

Report to Congress on the International Trade Data System



December 2013

Report to Congress on the International Trade Data System (ITDS)
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LEGISLATIVE REQUIREMENT

Section 405 of the “Security and Accountability for Every Port Act of 2006” (P.L. 109-347, October 13, 2006) (SAFE Port Act) requires the Secretary of the Treasury to oversee an interagency initiative to establish a “single portal system,” to be known as the “International Trade Data System” (ITDS) and to be operated by the U.S. Customs and Border Protection. This unified data system is to electronically collect and distribute import and export data required by government agencies that license or clear the import or export of goods. Section 405 requires the President to submit an annual report on the ITDS to the Committee on Finance of the United States Senate and the Committee on Ways and Means of the U.S. House of Representatives. The report is to include:

- (A) the status of the ITDS implementation,
- (B) the extent of participation in ITDS by Federal agencies,
- (C) the remaining barriers to any agency’s participation,
- (D) the consistency of ITDS with applicable standards established by the World Customs Organization and the World Trade Organization,
- (E) recommendations for technological and other improvements to the ITDS, and
- (F) the status of the development, implementation, and management of the Automated Commercial Environment (ACE) within the U.S. Customs and Border Protection.

EXECUTIVE SUMMARY

Overview

There has been significant progress on the International Trade Data System (ITDS) project during fiscal year (FY) 2013. U.S. Customs and Border Protection (CBP) plans to begin implementing ITDS import functions in the Automated Commercial Environment (ACE) in early 2014. CBP is also modernizing the Automated Export System (AES), which is expected to enable ITDS export functions to be implemented in early 2014. Changes in the ACE program are expected to lead to continued rapid progress on ITDS.

Background

ITDS is a project to build an electronic “single-window” for reporting imports and exports to the government. Currently, traders must make redundant reports to multiple agencies (often on paper). When completed, ITDS will allow traders to make a single electronic report and the relevant data will be distributed to the appropriate agencies. Costs will be reduced for business and government. Agencies will obtain data more quickly through electronic filings. With automated processing, agencies will be better able to process cargo more expeditiously and to identify unsafe, dangerous, or prohibited shipments.

ITDS is being built by CBP as part of the ACE trade processing project. CBP is responsible for both building and operating ITDS.

Currently, 48 agencies, including CBP, are working together to implement ITDS. The interagency ITDS Board of Directors, chaired by the Treasury Department, coordinates interagency participation in ITDS.

Imports

Fiscal year 2013 has seen significant progress on ITDS for imports.

- CBP began to implement the “(Partner Government Agency (PGA)) Message Set,” which is intended to provide the capability to collect data elements required by other agencies, for entry and entry summary filing. Tests involving data required by the Environmental Protection Agency (EPA) and the Food Safety Inspection Service (FSIS) will begin soon.
- CBP transferred data it collects to Consumer Product Safety Commission (CPSC), U.S. Coast Guard (USCG), FSIS, Agricultural Marketing Service (AMS), Alcohol and Tobacco Tax and Trade Bureau (TTB), National Marine Fisheries Services (NMFS), Animal and Plant Health Inspection Service (APHIS), and EPA’s electronic systems using “Interoperability Web Services (IWS).”
- CBP continued tests on the “Document Image System,” (DIS) which is intended to accept electronic transmission of “imaged” documents that currently must be submitted on paper.

Once fully implemented, these three capabilities will provide the basic electronic trade data interchange system for imports that is mandated by the SAFE Port Act.

Exports

In FY 2013, CBP and the Census Bureau (which maintain the current export commodity reporting systems) began “re-engineering” the Automated Export System (AES), transferring its capabilities to a modern platform, in order to reduce costs and facilitate the addition of ITDS capabilities to AES. The re-engineered AES will be expanded to include additional data elements (now collected on paper) and expanded processing capabilities for ITDS agencies.

CBP and the Census Bureau will also begin to incorporate into AES data elements that will supplant some paper forms currently required by ITDS agencies for reporting exports. The ability to use the Document Image System (DIS) with AES will allow the electronic transmission of images of the remaining forms required for reporting exports. These changes will eliminate redundant reporting to multiple agencies. Complete implementation will reduce the cost of exporting and strengthen export enforcement.

In 2010 the ITDS Board also suggested that an electronic export manifest system be based on the work already done for the inbound manifest system. CBP has begun building an export manifest for air shipments based on work done for the ACE inbound air manifest and plans for export manifest functionality for ocean, rail, and truck modes to be achieved in 2014. The development of an electronic export manifest may require regulatory changes prior to full implementation. In the meantime, in March 2012, CBP has launched an ocean export manifest pilot using the DIS, providing an alternative to paper manifest filing, which will reduce costs to carriers.

Finally, with the re-engineering of AES, the interfaces between AES and systems at the Departments of State and Commerce will be improved. Information on export licenses issued by each of these agencies will be transmitted electronically to CBP every day and stored in AES. Eventually, an interface is planned between USXPORTS, an automated “single-window” export licensing application system, which is being developed as part of the President’s Export Control Reform Initiative, and ACE. This will enable enhanced automated validation of all export licenses reported for each export transaction.

Challenges

In the past, competing priorities have resulted in delays in implementing ITDS priorities and ITDS funds being redirected for other uses. It is critical that progress on the current plan for implementing ITDS functions continue, so that the experience and knowledge developed in the preparation and planning for ITDS are not lost due to retirement and rotation of staff from the ITDS agencies. The ITDS Board has been working with the National Security Staff, the National Economic Council, and the Office of Management and Budget to engage senior Executive Branch leaders from all ITDS agencies in order to ensure that ongoing efforts continue and accelerate.

RECOMMENDATIONS

1. As soon as the work of re-engineering the AES is completed, the Census Bureau and CBP should incorporate into AES the additional data elements required by other agencies for reporting exports, and at the same time provide the ability to use the Document Image System in conjunction with AES. This would allow exporters' reporting to all agencies to be electronic and would help meet the goals of both the National Export Initiative and the Export Control Reform Initiative. In addition, the Census Bureau and CBP should explore ways to maintain and enhance export filing options for small and medium businesses while realizing cost savings.
2. In addition to technical work related to processing electronic data, ITDS agencies should complete any regulatory changes necessary to authorize them to collect data electronically, as well as complete data interchange MOUs and Interconnection Security Agreements.
3. ITDS agencies that plan to use the PGA Message Set to electronically collect data (typically to replace paper forms) should complete their plans for automating each form in order to be ready to engage with CBP teams that will be developing each automated procedure.
4. Any ITDS agency that anticipates resource needs necessary to implement ITDS functionality should make OMB aware of those needs during the current budget preparation cycle.

