



# **CBP and Trade Automated Interface Requirements**

# **EPA Supplemental Guidelines**

November 30, 2023





Pub # 0875-0419





# **EPA**

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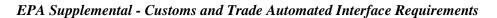




# **Change Log**

	ge Lug			
Date	Version No.	Description	Page Number	Author
11/30/2023	16	For HFCs, updated the introductory language to clarify that the weight reported should be net weight excluding all packing and packaging, and that CAS OR ASHRAE should be reported.	175, 176, 177, 179, 180, 181, 182, 184, 188	EPA
		For HFCs, clarified that the PG22 TSCA certification does not apply to Disclaim code A filings.		
		Updated HFC sample message sets to show that when reporting by CAS, the PG02C/PG04 pairs are reported after all other records.		
		For HFCs, updated the language for PG01 to remove mention of Disclaim Code 'C' and to indicate upload of a Certificate of Analysis to DIS is only required if the Certificate of Analysis does not accompany the shipment.		
		For HFCs, updated the language for PG02 to indicate it is a mandatory message set. Additionally, updated language to indicate that when reporting by CAS, regardless of whether the product is comprised of a single chemical or multiple chemical constituents, all reported data for each constituent in the product must be provided at the Component level.		
		For HFCs, updated the language for PG04 to indicate it is required for each PG02C.		
		For HFCs, updated the language for PG21 to indicate the individual name, telephone number, and email address are required for the Certifying Individual; only the individual name is required for the Consignee and Importer. However, note that if a PG55 with the CI role follows the PG21 Importer record, the individual name, telephone number, and email address are required for the Importer record as well.		
10/16/2023	15	Removed Disclaim Code 'C' for HFCs. Updated HFC sample message sets. Updated PG02 record guidance for HFCs to include a list of valid CAS number. Updated PG04 record where the Name of the Constituent Element is optional. Updated PG19 record guidance for HFCs to clarify the entity role codes and required data elements. Updated PG21 record guidance for HFCs to clarify the required data elements. Updated PG55 record guidance for HFCs to be optional where the entity role code must be 'CI.'	175, 176, 181, 182, 183, 185, 187, 188	EPA
8/25/2023	14	Added guidance for Hydrofluorocarbons (HFCs)	Previous Version	EPA

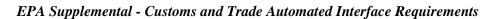






Date	Version No.	Description	Page Number	Author
		Added sample HFC message sets	Previous Version	
6/30/2023	13	Remove Ancient Engine Exemption Code	Previous Version	EPA
12/8/2020	12	Updated the contact information.	Previous Version	EPA
		Added Note 2 for reporting product and component for on-road vehicles.	Previous Version	
		Updated Record Identifier OI (Input) Commercial Description.	Previous Version	
		Clarified when the electronic submitted indicator is mandatory for images provided to DIS: Mandatory for the on-product label and when filing an image of a paper NOA for a Disclaim Code C; Conditional for Disclaim Code A.	Previous Version	
		Added note to Registered Pesticides Record Identifier PG07 (Product Details).	Previous Version	
		Updated Language for Record Identifier PG19 (Entity).	Previous Version	
		Updated PG21 for pesticide to include location of goods as mandatory.	Previous Version	
		Updated the Unit of Measure location to refer to for a list of all valid Unit of Measure codes.	Previous Version	
		Updated the code for Quarts in all tables to QTL.	Previous Version	
		Corrected the format of the foreign producer establishment number from the old format.	Previous Version	
2/12/2019	11	Guidance added on TSCA Title VI (Formaldehyde Rule)	Previous Version	EPA
		Clarification between TSCA Section 13, TSCA Title VI, and TSCA ODS data	Previous Version	
		TSCA Title VI Sample added	Previous Version	
2/2/2018	10	Updated EPA Declaration Forms to match text corrections in the document and adjusted filing dates to the year 2017.	Previous version	EPA
		Corrected spacing of message set elements within Form descriptions.	Previous version	
		Updated EPA Message Set Samples to reflect changes to the larger document and adjusted filing dates to the year 2017.	Previous version	
		Added to the V&E Form 3520-1 PG10 description to include requirements for Import Codes "U" and "Y."	Previous version	

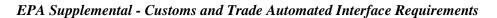






Date	Version No.	Description	Page Number	Author
		Added to description of PG14 requirements for Import Codes "A" and "W" and updated which import codes require LPCO Transaction code EP4.	Previous version	
		Updated list of Import Codes relevant to EP9/exemption number for V&E.	Previous version	
		Updated language to specify length of Engine Family Name/Number as 12 characters.	Previous version	
		Added a second Message Set Sample and associated description to V&E Form 3520-21 to indicate grouping for engines and engine equipment.	Previous version	
		Updated PG02 record to explain the case of a craft with multiple engines.	Previous version	
		Updated PG24 Remarks Codes to include 24a, 24b and 24c.	Previous version	
		Created Record Identifiers PG50 and PG51 to demonstrate grouping for V&E Form 3520-21.	Previous version	
		Specified that all entries filed under V&E 3520-21 require a minimum of one PG10 using a V05 and clarified the respective requirements of V05, V03 and V06.	Previous version	
		Removed characters from the PG14 LPCO number to ensure the length is 12 characters.	Previous version	
		Updated status and description of PG19 Identifier for the Entity for bonds.	Previous version	
		Added format descriptions to Unit Size, Quantity and Total Net weight for Form 3540-1.	Previous version	
		Changed Intended Use Code and Intended Use Description status to Optional for Registered Pesticides and Pesticides – Devices.	Previous version	
		Corrected status of filler for record identifier, from N/A or Conditional to Mandatory.	Previous version	
		Updated PS3 Form to clarify format of the Domestic Producer Establishment Number when provided in addition to, or in place of, the EPA Producer Establishment Number.	Previous version	
		Updated description of PG01 Intended Use Description to indicate the data element is not mandatory if 980.000 code is provided as Intended Use Code, but optional.	Previous version	

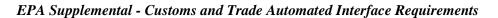






Date	Version No.	Description	Page Number	Author
		Clarify TSCA to indicate only information for the product (P) is provided. PG02C is not expected.	Previous version	
		Updated Import Codes for EPA Form 3520-21.	Previous version	
1/6/2017	9	Update V&E DIS instructions in PG01	Previous version	EPA
		Updated LPCO requirements for V&E filings per import code and provided clarification for import code "M"	Previous version	
		Removed TSCA negative cert PGA line in Pesticides Samples	Previous version	
		Changed Status of PG20 elements for certain entities from Mandatory to Conditional for Pesticides Filings	Previous version	
		Changed Status of Intended Use Description for Pesticide "Other" filings from N/A to Conditional	Previous version	
		DIS requirements updated in Appendix A for V&E	Previous version	
		Corrected location of CBP bond info	Previous version	
7/18/2016	8	Update PG22 Declaration description	Previous version	
		Correction indicator added to PG01 records	Previous version	
		Added Note to Correction Indicator in PG01 for Pesticides	Previous version	
		Removed "B" as a valid Pesticides disclaim code for EPA	Previous version	
		Updated Carrier Entity Role Code from "OV" to "CAR"	Previous version	
		Transaction Code for V&E in PG14 changed from Optional to "N/A"	Previous version	
		Change, per CBP update, PG21 Email Address for the Individual from "Email & Fax" to "Email"	Previous version	
		Commodity Characteristic Description for V&E form 3520-21 from "M" to "C"	Previous version	
		Clarifying descriptions with screen shot samples	Previous version	
		Changed Entity Role Code for PG19 from "C" to "M" (Typo for 1 of many PG19s in document)	Previous version	
		Commodity Characteristic Qualifier Correction	Previous version	
		Changed Entity Number for V&E form 3520-21 from "C" to "N/A"	Previous version	

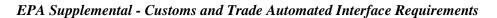






Date	Version No.	Description	Page Number	Author
11/17/2015	7	Update Contact list in beginning of CATAIR	Previous version	
		Removed V&E import code limitations.	Previous version	
		Clarify that certain import codes require additional PG records	Previous version	
		LPCO transaction Type for V&E changed from Mandatory to Optional	Previous version	
		Correct Entity name from 'N/A' to 'C' in PG19 for V&E	Previous version	
		Clarify Storage Location and Storage Contact for V&E	Previous version	
		Clarify language around NAIC Bond Number for V&E	Previous version	
		Clarify format for EPN in Pesticides filings	Previous version	
		Clarify language for PG21	Previous version	
		Clarify that 2 PG26s are required	Previous version	
		Clarify UOM (packaging level) codes for the PG26 for pesticides	Previous version	
		Removed TSCA blanket certification Code – TS2, as it will no longer be used	Previous version	
		Change Electronic Image Indicator (PG01) to Conditional for ODS and explain conditions	Previous version	
		Included TSCA negative cert PGA line in Pesticides Samples	Previous version	
5/13/2015	6	Updated Length/Class for Telephone Number field in PG21 record, from N to X.	Previous version	
		Added reference to Note 1 on PG20 Record for reporting Certifying Individual in the proper location of the PGA Message Set.	Previous version	
		Updated description of PG22 records to include record's ability to be repeated for multiple document identifiers or conformance declarations.	Previous version	
		Added reference to Note 2 for disclaimer codes in PG01 record.	Previous version	
		Reversed order of Change Log so the most recent revisions appear at the top of the table.	Previous version	
		Replaced the TSCA example image to correct distortion.	Previous version	







Date	Version No.	Description	Page Number	Author
		Added Government Agency Program Code table to Note 1 for PG01 records in Pesticides filings. Previous notes shifted to incorporate order.	Previous version	
		Added Note 2 to TSCA Sample explaining when a Non-Objection Notice would be required to be filed via DIS for used ODS.	Previous version	
		Removed Disclaimer Section	Previous version	
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.	Previous version	
		For V&E, provided Item Type code descriptions for PG02 record.	Previous version	
		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.	Previous version	
		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.	Previous version	
		Provided additional guidance on when reporting is required at the component level for commodities imported under V&E Form 3520-21.	Previous version	
		Included the 'Notify Party' data element in the "Pesticides Data Map from Existing EPA Form 3540-1."	Previous version	
		For Pesticides, corrected the header "Location of goods after examination" to "Location of Goods for Examination after import."	Previous version	
		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.	Previous version	
		For Pesticides, removed LPCO Transaction Type code from the PG14 record.	Previous version	
		Updated Program office Contact Information	Previous version	







Date	Version No.	Description	Page Number	Author
		Added TSCA section and included ODS under TSCA as appropriate.	Previous version	
7/31/2014	4	Updated EPA supplemental documentation location links to CBP.gov	Previous version	EPA
		Added Contact information for Pesticides Program	Previous version	
		Added Section for "Disclaimer for HTS codes marked for EPA"	Previous version	
		Added Descriptive text to the applicable codes for the V&E pilot	Previous version	
		Added Section for "Pesticide"	Previous version	
		Added Appendix A – Vehicles and Engines Reporting Requirements by Import Code	Previous version	
		Updated V&E Data mapping Exhibits to better outline which data elements are captured as Entry data	Previous version	
		Updated Record Descriptions for record identifiers to outline EPA reporting requirements	Previous version	
		Updated Status Column and field Descriptions for ODS and V&E record identifiers to EPA filing requirements	Previous version	
		Removed duplicated Record Identifier descriptions to shorten overall length of document	Previous version	





#### **General Introduction**

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

The CATAIR chapters, PGA Message Set chapters, and their respective 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:

https://www.cbp.gov/document/guidance/ace-dis-xml-schema

This PGA supplemental guide provides PGA-specific guidance regarding EPA'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 (Cargo Release)
- b) ACE Entry Summary Certified for ACE Release (Cargo Release)
- c) ACE Entry Summary only for Vehicles and Engines following a weekly estimate from a Type 06 FTZ Entry

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 for commodities, including vehicles and engines, fuels, ozone depleting substances, hydrofluorocarbons, hazardous wastes, pesticides, and chemical substances, which may pose a risk to human health and the environment. 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. EPA programs which regulate these imports and exports reported through ACE are:





- Office of Transportation and Air Quality Vehicles and Engines
- Office of Air and Radiation Ozone Depleting Substances, Hydrofluorocarbons
- Office of Land and Emergency Management Hazardous Waste
- Office of Pesticide Programs Pesticides, Pesticidal Devices
- Office of Pollution Protection and Toxics Chemicals 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 Vehicles and Engines, please contact:

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

For questions about Pesticides, please contact the appropriate EPA Regional Office:

https://www.epa.gov/compliance/regional-contacts-questions-concerning-notices-arrival-epa-form-3540-1

For questions about TSCA, please contact:

Toxic Substances Control Act Hotline is available to answer general questions about TSCA import and export requirements. The TSCA Hotline operates Monday through Friday, from 8:30 a.m. to 5:00 p.m. Eastern time. (202) 554-1404 or tsca-hotline@epa.gov

For questions about Ozone Depleting Substances, please contact Odsimports@epa.gov.

For questions about Hydrofluorocarbons, please contact <a href="https://example.com/HFCAllocation@epa.gov">HFCAllocation@epa.gov</a>.

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.



# **Vehicles and Engines (V&E)**

The Clean Air Act prohibits import 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, heavy-duty on-highway engines since 1970, motorcycles since 1978, 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 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.

#### Note 1:

EPA Import Declarations Form 3520-21 covers the import of non-road, stationary, or heavy-duty highway engines, including engines installed in vehicles or equipment. Form 3520-21 is also applicable for the import 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, which meet certain conditions, to certify and import engines that are sold separately (e.g., loose engines). A valid Certificate of Conformity is required for either of these cases, which the importer/broker will supply in the form of 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.

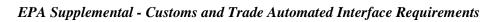
#### Note 2:

For current information pertaining to Original Equipment Manufacturer (OEM) reporting, please reference:

https://www.epa.gov/importing-vehicles-and-engines/publications-and-forms-importing-vehicles-and-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, 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
PG50	Input to indicate the start of grouping
PG51	Input to indicate the end of grouping

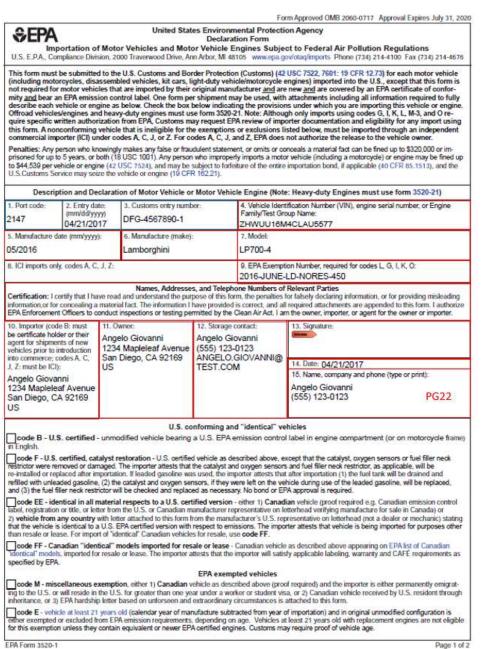




#### V&E Form 3520-1

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 EPA-V&E Form 3520-1.

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



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): VINs are captured in the PG07 and PG08 records, and are identified by the code "AKG."

#### **Manufacture Date:**

Date the vehicle was manufactured is located in the PG07 record.

Manufacture (Make): The name of the Manufacturer is found in the PG19 record, and is identified by the code "MF."





<b>\$EPA</b>	United States Environmental Protection Agency
	Excluded vehicles
85.1511(e)). EPA letter of approval r	ined by EPA and may not be registered or licensed for use on or operated on public roads or highways (40 CFR must be attached to this form.
Goode U -2005 model year (or older 5000 mm.	er) motorcycle, scooter or moped with engine displacement less than 50cc and with rated speed greater than
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 certifi- tificate prior to introduction into commerce.
1996 model years operates on fuel of	icle that: (1) for model years earlier than 1991 operates on fuel other than gasoline or diesel fuel, or (2) for 1991- her than gasoline or diesel or methanol fuel, or (3) for 1997 and later model years operates on fuel other than gaso- or compressed natural gas (CNG) or liquid petroleum gas (LPG), including propane. This exemption does not apply to
	Temporary imports
	teration in accordance with 40 CFR 85.1511(b)(1). May not be registered or licensed for use on, or operated on pub- d in the U.S. Customs bond required. EPA requests that the vehicle be bonded for at least its full value. EPA letter orm.
roads or highways (except operation t	uses in accordance with 40 CFR 85,1511(b)(2). May not be registered or licersed for use on or operated on public that is integral to the purpose of the testing program) or sold or leased in the U.S. Customs bond required. EPA or at least is full value. EPA letter of approval must be attached to this form.
with 40 CFR 85.1511(b)(4). May not b	ely for public or business purposes, and not for private purposes or U.S. market sales promotions) in accordance to registered or licensed for use on or operated on public roads or highways (except operation that is integral to the ted in the U.S. Customs bond required. EPA requests that the vehicle be bonded for at least its full value. EPA letter orm.
code N - imported by member of the authorized in writing by the U.S. Department	he armed forces or personnel of a foreign government on assignment to the U.S., for whom free entry has been witment of State, or a member of the armed forces of a foreign country with official orders for duty in the U.S.
Code 0 - 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.
	Independent commercial importer (ICI) imports
code A - imported by an ICI for mo year in accordance with 40 CFR 85.1	odifications in accordance with a valid EPA certificate of conformity issued for the specific make, model, and model 506.
code C - imported by an ICI for mo	odification and testing in accordance with 40 CFR 85.1509. Vehicle must be at least 6 years old.
	purpose of pre-certification testing in order to obtain an EPA certificate of conformity. No EPA approval is required, ficate or export (40 CFR 85.1511(b)(3)). Customs bond required.
	purpose of modifying to be identical to an original equipment manufacturer (OEM) certified version in accordance If that are specific to the vehicle being imported.
	OEM imports
Customs, for research, development	introlled directly by an original equipment manufacturer (OEM) on EPA list of OEM certificate holders provided to or testing purposes in accordance with 40 CFR 85.1708. This is a temporary exemption without time limit. If the napplicable EPA certificate of conformity, it is released from the restrictions of this exemption.
	ntrolled directly by an original equipment manufacturer (CEM) on EPA list of OEM certificate holders provided to to the applicable EPA certificate of conformity, which is pending and imminent. Use of this code is no longer permit- lec certificate of conformity.
	U.S. Department of Transportation Requirements
	rimarily manufactured for use on public roads must also file an HS-7 Declaration form to identify the basis for the ministered by the U.S. Department of Transportation. For more information, see www.nhtsa.dot.gow/cars/rules/import/.
	Paperwork Reduction Act Notice
to this collection are mandatory (40 C confidentiality will be safeguarded acc for this collection of information is esti persons to generate, maintain, retain, develop, acquire, install, and utilize te ing information, and disclosing and prain personnel to be able to respond otherwise disclose the information. Ar displays a currently valid OMB control and any suggested methods for minin	that motor vehicles and engines imported into the U.S. conform with applicable emission requirements. Responses FR 85.1501 et seq., and Clean Air Act Sections 203 and 208). Information submitted to the Agency under a claim of cording to policies set forth in Title 40, Chapter 1, Part 2, Subpart B. The public reporting and recordikeeping burden maked to average 30 minutes per response. Burden means the total time, effort, or financial resources expended by or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; chnology and systems for the purposes of collecting, validating, and verifying information, processing and maintain-oviding information; adjust the existing ways to comply with any previously applicable instructions and requirements; to a collection of information; search data sources; complete and review the collection of information; and transmit or a agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it inumber. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, nizing respondent burden, including through the use of automated collection in techniques to the Director, Collection all Protection Agency (2822), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460, Include the OMB control

Model: The Model Name of the vehicle is located in the PG07 record.

