	in Paper	
	Application to Transfer Select Toxins			✓	
CDC -	CDC Permit for Unimmunized Dogs			✓	
General	Certification Statement/Statement of Noninfectiousness			✓	
	CDC Permission Message/Permission to Import the Nonhuman Primate Shipment			✓	
	Death Certificate for Human Remains		To Rema	in Paper	
	Permit to Import Remains of Person Who Died of Quarantinable Communicable Disease		To Rema	in Paper	
	Rabies Vaccination Certificate			✓	
	Non-Human Primate (NHP) Notification Message			✓	

Food and Drug Administration (FDA)				
Program/	Form or Data Description	Form #	# Electronic Submission Via	bmission Via
Commodity	Form or Data Description Fo	Form #	Message Set	DIS
FDA -	EDA data collected through OCA food transitioned to ACE		1	
General	FDA data collected through OGA feed transitioned to ACE			





### US DEPARTMENT OF HOMELAND SECURITY

Customs and Border Protection (CBP)				
Program/	Form or Data Description	Form #	Electronic Submission	Via
Commodity	Tomi of Bata Bescription		Message Set D	DIS
	Kimberley Process Certificate			✓
	Softwood Lumber Certificate		To Remain Paper	
	Packing List		,	✓
	Commercial Invoice			✓
	Certificate of Registration	4455		✓
	Bill of Lading			✓
	Pro forma Invoice			✓
	Non-Commercial Invoice			✓
	STB (Single Transaction Bond) (Type 1)			✓
Trade Transactions	ISF (Importer Security Filing) Bond (Type 16)			✓
	Invoice Details for Footwear	5523		✓
	Entry Summary Package	4315		✓
	Application for Allowance in Duties	4315		✓
	Notice of Action	29		✓
	Notice to Mark and/or Notice to Redeliver	4647		✓
	Passport, Driver's License, Government Issued ID			✓
	Certificate of Registration for Personal Effects Taken Abroad	4457		✓
	Declaration for Free Entry of Unaccompanied Articles	3299		✓
	Cost Submission	247		✓
	Certificate of Origin	3229		✓
	Other			✓
	Request for Information	28		✓
	CAA FAA Certificate			✓
	Steel Import License	7501/ITA-4141(I	P)	✓
	Invoice Worksheet			1





Program/	Form or Data Description	Form #	Electronic Submission Via		
Commodity	Torni di Data Description	101111#	Message Set	DIS	
	Licensee Agreement			✓	
	Licensing Agreement			✓	
	Maintenance Agreement			✓	
	Service Agreement			✓	
	Serial Numbers Document			✓	
	Export Manifest Package			✓	
	Delivery Certificate	7552		✓	
	Declaration of Free Entry of Returned American Products	3311		✓	
	Photos or Image of Maintenance Agreements, UPCs, Bar Codes, Serial Numbers, Product, Outer			✓	
	Carton with Markings, Container Being Loaded Showing Cartons and/or Seal  Label			✓	
	Generic Document			✓	
	Vehicle Title/Certificates			✓	
	Permit			✓	
	Duty Free Entry Certificate			✓	
Trade	Informal for Vessel Repairs, Parts and Equipment			✓	
Transactions	Declaration of Artist, Seller, or Shipper, Curator, Etc.			✓	
	Declaration by Institution			✓	
	Declarations for Articles Exported and Returned			✓	
	Purebred Breeding Certificate			✓	
	Documents for Commercial Samples, Tools, Theatrical Events			✓	
	Automotive Products Certificate			✓	
	Master Records and Metal Matrices: Detailed Statement of Cost of Production			✓	
	Declarations for Copper Fluxing Material			✓	
	Declaration of Non-Beverage Ethel Alcohol (ATF Permit)			✓	
	PTPA Records that the Importer may have in Support of a PTPA Claim for Preferential Tariff Treatment, Including Importer's Certification			✓	
	Certificate from the U.S. Department of State for Visual/Auditory Materials			✓	
	Stipulation for Government Shipments and/or Certification for Government Duty-Free Entries			✓	
	Report for Rescue and Relief Equipment			✓	
	Certificate of Importer of Crude Petroleum			✓	
				8	