INTRODUCTION TO ITDS

Numerous agencies require importers to report their shipments prior to release, often on paper. A similar situation exists for exports. Importers or exporters must file separate and redundant reports to each agency on paper. The goal of the International Trade Data System (ITDS) project is to eliminate paper and redundant reporting by creating a “single-window” system where data from a single electronic filing will be distributed to the appropriate agencies.

In addition to reducing costs by eliminating redundant reporting and systems, ITDS will enhance agencies’ ability to identify risky cargo, persons, and conveyances, to collect more accurate, complete, and timely trade data, and to speed cargo processing.

The SAFE Port Act of 2006 requires all “agencies that require documentation for clearing or licensing the importation and exportation of cargo” to participate in ITDS. The SAFE Port Act also assigns Customs and Border Protection (CBP) the responsibilities for building and operating ITDS as part of the Automated Commercial Environment (ACE) project, an effort to modernize and expand the automated systems for processing imports and exports. Currently, 48 agencies, including CBP, participate in the ITDS project. All agencies required to participate in ITDS by the SAFE Port Act are included.

Also, the SAFE Port Act directs the Secretary of the Treasury to coordinate interagency participation in ITDS through a steering committee consisting of the agencies participating in ITDS and the Office of Management and Budget (OMB). Treasury chairs the interagency ITDS Board of Directors (the interagency steering committee required to be established by the SAFE Port Act). Work on ITDS began in the mid-1990’s, prior to the enactment of the SAFE Port Act; details of the early history of ITDS can be found in Appendix E of this report.

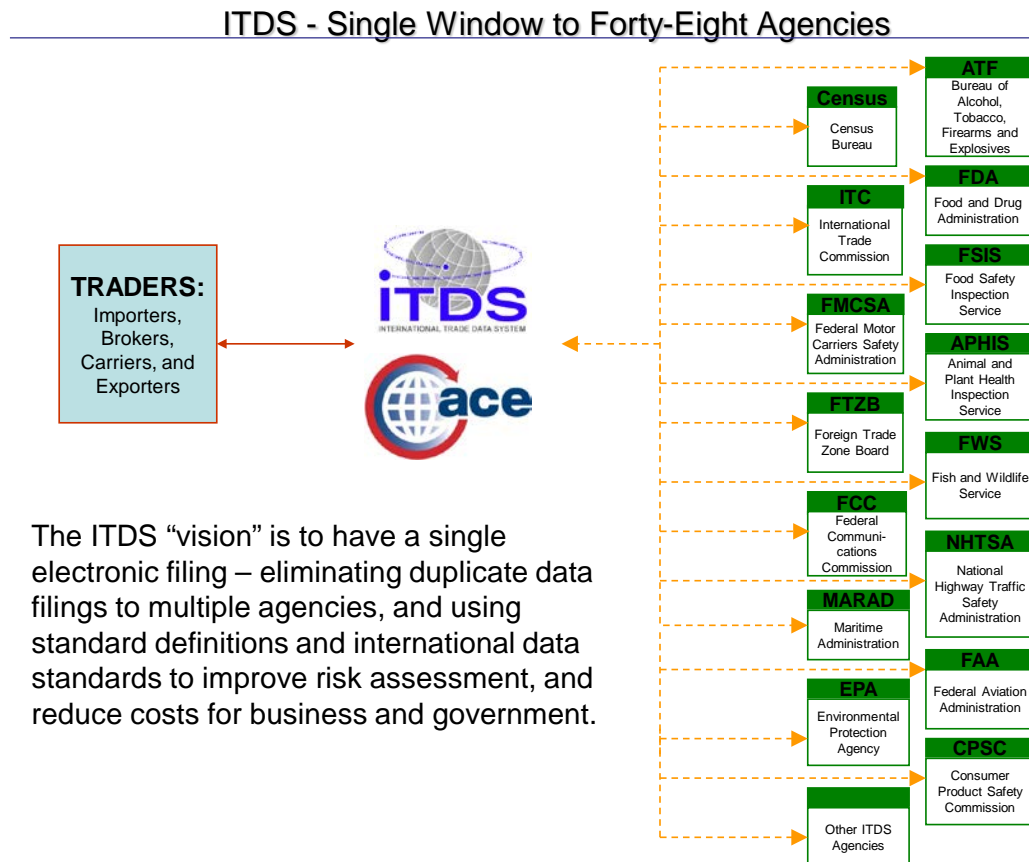
Fundamentally, the ITDS project is about data interchange:

- Agencies agree to standardize their data requirements, eliminating duplicative reporting requirements,
- Standardized data are transmitted to CBP by traders and stored in the “ACE Data Warehouse,”
- CBP transmits relevant data to appropriate agencies, or agencies obtain the data through a web-based interface, the ACE Portal,¹ and
- Agencies with a border control function provide information, operational instructions, or advice to CBP via ACE.

For a listing of forms to be automated through ITDS and the status of those efforts, see the sections on Import and Export Forms to be Automated.

¹ The ACE Portal is a secure web-based interface which an agency analyst can access through the internet and obtain detailed data on imports.

In addition to reducing reporting costs, ITDS is intended to facilitate cooperation between agencies and make border operations more effective and efficient, and save government resources. ITDS will provide agencies with processing capabilities incorporated into ACE, such as tracking licenses, and targeting shipments based on risk analysis, and transmitting messages between agencies and with traders.



STATUS OF ITDS IMPLEMENTATION

Overview

There was significant progress on the International Trade Data System (ITDS) project during FY 2013. U.S. Customs and Border Protection (CBP) has begun implementing ITDS import and export functions. Changes in the ACE program have resulted in accelerating progress on ITDS and the development by CBP of a schedule for completing ITDS in 2016 (see the Schedule for ACE/ITDS following page 13).

Implementing the Basic ITDS Infrastructure for Imports

CBP has developed three ITDS components to implement the “single window” functionality. These are the PGA (Participating Government Agency) Message Set, Interoperability Web Services (IWS), and the Document Image System (DIS). These three key ITDS components will further automate reporting to CBP and other ITDS agencies.

Electronic collection, processing, sharing, and review of trade data and documents required by Federal agencies during the cargo import and export process will significantly increase efficiency and reduce costs over the manual, paper-based interactions that have been in place.

The PGA Message Set provides the capability to collect data elements required by other agencies for processing imports through the Automated Broker Interface (ABI). It will be used as part of Entry and Entry Summary filings, and essentially adds data elements now collected on paper to those filings. Similarly, additional data elements are being added to the export declaration filed through AES, and will also be added to the inbound and outbound manifest filings.

The PGA Message Set is a well-defined, harmonized set of data to be collected electronically from international traders by CBP on behalf of PGAs. This automates the collection, of information required by ITDS agencies, and will replace the more than one hundred forms currently required by Federal agencies during the importation process.