Certification
Statement: The
certification statement
is represented by the
code "EP2" in the

PG22 record.

**Importer:** Importer Entity Information is represented by a PG19, 20, and 21 set.

Owner: The Owner is the same individual as the Importer, so a PG55 record is used rather than repeating a PG19, 20, 21 set.

Signature: The signature of the individual certifying the PGA data is found in the PG22 record, represented by the code "Y."

**Date:** The date of certification is located in the PG22 record.

**Certifying Individual:** The Certifying Individual is the same individual as the Importer, so a PG55 record is used rather than repeating a PG19, 20, 21 record set.

**Import Code:** The Import Code is located in a PG24 record, identified as an Import Code by the code "EP2."

**EPA Letter of Approval:** The EPA Letter of Approval Exemption Number is located in a PG14 record, identified by the code "EP9."

V&E Form 3520-1 Message Set Sample Layout

EPA Form 3520-1





```
OI LAM
PG01001EPAVNE
         LAMBORGHINI AVENTADOR
PG02P
PG24EP20
PG07
                                    LP700-4
                                                  0 5 2 0 1 6 A K G Z H W U U 1 6 M 4 C L A U 5 5 7 7
PG08ZHWUU16M1CLAU5578ZHWUU16M3CLAU5579ZHWUU16MXCLAU5580ZHWUU16M1CLAU5581
PG14 EP92016 - JUNE - LD - NORES - 450
                      LAMBORGHINI
PG19MF
PG19 IM
                      ANGELO GIOVANNI
                                                     1234 MAPLELEAF AVENUE
PG 2 0
                                      SAN DIEGO
                                                          CA US92169
                                      ANGELO, GIOVANNI@TEST, COM
PG21IM ANGELO GIOVANNI
PG55CI DFPSTL
PG22 942
               CI EP2 Y04212017
```

**V&E Form 3520-1 PGA Message Set Description** 

The following records and CATAIR appendix codes were used to create the V&E Form 3520-1 Message Set Sample. Some data elements are mandatory, while others are conditional; the status column 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 required PGA Records and Data Elements may vary from program to program or within a single program.





# **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.

Record Identifier OI (Input)							
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.			



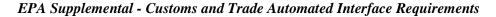


# **Record Identifier PG01 (PGA Identifier)**

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 Electronic Image qualifier.

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	"VNE"			
Government Agency Processing Code	3AN	14-16	N/A				
Electronic Image Submitted	1A	17	О	Optional. Provided 'Y' if an image of label, letter, or additional information is submitted in DIS 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				







Record Identifier PG	Record Identifier PG01 (Input)						
Data Element	Length/ Class	Position	Status	Description	Note		
Intended Use Description	21X	58-78	N/A				
Correction Indicator	1X	79	С	Indicator allowing trade to identify the expected action to be taken on the corrected data. Please refer to Appendix PGA and PGA Data Corrections spec for usage guidance.			
Disclaimer	1A	80	С	Code declaring filing does not require a PGA Message Set. For Example, A.	2, 3		

## 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 corresponding Entry/PGA Message Set.

#### Note 2

A code indicating the reason the PGA Message Set is 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

#### Note 3

When ordering PGA lines within an Entry, disclaimed PGA lines should be placed after all other non-disclaimed PGA lines.





# **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: PG07, PG10, PG14, PG19, PG20, and PG21.

Record Identifier Po	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	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 3520-1 Message Sets:

Data Element	Code	Description
Item Type	P	Product
	С	Component

## Note 2

For further clarification on reporting imported engines already installed in a vehicle, such as determining if the vehicle/engine combination is certified and you do not need to report the engine as a component within the vehicle, please review published regulations or policies.





# **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.

Import and Industry Code selection may require additional data elements to be filed. For example, Import Code "U" requires both the model year and a power rating to be provided as part of the PGA Message Set. Please refer to

Appendix A for a list of required data elements by Import Code, and their corresponding PGA record number. For further clarification on Import Code requirements, please refer to EPA Imports Hotline, Compliance Division, Office of Transportation and Air Quality at (703) 214-4100 or <a href="mailto:imports@epa.gov">imports@epa.gov</a>.

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	С	The appropriate Import Code. For example, O. Conditionally required for EP2.	2	
Remarks Text	68X	13-80	С	Conditionally required for GEN.		

#### Note 1

This is a 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





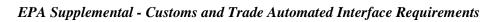
GEN	General Remarks

#### Note 2

This is a 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 C	odes (For us	e when EP2 is Remarks Type Code)
	В	U.Scertified
Remarks Codes	F	U.Scertified catalyst restoration
(Categories of Vehicle and Engine Imports – U.S. Conforming and "Identical"	EE	Identical in all material respects to a U.Scertified version
Vehicles)	FF	Canadian "identical" models imported for resale or lease
Remarks Codes	M	Miscellaneous exemption
(Categories of Vehicle and Engine Imports – EPA Exempted Vehicles)	Е	Vehicle at least 21 years old
	L	Racing vehicle
Remarks Codes  (Categories of Vehicle and Engine Imports – Excluded	U	2005 model year (or older) motorcycle, scooter or moped with engine displacement less than 50cc and with rated speed greater
Vehicles)	W	Non-chassis-mounted engine
	Y	Unregulated fuel
	G	Imported for repair or alteration
	I	Imported for testing purposes
Remarks Codes	K	Imported for display
(Categories of Vehicle and Engine Imports – Temporary Imports)	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
	0	Imported by non-resident for personal use by and individual for a period up to a year







Data Element	Code	Description
Import Co	des (For use	when EP2 is Remarks Type Code)
	A	Imported by an ICI for modifications in accordance with a valid EPA certificate of conformity
Remarks Codes (Categories of Vehicle and	С	Imported by an ICI for modification and testing in accordance with 40 CFR 85.1509 (Vehicle over 6 years old)
Engine Imports – Independent Commercial Importer [ICI] Imports)	J	Imported by an ICI for the purpose of pre-certification testing 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
Domantic Codes	Н	Imported, owned, and controlled directly by an original equipment manufacturer (OEM), research, development, or testing purposes.
Remarks Codes  (Categories of Vehicle and Engine Imports – OEM Imports)	Q	Imported, owned, and controlled directly by an original equipment manufacturer (OEM), for storage pending receipt of 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.





# **Record Identifier PG07 (Product Details)**

This is a 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 <u>only</u> the first vehicle or engine. Subsequent Item Identity Numbers can be reported in one or more PG08 record(s).

PG07 may be repeated in a PGA 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 within PG50/PG51 groupings to describe vehicle/engine combinations. For example, multiple tractors and engines where groupings are used to appropriately pair the Engine Serial Number ("ENN") with the vehicle's Serial Number ("SE").

Record Identifier PG	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, LP700-4.			
Manufacture Month and Year	6N	55-60	M	Manufacture date of the vehicle or engine. The format for this Manufacture date is two-digit Month and four-digit Year (MMYYYY) For example, 052016, is May 2016.			
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	ENN	Engine Serial Number
Codes (Describes the type of identifying number)	SE	Serial Number
identifying number)	AKG	Vehicle Identification Number (VIN)





# **Record Identifier PG08 (Input) to Report 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.

Record Identifier PG08 (Input)					
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	С	Additional Item Identity Number. For example, ZHWUU16M3CLAU5579.	
Item Identity Number	17X	39-55	С	Additional Item Identity Number. For example, ZHWUU16MXCLAU5580.	
Item Identity Number	17X	56-72	С	Additional Item Identity Number. For example, ZHWUU16M1CLAU5581.	
Filler	8X	73-80	M	Space fill	





# **Record Identifier PG10 (Input)**

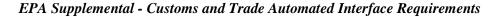
This is a conditional PGA input record that provides EPA with additional characteristics of a commodity not reported elsewhere in the PGA Message Set. Entries filed under 3520-1, with an Import Code of "A," "C," "U," "Y," or "Z," require a minimum of one (1) PG10 record with a "V06" commodity qualifier code used to report the **Model Year** in the Commodity characteristic description field. Additionally, Import code U requires a second PG10 record designating the commodity qualifier code an Engine Power Rating of "V03," the commodity characteristic qualifier a kilowatt (KW) or horsepower (HP), and including the power rating in the commodity characteristic description field. Additional PG10 records are optional and may be included at the discretion of the filer to provide additional characteristics of the product or component.

Record Identifier I	Record Identifier PG10 (Input)					
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	С	Conditionally required for V05. This code specifies the type of characteristic for the item, for example, VEH.	2	
Commodity Characteristic Description	57X	24-80	С	Conditionally required for V06. Free-form description of the item, either to supplement the above data elements or in place of the above. For Model Year, the format is a four-digit year (YYYY). For Example, if V06 is used with 2017, the model year is 2017.		

#### Note 1

A list of Commodity Qualifier Codes when filing a PGA Message Set for V&E Form 3520-1.







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

<sup>\*</sup> The V05 Commodity Qualifier Code, when used in conjunction with an appropriate Commodity Characteristic Qualifier, is used to report the <u>location</u> 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.

	V05: Manufacture Date (Explains the location of the manufacture date)				
Code	Name	Definition			
ENG	Engine	The manufacture date is obtained from the engine.			
VEH	Vehicle	The manufacture date is obtained from the vehicle.			
ОТН	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 "B" or "F," 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 "A" or "W," one (1) PG14 is conditionally required for Test Group or Engine Family Name (provided in lieu of an EPA Certificate of Conformity), conditions are based on the specifics of the importer's certificate of conformity, and questions should be directed to the imports hotline.

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. If the Import Code is "M," a PG14 record containing the Exemption Number (found within the Importer's EPA Letter of Approval) for the import is conditionally required. For Import Codes "G," "I," "K,", and "J," a PG14 record is required to provide the Bond Policy Number.

#### See

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	N/A		
LPCO Type	3AN	6-8	M	Code identifying the type of LPCO information being provided. For example, EP9.	1, 2
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 2016-JUNE-LD-NORES-450.	





LPCO Date	1N	42	N/A	
Qualifier				
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 Type codes applicable when filing EPA-V&E Message Set for 3520-1:

Data Element	Code	Description
LPCO Type 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 2

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

Data Element	Code	Description	Required by Import Code:
LPCO Transaction Codes (Describes the type of license, permit, certificate,	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.)  Test Group/Engine Family Name must be limited to 12 characters, including 'periods'.	B, F
or other)	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 CBP and Trade Automated Interface Requirements publication.

#### Note 1

When reporting the Certifying Individual as an additional role, use a PG55 record. When reporting the Certifying Individual with no additional roles, the correct placement of the PG19/20/21 for the Certifying Individual 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, IM.	1	
Entity Identification Code	3AN	8-10	N/A			
Entity Number	15X	11-25	N/A			
Entity Name	32X	26-57	С	Company name of the entity Role. For example, ANGELO GIOVANNI.		
Entity Address 1	23X	58-80	С	Line 1 of the Street Address for the entity being described. For example, 1234 MAPLELEAF AVENUE. Conditionally required for Importer and Owner.		





# Note 2

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
	STL	Storage Location (Contact)
	MF	Manufacturer
	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 and Importer. 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.

Record Identifier PC	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	С			
Entity Apartment Number/Suite Number	5X	37-41	С			
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). A PG21 may stand alone or may be related to an entity in the preceding PG19 or PG20. Included in this record are the Individual Name, Telephone 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 1

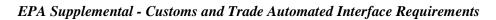
When reporting the Certifying Individual as an additional role, use a PG55 record. When reporting the Certifying Individual with no additional roles, the correct placement of the PG19/20/21 for the Certifying Individual is following the PG22 record.

Record Identifier PG21 (Input)						
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 to which entity the POC is related. For example, IM.	1	
Individual Name	23X	8-30	M	For example, ANGELO GIOVANNI		
Telephone Number of the Individual	15X	31-45	С	For example, 5551230123.  Conditionally required for Importer, Owner, Certifying Individual, and Storage Location Contact.		
Email Address for the Individual	35X	46-80	С	For example,  ANGELO.GIOVANNI@TEST.COM.  Conditional – current submission is voluntary pending required reporting via EPA rulemaking.		

#### Note 2

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 (Contact)
	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.

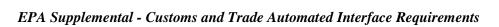
For further guidance on the use of the PG55 record in the PGA Message Set, please refer to the most recent version of the CATAIR from CBP.

Record Identifier PG55 (Input)										
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	С	Code identifying the additional role being assumed by the entity. For example, DFP.	1					
Entity Role Code	3AN	11-13	С	Code identifying the additional role being assumed by the entity. For example, STL.	1					
Entity Role Code	3AN	14-16	С	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:







Data Element	Code	Description
	IM	Importer
	DFP	Owner
Entity Role Codes	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.

The Entity Role Code field of the PG22 record must always be "CI" (Certifying Individual). This could be the Owner, Importer, or an agent for either, and is the entity signing the certification statement found in the Appendix PGA, section "PG22-Declaration Codes," code "EP2."

Record Identifier PG2	22 (Input)				
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 /Confirmation Letter	1A	5	N/A		
Document Identifier	7AN	6-12	М	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 information has 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 4-digit Year (MMDDYYYY).	
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:

Data Element	Code	Description
Document Identifiers	942	EPA 3520-1

## Note 2

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

Data Element	Code	Description
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 Importer files for Entry under EPA-V&E Form 3520-21.

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



United States Environmental Protection Agency Engine Declaration Form Importation of Engines, Vehicles, and Equipment Subject to Federal Air Pollution Regulations
U.S. EPA, Compliance Division, 2000 Traverwood Dir., Ann Antoc, Midnigan 48105. (734) 214-4100; imports@epa.gov; www.epa.gov/oba/imports/

This form must be submitted to the U.S. Customs and Border Protection (Customs) by the importer for each imported stationary, nonroad or heavy-duty highway engine, including engines incorporated into vehicles or equipment, but not for new products covered by an EPA certificate of conformity, bearing an EPA emission control label, if the original manufacturer is the importer. 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. 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, 86, and 1036.
   □ B. Locomotives or locomotive engines. See 40 CFR parts 1033 and 1068.
- □ C. Marine compression-ignition engines. See 40 CFR parts 1042 and 1068. This includes propulsion engines and auxiliary engines installed on
- D. Other nonroad compression-ignition engines. See 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 the same emission standards as all-terrain vehicles. See 40 CFR parts 1051 and 1068.
- 🗆 G. Other nonroad spark-ignition engines at or below 19 kW (or at or below 30 kW if total displacement is at or below 1000 cc). See 40 CFR parts
- ☑ H. Other nonroad spark-ignition engines above 19 kW. 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.

Check one of the following Codes to indicate the provision under which you are importing the engine, vehicle, or equipment:

If 1. U.S. certified engine or engine installed in a certified vehicle, covered by a valid EPA certificate of conformity and bearing an EPA emission control label in English. Additional information for Category G engines from 2010 and later model years (see 40 CFR 90.1007 or 1054.690):

Exempt from bond? \_\_\_\_\_\_ If not exempt, NAIC # for bond issuer: \_\_\_\_\_\_ policy number: \_\_\_\_\_\_ state of issuer: \_\_\_\_\_\_

- 2. National security. Importing a labeled (where applicable) engine subject to 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 40 CFR 1068.315(b).
- A. Replacement engine. Importing a labeled engine by an engine manufacturer holding a ourrent U.S. EPA certificate of conformity subject to 40 CFR 1068.315(c). This exemption does not apply to locomotive engines.

   D. 5. Extraordinary circumstances/hardship, Importing a labeled engine subject to 40 CFR 1068.315(d). An EPA letter of approval must be attached. 6. Hardship for small-volume manufacturers. Importing a labeled engine subject to 40 CFR 1068.315(e). An EPA letter of approval must be attached to this form.
- 17. Equipment-manufacturer hardship. Importing a labeled engine subject to 40 CFR 1068.315(f). This may also apply to secondary engine manufacturers. An EPA letter of approval must be attached to this form.
   18. Identical configuration. Importing an engine subject to 40 CFR 1068.315(h). Such an engine must be identical in all material respects to a U.S.-certified version, and the importer must have owned it for at least six months before importation. An EPA letter of approval must be attached to this form. This exemption does not apply to locomotives.