Program/	Forms on Data Description	Forms #	Electronic Su	Electronic Submission Via	
Commodity	Form or Data Description	Form #	Message Set	DIS	
	Certificate if Fresh, Chilled, or Frozen Beef			✓	
	European Community Cheese Affidavit			✓	
	HHS Permit for Milk or Cream Importation			✓	
	Notice of Arrival for Plant and Plant Products			✓	
	Boat Declarations and U.S. Coast Guard Exemption	CG-5096		✓	
	Certificate of Match Inspection and Importer's Declaration			✓	
Trade	Certificate of Origin/Declarations for Goods Made by Forced Labor, Etc.			✓	
Transactions	Declaration for Switchblade Knives			✓	
	Cultural Property Declarations, Statements and Certificates of Origin			✓	
	Pre-Columbian Monumental and Architectural Sculpture and Murals: Certificate of Legal Exportation; Evidence of			✓	
	Exemption  Documentation Supporting Importer's Certification on Jadeite, Rubies, or Articles of Jewelry Containing Jadeite or			1	
	Rubies, including Exporter's Certification			,	
	Re-Melting Certificate			<b>∀</b>	
	Declaration by Importer of Use of Certain Metal Articles			<b>Y</b>	
	CAA FAA Certificate			✓	
	U.S Chile FTA: Certification of Origin, Certificate of Eligibility, Corrected Claim/Statement, and other records			✓	
	U.S Singapore FTA: Supporting Statement, Certificate of Eligibility, Corrected Claim/Statement, and other records			✓	
	U.S Australia FTA: Supporting Statement, Corrected Claim/Statement, and other records			✓	
	U.S Morocco FTA: Declaration, Corrected Claim/Statement, and other records			✓	
Trade	U.S Bahrain FTA: Declaration, Certificate of Eligibility, Corrected Claim/Statement, and other records			✓	
Agreements	U.S Jordan FTA: Declaration, Corrected Claim/Statement, and other records U.S Oman FTA: Preferential Tariff Treatment Declaration, Trade Preference Level Declaration, Corrected			✓	
	Claim/Statement, and other records			✓	
	U.S Peru FTA: Certification, Corrected Claim/Statement, and other records			✓	
	U.S Korea FTA: Certification, Corrected Claim/Statement, and other records			✓	
	U.S Colombia FTA: Certification, Corrected Claim/Statement, and other records			✓	
	Dominican Republic- Central America - U.S. FTA: Certificate of Eligibility, Corrected Claim/Statement, and other records			✓	
	U.S Panama Trade Promotion Agreement: Certification, Corrected Claim/Statement, and other records			✓	
	Israel - Qualifying Industrial Zones (QIZ) Free Trade Agreement			✓	
	U.S. Insular Possession Certificate of Origin	3229		✓	
	NAFTA Certificate of Origin	434		√ g	

ace	Requirements for Partner Government Agency Information Methods for Import Data Submission	n in ACE &	U.S. Customs and Border Protection
	NAFTA Verification of Origin Questionnaire	446	✓
	NAFTA Motor Vehicle Averaging Election	447	✓
Trade	Caribbean Basin Trade Partnership Act Certificate of Origin: Certificate of Origin, Corrected Declaration, and other records	450	✓
Agreements	Caribbean Basin Economic Recovery Act (CBERA)		✓
	African Growth and Opportunity Act (AGOA): Certificate of Origin Corrected Declaration, and other records		✓
	Generalized System of Preferences (GSP): Declaration and other records		✓
	Haitian Hemispheric Opportunity through Partnership Encouragement Act (HOPE)		✓

#### US DEPARTMENT OF THE INTERIOR

Program/	Form or Data Description	Form #	Electronic Sub	mission Via
Commodity	Form or Data Description	FOITH #	Message Set	DIS
	Declaration for the Importation and Exportation of Fish or Wildlife	3-177	✓	
	CITES Export Permit issued by exporting Foreign Government			<b>√</b> *
	CITES Re-export Certificate issued by re-exporting foreign government			<b>√</b> *
	CITES "Other" Document issued by foreign exporting or re-export government			<b>√</b> *
	CITES Import Permit issued by FWS for imports.			<b>√</b> *
	Wildlife Export and Re-export Permits issued by Foreign Government			✓
	Endangered Species Act Import Permit		✓	
WS - General	Marine Mammal Protection Act Import Permit		✓	
W5 General	Wild Bird Conservation Act Import Permit		✓	
	Migratory Bird Treaty Act Import Permit		✓	
	Injurious Species Import Permit		✓	
	Bald and Golden Eagle Protection Act Import Permit			
	Transportation Documents			✓
	Transaction Documents			✓
	Commodity Specific Documents			✓
	U.S. Government Documents such as Customs Entry, USDA Veterinary Permits, CDC Permits, ATA carnet		✓	

<sup>\*</sup> CITES paper form still required





### **US DEPARTMENT OF JUSTICE**

Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF)					
Program/	Form or Data Description	Form #	Electronic Submission Via		
Commodity	Tomica Sata Scott Pilon		Message Set	DIS	
	Application and Permit for Importation of Firearms, Ammunition and Implements of War	6 (5330.3A)	✓		
ATF -	Release and Receipt of Imported Firearms, Ammunition and Implements of War	6A (5330.3c)	✓		
General	Federal Firearms License		✓		
	Federal Explosives License		✓		