In October 2013, CBP completed the first step in integrating the message set with the ACE entry summaries. This effort focused on data required by the Environmental Protection Agency (EPA) for imports of ozone depleting substances and vehicles and engines. Further work integrating the PGA Message Set with the ACE Entry Summary and EPA and the Food Safety Inspection Service (FSIS) requirements in preparation for a pilot scheduled for early 2014 is ongoing.

CBP has also implemented the transfer of data it collects to other agencies' electronic systems (using Interoperability Web Services (IWS)). IWS allows CBP and other agencies' systems to communicate with each other, providing ITDS agencies the data they require from importers and exporters. IWS also allows information sharing among agencies, which facilitates speedy processing of goods and collaboration among border agencies. The Food Safety Inspection Service, Consumer Product Safety Commission, U.S. Coast Guard, Alcohol and Tobacco Tax and Trade Bureau, National Marine Fisheries Service, Agricultural Marketing Service, and the Animal and Plant Health Inspection Service are successfully receiving data, including

automated entry and entry summary data, as well as some manifest data, directly from CBP. CBP is in the process of bringing IWS services to several more ITDS agencies, including:

- Army Corps of Engineers
- Energy Information Administration
- Federal Communications Commission
- Fish and Wildlife Service
- Food and Drug Administration
- Enforcement and Compliance (formerly Import Administration)
- Internal Revenue Service
- National Highway Traffic Safety Administration
- Office of Textiles and Apparel

CBP has also expanded tests on the Document Image System, (DIS) which can accept electronic transmission of “imaged” documents that currently must be submitted on paper to CBP and other Federal agencies².

- A Federal Register Notice was published on April 6, 2012, that authorized initiation of a pilot, allowing the trade to transmit the following documents in XML format.
 - Commercial Invoice
 - Packing List
 - Invoice Working sheet
 - **Environmental Protection Agency**
 - TSCA Import Certification EPA Form 3520-21 Importation of Motor Vehicles and Engines (off road)
 - EPA Form 3520-1 Importation of Motor Vehicles and Engines (on road)
 - EPA Form 3540-1 Notice of Arrival of Pesticides and Devices
 - EPA Pesticide Label
 - EPA Pre-approved Vehicle/Engine Exemption
 - **Animal and Plant Health Inspection Service**
 - APHIS Ingredients List
 - APHIS Phytosanitary Certificate
 - APHIS Import Permit
 - APHIS Transit Permit
 - APHIS Notice of Arrival
 - APHIS Pre-Clearance 203
 - **National Oceanic and Atmospheric Administration**
 - NOAA Form 370 Fisheries Certificate of Origin
 - NOAA Toothfish Pre-Approval
- A Federal Register Notice was published on July 23, 2013 to announce an expansion of the DIS pilot. This second phase reduces the data required by the trade community,

² Data reported on forms submitted through DIS is not machine-readable and cannot be used for targeting or analysis by automated systems. In some cases use of DIS will be an interim step pending development of the capability to collect that data through an electronic data interchange capability, such as that provided in the PGA Message Set, which can be processed by automated systems. In other cases, such as where paper forms created by entities abroad are legally required for importation, or where forms are so seldom used that the development of electronic data interchange capability for the information on that form would not be cost effective, reporting through DIS is the planned electronic reporting solution.

supports the electronic submission of additional forms and expands the eligible participants to include software providers that receive data for transmission to CBP. The following additional forms that will be supported in the pilot:

- **Food Safety and Inspection Service**
 - FSIS Form 9060-5 – Meat and Poultry Export Certificate of Wholesomeness
 - FSIS Form 9540-4 – Shipper Notification - Importation of Undenatured Inedible Meat Product
 - FSIS 9540-5 – Notification of Intent
 - **Defense Contract Management Agency**
 - DCMA – Certificate of Duty Free Entry
 - **Centers for Disease Control and Prevention**
 - CDC Importation Permission Letter
 - CDC Form 0728 – Permit to Import or Transfer Etiological Agents or Vectors of Human Disease
 - CDC Permit Exempt Letter
 - **APHIS** (The following documents to be submitted with manifest/bill of lading):
 - Plant Protection and Quarantine (PPQ) Form 368 - Notice of Arrival
 - PPQ Form 587 - Permit to Import Plants or Plant Products
 - PPQ Form 586 - Permit to Transit Plants and/or Plant Products, Plant Pests, and/or Associated Soil through the United States
 - PPQ Form 203 – Foreign Site Certificate of Inspection and/or Treatment
 - **General Documents** (not specific to any particular agency)
 - Phytosanitary Certificate
 - Ingredients List
- The July 23, 2013 Federal Register Notice expanded the transmission options to include Electronic Data Interchange (EDI), in addition to email, of the following documents to support ACE Cargo Release filings:
 - Packing List
 - Commercial Invoice
 - Passport, Driver's License, or Government Issued ID
 - CBPF3299 – Declaration for Free Entry of Unaccompanied Articles
 - CBPF4455 – Certificate of Registration
 - CBPF4457 – Certificate of Registration for Personal Effects Taken Abroad
 - CBPF3229 – Certificate of Origin
 - Vehicle Title
 - Other documents to support CBP Form 3461, Entry/Immediate Delivery
 - For the purposes of PGA forms, invoices, and packing lists that are associated with ACE entry summaries certified for cargo release, the trade may submit the required documentation without a prior request by CBP or the PGA.

CBP has invited importers and brokers to test DIS capability by electronically submitting APHIS, EPA, and NOAA forms that are required for importing certain products.

The basic electronic infrastructure outlined above (IWS, DIS, PGA Message Set) provides the foundation for ITDS agencies to electronically receive data required for entry and entry summary processing.

The addition of data currently collected on paper forms to the export declaration, and the inbound and outbound manifests will complete the data interchange system for imports that is mandated by the SAFE Port Act.

This electronic data collection infrastructure will also put ITDS agencies in a position to increase automation of cargo processing in order to expedite release of legitimate cargo. Implementation will:

- Enable import safety agencies to be better able to interdict unsafe shipments,
- Discourage the proliferation of parallel import reporting systems,
- Eliminate the need to collect some paper documents, allowing remote filing of supplemental forms.

CBP currently plans to begin to implement this basic import functionality in early 2014 for some entry types using simplified entry processes in the air mode, and for entry summary reporting.

Import Processing: Cargo Release

The “Cargo Release” functions envisioned for ACE are expected to automate tasks related to the admissibility of imports, such as determining if reporting requirements have been met, providing for communication between agencies and with traders, and automating targeting or processing. Cargo Release functions will be implemented along with each agency’s use of the PGA Message Set, which is scheduled to be completed by November 1, 2015, when CBP plans to make the use of ACE mandatory for all electronic cargo release functions (see ACE/ITDS Schedule following page 13).