#### Temporary Exemptions for Nonconforming Engines

The following temporary exemptions apply for importing nonconforming engines. For companies that are not certificate holders for the sectors identified above (A-J), 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 40 CFR 1068.325(a) or 85.1511(b)(1). An EPA letter of approval
- □ 11. Testing. Importing an engine for testing subject to 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.

  1 12. Display. Importing an engine for display subject to 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 40 CFR 1068.325(d). 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 40 CFR 1068.325(e). 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
- pression-ignition engines.
- Compression-ignition engines.

  1 5. Delgated assembly, Importing a labeled engine for delegated assembly subject to 40 CFR 1068.325(f) or 1033.630. This exemption does not apply to handheld spark-ignition engines or engines for recreational vehicles.

  1 6. 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 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).

Pa 1 of 2 EPA Form 3520-21 CBP entry no:

#### **Industry Code:**

Identifies the type of highway, non-road or stationary engine/vehicle; located in a PG24 record: identified as an Industry Code by the code "EP3."

**Import Code:** Code identifying the provision under which you are importing the commodity; located in a PG24 record; identified as an Import Code by the code "EP2."

#### **Bond Exemption:**

Code identifying if the commodity is exempt from bond; located in a PG24 record: identified by the code "EP1."





17, Engine			Excluded from U.S. EPA rted to apply. These engin	Emission Standards es must generally have already been placed into service. ses not certified to standards corresponding to the model year
before the year	of importation.			
must be attach	ed.			CFR 1068.310(a) or 85.1511(e). An EPA letter of approval
CFR 60.4219,	ary compression-ignition of not designed to run on ga- er 40 CFR part 60 Subparts 60.4248 and 1068.310(b). T e subject to state or local re	he engine must be la	ement at or above 30 liters n, on liquified petroleum not required to be certified abeled as described in 40 C	s per cylinder or stationary spark-ignition engine above gas. These stationary engines are subject to EPA emission The engine must be used in a stationary manner. See 40 FR 1038.20 or 1048.20, as applicable. NOTE: Stationary
20. Undergr 40 CFR 1039.5	round mining. Engine must s; see also 30 CFR parts 7,	be used in undergro 31, 32, 36, 56, 57, 70	und mining and regulated b and 75. For compression-	by the Mining Safety and Health Administration (MSHA). See Ignition engines only.
1068.310(c).	engine. Engine must be use	d to power a reduced	3-scale model of a vehicle n	not capable of transporting a person. See 40 CFR
Maximum engi bond issuer: 23. Persona	on Program for Equipmen ne power: , policy number al-use exemption for small	t Manufacturers. Im kW HP (or identif , stat spark-ignition engi	y the regulatory power cate te of issue: ines. Importing three or few	nt, subject to 40 CFR 1039,625 and 1039,626 (Category D).  gory). Exempt from bond?, If not exempt, NAIC # for  ver nonroad spark-ignition engines at or below 19 kW for
purposes other  24. Engine im  24a. For  24b. For  24c. For	r than resale, where the imp ported by an Independent modification under an EPA modification and testing ac precertification testing to ob	orfer has not used thi Commercial Import certificate issued for to cording to 40 CFR 85	is exemption in the previous ter recognized by EPA. Or the specific make, model, a i.1509. NOTE: The importer	s five years, subject to 40 CFR 1054.630.  nly for Categories A and D above.  not model year under 40 CFR 85.1505, 89.605 or 1039.660.  d engine must be at least 6 years old.  )(3). NOTE: CBP bond is required. Specify location of storage
original product 85,1503.	24a and 24b, you may impo tion year. You may import ar	ny number of engines	certified to standards that	ear that are certified to standards based on an engine's apply based on the year the engine is modified. See 40 CFR
25. Other ex	xemption. Describe the exe	mption, attach EPA a	pproval (if applicable), and	identify the regulatory cite:
-				
Decla	ration of Stationary, Nonr	oad or Heavy-duty	Highway Engine, Nonroa	d Vehicle or Equipment, or Stationary Equipment
Port code:	CBP entry no:	Entry date:	Engine manufacturer; mo	odel and serial number of each engine; for certified engines or
9542	BOC-1923874-2	02/01/2017	vehicles, also identify the Kubota; EM1002; MHO-874;	
Format 3355	Format XXX-5599999-9	Format mm/dd/yyyy		
Identify the eng 12 month 2	gine (or vehicle) build date: 116 year 🖾 on engine 🛭	other (explain)	Vehicle or equipment mai (ff applicable); Kubota; Tractor 3000; MHO-	nufacturer, model, serial number, and type of equipment
EPA exemption	number, required for codes	10, 11, 12, 18;	16	
	economica de la compania de la comp			
misleading info this form. I auti	certify that I have read and	understand the purp	and Telephone Numbers ose of this form, the penalti formation I have provided is ections or testing permitted	of Relevant Parties les for falsely declaring information, for providing correct, and all required attachments are appended to by the Clean Air Act. I am the owner, the importer, or an
Signature:		Printed name:	T I	Date:
		Jane Smith		02/27/2017 Format: mm/dd/yyyy
Identify the nar	me, address, phone number	and e-mail address	for the importer, broker, and	d owner as applicable:
Importer (requi	red): ta North America	Broker (optional):		Owner (optional):
	St, Atlanta GA 30301, US			
	-			

NAIC #/State: The Bond Issuer NAIC # and State of Issue are located in a PG19/20 group and is identified by the code "NAI" of the PG19.

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

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 in a PG19 record, and identified by the code "MF."

**Model:** The model name is located in a PG07 record.

**Engine Serial** 

**Number:** The first Serial Number is located in a PG07 record, and identified by the code "ENN." All other serial numbers are located on the consecutive PG08 records.

**Engine Family Name:** The Engine Family Name/Number is located in a PG14 record, and identified by the code "EP4." Engine Family Name must be limited to 12 characters, including 'periods.'

**Build Date/Location:** The element describing the location of the build date (manufacture date) is located in a PG07 record, and a PG10 record.

**Certification Statement:** The certification statement is represented by the code "EP1" of the PG22 record.





**Signature:** The signature of the individual certifying the PGA data is found in the PG22 record, represented by the code "Y."

**Printed Name:** Printed name (Certifying Individual) information is represented by a PG19, 20, and 21 group.

**Date:** The date the certification was signed is located in the PG22 record.

**Importer:** The Importer is the same individual as the Certifying Individual, so a PG55 record is used rather than repeating a PG19, 20, and 21 group.





#### V&E Form 3520-21 Message Set Sample Layout

I CERT	IFIEL	KUB	OTA E	NGI	NE	IN	TPAC	TOR		1000	111111		15114	12 14		1777		100	
GO1001EPAVNE	ν.	, ,,,,,	V . n . L																
G 0 2 P																			
G24EP21																			
G24EP3H																			
G 0 7							TR	ACTO	R 3	000	0	1 2 0	178	E M	HO .	12	3 - 4	5 6	
G02C																			
G 0 7							EM	1002			1	220	16 E	NNM	HO -	8 7	420	0	
G 1 0	V 0 5	ENG																	
G14 EP49EPAV0	1 . AB	3																	
G19MF			KUB	OTA	13	APA	N)												
G191M			TOY	OTA	NO	RTH	AME	RICA				1	234	PE	ACH	TR	EE	STE	REET
G 2 0								ATLA	NTA					GA	US	3 0	301		
G21IM JIM SMI	TH			7	062	345	678		JIM	. SMI	THO	KUB	OTA	AME	RIC	A .	COM		
G22 943	C	I EP1	Y 0 2 2	720	17														
P19C1			TOY	OTA	NO	RTH	AME	RICA				1	234	PE	ACH	TR	EE	STE	REET
G 2 0								ATLA	NTA					GA	US	30	301		
G21CI JANE SM	ITH			7	062	345	678		JAN	E.SN	LITH	BKU	BOT	AAM	ERI	CA	CO	M	

#### V&E Form 3520-21 PGA Message Set Description

The records and Appendix codes included in this section were used to create the V&E Form 3520-21 Message Set Sample. Some data elements are mandatory, while others are conditional: the status column 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.





#### V&E Form 3520-21 Message Set Sample Layout with grouping



#### V&E Form 3520-21 Message Set Sample Layout with Grouping Description

When creating a PGA Message Set which requires reporting of an engine and the equipment it is installed in, groupings can be used. This is completed using a series of PG07 records bookended by the PG50/51 records, which denote grouping. All additional records which pertain to the Product (the combined engine and equipment) will also fall under the PG02 product level. This will include, but is not limited to, the Certification Statement/Form Number, Importer information, Certifying Individual, and equipment characteristics.

As the engine is being certified, it will additionally be reported as a component of the product and may include Test Group Family Name/Number, exemptions, and any/all applicable records and required data. All engines and equipment must be identical to use this message set construction.

*Note* – Only a single engine (with Serial Number) must be provided at the Component level, all other similar Engines can be reported via groupings with their equipment at the Product level.





## **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.

Record Identifier OI (Input)										
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, CERTIFIED KUBOTA ENGINE IN TRACTOR.						



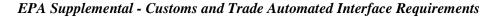


## **Record Identifier PG01 (PGA Identifier)**

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 Electronic Image qualifier.

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	"VNE"					
Government Agency Processing Code	3AN	14-16	N/A						
Electronic Image Submitted	1A	17	0	Optional. Provided if an image of label, letter, or additional information is submitted in DIS 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						







Record Identifier PG	Record Identifier PG01 (Input)											
Data Element	Length/ Class	Position	Status	Description	Note							
Intended Use Description	21X	58-78	N/A									
Correction Indicator	1X	79	С	Indicator allowing trade to identify the expected action to be taken on the corrected data. Please refer to Appendix PGA and PGA Data Corrections for usage guidance.								
Disclaimer	1A	80	С	Code declaring filing does not require a PGA Message Set. For Example, A.	2, 3							

#### 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 corresponding 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

#### Note 3

When ordering PG lines within an Entry, disclaimed PGA lines should be placed after all other non-disclaimed PGA lines.





## **Record Identifier PG02 (Product Identifier)**

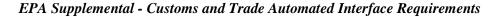
This mandatory PGA input record is used to indicate whether or not the provided information relates to a Product (P) or a Component (C) of a product. All subsequent records and reported information will fall under either the Product level or the Component level. When reporting at the Product Level, provide all data elements required for, and specific to, the product as a whole. This will include, but is not limited to: Manufacturer, Certifying Individual, Importer, and Certification. When reporting at the Component Level, provide all records and data elements required for, and specific to, the component of the product, not the product as a whole. Records used for reporting at the Component Level include, but are not limited to: PG07, PG10, PG14, PG19, PG20, and PG21. In the case of a craft with multiple, non-identical marine engines, each individual engine will need the appropriate information provided in an independent record set. Another example that would require independent record sets is in the case of a special purpose motor vehicle, such as a concrete mixer, which requires two non-identical engines.

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	Code identifying the following records as pertaining to the product or a component.	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:







Data Element	Code	Description
Item Type	P	Product
	С	Component

#### Note 2

For further clarification on reporting imported engines already installed in a vehicle, such as determining if the vehicle/engine combination is certified and you do not need to report the engine as a component within the vehicle, 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 <u>and</u> a second identifying the applicable Import Code. The following conditions require a third PG24 record:

- 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").

Import and Industry Code selection may require additional data elements to be filed; for example, Import Code "24a" requires both the model year and Storage Location to be provided as part of the PGA Message Set. Please refer to

Appendix A for a list of required data elements by Import Code, and their corresponding PGA record number. For further clarification on Import Code requirements, please refer to EPA Imports Hotline, Compliance Division, Office of Transportation and Air Quality at (703) 214-4100 or <a href="mailto:imports@epa.gov">imports@epa.gov</a>.

Record Identifier PG.	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	С	The appropriate Import Code; conditionally required for EP1, EP2 and EP3. For example, 1.	2
Remarks Text	68X	13-80	С	Conditionally required 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.

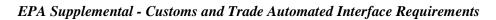
Data Element	Code	Description
	EP1	Vehicles and Engines Bond Exemption
	EP2	EPA Vehicles and Engines Import Code
Remarks Type Codes	EP3	EPA Vehicles and Engines Industry Code
	EP4	EPA Vehicles and Engines Regulation Cited for other exemption
	GEN	General Remarks

#### Note 2

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

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

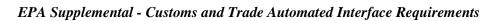






Data Element	Code	Description
	8	Identical configuration
	10	Repairs or alterations
	11	Testing
	12	Display
	13	Export
	14	Diplomatic or military
	15	Delegated assembly
	16	Partially complete engine
Remarks Codes (Categories of Vehicles and Engine Imports – Temporary exemptions for	17	Engine manufactured before emission standards started to apply
Nonconforming Engines [10-	18	Competition engine
16]; Importation of Engines Excluded from U.S. EPA Emission Standards [17-21]; Exemptions for Specific Engine Categories or Other Special Cases [22-35]))	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
	24a, 24b, & 24c	Engine imported by an independent commercial importer recognized by EPA
	25	Other exemption
Industry C	odes (For use	when EP3 is Remarks Type Code)
	A	Heavy-duty highway engines (for use in motor vehicles with gross vehicle weight rating above 8500LBS
Remarks Codes (Categories of Vehicles and Engine Imports)	В	Locomotives or locomotive engines
	С	Marine compression-ignition engines
	D	Other non-road compression-ignition engines







Data Element	Code	Description
	Е	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
	Н	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 <u>identical</u> vehicles or engines are being imported, the PG07 record captures the Item Identity Number of <u>only</u> the first vehicle or engine. Subsequent Item Identity Numbers can be reported in one or multiple PG08 record(s).

The PG07 record 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 records. 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, EM1002.		
Manufacture Month and Year	6N	55-60	M	Manufacture date of the vehicle or engine. The format for this Manufacture date is two-digit Month and four-digit Year (MMYYYY) For example, 122016, is December 2016.		
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-874200.		





## Note 1

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

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





# **Record Identifier PG08 (Input) to Report 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.

Record Identifier F	PG08 (Input	·)			
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-874201.	
Item Identity Number	17X	22-38	С	Additional Item Identity Number. For example, MHO-874202.	
Item Identity Number	17X	39-55	С	Additional Item Identity Number. For example, MHO-874203.	
Item Identity Number	17X	56-72	С	Additional Item Identity Number. For example, MHO-874204.	
Filler	8X	73-80	M	Spaces fill	





## **Record Identifier PG50 (Input)**

This is an optional PGA input record that is used to indicate the start of a grouping. The PG51 record is used to indicate the end of the grouping.

Groups can occur when a PGA Message Set requires reporting of multiple identical engine-equipment pairs. The first equipment and its installed engine are considered representative of all the items, and the full message set reflects this. The equipment is reported at the product level under the "PG02P" record, with its installed engine reported as the Component level "PG02C." Additional equipment-engine pairs are reported using a series of PG07 records for specific identifiers (Engine Serial Numbers, Serial Numbers, VINs) bookended by the PG50 record at the start, and the PG51 record at the finish. All additional records which provide details are provided outside of the PG50/PG51 group, and are expected to be pertinent to all identical pairs. This will include, but is not limited to, the Certification Statement/Form Number, Importer information, Certifying Individual, and equipment characteristics.

*Note* – Only a single engine (with Serial Number) must be provided at the Component level, all other identical engines can be reported with their equipment in the groupings at the Product level.

Record Identifier PG50 (Input)						
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 50.		
Filler	76X	5-80	M	Space fill		





## **Record Identifier PG51 (Input)**

This is an optional PGA input record that is used to indicate the end of the grouping. The PG50 record should have been used to indicate the beginning of the grouping.

Record Identifier PG50 (Input)						
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 51.		
Filler	76X	5-80	M	Space 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, to report the location of the manufacture/build date using a V05.

Additional PG10 records are conditionally required based on import code (see Appendix A) or are optional and may be included at the discretion of the filer to provide additional characteristics of the product or component.

Record Identifier I	PG10 (Inpu	et)			
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	С	This code specifies the type of characteristic for the item, for example, ENG. Required for V03 and V05.	2
Commodity Characteristic Description	57X	24-80	С	Free-form description of the item, either to supplement the above data elements or in place of the above. Required for V03 and V06. 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. For Model Year, the format is a four-digit year (YYYY). For example, if V06 is used with 2017, the Model Year is 2017.	





#### Note 1

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

	Code	Definition
V03		Engine power rating (kW or HP).
Commodity Qualifier Codes	V05*	Manufacture date of the vehicle or engine.
	V06	Model year of the vehicle or engine.

<sup>\*</sup> The V05 Commodity Qualifier Code when used in conjunction with an appropriate Commodity Characteristic Qualifier is used to report the <u>"location"</u> 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:

Data Element	Code	Description						
Engine Power	Engine Power Rating (For use when V03 is Commodity Qualifier)							
Commodity Characteristic	KW	Maximum engine power value, in kilowatts.						
Qualifier (For V03 provides the unit of power)	HP	Maximum engine power value, in horsepower.						
Manufactu	re Date (For	use when V05 is Commodity Qualifier)						
	ENG	The manufacture date is obtained from the engine.						
Commodity Characteristic	VEH	The manufacture date is obtained from the vehicle.						
Qualifier (For V05 describes location of manufacture date)	ОТН	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," "10," "11," "12" 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" or "22": 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

Appendix A for required reporting elements listed by Import Code.

Record Identifier PC	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	N/A					
LPCO Type	3AN	6-8	M	Code identifying the type of LPCO information being provided. For example, EP4.	1, 2			
LPCO Number (or Name)	33X	9-41	M	The LPCO information. For example, 9EPAV01.ABC.				
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					





#### Note 1

List of LPCO Type Codes applicable when filing a PGA Message Set for V&E Form 3520-21:

Data Element	Code	Description
LPCO Type 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	Bond Policy Number
	EP9	EPA Vehicles and Engines Exemption Number.

