



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



8/1/2017

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.

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US DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service (AMS)

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

Animal and Plant Health Inspection Service (APHIS) - Core

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
APHIS - Core	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	✓	
	Rabies Vaccination Certificate	7042	✓	
	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	✓	



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Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
APHIS - Core	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 Remain 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)	VS17-135		To Remain Paper
	Declaration of Importation (Required to Accompany Animal)	VS17-29	✓	✓
	Application for Inspection and Dipping	VS17-32	✓	✓
	Agreement of Pet Bird Owner (U.S. Origin Returning)	VS17-8		To Remain Paper
	Foreign Meat Certificate			To Remain Paper
	STAT Supporting Statement			✓
	Phytosanitary Certificate (Issued by Country of Origin)			To Remain Paper
	Foreign Government Health Certificates(including dip certificates, spay certificates, test charts, etc.)			To Remain Paper
Various import documents (invoices, packing list, etc.)			✓	

Animal and Plant Health Inspection Service (APHIS) - Lacey Act

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

Foreign Agricultural Service (FAS)

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



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Food Safety and Inspection Service (FSIS)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
	Application For The Return Of Exported Products to the United States	9010-1		To Remain Paper
FSIS - General	Import Inspection Application and Report	9540-1	✓	
	Official Foreign Inspection Certificate			To Remain Paper

US DEPARTMENT OF COMMERCE

Enforcement and Compliance (E&C)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			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			✓
E&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 program expired in March 2015	
	Request for Refund of Duties on Articles that Entered the Customs Territory of the United States Duty Paid	ITA-361P		To Remain Paper



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



National Marine Fisheries Service (NMFS)

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

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



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US DEPARTMENT OF DEFENSE

Defense Contracts Management Agency (DCMA)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			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/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			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 Remain Paper	
	Application to Transfer Select Toxins			✓
	CDC Permit for Unimmunized Dogs			✓
CDC - General	Certification Statement/Statement of Noninfectiousness			✓
	CDC Permission Message/Permission to Import the Nonhuman Primate Shipment			✓
	Death Certificate for Human Remains		To Remain Paper	
	Permit to Import Remains of Person Who Died of Quarantinable Communicable Disease		To Remain Paper	
	Rabies Vaccination Certificate			✓
	Non-Human Primate (NHP) Notification Message			✓

Food and Drug Administration (FDA)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
FDA - General	FDA data collected through OGA feed transitioned to ACE		✓	



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US DEPARTMENT OF HOMELAND SECURITY

Customs and Border Protection (CBP)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	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			✓
Trade Transactions	STB (Single Transaction Bond) (Type 1)			✓
	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(P)	✓	



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



U.S. Customs and
Border Protection

Invoice Worksheet





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



Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
Trade Transactions	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			✓
	Informal for Vessel Repairs, Parts and Equipment			✓
	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			✓



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U.S. Customs and
Border Protection

Certificate of Importer of Crude Petroleum





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Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
Trade Transactions	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			✓
	Certificate of Origin/Declarations for Goods Made by Forced Labor, Etc.			✓
	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 Rubies, including Exporter's Certification			✓
	Re-Melting Certificate			✓
	Declaration by Importer of Use of Certain Metal Articles			✓
Trade Agreements	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			✓
	U.S. - Bahrain FTA: Declaration, Certificate of Eligibility, Corrected Claim/Statement, and other records			✓
	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			✓	



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Trade Agreements	U.S. Insular Possession Certificate of Origin	3229	✓
	NAFTA Certificate of Origin	434	✓
	NAFTA Verification of Origin Questionnaire	446	✓
	NAFTA Motor Vehicle Averaging Election	447	✓
	Caribbean Basin Trade Partnership Act Certificate of Origin: Certificate of Origin, Corrected Declaration, and other records	450	✓
	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

Fish and Wildlife Service (FWS)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
	Declaration for the Importation and Exportation of Fish or Wildlife	3-177	✓	
	CITES Export Permit issued by exporting Foreign Government			✓*
	CITES Re-export Certificate issued by re-exporting foreign government			✓*
	CITES "Other" Document issued by foreign exporting or re-export government			✓*
	CITES Import Permit issued by FWS for imports.			✓*
	Wildlife Export and Re-export Permits issued by Foreign Government			✓
	Endangered Species Act Import Permit		✓	
FWS - General	Marine Mammal Protection Act Import Permit		✓	
	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			✓



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



U.S. Customs and
Border Protection

U.S. Government Documents such as Customs Entry, USDA Veterinary Permits, CDC Permits, ATA carnet



* CITES paper form still required



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



US DEPARTMENT OF JUSTICE

Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF)

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

Drug Enforcement Administration (DEA)

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

US DEPARTMENT OF STATE

Directorate of Defense Trade Controls (DDTC)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
DDTC - General	Application/License for Temporary Import of Unclassified Defense Articles	DSP-61	✓	
	Application for Amendment of a DSP-61 License	DSP-62	✓	
	Application/License for Temporary Export of Unclassified Defense Articles	DSP-73	✓	
	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 Marine Conservation (OMC)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
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OMC - General	Shrimp Exporter/Importer Declaration	DS-2031	✓	✓
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US DEPARTMENT OF TRANSPORTATION

National Highway Traffic Safety Administration (NHTSA)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
	Declaration*	HS-7	✓	
	Bond to Ensure Conformity with Motor Vehicle Safety and Bumper Standards	HS-474		✓
NHTSA - General	Box 2B Attachment: Vehicle Manufacturer's Letter Confirming Compliance with Safety Standards			✓
	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)			✓

* Based on Declaration input, certain supplemental documents will be required to be submitted via DIS

US DEPARTMENT OF THE TREASURY

Alcohol and Tobacco Tax and Trade Bureau (TTB)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
	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	✓	✓
TTB - General	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	✓	✓



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INDEPENDENT AGENCIES

Environmental Protection Agency (EPA)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
Ozone Depleting Materials	(CAA) Import of Ozone Depleting Substances		✓	
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		✓	
EPA - General	Non-Objection Notice			✓

Consumer Product Safety Commission (CPSC)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
CPSC - General	General Conformity Certificate		✓*	
	Children's Product Third Party Certificate		✓*	

*CPSC has concluded the initial test pilot and ACE is not currently accepting CPSC data. CPSC will continue electronic submission at a future date.

Office of the United States Trade Representative (USTR)

Program/ Commodity	Form or Data Description	Form #	Electronic Submission Via	
			Message Set	DIS
USTR - General	P1/P2 Pasta Certificates			✓