ACE Import Manifest

The ACE Vessel and Rail Manifest (also known as M1) began being used in 2012. Several ITDS agencies had originally indicated an interest in receiving additional data collected through the manifest process. At this point, however, that may not be necessary. Agencies interested in accessing data already collected in the manifest would obtain such data through IWS or through the ACE Portal. Work on making manifest data available to ITDS agencies is underway.

ITDS for Exports – Commodity Report and Processing

Currently, declarations about exported commodities are filed electronically through the Automated Export System (AES), which is maintained by CBP and the Census Bureau, and through an allied system, AESDirect. This system, funded and maintained by the Census Bureau, provides a web-based alternative for filing export commodity declaration, and is used mostly by small to medium-sized companies, which comprise 98 percent of exporters. Paper filing is not accepted. Filing for most exports to Canada is not required³; data for those exports

³ For example, filing is required for exports to Canada of rough diamonds, licensable items, and goods in-transit.

are derived from Canadian import filings through a reciprocal arrangement with the Government of Canada.

AES receives data about commodities being shipped, including some license information, and compares data reported against the conditions in the relevant export license. Currently, only export licenses of the Departments of State and Commerce are checked in this manner. In addition, the amounts of goods exported pursuant to some export licenses issued by the State Department are automatically decremented, functionality that can be extended to other license types in the re-engineered AES.

CBP began work in November 2012 to rebuild AES on a new hardware and software platform that will make the automation of reporting requirements simpler, faster, and less costly. This makes the present time an opportune time to also add ITDS export capability to AES. CBP already plans to make changes in AES, including the addition of data elements, to reflect changes in export control requirements.

The initial deployment, scheduled for April 2014, will implement Census Bureau regulatory changes, and the Advanced Export Information (AEI) pilot (the filing of a limited data set pre-departure and remaining data elements filed within 5 days post-departure). It will also implement regulatory changes made by the department of State's Directorate of Defense Trade Controls (DDTC) and the Department of Commerce's Bureau of Industry and Security (BIS) involving the Export Administration Regulations and the International Traffic in Arms Regulations (ITAR).

CBP and Census also plan to collect other data that other ITDS agencies require at export and to develop the capability to transmit forms through the Document Image System (see Table B – Forms Required to Be Presented at Exportation), which will create a basic ITDS single-window for exports.

In this report the ITDS Board recommends that CBP and the Census Bureau, immediately upon completion of re-engineering AES, incorporate into the current electronic export reporting system the capability to accept imaged documents and the few data elements needed to achieve the ITDS requirements for electronic reporting of exports. This will reduce the cost of exporting and strengthen export enforcement. ITDS export functions will support the President's National Export Initiative by eliminating costly, redundant paper filing requirements, and also support the export control missions of ITDS agencies.

It should be noted that all changes to the information collected in AES, plus the associated validations/verifications must also be made to AESDirect. AESDirect is maintained and funded by the Census Bureau. At this point, a funding source has not been identified for modifying AESDirect. The Census Bureau and CBP should explore ways to maintain and enhance export filing options for small and medium businesses while realizing cost savings.

In addition, the Department of Defense is developing USXPORTS to provide an electronic single-window for processing applications for DOD and other agencies' export licenses. An improved interface between AES and all export licensing agencies would facilitate AES validation of export licenses, provide CBP and other reinforcement agencies with more information about licensed exports and advance the goals of the Export Control Reform Task Force of the National Security Council.

ITDS for Exports – Manifest Report and Processing

Export manifests, filed for vessels, planes, and vehicles transporting goods out of the country capture information (such as port of export, departure date, and conveyance) on the actual departure of exported commodities. When commodities leave the country, the current practice is for the exporting carrier to file an export manifest with CBP, usually on paper. (AES does include a pilot for ocean export manifest reporting, currently used by four ocean carriers.) An electronic export manifest system would not only reduce costs for exporters, it would improve export enforcement by providing more visibility into the details of export shipments and would improve Census Bureau statistics.

In 2010, the Board suggested that an automated export manifest system be based on the work already done for the inbound manifest. Both types of manifests contain much of the same type of data, for example, with regard to means of transport and shipments.

CBP deployed a new inbound manifest system for vessels and rail shipment in 2012, and CBP is examining whether that system can be used as the basis for an automated export manifest system. CBP is also examining whether the AES Manifest system could be modified, although this would likely require extensive changes. CBP has worked with ITDS agencies to identify any additional export manifest data requirements. Also underway is an interim Export Manifest pilot using the Document Image System. The pilot allows for e-mail submission and automated processing of Export Manifests in the ocean mode of transportation – a process that has historically been entirely manual and paper-based. CBP is receiving a near 100 percent success rate for export manifests submitted as part of this pilot. The pilot is open for all seaports and all ocean carriers.

ACE Portal

The ACE Portal is a web-based interface, through which ITDS agencies may obtain certain data that CBP collects electronically.⁴ Other agencies currently with ACE Portal access (or that could have Portal access) have the opportunity to obtain data available through ACE. However, some uses of the Portal have been limited because software for retrieving data has not yet been perfected, has capacity limitations, or the Portal does not supply data of interest to some agencies. The ITDS Board has created a working group that together with CBP has identified enhancements that will make the ACE Portal more useful.

System-to-System Data Sharing – Interoperability Web Services

The data that agencies now access through the ACE Portal are primarily entry summary information. The system-to-system communication function that has been developed

⁴ It should be noted that some “single-window” functionality has been operational for years. Although a complete “single window” for reporting by importers, exporters, and carriers does not yet exist, several agencies already use data filed with CBP. For example, information used by the Census Bureau to compile national import statistics has long been collected jointly and electronically from filings with CBP. Information used by the FDA has also been collected from electronic filings with CBP. But no new specific data required by other ITDS agencies are being collected, and “single-window filing” functionality has not yet been implemented through the ACE/ITDS project.

(Interoperable Web Services) provides a way to share other information that CBP collects. CBP has tested the Interoperable Web Services, including transmission of inbound manifest information. CBP and PGAs have also tested two-way exchanges.

The Food Safety and Inspection Service of the Department of Agriculture and the Consumer Product Safety Commission are already launching new automated systems which are intended to rely on data feeds from ACE. EPA and CBP are testing automated processing of entry summaries. The United States Coast Guard has established its interface to receive ocean manifest data.

CBP Automated Screening and Targeting Available for Other Agencies

CBP has invited other government agencies with border interests to use CBP automated screening and targeting systems. CBP already works together with a number of agencies (CPSC, APHIS, FSIS, FMCSA, EPA, ICE, FDA, NHTSA) using CBP systems. To the extent that CBP screening and targeting systems can accommodate other agencies' needs, this approach should reduce costs and prevent proliferation of potentially duplicative systems as well as enhance interdiction efforts.