## Note 2

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

Data Element	Code	Description	Required by Import Code:
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.) Test Group/Engine Family Name must be limited to 12 characters, including 'periods'.	1, 22
	EP7	Bond Policy Number	24c, and conditionally required for 1 + Industry G, and 22
	EP9	EPA Vehicles and Engines Exemption Number	2, 10, 11, 12, 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, Manufacturer, and Certifying Individual. Additional entities, such as Storage Location and NAIC Bond Issuer are conditionally required based on Import Code. See

Appendix A for a list of required records by Import Code. Additional PG19 records are optional and may be included at the discretion of the filer.

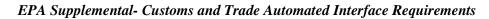
For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section C (Data Rules and Record Relationships in the PGA Message Set) in the CBP and Trade Automated Interface Requirements publication.

#### Note 1

When reporting the Certifying Individual as an additional role, use a PG55 record. When reporting the Certifying Individual with no additional roles, the correct placement of the PG19/20/21 for the Certifying Individual is following the PG22 record.

Record Identifier PG	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	С	Identifier for the Entity, for instance, if used with entity role code NAI, provide the NAIC Bond Issuer's number.				
Entity Name	32X	26-57	С	Company name of the entity Role. For example, TOYOTA NORTH AMERICA.				
Entity Address 1	23X	58-80	С	Line 1 of the Street Address for the entity being described. For example, 1234 PEACHTREE STREET.				







		Conditionally required for Importer and Storage Location.	

## Note 2

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

Data Element	Code	Description
	IM	Importer
	DFP	Owner
Entity Role Codes	STL	Storage Location
Entity Role Codes	CI	Certifying Individual
	MF	Manufacturer
	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 and Certifying Individual. Additional entities, such as Storage Location and NAIC Bond Issuer are conditionally required based on Import Code. See

Appendix A for a list of required records by Import Code. 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 CBP and Trade Automated Interface Requirements publication.

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	С				
Entity Apartment Number/Suite Number	5X	37-41	С	For example, 102 A.			
Entity City	21X	42-62	С	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	С	For example, US. Conditionally required for Importer and Storage Location.			
Entity Zip/Postal Code	9X	68-76	С	For example, 30301. Conditionally required 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 POC. A PG21 may stand alone or may be related to an entity in the preceding PG19 or PG20. Included in this record are the Individual Name, Telephone Number, and Email Address. A PG21 record is required for these specific entities: Importer and Certifying Individual. Additional entities, such as Storage Location (Contact) may be conditionally required based on Import Code. See

Appendix A for a list of required records by Import Code. 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 CBP and Trade Automated Interface Requirements publication.

#### Note 1

When reporting the Certifying Individual as an additional role, use a PG55 record. When reporting the Certifying Individual with no additional roles, the correct placement of the PG19/20/21 for the Certifying Individual is following the PG22 record.

Record Identifier PG21 (Input)							
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 to which entity the POC is related. 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 for the Individual	35X	46-80	С	For example, JANE.SMITH@KUBOTAAMERICA.COM. Conditionally required for Importer.			





## Note 2

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

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

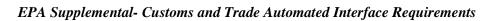
For further guidance on the use of the PG55 record in the PGA Message Set, please refer to the PGA Message Set Usage Notes, Section D (Data Reporting) in the CBP and Trade Automated Interface Requirements publication.

Record Identifier PC	Record Identifier PG55 (Input)							
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	С	Code identifying the additional role being assumed by the entity. For example, DFP.	1			
Entity Role Code	3AN	11-13	С	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 fill				

#### 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	
	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.

The Entity Role Code field of the PG22 record must always be "CI" (Certifying Individual). This could be the Owner, Importer, or an agent of either, and is the entity certifying the certification statement found in the Appendix PGA, section "PG22-Declaration Codes, code "EP1.

Record Identifier PG22 (Input)					
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/ Confirmation Letter	1A	5	N/A		
Document Identifier	7AN	6-12	M	Code identifying the EPA Form being filed. For example, 943.	1
Conformance Declaration	5X	13-17	N/A		
Entity Role Code	3AN	18-20	M	"CI"	
Declaration Code	4AN	21-24	М	Code identifying the certification statement of EPA Form 3520-21. For example, EP1.	2
Declaration Certification	1A	25	M	Designates that the information provided is correct and all required information has 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 4-digit Year (MMDDYYYY).	
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:

Data Element	Code	Description
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:

Data Element	Code	Description
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 regulations in 40 CFR Parts 150-189, pesticides must be registered with EPA, unless they are exempt under FIFRA. Imported pesticides must also be registered, except those that are exempt from regulation under FIFRA or meet 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, 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 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, and Electronic Image qualifier.						
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 POC, 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.						
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 one active ingredient.

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

(3)	E	VIRO	to the second contract of the second contract	States ROTECTION AGE	OMB Control No. 2070-0020 Expires on 12/31/2020		
			Washington	n, DC 20460			
		Not	ice of Arrival of P	esticides and Devices			
S	end Compl			al Office Listed in the Instruction before completing form.	ons for this Form.		
	Part	1: To Be	Completed by Import	er of record or Licensed Cu	stoms Broker		
1. Name and Complet	e Address	of Licensed	Customs Broker	2. Name and Complete Addres	ss of Importer of Record		
John Smith - Super C 500 East 17th St. API New York, NY 10012 Phone: (202) 234-567	T 100 US	TOTAL STREET	ompany ©superbrokerage.com	JANE SMITH - BUG SPRA 345 NEWBERRY STREET BOSTON, MA 02105 US Phone: 6172345678; Email			
Return Form to this	Address			Return to this Address			
3. Name and Complet	e Address	of Shipper		4. EPA Registration Number	5. EPA Producer Establishment No.		
John Reyes - Superio		Company		69340-8	001234CHN002		
432 Port Blvd Lapu-La PG323402488	apu City			6. Brand Name of Product			
Phone: +83 32411580	00; Email: j	ohn.reyes(	②superiorshipping.ph	Off Mosquito Repellent			
7. Active Ingredients a	and Percen	tage of Eac	ch				
Deet - 15.3757%							
8. Unit Size	9. Quanti	ty	10. Total Net Weight	11. Country of Origin			
10 Oz	1000	Bottles	284.53 kg	China			
12. Port of Entry	10.0			13. Name and Complete Address of Carrier			
Newark, NY	<u> </u>			Jay Smith - Maritime Indu	strial Shippers		
14. Entry Number		15. Antici	pated Entry Date	New York, NY 10012 US			
SP3-345637	756	04/1	1/2017	Phone: (202) 345-6789; Email: jay.smith@maritimeshippers.com			
17. Location of Goods f			mportation	16. I assert that information constituting Confidential Business Information is shown in the above blocks numbered: (Note: Blocks			
Famous Storage		ehouse		170	o CBI treatmentsee instructions.)		
12345 Jersey AV Newark, NJ 0731				N/A			
processing of the Notice	e of Arrival.	)		I that apply: (The following info	rmation may expedite the  . Domestic Producer Establishment		
		Contractor (a)		With the Party of the Color	Access with the comment of the		
Number:							
Number: 18b. A pesticide trai ment Number:	nsferred be	Maria Contract		not operated by the same produ r of Product being Formulated,	cer. Domestic Producer Establish-		

#### **Customs Broker:**

The Customs Broker Entity Information is provided in a PG19/20/21 record set.

Importer of Record: The Importer Entity Information is provided in a PG19/20/21 record set.

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

Shipper: The Shipper Entity Information is provided in a PG19/20/21 record set.

**Brand Name:** The Brand Name of the product is provided in a PG07 record.





**EPA Registration Number:** Provided in a PG14 record with an "EP8" Transaction Type Code.

EPA Registration Number: Product Name:							
Total Net Weight: Entry Number:							
Total Net Weight: Entry Number:  18d. A Pesticide distributed for research and development purposes without an Experimental Use Permit.  18e. A pesticide transferred solely for export. Domestic Producer Establishment Number:  18f. A pesticide distributed under an emergency exemption. Emergency Exemption Number:  18g. A pesticide transferred for the purposes of disposal.  18h. Other. Provide an explanation including the intended use and a description of why the product is being imported into the United States in Block 19 Remarks.  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							
Certification  I certify that the statements I made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowlngly 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 No.: (617) 23						-5678	
21. Signature of Importer of Record or Licensed Customs Broker:				Date:	02/1	1/2017	
Par	rt II: To Be Com	pleted by U.S. Environmental Prot	tection Agency				
Action to be taken by U.S. Customs and Border Protection:  Release Shipment Detain for inspection Release shipment to consignee under bond. Shipment must be held intact pending 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 the shipment and should be noted in "Remarks."  Remarks:							
Signature of District Director of Customs:				Date:			

EPA Producer
Establishment
Number: Provided in a
PG19 record with an
"EPN" Entity Role Code.
The format should be 6
numbers, 3 letters, then 3
more numbers without
dashes (e.g.,
NNNNNNAAANNN).

### **Active Ingredients:**

Provided in a PG04 record at the end of the message set. If there are more than one active ingredient, they are provided in separate PG04 records, immediately after PG02 records that identify each Component ("C") by its CAS number.

**Unit Size:** Provided in a

PG26 record. Packaging Qualifier identifies the level based on relative quantity (1-6, where 1 is the largest quantity in the shipment).

**Quantity:** Provided in a PG26 record. When writing the quantity, 12 numbers are required with two implied decimal places. In this example, 1000 bottles is represented as 000000100000.

**Total Net Weight:** Provided in a PG29 record. *There should be 12 numbers and two implied decimal places when writing Commodity Net Quantity.* In this example, 284.53 is represented as 000000028453.





**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 in a PG19/20/21 record set.

**Location of Goods for Examination after import:** The Storage Location Entity Information is provided in a PG19/20/21 record set.

**CBI Indicator:** Space 18 of the PG01 record is reserved for indicating the presence of CBI.

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

**Remarks:** Remarks are provided in a PG24 record, with a "GEN" qualifier.

**Certification Statement:** The Certification Statement is represented by the code "EP3" in the PG22 record.

**Signature:** The signature of the individual certifying the PGA data is found in the PG22 record, represented by the code "Y."

**Printed Name:** Printed name (Certifying Individual) information is represented by a PG19, 20, and 21 record set.

**Date:** The date of certification was signed is located in the PG22 record.

**Importer:** The Importer is the same individual as the Certifying Individual, so a PG55 record is used rather than repeating a PG19, 20, 21 group.





### Registered Pesticides Message Set Sample Layout

123456789212345678921	3 4 5 6 7 8	9月123	4567895	123456	789812	3 4 5 6 7	8 9 8 1	3 4 5	6 7 8 9	R 1 2 3	4567	8 9
OI OFF MOSQUIT	REPEL	ENT										
PG01001EPAPS1 Y												
PG02PCAS 94271-03-1												
PG070FF MOSQUITO REPEL	LENT											
PG14 EP869340-8												
PG19EPN 001234CHN00:	3											
PG 1 9 C B PG 2 0	SUP	ER CU		ROKERA							REET	
P G 2 0		4.4.4.4.4	100	NEW Y	ORK			NY	US 10	012		
PG21CB JOHN SMITH		202	2 3 4 5 6 7 1	10	OHN. SM	THES	UPERI	BROK	ERAG	E 000	M	
P G 1 9 I M	BUG	SPRA	YIMPOR	T COMP	ANY		3 4 5 1	EWB	ERRY	STF	REET	
P G 2 0			203	BOSTO	N			MA	U.S 0 2	1 0 5		
PG21IM JANE SMITH	BUG	5 1 7	2345671	1	ANE SM	THEB	UGSPI	IYAS	MPOR	TCC	MC	
PG55NP CI			shalmed a horse									
PG19CAR	MAR	TI ME	INDUST	RIAL S	HI PPER	s I	600 4	ORT	R-D			
				RIAL S NEWAR	K			NJ	US 20	034		
PG21CARJAY SMITH		4 1 0	1123451		AY SMI	AMBHT	RITII	MESH	PPE	RS C	MO	
PG 19DEO	SUP	FRIOR	SHIPPI	NG COM	PANY		432 1	ORT	BOU	LEVA	RD	
P.G.2.0		3/// 15/0		LAPU-	APU C	TV		171111	PH 3 2	3 4 0 3	488	
PG19DEQ PG20 PG21DEQJOHN REYES		633	2411581	0 1	OHN RE	YESES	IPFRI	ORS	HIPP	NG	PH	
PG19LG	FAM	DUS S	TORAGE	AND WA	REHOUS	E	1234	JE	RSEY	AVE		#
P G 2 0				NEWAR	K			NJ	USDT	3 1 0		
PG 2 0 PG 2 1 L G MARK PG 2 2 9 4 4 C I E F		663	245778	3 M	ARK JI	MATIM	F COL	A.				
PG 2 2 9 4 4 CI F1	23 V024	12017										
PG261000000100000BO	4 4 4	100										
PG2620000000010000Z												
PG29KG 000000028453												
PGD4YDEET											0 1 5 3	

#### **Registered Pesticides Message Set Description**

The following records and codes are used to create Pesticide Message Sets for Registered Pesticides. 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 required PGA Records and Data Elements may vary from program to program and within a single program.





# **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.

Record Identifier OI (Input)							
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.  A general description such as 'goods" or articles from China is not sufficient			





# **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 Electronic Image qualifier.

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	С	Identifying whether an image has been submitted via DIS. For example, Y.	2	
Confidential Information Indicator	1A	18	С	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	О			
Intended Use Description	21X	58-78	О			





Record Identifier PG01 (Input)						
Data Element	Length/ Class	Position	Status	Description	Note	
Correction Indicator	1X	79	С	Indicator allowing trade to identify the expected action to be taken on the corrected data. Please refer to Appendix PGA and PGA Data Corrections for usage guidance.	4	
Disclaimer	1A	80	С	Code declaring filing does not require a PGA Message Set. For Example, A.	5, 6	

#### Note 1

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

Data Element	Code	Description
Covernment Agency Program	PS1	Registered Pesticides
Government Agency Program Codes	PS2	Pesticides – Devices
	PS3	Pesticides – Other

### Note 2

Along with the PGA message set for the Notice of Arrival, at least one image, an on-product pesticides label, must be submitted to DIS and the electronic image submitted indicator is mandatory. The image must be filed before its corresponding Entry/PGA Message Set.

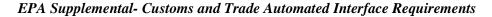
EPA must be selected as an additional Agency to CBP when submitting the DIS image; otherwise, the DIS image will not be associated with the appropriate EPA PGA Message Set. The label must be tagged EPA04 in DIS so EPA can see it.

For paper filings where an image of the Notice of Arrival uploaded to DIS, Disclaim Code C must be filed and the electronic image submitted indicator is mandatory. For Disclaim code A the electronic image indicator is conditional where images may be uploaded to DIS and tagged EPA03.

#### Note 3

The Confidential Information Indicator of "Y" indicates that certain 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 record indicating which data elements are considered CBI.







Non applicable data elements	PGA Record Location
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

Corrections to Notice of Arrivals should be made prior to arrival at Port of Entry.

## Note 5

A code indicating the reason the PGA Message Set is being disclaimed and not provided. Valid codes for EPA Pesticides Message Sets are:

A =product is not regulated by this agency

C = data filed through other agency means

D = data filed through paper

### Note 6

When ordering PGA lines within an Entry, disclaimed PGA lines should be placed after all other non-disclaimed PGA lines.





# **Record Identifier PG02 (Product Identifier)**

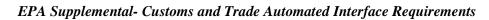
This mandatory PGA input record is used to indicate whether the information being provided relates to a Product (P) or a Component (C) of a product. All Registered Pesticide Message Sets require one (1) PG02 record identifying the product.

Record Identifier Po	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	М	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	О	Product Code Qualifier identifying the type of product code number. For example, CAS.	2			
Product Code Number	19X	10-28	О	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
	С	Component

# Note 2

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

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





### Note 3

If the product is comprised of a single chemical, then all reported data should be at the Product level. If the product is comprised of multiple chemical constituents, then reported data for each constituent in the product should be provided at the Component level. If an EPA Registration Number was provided, or the product is a device, the Product Code fields 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.

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	M	Free-form description of the product Trade/Brand name. For example, OFF MOSQUITO REPELLENT.	1
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		

### Note 1

Supply the product name that appears on the label copy uploaded into DIS for the product.





# 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.

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	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:

Data Element	Code	Description
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 eight (8) entities must be identified: Agent/Broker (CB), Importer (IM), Shipper (DEQ), EPA Producer Establishment No. (EPN), Carrier (CAR), and Location of Goods (LG) via PG19 record; Certifying Individual (CI) and Notifying Party (NP) are also required and expected via PG55 or PG19 records. Note: A self-filer should include the Customs Broker (CB) entity in the PG55 record because it is required. For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes in the ACE CATAIR PGA Message Set publication.

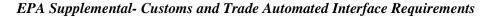
Record Identifier PG	Record Identifier PG19 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note	
Control Identifier	2A	1-2	M	"PG"		
Record Type	2N	3-4	M	"19"		
Entity Role Code	3AN	5-7	M	Code identifying the Role of the Entity. For example, CB.	1	
Entity Identification Code	3AN	8-10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

### Note 1

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

Data Element	Code	Description
Entity Role Codes	IM	Importer







CAR	Carrier
DEQ	Shipper
EPN*	EPA Producer Establishment Number
LG	Location of Goods
СВ	Customs Broker
CI	Certifying Individual
NP	Notifying Party

<sup>\*</sup>When providing the EPA Producer Establishment Number all dashes and other special characters must be removed (e.g., 001234-CHN-002, would be entered as 001234CHN002).

## Note 2

Entity Number field is required when the Entity Role code is "EPN." The format should be 6 numbers, 3 letters, then 3 more numbers without dashes (e.g., NNNNNNAAANNN).

## Note 3

Entity Name and Entity Address 1 fields are required for 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	С		
Entity Apartment Number/Suite Number	5X	37-41	С	For example, 100.	
Entity City	21X	42-62	С	For example, NEW YORK.	
Entity State/Province	3AN	63-65	С	For example, NY.	
Entity Country	2A	66-67	С	For example, US.	
Entity Zip/Postal Code	9X	68-76	С	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 POC related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, and Email address. A PG21 record is required for these specific entities: Importer, Carrier, Shipper, Broker, and Location of Goods. 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 in the ACE CATAIR PGA Message Set publication.