Drug Enforcement Administration (DEA)				
Program/	Form or Data Description	Form #	Electronic Submission Via	
Commodity	Form of Data Description	FOITH #	Message Set	DIS
	Import / Export Declaration for List I and List II Chemicals	486	✓	✓
DEA -	Import Declaration for Ephedrine, Pseudoephedrine, and Phenylpropanolamine	486A	✓	✓
General	Controlled Substances Import/Export Declaration	236	✓	✓
	Import Permit	35	✓	✓

#### **US DEPARTMENT OF STATE**

Directorate of Defense Trade Controls (DDTC)					
Program/	Form or Data Description	Form #	Electronic Submission Via		
Commodity	Form of Data Description	FOIIII #	Message Set	DIS	
	Application/License for Temporary Import of Unclassified Defense Articles	DSP-61	✓		
	Application for Amendment of a DSP-61 License	DSP-62	✓		
DDTC -	Application/License for Temporary Export of Unclassified Defense Articles	DSP-73	✓		
General	Application for Amendment of a DSP-73 License	DSP-74	✓		
	Application/License for Permanent/ Temporary Export or Temporary Import of Classified Defense Articles and Classified Technical Data	DSP-85	✓		

Office of Ma	ine Conservation (OMC)			
Program/	Form or Data Description	Form #	Message Set	bmission Via
Commodity	Form of Data Description	a Description Form #	Message Set	DIS
OMC -	Shrimp Exporter/Importer Declaration	DS-2031	✓	✓
General	Similip Exporter/importer Decidration	D3-2031	<b>V</b>	11





#### US DEPARTMENT OF TRANSPORTATION

National Highway Traffic Safety Administration (NHTSA)					
Program/	Form or Data Description	Form #	Electronic Su	nic Submission Via	
Commodity	Form of Data Description		Message Set	DIS	
	Declaration*	HS-7	✓		
	Bond to Ensure Conformity with Motor Vehicle Safety and Bumper Standards	HS-474		✓	
NHTSA -	Box 2B Attachment: Vehicle Manufacturer's Letter Confirming Compliance with Safety Standards			✓	
General	Box 6 Attachment: Copy of Official Orders (foreign diplomat serving in United States)			✓	
	Box 12 Attachment: Copy of Official Orders (foreign military serving in United States)  Box 9 Attachment: Copy of Incomplete Vehicle Document (manufacturer's instruction for vehicle to comply with safety			✓	
	standards)			✓	

<sup>\*</sup> Based on Declaration input, certain supplemental documents will be required to be submitted via DIS

#### US DEPARTMENT OF THE TREASURY

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
TTB - General	Notice of Release of Tobacco Products, Cigarette Papers, or Cigarette Tubes	5200.11	✓	
	Permit (IRC)	5200.10	✓	
	Application for and Certification/Exemption of Label/Bottle Approval	5100.31	✓	
	Certificates of Age, Origin, Identity, Nonstandard Fill, and Statements of Process		✓	
	Transfer Record and Package Gauge Record		✓	
	Spirits for Use in the US	5150.33	✓	
	Industrial Alcohol User Permit	5150.9	✓	
	Basic Permit (FAA)	5170.2	✓	



General

# Requirements for Partner Government Agency Information in ACE & Methods for Import Data Submission



#### **INDEPENDENT AGENCIES**

			Floretone 1 C 1	
Program/ Commodity	Form or Data Description	Form #	Electronic Sub Message Set	DIS
Ozone Depleting Materials	(CAA) Import of Ozone Depleting Substances		√	2.0
Pesticides	Pesticide Label			✓
	Notice of Arrival of Pesticides and Devices	3540-1	✓	
Vehicles and Engines	Importation of Motor Vehicles and Engines (On Road) *	3520-1	✓	
	Importation of Motor Vehicles and Engines (Off Road) *	3520-21	✓	
	Pre-approved Vehicle/Engine Exemption Letter *		✓	
Toxic Substance Control	Toxic Substances Control Act (TSCA) Import Certification		<b>✓</b>	
	Non-Objection Notice			✓
	oduct Safety Commission (CPSC)		Electronic Cub	unicaion V
Program/ Commodity	Form or Data Description	Form #	Electronic Sub Message Set	DIS
CPSC - General	General Conformity Certificate		✓	
	Children's Product Third Party Certificate		✓	
Program/	United States Trade Representative (USTR)  Form or Data Description	Form #	Electronic Sub	mission Vi
Commodity			Message Set	DIS
USTR -	P1/P2 Pasta Certificates			✓