Status of ACE and the Impact on ITDS

CBP's adoption of a new development methodology (called Agile), that has the potential to produce smaller pieces of ACE functionality more frequently and focuses on delivering ITDS capabilities, has greatly accelerated progress on ITDS. CBP's plans call for the completion of core ACE and ITDS cargo processing capabilities in FY 2016.

CBP is moving forward with plans for the full development of core trade processing capabilities in ACE.

CBP has published three dates for the mandatory use of ACE.

- May 1, 2015: Mandated use of ACE Electronic Manifest – All electronic export and import manifest data must be transmitted via ACE.
- November 1, 2015: Mandated use of ACE for Cargo Release – All data associated with the release of cargo, including data and forms required by ITDS agencies for cargo clearance must be transmitted via ACE.
- October 1, 2016: Mandated use of ACE instead of Automated Commercial System (ACS).

More specifically, the following features that will be used by ITDS agencies are to be delivered as follows:

Deployment Date	Feature	Mode
2012	Manifest integration w/Cargo Release/Simplified Entry (SE)	Air
2012/2013	Document Imaging System – imports/exports	
October 5, 2013	Cargo Release/SE Splits, partials, in-bonds	Air
	AES Commodity Re-engineering	
	PG Message Set integrated with SE and ACE Entry Summary	Air (SE) All (Entry Summary)
	Interoperability Web Service (IWS)	
January 4, 2014	Manifest integration w/Cargo Release/SE	Ocean/rail
	Vessel Management System	
	Mail Entry Writing System	
	AES New Features	
April 5, 2014	Certify from Summary Filing	All
	Manifest integration w/Cargo Release/SE	Truck
	Export Manifest	Air
January 3, 2015	Single Transaction Bonds/eBonds	
	Remote Location Filing	
	Border Cargo Selectivity	
	Redelivery Process for CBP/PGA Interactions	
	Request Demand for Redelivery	
	Export Manifest	Ocean/Rail/Truck
	Import Manifest	Air
	Refactor Truck, Ocean, Rail Import Manifest	Truck/Ocean/Rail
	FTZ interfaces for Cargo Release/SE	
	Refactor ACE Portal	
July 4, 2015	Remaining Entry Summary Types (including FTZ & Quota)	
	Warehouse Entries/Withdrawals	
	Refactor Anti-dumping functionality	
	Refactor Statements (collections)	
	Truck Cargo Movement (in-bond, Permit to Transfer, etc.)	
	Transportation Bonds	
January 2, 2016	Liquidation	
	Protest	
	Drawback	
	Rail Consist	
July 2, 2016	Monthly Entry Summary	
	Conveyance Management for Vessel Stow Plan Viewer	

Extent of Participation by Federal Agencies

Forty-eight Federal agencies, including CBP, currently participate in ITDS. While some agencies have a well-developed plan for automating their business processes and have completed preparations to receive and use data, other agencies are at an earlier stage of planning. CBP and the ITDS agencies have developed a schedule for automating each agency's forms and business processes. (See ACE/ITDS Development Schedule following page 13.)

Interagency Operations Plans and Agreements

Many agencies participating in ITDS develop a plan ("Concept of Operations") describing how each agency will implement ITDS and work with other agencies on their joint import or export missions. That plan is reviewed by CBP and ultimately agreed to by both CBP and the relevant agency. Work on a number of agencies' Concept of Operations plans is still to be completed.⁵

Each agency participating in ITDS is also to agree on a Memorandum of Understanding (MOU) with CBP specifying in detail the information that the agency expects to receive through ACE/ITDS. In addition, some agencies also develop, with CBP, separate MOUs detailing plans for cooperative operations with CBP.

Work on MOUs accelerated in FY 2013, although much work remains to be done. (A table outlining the status of work on MOUs can be found in Appendix F to this report.)

A description of ITDS agencies' *import* missions and plans for using ITDS are in the 2010 Report to Congress on the International Trade Data System and are available at www.itds.gov.

A description of ITDS agencies' *export* missions and plans for using ITDS are in the 2011 Report to Congress on the International Trade Data System and are available at www.itds.gov.

Product Identification and Classification (PIC) Codes

Another area with potential for reducing costs is the standardization of product identification and classification codes. Several agencies require traders to provide a product classification code, in addition to a tariff number. Tariff codes are not precise enough for many agencies' purposes particularly those related to product purity and safety. ITDS agencies are exploring the use of international product classification codes to obviate the need for traders to use multiple codes in reporting the same product and to eliminate the cost to the government of maintaining multiple agency-specific code systems.⁶

The identification of specific products using a globally unique product number known as the Global Trade Item Number (GTIN) also has cost saving potential. A GTIN (also known to consumers as the Universal Product Code (UPC), the bar code on nearly all retail products) can

⁵ For more information on Concept of Operations plans and MOUs see <http://www.itds.gov/>.

⁶ Agencies also endeavor to use standard codes already adopted by industry wherever possible. OMB Circular A-119 directs agencies to use voluntary consensus standards in lieu of government-unique standards except where use of such voluntary standards is inconsistent with law or otherwise impractical.

be linked to details about the individual product. One GTIN number, rather than several data elements, may provide an adequate description of a product for reporting purposes.

Several ITDS agencies have conducted table top pilots to assess the usefulness of product identification codes. Tests on toys, cut flowers, and meat products have been completed and evaluated. The information from these tests has been shared with the trade community. The PIC initiative could provide a useful addition to CBP efforts to simplify entry reporting.

Border Interagency Executive Council

One important development has been the establishment of the Border Interagency Executive Council (BIEC). This interagency group grew out of the 2010 Import Safety Conference which involved 10 agencies with a border safety mission⁷, and was hosted by CBP, CPSC, and FDA. The BIEC, currently chaired by CBP, addresses issues related to interagency border cooperation and administration. The current BIEC work program covers a number of issues referred from the ITDS Board, including information sharing and electronic acceptance of imaged documents.

Business Community Involvement in ITDS

The ITDS Board of Directors includes in its meetings representatives of private sector advisory groups involved in international trade, including the Trade Support Network⁸ and the Customs Operations Advisory Committee,⁹ whom we would like to thank for their time, their advice and, their service. The Board also invites trade associations and representatives of industry sectors to address the Board on topics of mutual interest.

⁷ Food and Drug Administration, Animal and Plant Health Inspection Service, Food Safety and Inspection Service, U.S. Immigration and Customs Enforcement, U.S. Customs and Border Protection, National Marine Fisheries Service, Environmental Protection Agency, Consumer Product Safety Commission, National Highway Traffic Safety Administration, and Bureau of Alcohol, Tobacco, Firearms and Explosives

⁸ The Trade Support Network (TSN) is a group of trade representatives who provide input into the design and development of modernization projects, such as ACE.