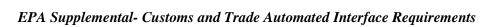
Record Identifier PG21 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	"PG"	
Record Type	2N	3-4	M	"21"	
Individual Qualifier	3AN	5-7	M	Code identifying the Role of the Entity POC. For example, CB.	1
Individual Name	23X	8-30	M	Entity POC name. For example,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

### Note 1

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

Data Element	Code	Description
Entity Role Codes	IM	Importer
	CAR	Carrier







Data Element	Code	Description
	DEQ	Shipper
	LG	Location of Goods
	СВ	Customs Broker
	CI	Certifying Individual
	NP	Notifying Party





# **Record Identifier PG55 (Additional Roles)**

This is a mandatory PGA input record used to provide additional roles performed by an Entity and individual previously listed in the PG19/PG20/PG21 of either Broker or Importer. 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 as needed by 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 – Data Reporting section in the ACE CATAIR PGA Message Set publication.

Record Identifier PG55 (Input)					
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	С	Code identifying the Role of the Entity. For example, DEQ.	1
Entity Role Code	3AN	14-16	С	Code identifying the Role of the Entity. For example, IM.	1
Entity Role Code	3AN	17-19	С	Code identifying the Role of the Entity. For example, LG.	1
Entity Role Code	3AN	20-22	С	Code identifying the Role of the Entity. For example, CB.	1
Entity Role Code	3AN	23-25	С	Code identifying the Role of the Entity. For example, CAR.	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
	IM	Importer
	CAR	Carrier
	DEQ	Shipper
Entity Role Codes	LG	Location of Goods
	CI	Certifying Individual
	СВ	Customs Broker
	NP	Notify Party





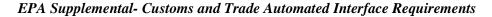
# **Record Identifier PG22 (Document Identifier/Certification)**

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

The Entity Role Code field of the PG22 record must always be "CI" (Certifying Individual). The Certifying Individual can be the Importer of Record or a Licensed Customs Broker, and is responsible for signing the certification statement found in the Appendix PGA, section "PG22-Declaration Codes," code "EP3."

Record Identifier PG22 (Input)					
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" 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" is the only acceptable declaration code for EPA Pesticides. It specifically refers to the certification statement from EPA Form 3540-1.	2
Declaration Certification	1A	25	M	Designates that the information provided is correct and all required information has 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 4-digit Year (MMDDYYYY) For example, 02112017, is February, 11 2017.	







Record Identifier PG22 (Input)						
Data Element	Length/ Class	Position	Status	Description	Note	
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:

Data Element	Code	Description
Document Identifiers	944	EPA 3540-1

## Note 2

"EP3" is the only acceptable declaration code for EPA Pesticides Entries. It specifically refers to the Certification Statement from EPA Form 3540-1.

Data Element	Code	Description
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.

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	О	Pesticides remark type code. For example, GEN.	1	
Remarks Code	5AN	8-12	N/A			
Remarks Text	68X	13-80	О	Free-form remarks text field. For example, PESTICIDES REMARK.		

### Note 1

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

Note: If "EP5" or "GEN" is used, the Remarks Text field is required for further explanation.

Data Element	Code	Description
Remarks Type Codes	EP5	EPA Notice of Arrival of Pesticides and Devices
31	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. For EPA, a minimum of two (2) PG26 records are required. 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.

Record Identifier PG26 (Input)					
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.

When using multiple PG26 records to report different package sizes of the same product, there is a mandated order for packaging qualifier: packaging levels must go from largest to smallest, and the appearance of any Packaging Qualifier number level requires all levels under it to be represented. For instance, level 3 cannot be present unless levels 1 and 2 are present.





### Note 2

There are two implied decimal places and leading zeroes when providing the quantity. In this example, 1,000 bottles are represented as 000000100000.

### Note 3

The below table provides some examples of Unit of Measure codes applicable to the EPA-Pesticides Message Set and is not representative of all the codes applicable to EPA. For a list of all valid Unit of Measure codes please refer to the ACE CATAIR Appendix B – Valid Codes.

Code	Description
AE	Aerosol
TY	Tank, Cylindrical
VL	Bulk Liquid
BX	Box
CA	Can, Rectangular
CX	Can, Cylindrical
TU	Tube
TK	Tank, rectangular
CON	Container
M3	Cubic meters volume
GAL	Gallons
L	Liters
KG	Kilogram
ВО	Bottle, Non-protected, Cylindrical
BQ	Bottle, Protected, 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.

Record Identifier PG29 (Input)					
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, 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	M		





### Note 1

The below table provides some examples of Unit of Measure codes applicable to the EPA-Pesticides Message Set and is not representative of all the codes applicable to EPA. For a list of all valid Unit of Measure codes please refer to the ACE CATAIR Appendix B – Valid Codes.

Code	Description
G	Gram
KG	Kilogram
MG	Milligram
OZ	Ounces
QTL	Quarts
ML	Milliliters
GAL	Gallons

### Note 2

There are two implied decimal places and leading zeroes when providing the Commodity Net Quantity. As in this example, 10,000 Ounces are represented as 000001000000.





# **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 in the ACE CATAIR PGA Message Set publication.

Record Identifier PG04 (Input)						
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	С	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 places and leading zeroes when providing the Percent of Constituent Element. In this example, 15.3757% is represented as 0153757.





# 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:**

<b>②</b>	EN\ end Complete	Customs Broker: The Customs Broker Entity Information is provided in a PG19/20/21 record set.										
1. Name and Complet	747740404			2. Name and Complete Addres								
John Smith - Super ( 500 East 17th St. AP New York, NY 10012 Phone: 2022345878	PT 100 2 US		Company superbrokerage.com	Jane Smith - Bug Spray Imp 345 Newberry St. APT 203 Boston, MA 02105, US Phone - 6172345678; Email	ort Company - jane.smith@bugsprayimport.com	<b>Importer of Record:</b> The Importer Entity Information is provided in a PG19/20/21						
Return Form to this	Address			Return to this Address	20	record set.						
3. Name and Complet	e Address of S	Shipper	19	4. EPA Registration Number	5. EPA Producer Establishment No.							
John Reyes - Sur	perior Shipp	ping Co	ompany	DEVICE	012345CHN002							
432 Port Blvd.	111		11.	6. Brand Name of Product	J	Notify Party. The return for						
Lapu-Lapu City 3: Philippines	23402486			Victor Rat Pov	ver Killer	<b>Notify Party:</b> The return form to this address party is						
7. Active Ingredients a	and Percentag	ge of Eac	h			<u> </u>						
N/A						provided in a PG55 record.						
8. Unit Size	9. Quantity		10. Total Net Weight	11. Country of Origin		F.						
112.5 G	1000 B	oxes	112.50 kg	China		<b>Shipper:</b> The Shipper Entity						
12. Port of Entry				13. Name and Complete Addre	ess of Carrier							
4601				Jay Smith - Maritime Indus 600 Port Rd	strial Shippers	Information is provided in a PG19/20/21 record set.						
14. Entry Number	1	5. Anticip	oated Entry Date	Newark, NJ 20034 US Phone - 4101123456		1 G19/20/21 Tecola set.						
988-087123	4 5	5/22/	2017	Email - jay.smith@maritim	eshippers.com							
17. Location of Goods f	for Examinatio	n after in	nportation		onstituting Confidential Business nove blocks numbered: (Note: Blocks	<b>Brand Name:</b> The Brand						
Famous Storage 12345 Jersey Ave Newark, NJ 0731	e.	nouse		4, 5, 6 and 7 are not entitled to	o CBI treatment—see instructions.)	Name of the product is provided in a PG07 record.						
18. [Optional] For pestic processing of the Notice		en EPA Re	egistration No., select al	that apply: (The following infor	mation may expedite the							
18a. A pesticide tra	ansferred betv	ween reg	istered establishments	operated by the same producer	. Domestic Producer Establishment	EDA Docistration						
Number:						EPA Registration						
San All Control of the Control of th	nsferred betw	100			cer. Domestic Producer Establish-	<b>Number/Device:</b> Device is						
ment Number:		and the second		of Product being Formulated,	10 de	indicated in the PG01 record						
18c. A pesticide dist	ributed under	an Exper	rimental Use Permit. Ex	perimental Use Permit Numbe	r.	by a Government Agency						

Program Code of PS2.





**EPA Producer Establishment Number:** Provided in a PG19 record with an EPN Entity Role Code. The format should be 6 numbers, 3 letters, then 3 more numbers without dashes (e.g., NNNNNNAAANNN).

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

EPA Registration Number:		Product Name:				Quality: Provided
Total Net Weight:		Entry Number:				in a PG26 record.
19d A Particida distributad for re	scoarch and dove	lopment purposes without an Experime	ental Heo Pormit			- 1
		mestic Producer Establishment Number				
		xemption. Emergency Exemption Nun				
18g. A pesticide transferred for th						Total Net Weight:
		ntended use and a description of why	the product is be	ing impo	orted into the United	Provided in a PG29
States in Block 19 Remarks.			-			record.
19. Remarks. Provide additional infor the NOA.	rmation here. It is	recommended that a copy of the label	affixed to the pr	oduct be	submitted with	
the NOA.						
						Port Code, Entry
						Date, Country of
		Certification				Origin, and Entry
I certify that the statements I mad	e on this form an	d all attachments thereto are true, accu	rate and comple	ete. I ackr	nowledge that any	Number: These four
knowingly false or mislea	ading statement r	may be punishable by fine or imprisonn	nent or both und	ler applic	cable law.	data elements are
20. Printed Name of Importer of	Jane S	mith	Telephone No.	61	72345678	
Record or Licensed Customs Broker	ounc o	TTTGT		011	2010010	captured by CBP
21. Signature of Importer of Record				Date:	02/11/2017	Entry data and will
or Licensed Customs Broker:				_		not be reported in the
		pleted by U.S. Environmental Pro	tection Agency			PGA Message Set.
Action to be taken by U.S. Customs ar	nd Border Protec		hand Chlasses		hald lake ak a sadda a	
Release Shipment Detain fo	or inspection	Release shipment to consignee under inspection.	bond. Shipment	must be	held intact pending	
Other. (Specify)						
Remarks:						Carrier: The carrier
						Entity Information is
						provided in a
Signature and Title				Date:		PG19/20/21 record
of EPA Official:			1 B11'			set.
		mpleted by U.S. Customs and Boro the entry papers for this shipment and		s were n	oted. The shipment	-
		ations should be brought to the attentions should be brought to the attention should be noted in "Remarks."				
Remarks:						Location of Goods
						for Examination
Signature of District						101 2314111114101011
Director of Customs:				Date:		after import: The
						Storage Location

Entity Information is provided in a PG19/20/21 record set.

**CBI Indicator:** The PG01 record has an indicator for the presence of CBI.





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

**Remarks:** Remarks are provided within a PG24 record with a "GEN" qualifier.

**Certification Statement:** The Certification Statement is represented by the code "EP3" in the PG22 record.

**Signature:** The signature of the individual certifying the PGA data is found in the PG22 record, represented by the code "Y."

**Printed Name:** Printed name (Certifying Individual) information is represented by a PG19, 20, and 21 set.

**Date:** The date of certification is located in the PG22 record.

**Importer:** If the Importer and the Certifying Individual is the same person, a PG55 record is used rather than repeating a PG19, 20, 21 group. In this instance, they are not, so a separate PG19 and 21 group is used.





### Pesticides - Device Message Set Sample Layout

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G 0 2 P																																												
G 0 7 V	C	T O	R	RA	†	PC	W C	EF	1	K1	11	E	R																															
G 1 9 E	PN		.0	1.2	3 4	5.0	H	NO	0	2																																		
G 19C	В											S	U P	E	9	CI	J.S	Т	ON	AS	B	R	OK	ER	AC	E.	C	OM	PA	N.Y		5 0	0	E	AS	T	1	77	ГН		S 1	RE	ET	1
G 2 0 P	E1424	THE	61	D =	8	OD: E	::D	TA ID	7.7	ME	AMD 7									n n	0		ME	w	- W.	N DO N									No V	0 0	418	2.78	nin	1	20			
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G 191	M											В	UG		SP	R	AY		1 1	1P	OR	T	C	OA	AP.A	NY	1					3 4	5	N	ΕV	BE	ER	R	Y	5	TF	REE	T	
G 2 1 C																			1	2 0	3		80	SI	ON	1									MA	1	JS	0	2 1	0	5			
G 2 11	W.	I A	ΝE	S	MI	TH	4								-6	1	7 2	3	4 :	5 6	7 8				JA	N.E		SMI	T	H @	BI	JG	SF	R	AY	1 3	#P	01	R.T	10	CK	MX		
G 5 5 N																																												
G 19C	AR											M	AR	1	r ii	M	E	1	NE	U	SI	R	LA	L	SH	11 P	P	ER:	S		1	5 0	0	P	OR	T	R	D						
G 2 0																							NE	VIA	RI										ΝJ	1	15	2	0.0	3	4			
G 2 1 C	AR.	J.A.	Y	SM	LT	H									4	1	0 1	1	23	3 4	5.6	0			10	Y.	8	MI.	TH	ØΝ	AF	3.1	TI	M	E S	HI	P	PI	ER	8	. (	101		
G 19D	E.Q											S	UP	EI	15	0.8																										ARC		
G 2 0																							LA	PL	) - L	A.F	U	CI	T	Υ.						F	H	3	23	4	0 3	2 4 8	6	
G 2 1 D	E Q	10	H.N	R	EY	E S	S								6	3	3 2	4	1	15	8 0	0			JC	)HA	4	RE'	YE.	SŒ	SI	JP	EF	11	OR	SI	11	PF	PI	N	G.	PH		
G 19L	G											F	AN	101	JS		3 T	Đ	R/	G	E	A	ND	V	AF	REH	10	USI	E			1 2	3 4	4 5	J	EF	3 8	E	٧.	A.	V E			
G 2 0																							A 21 500	mark to	490											1	J.S	0	7.3	1	0			
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G 2 2	9.4	4					C	1	Ε	P 3	1	0	2 1	1	2 0	1	7												1 12															
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G 2 6 2	0.0	0 0	0 0	0 1	1 2	5 (	0 G																																					
G 2 9 K	3	0 0	0 0	0.0	0 1	1.2	2 5	0																																				

#### Pesticides - Device Message Set Description

The following records and codes are used to create Pesticide Message Sets for Devices. 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 required PGA Records and Data Elements vary from program to program and within a single program.





# **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.

Record Identifier OI (Input)											
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. A general description such as 'goods" or articles from China is not sufficient.							





# **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 Electronic Image qualifier.

Record Identifier PG	GO1 (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"	1
Government Agency Processing Code	3AN	14-16	N/A		
Electronic Image Submitted	1A	17	С	Code declaring an image has been submitted via DIS. For example, Y.	2
Confidential Information Indicator	1A	18	С	Code declaring 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	О		
Intended Use Description	21X	58-78	О		





Record Identifier PG	Record Identifier PG01 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note	
Correction Indicator	1X	79	С	Indicator allowing trade to identify the expected action to be taken on the corrected data. Please refer to Appendix PGA and PGA Data Corrections spec for usage guidance.	4	
Disclaimer	1A	80	С	Code declaring filing does not require a PGA Message Set. For Example, A.	5, 6	

#### Note 1

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

Data Element	Code	Description
Covernment Agency Program	PS1	Registered Pesticides
Government Agency Program Codes	PS2	Pesticides – Devices
	PS3	Pesticides – Other

#### Note 2

Along with the PGA message set for the Notice of Arrival, at least one image, an on-product pesticides label, must be submitted to DIS and the electronic image submitted indicator is mandatory. The image must be filed before its corresponding Entry/PGA Message Set.

EPA must be selected as an additional Agency to CBP when submitting the DIS image; otherwise, the DIS image will not be associated with the appropriate EPA PGA Message Set. The label must be tagged EPA04 in DIS so EPA can see it.

For paper filings where an image of the Notice of Arrival uploaded to DIS, Disclaim Code C must be filed and the electronic image submitted indicator is mandatory. For Disclaim code A the electronic image indicator is conditional where images may be uploaded to DIS and tagged EPA03.

#### Note 3

The Confidential Information Indicator of "Y" indicates 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 record.





Along with the PGA message set for the Notice of Arrival, at least one image, an on-product pesticides label, must be submitted to DIS and the electronic image submitted indicator is mandatory. The image must be filed before its corresponding Entry/PGA Message Set.

EPA must be selected as an additional Agency to CBP when submitting the DIS image; otherwise, the DIS image will not be associated with the appropriate EPA PGA Message Set. The label must be tagged EPA04 in DIS so EPA can see it.

For paper filings where an image of the Notice of Arrival uploaded to DIS, Disclaim Code C must be filed and the electronic image submitted indicator is mandatory. For Disclaim code A the electronic image indicator is conditional where images may be uploaded to DIS and tagged EPA03.

Non applicable data elements	PGA Record Location
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

Corrections to Notice of Arrivals should be made prior to arrival at Port of Entry.

#### Note 5

A code indicating the reason the PGA Message Set is being disclaimed and not provided. Valid codes for EPA Pesticides Message Sets are:

A = product is not regulated by this agency

C = data filed through other agency means

D = data filed through paper

#### Note 6

When ordering PGA lines within an Entry, disclaimed PGA lines, should be placed after all other non-disclaimed PGA lines.





# **Record Identifier PG02 (Product Identifier)**

This mandatory PGA input record 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.

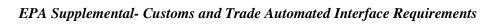
Record Identifier PG02 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	"PG"	
Record Type	2N	3-4	M	"02"	
Item Type	1A	5	M	Identifies the following records as pertaining to the product or a component of the product. For example, P.	1
Product Code Qualifier	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







С	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.