⁹ The Customs Operations Advisory Committee is an advisory committee established in accordance with the provisions of the Federal Advisory Committee Act. The committee provides advice to the Departments of the Treasury and Homeland Security on all matters involving the commercial operations of CBP and related functions.

ACE Features by Development Increment

	Increment 1	Increment 2	Increment 3	Increment 4	Increment 5	Increment 6	Increment 7	Increment 8	Increment 9	Increment 10	Increment 11	Increment 12		Increment 13
	February 12 to May 7, 2013	May 8 to August 6, 2013	August 7 to November 5, 2013	November 6, 2013 to February 4, 2014	February 5 to May 6, 2014	May 7 to August 5, 2014	August 6 to November 4, 2014	November 5, 2014 to February 3, 2015	February 4 to May 5, 2015	May 6 to August 4, 2015	August 5 to November 3, 2015	November 4, 2015 to February 2, 2016		February 3 to May 3, 2016
Cargo Release/Simplified Entry (SE)	Auto Corrections/ Cancellations	- SE Integration with In-bond - Partial Quantities for SE: without In-bond - Splits for SE: Hold All and immediate delivery - Upgrade SE GUI for CBP	- Partial Quantities for SE: with In-bond - Cargo Release Data Build-out - Ocean/Rail Manifest Integration w/ SE - Finish cancellation process from ACE Entry Summary to SE - Single Accept/ Reject message for SE response - Mail Entry Writing System (MEWS)	- Certified from Summary - Query Capability: Trade ability to query ABI - Truck Manifest Integration with SE - Transitional data synchronization: entry	- Single Transaction Bond (STB) - Remote Location Filing - Diversion Process: National/Local Level - Reporting for Entry: CBP & Trade - Entry Business Validations: using summary validation engine	- Border cargo selectivity - Redelivery Process for CBP/PGA Interactions - Request Demand for Redelivery - Transition Manage Bond Info to new ACE architecture - E-bond - Informal entry/sectionals/ headnotes	- CBP-Initiated Corrections - Non-ABI Entries - FTZ Admission - CBP Intensive Exam Workflow	- Remaining Entry Types: except for Quota - Lab Samples	- Remaining Entry Types					
Entry Summary	- Entry Summary Validation: Harbor Maintenance Fee (HMF)	- Entry Summary Validation: Classification - Single Accept/Reject message for Entry Summary response	- Entry Summary Validation: Simple Duty Calculations - Data Management	- Entry Summary Validation: Complex Duty Calculations - Entry Summary Validation: Merchandise Processing Fee (MPF)	- Transition ACE Entry Summary to new ACE architecture	- Transition Existing ACE Entry Summary Validations to new ACE architecture	- Transitional Data Synchronization: Summary - Transition Mass Updates to new ACE architecture - Transition Trade/EDI Submission of Entry Summary Data to new ACE architecture - Transition CBP Review Module to new ACE architecture	- Remaining Entry Summary Types: except Quota - Statements - Transition AD/CVD Case Management System to new ACE architecture	- Remaining Entry Summary Types - Quota Master Data - Quota Entry Summary Type - Quota Restrictions	- Liquidation - Entry Summary Validation: Tariff Usage Restrictions - Entry Summary Validation: Licenses, permits, certificates - Entry Summary Validation: Charges Restrictions	- Protest - Drawback	- Entry Summary Validation: Informal Entry Restrictions - Entry Summary Validation: Other Fees - Entry Summary Validation: Taxes		- Monthly Entry Summary
Manifest			- Vessel Management System (VMS)	- Air Manifest (import) Foundation: accept data and reply - Transitional Data Synchronization: Air	- Air Manifest User Interface Features - Truck Manifest (Import) Foundation - Air cargo movement: In-bond, PTT, etc.	- Air Holds - Air Manifest: Integration with ACAS - Transition Business Rules and Practices: Truck-specific to new ACE architecture - Transition Truck Manifest Secondary to new ACE architecture - Transition Ocean/Rail Manifest Foundation (accept data and reply) to new ACE architecture	- Transition Truck Manifest Primary to new ACE architecture - Ocean/Rail Manifest User Interface Features - Truck Holds	- Truck Cargo Movement: In-bond, PTT, etc. - Transitional Data Synchronization: Ocean/Rail - Transitional Data Synchronization: Truck	- Manifest Interface with CBP Findings - Multi-Modal: Relationship among bills - Transition Business Rules and Practices: Ocean/ Rail-specific to new ACE architecture - Transportation Bonds	- Rail Consist - Transition Ocean/Rail Holds to new ACE architecture	- Ocean/Rail Cargo Movement: In-Bond, PTT, etc.	- Conveyance Management for Vessel - Stow Plan Viewer		
Exports	- AES commodity re-engineering including Census and BIS reg changes	- AES commodity re-engineering including Census and BIS reg changes	- AES commodity re-engineering - AES Transportation Module (Ocean) - Manifest Foundation - AES New Features	- Air Manifest	- Ocean/Rail Manifest	- Truck Manifest								
Accounts Mgmt						- Transition Maintain Accounts to new ACE architecture				- Transition Account Review/Audit Support to new ACE architecture				
PGA Integration (Tentative schedule - subject to change)	- Document Image System (DIS): NMFS, FSIS, APHIS, CDC, DCMA, EPA - Interoperability Web Services (IWS): FSIS, AMS, USCG, CPSC - PGA Msg Set: EPA Ozone Depleting Substances	- PGA Msg Set: EPA Vehicles and Engines, USDA FSIS Application for Inspection - Agriculture streamlined findings input: APHIS	- Agriculture streamlined findings input: APHIS - Data: Census, NRC	- IWS: FCC - PG Msg Set: FCC, NMFS - Export licensing/forms: BIS, DDTC, EPA Pesticides, Hazardous Waste	- IWS: FDA - Export licensing/forms: NMFS, ATF, AMS - Data: FMC	- IWS: FDA, IA, NHTSA, DEA, PHMSA, RITA - PGA Msg Set: DEA, APHIS Lacey Act - Portal: FTZB - Export licensing/forms: FWS, DEA	- IWS: FMCSA, FSIS, APHIS, AMS, OFAC Sanctions - PGA Msg Set: EPA TSCA, FDA, IA Steel licensing - Data: MARAD, FAA, FHWA	- IWS: FWS Import Manifest - PGA Msg Set: FDA, CPSC, FWS - Portal: IA AD/CVD	- IWS: FAS, APHIS Interfaces	- DIS: IRS - IWS: EIA	- IWS: IRS	- Data: A/LM, OFM, OES		- PGA Expansion
Tech. Svcs.	ABI Profiles * Critical fixes * Document Image System * Reports * Logging and audit services * Miscellaneous technical services * Security services													

Certification environment planned to be available eight weeks in advance of deployments to allow for testing with trade users.

	Deployment A	Deployment B	Deployment C	Deployment D		Deployment E		Deployment F	Deployment G	
	November 2, 2013 Includes Increments 1 and 2	January 4, 2014 Includes Increment 3	April 5, 2014 Includes Increment 4	January 3, 2015 Includes Increments 5, 6, and 7		July 4, 2015 Includes Increments 8 and 9		January 2, 2016 Includes Increments 10 and 11	July 2, 2016 Includes Increments 12 and 13	
Cargo Release/Simplified Entry (SE)	- Auto Corrections/Cancellations - SE Integration with In-bond - Partial Quantities for SE: without In-bond - Splits for SE: Hold All and immediate delivery - Upgrade SE GUI for CBP	- Partial Quantities for SE: with In-bond - Cargo Release Data Build-out - Ocean/Rail Manifest Integration with SE - Finish cancellation process from ACE Entry Summary to SE - Single Accept/Reject message for SE response - Mail Entry Writing System (MEWS)	- Certified from Summary - Query Capability: Trade ability to query ABI - Truck Manifest Integration with SE - Transitional data synchronization: entry	- Single Transaction Bond (STB) - Remote Location Filing - Diversion Process: National/Local Level - Reporting for Entry: CBP & Trade - Entry Business Validations: using summary validation engine - Border cargo selectivity - Redelivery Process for CBP/PGA Interactions - Request Demand for Redelivery - Transition Manage Bond Info to new ACE architecture - E-Bond - Informal entry/sectionals/headnotes - CBP-Initiated Corrections - Non-ABI Entries - FTZ Admission - CBP Intensive Exam Workflow	May 1, 2015: Mandated use of Manifest - All electronic export and import manifest data must be transmitted via ACE.	- Remaining Entry Types - Lab Samples	November 1, 2015: Mandated use of Cargo Release - All data associated with the release of cargo, including PGA interactions, must be transmitted via ACE.			October 1, 2016: Mandated use of ACE.
Entry Summary	- Entry Summary Validation: Harbor Maintenance Fee - Entry Summary Validation: Classification - Single Accept/Reject message for Entry Summary response	- Entry Summary Validation: Simple Duty Calculations - Data Management	- Entry Summary Validation: Complex Duty Calculations - Entry Summary Validation: Merchandise Processing Fee (MPF)	- Transition ACE Entry Summary to new ACE architecture - Transition Existing ACE Entry Summary Validations to new ACE architecture - Transitional Data Synchronization: Summary - Transition Mass Updates to new ACE architecture - Transition Trade/EDI Submission of Entry Summary Data to new ACE architecture - Transition CBP Review Module to new ACE architecture		- Remaining Entry Summary Types - Statements - Transition AD/CVD Case Management System to new ACE architecture - Quota Master Data - Quota Entry Summary Type - Quota Restrictions		- Liquidation - Entry Summary Validation: Tariff Usage Restrictions - Entry Summary Validation: Licenses, permits, certificates - Entry Summary Validation: Charges Restrictions - Protest - Drawback	- Entry Summary Validation: Informal Entry Restrictions - Entry Summary Validation: Other Fees - Entry Summary Validation: Taxes - Monthly Entry Summary (Not core feature)	
Manifest		- Vessel Management System (VMS)	- Air Manifest (import) Foundation: accept data and reply - Transitional Data Synchronization: Air	- Air Manifest User Interface Features - Truck Manifest (Import) Foundation - Air cargo movement: In-bond, PTT, etc. - Air Holds - Air Manifest: Integration with ACAS - Transition Business Rules and Practices: Truck-specific to new ACE architecture - Transition Truck Manifest Secondary to new ACE architecture - Transition Ocean/Rail Manifest Foundation (accept data and reply) to new ACE architecture - Transition Truck Manifest Primary to new ACE architecture - Ocean/Rail Manifest User Interface Features - Truck Holds		- Truck Cargo Movement: In-bond, PTT, etc. - Transitional Data Synchronization: Ocean/Rail - Transitional Data Synchronization: Truck - Manifest Interface with CBP Findings - Multi-Modal: relationship among bills - Transition Business Rules and Practices: Ocean/Rail-specific to new ACE architecture - Transportation Bonds		- Rail Consist - Transition Ocean/Rail Holds to new ACE architecture - Ocean/Rail Cargo Movement: In-Bond, PTT, etc.	- Conveyance Management for Vessel - Stow Plan Viewer	
Exports			- AES commodity re-engineering including Census and BIS reg changes - AES Transportation Module (Ocean) - Manifest Foundation	- Air Manifest - Ocean/Rail Manifest - Truck Manifest						
Accounts Mgmt				- Transition Maintain Accounts to new ACE architecture				- Transition Account Review/Audit Support to new ACE architecture		
PGA Integration <small>(tentative schedule - subject to change)</small>	- Document Image System (DIS): NMFS, FSIS, APHIS, CDC, DCMA, EPA - Interoperability Web Services (IWS): FSIS, AMS, USCG, CPSC - PGA Msg Set: EPA Ozone Depleting Substances, EPA Vehicles and Engines, USDA FSIS Application for Inspection - Agriculture streamlined findings input: APHIS	- Agriculture streamlined findings input: APHIS - Data: Census, NRC	- IWS: FCC - PG Msg Set: FCC, NMFS - Export licensing/forms: BIS, DDTC, EPA Pesticides, Hazardous Waste	- IWS: FDA, IA, NHTSA, DEA, FMCSA, FSIS, APHIS, AMS, OFAC Sanctions, PHMSA, RITA - PGA Msg Set: DEA, APHIS Lacey Act, EPA TSCA, FDA, IA Steel licensing - Portal: FTZB - Data: FMC, MARAD, FAA, FHWA - Export licensing/forms: NMFS, ATF, FWS, DEA, AMS		- IWS: FAS, FWS Import Manifest, APHIS Interfaces - PGA Msg Set: FDA, CPSC, FWS - Portal: IA AD/CVD		- DIS: IRS - IWS: EIA, IRS	- Data: A/LM, OFM, OES	
Technical Services	ABI Profiles * Critical fixes * Document Image System * Reports * Logging and audit services * Miscellaneous technical services * Security services									

Certification environment planned to be available eight weeks in advance of deployments to allow for testing with trade users.

BUDGET ISSUES

Funding Sources

Funding for ITDS comes almost exclusively from CBP's Automation Modernization appropriation. On occasion, funding from other agencies participating in the ITDS program has been transferred to CBP via an interagency agreement. In addition, several agencies participating in ITDS fund their own automated systems that will interface with ACE/ITDS.