Record Identifier PG	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	M	Free-form description of the product Trade/Brand name. For example, VICTOR RAT POWER KILLER.	1
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		

#### Note 1

Supply the product name that appears on the label copy uploaded into DIS (if multiple products in the entry have the same product name, differentiate the filings by the devices' model numbers).





### **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 Pesticidal Devices, a minimum of eight (8) entities must be identified: Agent/Broker (CB), Importer (IM), Shipper (DEQ), EPA Producer Establishment No. (EPN), Carrier (CAR), and Location of Goods (LG) via PG19 record; Certifying Individual (CI) and Notifying Party (NP) are also required and expected via PG55 or PG19. Note: A self-filer should include the Customs Broker (CB) entity in the PG55 record because it is required.

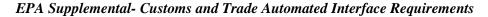
For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes in the ACE CATAIR PGA Message Set publication.

Record Identifier PG	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 an Entity. For example, EPN.	1	
Entity Identification Code	3AN	8-10	N/A			
Entity Number	15X	11-25	С	ID number assigned to an Entity. For example, 012345CHN002.	2	
Entity Name	32X	26-57	С	Entity name, such as a company. For example, SUPER CUSTOMS BROKERAGE COMPANY.	3	
Entity Address 1	23X	58-80	С	Address of Entity. For example, 500 EAST 17TH STREET.	3	

#### Note 1

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







Data Element	Code	Description
	IM	Importer
	CAR	Carrier
	DEQ	Shipper
Entity Role Codes	EPN*	EPA Producer Establishment Number
	LG	Location of Goods
	СВ	Customs Broker
	CI	Certifying Individual
	NP	Notifying Party

<sup>\*</sup>When providing the EPA Producer Establishment Number all dashes and other special characters must be removed (e.g., 001234-CHN-002 would be 001234CHN002).

#### Note 2

The Entity Number field is required when the Entity Role Code is "EPN." The format should be 6 numbers, 3 letters, then 3 more numbers without dashes (e.g., NNNNNNAAANNN).

#### 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)					
<b>Data Element</b>	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	С	For example, PESTICIDES DEPARTMENT.	
Entity Apartment Number/Suite Number	5X	37-41	С	For example, 100.	
Entity City	21X	42-62	С	For example, NEW YORK	
Entity State/Province	3AN	63-65	С	For example, NY.	
Entity Country	2A	66-67	С	For example, US.	
Entity Zip/Postal Code	9X	68-76	С	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 POC related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone 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 in the ACE CATAIR PGA Message Set publication.

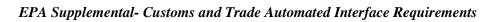
Record Identifier PG	Record Identifier PG21 (Input)				
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	"PG"	
Record Type	2N	3-4	M	"21"	
Individual Qualifier	3AN	5-7	M	Code identifying the Role of the Entity POC. For example, CB.	1
Individual Name	23X	8-30	М	Entity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

#### Note 1

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

Data Element	Code	Description
	IM	Importer
Entity Role Codes	CAR	Carrier
	DEQ	Shipper







LG	Location of Goods
СВ	Customs Broker
CI	Certifying Individual
NP	Notifying Party





# **Record Identifier PG55 (Additional Roles)**

This is a mandatory PGA input record used to provide additional roles performed by an Entity and individual previously listed in the PG19/PG20/PG21 of either Broker or Importer. 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 as needed by 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 in the ACE CATAIR PGA Message Set publication.

Record Identifier PG55 (Input)					
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 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	С	Code identifying the Role of the Entity. For example, DEQ.	1
Entity Role Code	3AN	14-16	С	Code identifying the Role of the Entity. For example, IM.	1
Entity Role Code	3AN	17-19	С	Code identifying the Role of the Entity. For example, LG.	1
Entity Role Code	3AN	20-22	С	Code identifying the Role of the Entity. For example, CB.	1
Entity Role Code	3AN	23-25	С	Code identifying the Role of the Entity. For example, CAR.	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.	





### <u>Note 1</u>

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

Data Element	Code	Description
	IM	Importer
	CAR	Carrier
	DEQ	Shipper
Entity Role Codes	LG	Location of Goods
	CI	Certifying Individual
	СВ	Customs Broker
	NP	Notify Party



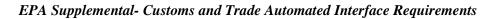


### **Record Identifier PG22 (Document Identifier/Certification)**

This is a mandatory PGA input record that provides EPA with data pertaining to Importers' Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications. The Entity Role Code field in the PG22 record must always be "CI" (Certifying Individual). The Certifying Individual can be the Importer of Record or Licensed Customs Broker, and is responsible for signing the certification statement found in the Appendix PGA, section "PG22-Declaration Codes" using code "EP3."

Record Identifier PG	Record Identifier PG22 (Input)					
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" 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" is the only acceptable declaration code for EPA Pesticides. It specifically refers to the certification statement from EPA Form 3540-1.	2	
Declaration Certification	1A	25	M	Designates that the information provided is correct and all required information has 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 4-digit Year (MMDDYYYY) For example, 02112017, is February 11, 2017.		
Invoice Number	17X	34-50	N/A			







Record Identifier PG22 (Input)								
Data Element	Length/ Class	Position	Status	Description	Note			
Compliance Description	30X	51-80	N/A					

### Note 1

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

Data Element	Code	Description
Document Identifiers	944	EPA 3540-1

### Note 2

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

Data Element	Code	Description
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.

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	О	Pesticides remark type code. For example, GEN.	1	
Remarks Code	5AN	8-12	N/A			
Remarks Text	68X	13-80	О	Free-form remarks text field. For example, PESTICIDES REMARK.		

#### Note 1

List of Remarks Type Codes applicable to EPA Pesticide Device Message Sets:

Note: If "EP5" or "GEN" is used, the Remarks Text field is required for further explanation.

Data Element	Code	Description
Remarks Type Codes	EP5	EPA Notice of Arrival of Pesticides and Devices
31	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. For EPA a minimum of two (2) PG26 records are required. 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.

Record Identifier PG	Record Identifier PG26 (Input)						
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. When using multiple PG26 records to report different package sizes of the same product, there is a mandated order for packaging qualifier: packaging levels must go from largest to smallest, and the appearance of any Packaging Qualifier number level requires all levels under it to be represented. For instance, level 3 cannot be present unless levels 1 and 2 are present.





#### Note 2

There are two implied decimal points and leading zeroes when providing the quantity. In this example, 112.50 grams are represented as 000000011250.

#### Note 3

The below table provides some examples of Unit of Measure codes applicable to the EPA-Pesticides Message Set and is not representative of all the codes applicable to EPA. For a list of all valid Unit of Measure codes please refer to the ACE CATAIR Appendix B – Valid Codes.

Code	Description
AE	Aerosol
TY	Tank, Cylindrical
VL	Bulk Liquid
BX	Box
CA	Can, Rectangular
CX	Can, Cylindrical
TU	Tube
TK	Tank, rectangular
CON	Container
M3	Cubic meters volume
GAL	Gallons
L	Liters
KG	Kilogram
ВО	Bottle, Non-protected, Cylindrical
BQ	Bottle, Protected, 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) for the commodity. This can be provided at the PGA Line level and/or the Individual Unit level.

Record Identifier PG	Record Identifier PG29 (Input)					
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	М	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	M			





#### Note 1

The below table provides some examples of Unit of Measure codes applicable to the EPA-Pesticides Message set and is not representative of all the codes applicable to EPA. For a list of all valid Unit of Measure codes please refer to the ACE CATAIR Appendix B – Valid Codes.

Code	Description
G	Gram
KG	Kilogram
MG	Milligram
OZ	Ounces
QTL	Quarts
ML	Milliliters
GAL	Gallons

#### Note 2

There are two implied decimal places and leading zeroes when providing the Commodity Net Quantity. In this example, 112.50 kg is represented as 000000011250.





**Customs Broker:** 

#### 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 OMB Control No. 2070-0020 The Customs Expires on 12/31/2020 ENVIRONMENTAL PROTECTION AGENCY **Broker Entity** Washington, DC 20460 Information is Notice of Arrival of Pesticides and Devices provided in a Send Completed Form to Appropriate Regional Office Listed in the Instructions for this Form. PG19/20/21 Note: Read Instructions before completing form. Part 1: To Be Completed by Importer of record or Licensed Customs Broker record set. 1. Name and Complete Address of Licensed Customs Broker 2. Name and Complete Address of Importer of Record Jane Smith - Bug Spray Import Company John Smith - Super Customs Brokerage Company 345 Newberry St. APT 203 500 East 17th St. APT 100 New York, NY 10012 US **Importer of** Boston, MA 02105, US Phone: (202) 2345-678; Email: john.smith@superbrokerage.com Phone - 6172345678; Email - jane.smith@bugsprayimport.com **Record:** The Return Form to this Address Return to this Address **Importer Entity** 3. Name and Complete Address of Shipper 4. EPA Registration Number 5. EPA Producer Establishment No. Information is 012345CHN002 provided in a John Reyes - Superior Shipping Company Other 432 Port Blvd. Lapu-Lapu City 6. Brand Name of Product PG19/20/21 Philippines 323402486 Phone: +63 324115800 L-Glutathione record set. Email: john.reves@superiorshipping.ph 7. Active Ingredients and Percentage of Each L-Glutathione - 100% **Notify Party:** The 8. Unit Size 11. Country of Origin 10. Total Net Weight return form to this .75 Kg 2 bottles 1.5 Kg China address party is 12. Port of Entry 13. Name and Complete Address of Carrier provided in a Jay Smith - Maritime Industrial Shippers 6544 PG55 record. 500 E 17th Street APT 500 14. Entry Number 15. Anticipated Entry Date New York, NY 10012 US Phone: 202-345-6789 345-24567865 5/11/2017 Email: jay.smith@maritimeshippers.com 16. I assert that information constituting Confidential Business **Shipper:** The 17. Location of Goods for Examination after Importation Information is shown in the above blocks numbered: (Note: Blocks 4, 5, 6 and 7 are not entitled to CBI treatment--see instructions.) Shipper Entity Famous Storage and Warehouse 12345 Jersey Ave. N/A Information is Newark, NJ 07310 US provided in a PG19/20/21 18. [Optional] For pesticides without an EPA Registration No., select all that apply: (The following information may expedite the record set. processing of the Notice of Arrival.) 18a. A pesticide transferred between registered establishments operated by the same producer. Domestic Producer Establishment Number: 18b. A pesticide transferred between registered establishments not operated by the same producer. Domestic Producer Establish-**Brand Name:** EPA Registration Number of Product being Formulated, if applicable: The Brand Name 18c. A pesticide distributed under an Experimental Use Permit. Experimental Use Permit. Number:





of the product is provided in a PG07 record.

**EPA Registration Number\Other:** Other is indicated in the PG01 record by a Government Agency Program Code of PS3.

EPA Registration Number:		Product Name:						
Total Net Weight:	ht: Entry Number:							
☐ 18d. A Pesticide distributed for research and development purposes without an Experimental Use Permit. ☐ 18e. A pesticide transferred solely for export. Domestic Producer Establishment Number: ☐ 18f. A pesticide distributed under an emergency exemption. Emergency Exemption Number: ☐ 18g. A pesticide transferred for the purposes of disposal. ☐ 18h. Other. Provide an explanation including the intended use and a description of why the product is being imported into the United States in Block 19 Remarks. ☐ 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								
		Certification						
		d all attachments thereto are true, accu nay be punishable by fine or imprisonm		,				
20. Printed Name of Importer of Record or Licensed Customs Broker	Jane S	mith	Telephone No.	(617) 234-5678				
21. Signature of Importer of Record or Licensed Customs Broker:				Date: 02/11/2017				
Pa	rt II: To Be Con	pleted by U.S. Environmental Prot	ection Agency	1				
Action to be taken by U.S. Customs and Border Protection:  Release Shipment Detain for inspection Release shipment to consignee under bond. Shipment must be held intact pending inspection.  Other. (Specify)  Remarks:								
Signature and Title of EPA Official:								
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 the shipment and should be noted in "Remarks."								
Remarks: Signature of District				_				
Director of Customs:				Date:				

# **EPA Producer Establishment Number:**

Provided in a PG19 record with an Entity Role Code of EPN. The format for foreign producer establishment numbers should be 6 numbers, 3 letters, then 3 more numbers without dashes (e.g., NNNNNAAANNN). For certain cases under PS3, a domestic producer establishment number is provided either in addition to, or in place of, a foreign producer establishment number. For these situations, the Domestic producer establishment number should be provided without dashes and will not conform to the 6N3A3N format.

#### **Active Ingredients:**

Provided in separate PG04 records immediately after

a PG02 record that identifies the Component (C) by its CAS number.

**Unit Size:** Provided in a PG26 record. Packaging Qualifier identifies the level based on relative quantity (1-6, where 1 is the largest quantity in the shipment). Spaces 18-22 are reserved for Unit of Measure.

Quantity: Provided in a PG26 record.





**Total Net Weight:** Provided in a PG29 record. Spaces 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 in a PG19/20/21 record set.

**Location of Goods for Examination after import:** The Storage Location Entity Information is provided in a PG19/20/21 record set.

**CBI Indicator:** Space 18 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.

Certification Statement: The Certification Statement is represented by the code "EP3" on the PG22 line.

**Signature:** The signature of the individual certifying the PGA data is found in the PG22 record, represented by the code "Y."

**Printed Name:** Printed name (Certifying Individual) information is represented by a PG19, 20, and 21 record set.

**Date:** The date of certification is located in the PG22 record.

**Importer:** The Importer is the same individual as the Certifying Individual, so a PG55 record is used rather than repeating a PG19, 20, 21 group.





#### Pesticides – Other Message Set Sample Layout

234567898123456789	8 1 2 3 4 5 6 7	8 9 房 1 2 3 4	567898123	456789房123	456789812	456789212345678
TRIFLUORO	ACETIC A	CID				
G01001EPAPS3 Y						
G02PCAS 17-18-8						
G24EP5RD FORMULA	ANALYSI	S				
GO7L - GLUTATHI ONE						
G19EPN 012345CHN	0 0 2					
G 1 9 C B	SU	PER CUS	TOMS BROK	ERAGE COMP.	ANY 500 EA	ST 17TH STREET
G-2 0			100 NE	WYORK	1	Y US10012
G21CB JOHN SMITH		2022	3 4 5 6 7 8	JOHN SMI	THESUPERBR	OKERAGE COM
G 191 M	BU	G SPRAY	I MPORT C	OMPANY	3 4 5 N E	WBERRY STREET
G 2 0			203 BO	STON		WBERRY STREET MA US02105
G211 M JANE SMITH		6 1 7 2	3 4 5 6 7 8	JANE SMI	THEBUGSPRA	YI MPORT COM
G 5 5 N P C I						
G 1 9 C A R	MA	RITIME !	INDUSTRIA	L SHIPPERS WARK	600 PC	ORT RD
G 2 0			N.E.	WARK		US20034
G21CARJAY SMITH		4 1 0 1	123456	JAY SMIT	HEMARITIME	SHIPPERS COM
G19DEQ	SU	PERIOR :	SHIPPING	COMPANY	432 PC	PH 3 2 3 4 0 2 4 8 6
G 2 0			LA	PU-LAPU CI	T Y	PH323402486
G21DEQJOHN REYES		6332	4 1 1 5 8 0 0	JOHN REY	ES@SUPERI (	RSHIPPING PH
G 1 9 L G	FA	MOUS ST	ORAGE AND	WAREHOUSE	12345	JERSEY AVE
G 2 0				WARK		
G 2 1 L G MARK G 2 2 9 4 4 CI		6 6 3 2	4 5 7 7 8 3 3	MARK JIM	GTI ME COM	
G 2 2 9 4 4 C1	EP3 Y02	112017				
G2610000000000200BO						
G 2 6 2 0 0 0 0 0 0 0 0 0 0 7 5 K G						
G29KG 000000000150						

#### Pesticides - Other Message Set Description

The following records and codes are used to create Pesticide Message Sets for Pesticides – Other. 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 required PGA Records and Data Elements vary from program to program and within a single program.





# **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.

Record Identifier OI (Input)						
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, TRIFLUORACETIC ACID. A general description such as 'goods" or articles from China is not sufficient.		



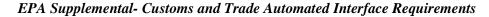


# **Record Identifier PG01 (PGA Identifier)**

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 PG	601 (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	С	Identifying whether an image has been submitted via DIS. For example, Y.	2
Confidential Information Indicator	1A	18	С	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		







Record Identifier PG	Record Identifier PG01 (Input)						
Data Element	Length/ Class	Position	Status	Description	Note		
Intended Use Code	16X	42-57	С	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	21X	58-78	С	If "For Other Use" (980.0000 code is used), then a free text description of the intended can be provided.			
Correction Indicator	1X	79	С	Indicator allowing trade to identify the expected action to be taken on the corrected data. Please refer to Appendix PGA and PGA Data Corrections spec for usage guidance.	4		
Disclaimer	1A	80	С	Code declaring filing does not require a PGA Message Set. For Example, A.	5, 6		

#### Note 1

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

Data Element	Code	Description
Covernment Aceres Program	PS1	Registered Pesticides
Government Agency Program Codes	PS2	Pesticides – Devices
	PS3	Pesticides – Other

#### Note 2

Along with the PGA message set for the Notice of Arrival, at least one image, an on-product pesticides label, must be submitted to DIS and the electronic image submitted indicator is mandatory. The image must be filed before its corresponding Entry/PGA Message Set.

EPA must be selected as an additional Agency to CBP when submitting the DIS image; otherwise, the DIS image will not be associated with the appropriate EPA PGA Message Set. The label must be tagged EPA04 in DIS so EPA can see it.





For paper filings where an image of the Notice of Arrival uploaded to DIS, Disclaim Code C must be filed and the electronic image submitted indicator is mandatory. For Disclaim code A the electronic image indicator is conditional where images may be uploaded to DIS and tagged EPA03.

#### Note 3

The Confidential Information Indicator is a single character field 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.

Non applicable data elements	PGA Record Location
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

Corrections to Notice of Arrivals should be made prior to arrival at Port of Entry.

#### Note 5

A code indicating the reason the PGA Message Set is being disclaimed and not provided. Valid codes for EPA Pesticides message sets are:

A = product is not regulated by this agency

C = data filed through other agency means

D = data filed through paper

#### Note 6

When ordering PGA lines within an Entry, disclaimed PGA lines, should be placed after all other non-disclaimed PGA lines.





# **Record Identifier PG02 (Product Identifier)**

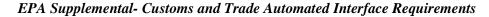
This mandatory PGA input record is used to indicate whether or not the information being provided relates to a product (P) or a component (C) of a product. All Pesticides – Other Message Sets require one (1) PG02 record designating the product.

Record Identifier Po	G02 (Input)				
<b>Data Element</b>	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	С	Product Code Qualifier identifying the type of product code number. For example, CAS.	2
Product Code Number	19X	10-28	С	"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
	С	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 single chemical, then all reported data should be at the Product level. If the product is comprised of multiple chemical constituents, then reported data for the constituents in the product should be provided at the Component level. If an EPA Registration Number was provided, or the product is a device, the Product Code fields 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.

Record Identifier PG	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	О	Pesticides remark type code. For example, EP5.	1	
Remarks Code	5AN	8-12	О	Remarks Code providing additional information for unregistered pesticides. For Example, RD.	2	
Remarks Text	68X	13-80	О	Free-form remarks text field. For example, FORMULA ANALYSIS.		

#### Note 1

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

*Note:* 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.

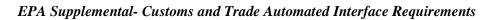
Data Element	Code	Description
Remarks Type Codes	EP5	EPA Notice of Arrival of Pesticides and Devices
	GEN	General Remarks

#### Note 2

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

Data Element	Code	Description
Remarks Codes	EUP	Experimental Use Permit
	RD	Research and Development (experimental use permit not required)







Data Element	Code	Description
	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 in the ACE CATAIR PGA Message Set publication.

Record Identifier PG04 (Input)						
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	С	Code identifying whether component identified in this record is an Active Ingredient. For example, Y.		
Name of the Constituent Element	51X	6-56	С	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.

Record Identifier PG	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	M	Free-form description of the product Trade/Brand name. For example, L-Glutathione.	1		
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				

#### Note 1

Supply the product name that appears on the label copy uploaded into DIS for the product.





# 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 <u>not</u> required to provide "Other" as in the paper form.

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	N/A			
LPCO Type	3AN	6-8	О	Code identifying the type of LPCO. For example, EP8.	1	
LPCO Number (or Name)	33X	9-41	О	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:

Data Element	Code	Description
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 Other Pesticides, Agent/Broker (CB), Importer (IM), Shipper (DEQ), EPA Producer Establishment No. (EPN) (note any R&D product that meets the definition of a pesticide must be produced in a registered establishment and that number is required), Carrier (CAR) and Location of Goods (LG) are identified in the PG19 record; Certifying Individual (CI) and Notifying Party (NP) are required and expected via PG55 or PG19. Note: A self-filer should include the CB entity in the PG55 record because it is required.

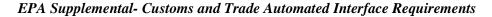
For further guidance on the format of Entity Information in the PGA Message Set, please refer to the PGA Message Set Usage Notes in the ACE CATAIR PGA Message Set publication.

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. For example, CB.	1
Entity Identification Code	3AN	8-10	N/A		
Entity Number	15X	11-25	С	ID number assigned to an Entity. For example, 012345CHN002.	2
Entity Name	32X	26-57	С	Entity name such as a company. For Example, SUPER CUSTOMS BROKERAGE COMPANY.	3
Entity Address 1	23X	58-80	С	Address of Entity. For example, 500 EAST 17TH STREET.	3

#### Note 1

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







Data Element	Code	Description
	IM	Importer
	CAR	Carrier
	DEQ	Shipper
Entity Role Codes	EPN*	EPA Producer Establishment Number
	LG	Location of Goods
	СВ	Customs Broker
	CI	Certifying Individual
	NP	Notifying Party

<sup>\*</sup>When providing the EPA Producer Establishment Number, all dashes and other special characters must be removed (e.g., 001234-CHN-002 would be 001234CHN002).

#### Note 2

Entity Number field is required when the Entity Role code is "EPN." The format for foreign producer establishment numbers should be 6 numbers, 3 letters, then 3 more numbers without dashes (e.g., NNNNNAAANNN). For certain cases under PS3, a domestic producer establishment number is provided either in addition to, or in place of, a foreign producer establishment number. For these situations, the domestic producer establishment number should be provided without dashes. It will not conform to the 6N3A3N format.

#### 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)					
<b>Data Element</b>	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	С	For example, PESTICIDE DEPARTMENT.	
Entity Apartment Number/Suite Number	5X	37-41	С	For example, 100.	
Entity City	21X	42-62	С	For example, NEW YORK	
Entity State/Province	3AN	63-65	С	For example, NY.	
Entity Country	2A	66-67	С	For example, US.	
Entity Zip/Postal Code	9X	68-76	С	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 POC related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone 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 in the ACE CATAIR PGA Message Set publication.

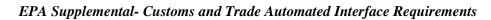
Record Identifier PG21 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	2A	1-2	M	"PG"	
Record Type	2N	3-4	M	"21"	
Individual Qualifier	3AN	5-7	M	Code identifying the Role of the Entity POC. For example, CB.	1
Individual Name	23X	8-30	М	Entity POC name. For example,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

#### Note 1

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

Data Element	Code	Description
	IM	Importer
Entity Role Codes	CAR	Carrier
	DEQ	Shipper







LG	Location of Goods
СВ	Customs Broker
CI	Certifying Individual
NP	Notifying Party





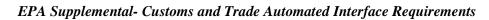
# **Record Identifier PG55 (Additional Roles)**

This is a mandatory PGA input record used to provide additional roles performed by an Entity and individual previously listed in the PG19/PG20/PG21 of either Broker or Importer. 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 as needed by the filer to provide additional Entity Roles. 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 in the ACE CATAIR PGA Message Set publication.

Record Identifier PG55 (Input)					
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 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	С	Code identifying the Role of the Entity. For example, DEQ.	1
Entity Role Code	3AN	14-16	С	Code identifying the Role of the Entity. For example, IM.	1
Entity Role Code	3AN	17-19	С	Code identifying the Role of the Entity. For example, LG.	1
Entity Role Code	3AN	20-22	С	Code identifying the Role of the Entity. For example, CB.	1
Entity Role Code	3AN	23-25	С	Code identifying the Role of the Entity. For example, CAR.	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
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# <u>Note 1</u>

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

Data Element	Code	Description
	IM	Importer
	CAR	Carrier
	DEQ	Shipper
Entity Role Codes	LG	Location of Goods
	CI	Certifying Individual
	СВ	Customs Broker
	NP	Notify Party





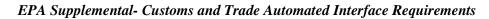
# **Record Identifier PG22 (Document Identifier/Certification)**

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

The Entity Role Code field in the PG22 record must always be "CI" (Certifying Individual). The Certifying Individual can be the Importer of Record or Licensed Customs Broker, and is responsible for signing the Certification Statement found in the Appendix PGA, section "PG22-Declaration Codes" using code "EP3."

Record Identifier PG	Record Identifier PG22 (Input)					
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" 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	С	"EP3" is the only acceptable declaration code for EPA Pesticides. It specifically refers to the certification statement from EPA Form 3540-1.	2	
Declaration Certification	1A	25	С	Designates that the information provided is correct and all required information has 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 4-digit Year (MMDDYYYY) For example, 02112017, is February 11, 2017.		







Record Identifier PG22 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
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:

Data Element	Code	Description
Document Identifiers	944	EPA 3540-1

# Note 2

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

Data Element	Code	Description
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 (6) times, once for each unique packaging level. For EPA a minimum of two (2) PG26 records are required. 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.

Record Identifier PG26 (Input)							
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, 0000000000075.	2		
Unit of Measure (Packaging Level)	5X	18-22	M	Type of packaging/packaging level. For example, OZ.	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. When using multiple PG26 records to report different package sizes of the same product, there is a mandated order for packaging qualifier; packaging levels must go from largest to smallest, and the appearance of any Packaging Qualifier number level requires all levels under it to be represented. For instance, level 3 cannot be present unless levels 1 and 2 are present.





# Note 2

There are two implied decimal points and leading zeroes when providing the quantity. In this example, .75 kg are represented as 000000000075.

# Note 3

The below table provides some examples of Unit of Measure codes applicable to the EPA-Pesticides Message set and is not representative of all the codes applicable to EPA. For a list of all valid Unit of Measure codes please refer to the ACE CATAIR Appendix B – Valid Codes.

Code	Description
AE	Aerosol
TY	Tank, Cylindrical
VL	Bulk Liquid
BX	Box
CA	Can, Rectangular
CX	Can, Cylindrical
TU	Tube
TK	Tank, rectangular
CON	Container
M3	Cubic meters volume
GAL	Gallons
L	Liters
KG	Kilogram
ВО	Bottle, Non-protected, Cylindrical
BQ	Bottle, Protected, 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.

Record Identifier PG	Record Identifier PG29 (Input)							
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	М	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	M					



# EPA Supplemental- Customs and Trade Automated Interface Requirements



# Note 1

The below table provides some examples of Unit of Measure codes applicable to the EPA-Pesticides Message Set and is not representative of all the codes applicable to EPA. For a list of all valid Unit of Measure codes please refer to the ACE CATAIR Appendix B – Valid Codes.

Code	Description
G	Gram
KG	Kilogram
MG	Milligram
OZ	Ounces
QTL	Quarts
ML	Milliliters
GAL	Gallons

# Note 2

There are two implied decimal places and leading zeroes when providing the Commodity Net Quantity. In this example, 1.5 kg is represented as 00000000150.





# **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.

The construction of an EPA PGA Message Set for TSCA Section 13 or ODS Certifications can be used to declare the positive or negative TSCA Certification Statement. For Title VI (Formaldehyde-Containing Wood Products) the Positive Certification Statement is the only allowable choice.

#### TSCA Section 13 and ODS Certifications

Under TSCA Section 13 import certification requirements, at 19 CFR 12.118-12.127 and 127.28(i), 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 (positive certification) or not subject to TSCA (negative certification). Please note that HTS codes that have been flagged for TSCA are neither precise nor fully determinative of obligations for TSCA Certification. The filer is responsible for knowing when to certify.

#### TSCA Title VI Certifications (Formaldehyde-Containing Wood Products)

The TSCA Title VI import certification requirement applies to formaldehyde-containing composite wood products (i.e., panels of hardwood plywood, particleboard, medium density fiberboard, and thin-medium density fiberboard), component parts containing such composite wood products, and finished goods containing such composite wood products that are imported into the U.S. beginning March 22, 2019.

The TSCA Title VI import certification requirement does not apply to chemicals otherwise regulated under TSCA which may be present in imported articles.

The following are the potential PGA records associated with submitting positive or negative TSCA Certifications:

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



# EPA Supplemental- Customs and Trade Automated Interface Requirements



In addition to the information on each record identifier, the following table highlights the allowable PG record components by filing type:

	TSCA - Section 13	TSCA- Title VI	TSCA - ODS
Disclaim Codes Allowed (PG01)	A, B, C, D	A, C, or D only	A, B, C, D
Program Office Code (PG01)	TS1	TS1	ODS
Certification Statements Allowed (PG22)	Positive or Negative Certification Statement	Positive Certification Statement ONLY	Positive or Negative Certification Statement

### EPA Supplemental- Customs and Trade Automated Interface Requirements



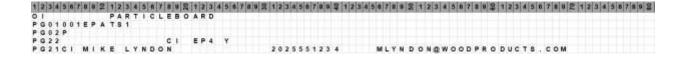
# TSCA Section 13 and Title VI Samples

A shipment of Aluminum Chloride is imported into the United States. It is regulated by TSCA Section 13 and is listed in the TSCA Chemical Inventory, and the filer submits a positive TSCA Certification PGA Message Set. A similar filing can be made for Title VI certifications, shipments of composite wood products, component parts containing composite wood products, and finished goods containing composite wood products, such as a large shipment of particleboard entering the U.S. All shipments made under the TSCA Title VI regulation must be submitted with a positive TSCA Certification PGA Message Set.

# TSCA Section 13 Message Set Sample Layout

123456	78921	2 3 4 5 6 7 8	98	1234	5 6 7	89月123456789年1	23456789第123456789第1234567898123456789第
01	A	LUMINUN	1 C	HLOF	RIDE		
PG0100	TEPAT	S 1					
PG02P							
PG 2 2			1	EP4	Y		
PG21CI	JANE	SIMMON	18			2025551212	JSIMMONS@CHEMICALIMPORTERS.COM

# TSCA Title VI Message Set Sample Layout



#### TSCA Section 13 and Title VI Message Set Description

The following records and codes were used to create the TSCA Section 13 and Title VI Message Set samples. 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 required PGA Records and Data Elements vary from program to program and within a single program.





# **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.

Record Identifier OI (Input)						
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	М	The commercial description of the product. For example, ALUMINUM CHLORIDE. A general description such as 'goods' or articles from China is not sufficient.		





# **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.

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	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	О		
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	21X	58-78	N/A		



# EPA Supplemental- Customs and Trade Automated Interface Requirements



Record Identifier PG01 (Input)							
Data Element	Length/ Class	Position	Status	Description	Note		
Correction Indicator	1X	79	С	Indicator allowing trade to identify the expected action to be taken on the corrected data. Please refer to Appendix PGA and PGA Data Corrections spec for usage guidance.			
Disclaimer	1A	80	С	Code declaring filing does not require a PGA Message Set. For Example, A.	2,3,		

# Note 1

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

Government Agency Program Code	Description
TS1	Toxic Substance Control Act – used for both Section 13 and Title VI
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

#### Note 3

Disclaim code B is not allowed for TSCA Title VI certifications.

# Note 4

When ordering PGA lines within an Entry, disclaimed PGA lines, should be placed after all other non-disclaimed PGA line.





# **Record Identifier PG02 (Product Identifier)**

This mandatory PGA input record is used to indicate that the information being provided relates to a Product (P).

Record Identifier Po	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	"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)**

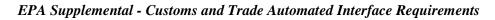
This is a mandatory PGA input record that provides data pertaining to Importers' Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications.

Record Identifier PG22 (Input)						
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, 3	
Declaration Certification	1A	25	M	Designates that the information provided is correct and all required information has 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:







Data Element	Code	Description
Entity Role Codes	CI	Certifying Individual

# Note 2

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

Data Element	Code	Description
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 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.

# Note 3

The Positive Certification Statement is the only allowable choice for TSCA Title VI Certifications.





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

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

Record Identifier PG21 (Input)						
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 POC 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 for the Individual	35X	46-80	М	For example, JSIMMONS@CHEMICALIMPORTERS. COM.		

# Note 1

The only Entity Role Code that is applicable to EPA-TSCA Message Sets is the Certifying Individual (CI). That is an individual who is an authorized official of the Importer or of an agent of the Importer who makes the certification required under 19 CFR 12.121.

Data Element	Code	Description
Entity Role Codes	CI	Certifying Individual

### EPA Supplemental - Customs and Trade Automated Interface Requirements



# TSCA/ODS Sample

A shipment of Monochlorodifluoromethane, more commonly known as HFCF-22 or Freon 22, is imported into the United States. HFCF-22 is regulated by both TSCA and ODS, and is listed in the TSCA Chemical Inventory; therefore, the filer must sign a positive TSCA certification.

<u>Note:</u> When multiple EPA programs (i.e., PGA lines) share identical data, the filer can provide a PG01 line with each Government Agency Program Code followed by PGA Message Set containing all of the PGA data. ACE will process the filing for the correct agencies/programs.

#### TSCA/ODS Message Set Layout

12345678	92123456789	R1234	5 6 7 8 9	月123456789年12	34567893123456789312345678921234567893
01	MONOCHLOR	ODIFL	UOROM	ETHANE	
PG01001E	PAODS				
PG01002E	PATS1				
PG02P					
PG22	CI	EP4	Y		
PG21CI J	ANE SIMMONS			2025551212	JSIMMONS@CHEMICALIMPORTERS.COM

#### **TSCA/ODS Message Set Description**

The following records and codes were used to create the TSCA/ODS 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 required PGA Records and Data Elements vary from program to program and within a single program.





# **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.

Record Identifier OI	Record Identifier OI (Input)						
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, MONOCHLORODIFLUOROMETHAN. A general description such as 'goods" or articles from China is not sufficient.			





# **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.

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	М	"EPA"		
Government Agency Program Code	3X	11-13	M	Code designating the Government Agency Program that is applicable. For Example, ODS.	1	
Government Agency Processing Code	3AN	14-16	N/A			
Electronic Image Submitted	1A	17	С	Identifying whether an image has been submitted via DIS. For example, Y.	2	
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	21X	58-78	N/A			



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Record Identifier PG	Record Identifier PG01 (Input)						
Data Element	Length/ Class	Position	Status	Description	Note		
Correction Indicator	1X	79	С	Indicator allowing trade to identify the expected action to be taken on the corrected data. Please refer to Appendix PGA and PGA Data Corrections spec for usage guidance.			
Disclaimer	1A	80	С	Code declaring filing does not require a PGA Message Set. For Example, A.	3		

# Note 1

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

Government Agency Program Code	Description
TS1	Toxic Substance Control Act
ODS	Ozone Depleting Substances

# Note 2

An image of the EPA-issued Non Objection Notice is conditionally required if the ODS has been previously used (i.e., not virgin). For additional information on HCFCs, please refer to: http://www3.epa.gov/ozone/title6/imports/usedclasstwo.html. For information on all other ODS, please refer to http://www3.epa.gov/ozone/title6/imports/usedclassone.html.

#### 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

When ordering PGA lines within an Entry, disclaimed PGA lines, should be placed after all other non-disclaimed PGA lines.





# **Record Identifier PG02 (Product Identifier)**

This mandatory PGA input record is used to indicate that the information being provided relates to a product (P).

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	"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)**

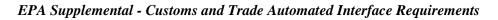
This is a mandatory PGA input record that provides data pertaining to Importers' Substantiating Documents, Document Identifiers, Conformance Declarations, and Declaration Certifications.

Record Identifier PG22 (Input)						
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 information has 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:







Data Element	Code	Description
Entity Role Codes	CI	Certifying Individual

# Note 2

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

Data Element	Code	Description
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 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 POC related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, and Email address.

Record Identifier PG21 (Input)					
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 POC 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 for the Individual	35X	46-80	M	For example, JSIMMONS@CHEMICALIMPORTERS. COM.	

# Note 1

The only Entity Role Code that is applicable to EPA-TSCA Message Sets is Certifying Individual ("CI"). That is an individual who is an authorized official of the importer or of an agent of the importer who makes the certification required under 19 CFR 12.121.

Data Element	Code	Description
Entity Role Codes	CI	Certifying Individual





# **Hydrofluorocarbons (HFCs)**

The American Innovation and Manufacturing Act (AIM) provides EPA with the authority to oversee the production and consumption of HFCs, which are highly potent greenhouse gases. The AIM Act directs EPA to issue a fixed quantity of transferrable production and consumption allowances, which producers and importers of HFC(s) must hold in quantities equal to the amount of HFCs they produce or import.

In accordance with 40 CFR 84.31(c)(7), EPA requires that the following information be electronically filed (through ACE) by the importer of record (or the authorized agent filing on its behalf) prior to the date of importation (consistent with the definition at 19 CFR 101.1) of HFC(s). This notice is required no later than 10 days prior to import if arriving by marine vessel or five days prior to import for a non-marine vessel. Along with other data reported with the entry, this advance notification of import must include the consignee entity name, origin country, correct HTS code, cargo description, container number(s) associated with the shipment (as applicable), and weight (net) for the commodity, excluding all packing and packaging for HFCs. Not every HFC or HFC blend has its own unique HTS code. EPA also requires that anyone importing HFCs must report (through ACE) either the ASHRAE numerical designation of the refrigerant or the CAS Number(s) of the HFC(s). If the HFC(s) are being reported using CAS numbers, the percentage of each of the regulated components in the mixture must also be reported. In addition, a certificate of analysis must be associated with each import of HFCs. If a certificate of analysis does not physically accompany the import, then it must be filed electronically (through ACE) by loading an image of the document in the Document Image System (DIS). Conditional filings include the non-objection notices issued consistent with 40 CFR 84.25 and proof that the importer has reported a transshipment to EPA consistent with 40 CFR 84.31(c)(3).

This information will be used by EPA to verify the identity of imported HFCs, whether an importer has sufficient allowances for a particular shipment of HFCs, or if the HFCs have prior approval for import under 40 CFR 84.25 in the case of HFCs imported for destruction or transformation or under 40 CFR 84.31(c)(3) in the case of HFCs imported for transshipment. The PGA Message Set has been designed to allow importers to provide the required data elements electronically, expediting the filing process.

# Toxic Substances Control Act (TSCA) Section 13 and HFC Certifications

HFCs also fall under TSCA Section 13, import certification requirements, at 19 CFR 12.118-12.127 and 127.28(i), requiring importers of chemicals (including HFCs) in bulk or as part of mixtures to certify that their imported chemicals or mixtures are in compliance with TSCA (positive certification). Please note that HTS codes that have been flagged for TSCA are neither precise nor fully determinative of obligations for TSCA Certification. The filer is responsible for knowing when to certify. The construction of an EPA PGA Message Set HFC collections can be used to declare the positive HFC Certification Statement.



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The following table provides information on the allowed Disclaim Codes, the program office code, and information on the TSCA certification:

	TSCA - HFC
Disclaim Codes Allowed (PG01)	A
Program Office Code (PG01)	HFC
Certification Statements Allowed (PG22)	Positive Certification Statement ONLY  Note: The PG22 certification does not apply to a Disclaim Code A filing for HFC. A TSCA certification may be required to be filed for a HFC Disclaim Code A filing.

In addition to the information on each record identifier, the following table highlights the allowable PG record components.

PG Record	Description
OI	Commercial Description of the Shipment
PG01	Government Agency and Program Office
PG02	Product/Component Level Identifier (CAS number can be reported for blends)
PG07	Model, Manufacture Date, and Item Identity Numbers (ASHRAE number)
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	POC
PG55	Identifies Entity from the Previous PG19, PG20, and PG21 Group as having Additional Roles.
PG22	Certification
PG27	Container Number
PG29	Gross/Net Unit of Measure
PG04	Percent Composition

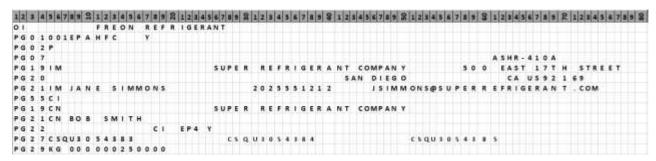


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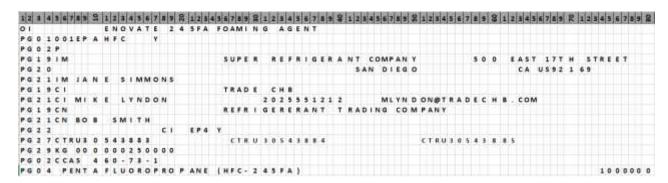


#### HFC Message Set Sample

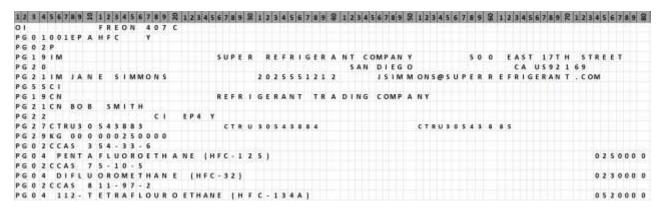
Sample Reporting for American Society of Heating, Refrigerating, and Air-Conditioning Engineers (AHSRAE) Number



#### Sample Reporting for CAS Number/Single Component



#### Sample Reporting for CAS Number/Blend







# **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.

Record Identifier OI (Input)					
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. A general description such as "goods" or 'articles from India' is <b>not</b> sufficient.	





# **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.

Record Identifier PG	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	"ЕРА"	
Government Agency Program Code	3X	11-13	M	"HFC"	1
Government Agency Processing Code	3AN	14-16	N/A		
Electronic Image Submitted	1A	17	С	Identifying whether an image has been submitted via DIS. For Example, "Y"	2
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	21X	58-78	N/A		



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Record Identifier PG01 (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Correction Indicator	1X	79	С	Indicator allowing trade to identify the expected action to be taken on the corrected data. Please refer to Appendix PGA and PGA Data Corrections spec for usage guidance.	
Disclaimer	1A	80	С	Code declaring filing does not require a PGA Message Set. For Example, A.	3

#### Note 1

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

Government Agency Program Code	Description
HFC	Hydrofluorocarbons

#### Note 2

The following document is required to be submitted to the Document Image System, for HFCs, if it does not accompany the shipment:

• An image of a certificate of analysis.

For additional information on HFCs, please refer to: https://www.epa.gov/climate-hfcs-reduction/final-rule-phasedown-hydrofluorocarbons-establishing-allowance-allocation.

The following documents may be required for HFC:

- An image of the EPA-issued Non-Objection Notice is required if the HFC is being imported for transformation or destruction.
- An image of an EPA-issued confirmation notice is required for transshipments.

#### Note 3

A code indicating the reason the PGA Message Set is being disclaimed and not provided. The only valid code for HFCs is A (not required per agency regulation).

When ordering PGA lines within an Entry, disclaimed PGA lines should be placed after all other non-disclaimed PGA lines.





# **Record Identifier PG02 (Product Identifier)**

This mandatory PGA input record is used to indicate whether the information being provided relates to a Product (P) or a Component (C) of a product for mixtures, as applicable. All HFC Message Sets require one (1) PG02 record with a P, identifying the product. When an ASHRAE number is not provided in the PG07 Record, a PG02 record with a C for individual CAS numbers is required, as well as an associated PG04. For mixtures, two or more PG02 C/PG04 groups identifying the components by CAS are required.

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	М	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	С	Product Code Qualifier identifying the type of product code number. For example, CAS.	2	
Product Code Number	19X	10-28	С	Product Code number identified by the Product Code Qualifier. For example, 75-37-6.	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.		



### EPA Supplemental - Customs and Trade Automated Interface Requirements



#### Note 1

List of Item Type codes applicable to EPA HFC Message Sets:

Data Element	Code	Description
Item Type	P	Product
	С	Component

#### Note 2

It is mandatory to provide the CAS number associated with the product or each component (for mixtures), as applicable.

List of Product Code Qualifier codes applicable to EPA HFC Message Sets:

Data Element	Code	Description
Product Code Qualifier (Describes the type of Product code)	CAS	Chemical Abstract Service Number

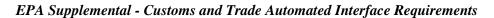
### Note 3

When reporting by CAS, regardless of whether the product is comprised of a single chemical or multiple chemical constituents, all reported data for each chemical constituent in the product must be provided at the Component level.

Valid CAS numbers include:

Chemical Name	CAS Number
HFC-125	354-33-6
HFC-134	359-35-3
HFC-134a	811-97-2
HFC-143	430-66-0
HFC-143a	420-46-2
HFC-152	624-72-6
HFC-152a	75-37-6
HFC-227ea	431-89-0
HFC-23	75-46-7
HFC-236cb	677-56-5







HFC-236ea	431-63-0
HFC-236fa	690-39-1
HFC-245ca	679-86-7
HFC-245fa	460-73-1
HFC-32	75-10-5
HFC-365mfc	406-58-6
HFC-41	593-53-3
HFC-43-10mee	138495-42-8





# **Record Identifier PG04 (Percent Composition)**

This is a conditional PGA input record that must be provided for each PG02 (C) Component. 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 in the ACE CATAIR PGA Message Set publication.

Record Identifier PG	Record Identifier PG04 (Input)						
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	N/A				
Name of the Constituent Element	51X	6-56	О	The specific name of the ingredient or product/component of an ingredient.			
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, to report 15.3757%, provide 153757 in this position.			





# **Record Identifier PG07 (Product Details)**

This is a conditional PGA input record that provides EPA with data pertaining to American Society of Heating, Refrigerating and Air-Conditioning Engineers (AHSRAE) Number. This message set data elements below are mandatory for refrigerants and refrigerant blends.

PG07 is used in a Message Set once to describe the product (following a PG02P).

Record Identifier PG	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	N/A				
Manufacture Month and Year	6N	55-60	N/A				
Item Identity Number Qualifier	3AN	61-63	M	Code identifying the type of Item Identity Number being provided, ASH.	1		
Item Identity Number	17X	64-80	M	The Item Identity Number. For example, an ASHRAE number such as R-410A.	2		

### Note 1

List of Item Identity Number Qualifier codes applicable when filing PGA Message Set for HFCs.

Data Element	Code	Description
Item Identity Number Qualifier Codes (Describes the type of identifying number)	ASH	American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE) Number





# **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 HFCs, a minimum of two (2) entities must be identified: Importer and Consignee. The name is required for the Importer, Consignee, and Certifying Individual. Certifying Individual may also be identified using the PG19. The address is only required for the Importer.

Record Identifier PG	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.			
Entity Identification Code	3AN	8-10	N/A				
Entity Number	15X	11-25	О	ID number assigned to an Entity.			
Entity Name	32X	26-57	M	Entity name, such as a company. For Example, SUPER REFRIGERANT COMPANY.			
Entity Address 1	23X	58-80	С	Address of Entity. For example, 500 EAST 17TH STREET.	1		

### Note 1

Address is required for the Importer only.





# **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 the Importer. These data elements are required for the Importer but not the Consignee.

Record Identifier PG	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	С	Address Line 2 for the Entity.			
Entity Apartment Number/Suite Number	5X	37-41	С	Apartment/Suite number of the entity.			
Entity City	21X	42-62	M	For example, SAN DIEGO			
Entity State/Province	3AN	63-65	M	State/Province of the entity. See Appendix B in the ACE ABI CATAIR for valid codes. 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 mandatory PGA input record that provides EPA with data about an Individual POC related to the Entity (the party) in the preceding PG19 record. Included in this record are the Individual Name, Telephone Number, and Email address. All of the data elements below are required for the Certifying Individual; only the individual name is required for the Consignee and Importer. However, note if a PG55 with the role CI follows the PG21 Importer record, all of the data elements below are required for the Importer record as well.

Record Identifier PG	Record Identifier PG21 (Input)						
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 POC is related to.			
Individual Name	23X	8-30	M	For example, JANE SIMMONS.			
Telephone Number of the Individual	15X	31-45	С	For example, 2025551212.	1		
Email Address for the Individual	35X	46-80	С	For example, JSIMMONS@SUPERREFRIGERANT. COM.	1		

#### Note 1

Telephone Number and Email Address are required for the Certifying Individual in the PG21 record. However, note that if a PG55 with the role CI follows the PG21 Importer record, the Telephone Number and Email Address are required for the Importer record as well.





# **Record Identifier PG55 (Additional Roles)**

This is an optional 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 most recent version of the CATAIR from CBP.

Record Identifier PG	55 (Input)				
<b>Data Element</b>	Length/Cl ass	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. Must be CI.	
Entity Role Code	3AN	8-10	N/A		
Entity Role Code	3AN	11-13	N/A		
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	





# **Record Identifier PG22 (Certification)**

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

Record Identifier PG22 (Input)					
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" for Certifying Individual	
Declaration Code	4AN	21-24	М	Code identifying TSCA positive certification. Must be EP4.	1
Declaration Certification	1A	25	M	Designates that the information provided is correct and all required information has been provided. Must be Y (yes).	
Date of Signature	8N	26-33	N/A		
Invoice Number	17X	34-50	N/A		
Compliance Description	30X	51-80	N/A		



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### Note 1

Declaration code applicable to EPA-TSCA Message Sets:

Data Element	Code	Description
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 TSCA or any applicable rule
		or order under TSCA.





# **Record Identifier PG27 (Input)**

This is a conditional PGA input record that provides data pertaining to issued Container Number. The container number refers to the shipping container number, ISO number, or railcar number, not the number on the individual service cylinders. For more than three containers, this record may be repeated.

Record Identifier PG27 (Input)					
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 27.	
ContainerNumb er(Equipment ID)	20AN	5-24	M	The number of the shipping container or equipment identification number.	
Type of Container	1N	25	N/A		
Container length	2N	26-27	N/A		
ContainerNumb er(Equipment ID)	20AN	28-47	С	The number of the shipping container or equipment identification number.	
Type of Container	1N	48	N/A		
Container length	2N	49-50	N/A		
ContainerNumb er(Equipment ID)	20AN	51-70	С	The number of the shipping container or equipment identification number.	
Type of Container	1N	71	N/A		
Container length	2N	72-73	N/A		
Filler	7X	74-80	N/A	Space fill	





# **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) for the commodity. This is the weight of the commodity, excluding all packing and packaging. This can be provided at the PGA Line level and/or the Individual Unit level.

It is mandatory to use PG29 to provide weight that is not already included in a PG04 input record for the product or component.

Record Identifier PG29 (Input)					
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. Must be KG.	
Commodity Net Quantity (PGA line - net)	12N	8-19	M	Net quantity of the product. For example, 000000011250.	1
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	M		



### EPA Supplemental - Customs and Trade Automated Interface Requirements



### Note 1

There are two implied decimal places and leading zeroes when providing the Commodity Net Quantity. In this example, 112.50 kilograms is represented as 000000011250.



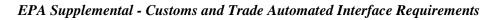


# Appendix A

Vehicles and Engines Additional Reporting Requirements by Import Code

Import Codes (EPA Form 3520-1)					
Import Code	Vehicles and Engines Required Data Element	Applicable PGA Record			
В	Test Group Name/ Engine Family Number	PG14			
F	Test Group Name/ Engine Family Number	PG14			
EE	Certification of not importing for lease or resale	PG24			
FF	Certification that labeling, warranty and CAFÉ requirements will be met	PG24			
М	<ul> <li>Explanation of exemption</li> <li>Canadian vehicle received by US resident</li> <li>Importer is either permanently emigrating to the US or will reside for greater than one year with a student or work visa</li> </ul>	PG24			
L	Exemption Number	PG14			
U	Model year and Power rating	PG10			
	Test Group Name/ Engine Family Number	PG14			
W	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			
O	Exemption number	PG14			
A	Test Group Name/ Engine Family Number	PG14			
_	Model year	PG10			
С	Model year	PG10			
J	CBP bond number	PG14			
Z	Model year	PG10			

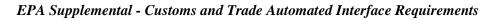






Import Codes (EPA Form 3520-1)					
Н	N/A	N/A			
Q	N/A	N/A			







Import Codes (EPA Form 3520-21)								
Import Code	Vehicles and Engines Required Data Element	Applicable PGA Record						
	Test Group Name/ Engine Family Number	PG14						
	When combined with	When combined with Industry Code G:						
1	Model year	PG10						
1	Bond exemption status	PG24						
	NAIC # for Bond issuer	PG19						
	Bond Policy number	PG14						
2	Exemption number (EPA Letter of Approval)	PG14						
9	Model year	PG10						
10	Exemption Number (EPA Letter of Approval)	PG14						
11	Exemption number (EPA Letter of Approval)	PG14						
12	Exemption number (EPA Letter of Approval)	PG14						
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						
	Model year and Power Rating	PG10						
	Bond exemption status	PG24						
	NAIC bond issuer number	PG19						
22	Policy number	PG14						
	State of issue	PG20						
23	Power rating	PG10						
2.4	Model year	PG10						
24a	Storage location	PG19, PG20, PG21 Series						
0.15	Model year	PG10						
24b	Storage location	PG19, PG20, PG21 Series						
24c	CBP Bond number	PG14						
25	Regulatory Citation for other exemption	PG24						