The ITDS account began FY 2013 with a balance of \$31 million from prior years. In FY 2013, \$4.8 million was expended, leaving \$26.2 million to be carried over into FY 2014.

Cost Allocation

To delineate the funding responsibilities of the participating agencies, the following funding assumptions have been made in the past:

1. If a participating agency's requirements are included in the core set of CBP's requirements, then the resulting capabilities are provided to that agency at no cost to it or the ITDS program,
2. If requirements are shared by more than one agency, the cost of the required ACE capabilities are borne by the ITDS program, and
3. If requirements are unique to an agency, the cost of meeting them is borne by that agency.¹⁰

On occasion, CBP has temporarily reprogrammed funds from the ITDS account for other Modernization Account uses not allocable to ITDS under these funding assumptions. For example, in FY 2008, \$4 million was temporarily reallocated and subsequently returned to the ITDS account in FY 2010. In FY 2011, \$7.2 million was temporarily reallocated largely for development of targeting functions and has not been returned. (See budget tables.)

Expenditures, Available Funds

In FY 2013 CBP spent approximately \$2.8 million of ITDS funds on the PGA Message Set, Document Image System (DIS), and Interoperability Web Services (IWS), and about \$2 million on operational enhancements for ACE.

At the end of FY 2013, the ITDS account, part of CBP's IT accounts, had a balance of \$26.2 million in "no-year money" (if not spent in the year appropriated the money remains available to be spent in subsequent years). No additional funds were requested for FY 2014.

¹⁰ "Requirements essential to ACE core functions, including CBP-specific requirements, requirements shared by CBP and other agencies, and the common user interface for ITDS are funded directly by the CBP Automation Modernization appropriation. Requirements that are common to multiple agencies, but are not specifically CBP requirements, are funded by the ITDS Board using CBP Modernization Automation funding earmarked for ITDS. Finally, agencies will fund any modifications to agency systems or processes undertaken to integrate with ITDS, as well as the cost of any agency-unique requirements in ACE." FY 07 OMB 300 for ITDS.

For FY 2014, CBP is projecting an expenditure of \$3.4 million of ITDS funds.

The \$26.2 million of ITDS funds remaining at the end of FY 2013 should be adequate for:

- Implementation of the three import priorities, PGA Message Set, DIS, IWS, for all entries in all transportation modes,
- Addition of data elements and expansion of current editing and processing features in AES,
- Addition of ITDS data elements to inbound and outbound manifest messages, and
- Implementation of basic cargo release features.

At this point, however, no funding source has been identified for changing AESDirect to reflect the additional PGA export data elements.

With limited budgets and competing priorities, it is critical that the remaining ITDS resources be applied to ITDS priority projects identified by the ITDS Board of Directors.

In addition, budget limitations have eliminated contractor support for the ITDS Program Office (once over 30 strong), which leaves CBP and the other ITDS agencies relying on government staff, many who have not been previously involved in ITDS to complete all the other tasks involved with this project. Such tasks include planning changes in operations, implementing regulatory changes, and providing notices to the importing public. Failure to complete these ITDS basic functions soon will increase the risk that the expertise and knowledge necessary for these tasks will be lost to retirement and staff rotation.

Table 1

International Trade Data System (ITDS) Program Financial Summary					
Description	2010 (as of 9/30/10)	2011 Actual	2012 Actual	2013 Actual	2014 (Planned)
ITDS Program Budget:					
• Budget Appropriation	\$ 16,000,000	\$ 16,000,000	\$ -		
• Balance Carried Forward (from prior FY)	\$ 18,583,069	\$ 36,516,069	\$ 38,439,226	\$ 31,029,623	\$ 26,183,688
• Other (De-obligation from prior year ITDS Support Contractor contract)	\$ -				
• Other (Reimbursement of funding (see "Other" below) available for use in FY10)	\$ 4,000,000		\$ -		
Sub-Total	\$ 38,583,069	\$ 52,516,069	\$ 38,439,226	\$ 31,029,623	\$ 26,183,688
ITDS Obligations					
• ITDS Program Office - ACE Operating & Maintenance Support	\$ 605,000		\$ 8,396	\$ 21,447	\$ 66,432
• ITDS Program Contractor Support – Develop/Maintain High Level Participating Government Agency (PGA) Business Requirements (2012 Cargo Release)	\$ -	\$ 1,710,625	\$ -		
• ITDS Program Sponsored Operational Enhancements and ACE Production Support – Develop/Deploy Operational Enhancements				\$ 2,000,000	
• ITDS Program Sponsored Construction of PGA Requirements – Design ACE Cargo Release Capabilities for Requirements, Commissioner Import Priorities (DIS and PG Message, and IWS), Exports	\$ 1,462,000	\$ 5,153,750	\$ 7,401,207	\$ 2,824,488	\$ 3,398,950
• Other – transferred for use in ACE development of non-PGA requirements – pending consultant to C1 contract	\$ -	\$ 7,212,468	\$ -		
Sub-Total	\$ 2,067,000	\$ 14,076,843	\$ 7,409,603	\$ 4,845,935	\$ 3,465,382
ITDS Program Budget	\$ 38,583,069	\$ 52,516,069	\$ 38,439,226	\$ 31,029,623	\$ 26,183,688
ITDS Program Obligations	\$ 2,067,000	\$ 14,076,843	\$ 7,409,603	\$ 4,845,935	\$ 3,465,382
ITDS Program Balance (carried forward to next FY)	\$ 36,516,069	\$ 38,439,226	\$ 31,029,623	\$ 26,183,688	\$ 22,718,306
Percentage of ITDS Budget Obligated (cumulative)	70.4%	76.1%	81.4%	84.9%	87.4%

Table 2

ITDS FY 13 Obligations and Transfers		
FY 13 Budget Appropriation	\$ -	
Prior Year Balance Carried Forward	\$ 31,029,623	
Beginning FY 13 Balance	\$ 31,029,623	
Carryover - ITDS - Initial Distribution	\$ 31,029,623	Doc Date
PGA Message Set	\$ (2,824,488)	02/06/13
ACE Production Support for Commissioner Priority Initiatives	\$ (2,000,000)	09/15/13
Federal Register Notice Development and Communicatins	\$ (15,323.37)	10/01/12
ITDS Maintenance & Govt Salaries		
Inquisq Learning Management System Upgrade and Renewal for PGA training	\$ (6,123.42)	01/01/13
SubTotal FY 13 Obligations against Carryover	\$ (4,845,935)	
FY 13 Budget Appropriation	\$ -	
Total Available ITDS Funds as of 9/30/13	\$ 26,183,688	

Table 3

ITDS FY 14 Estimated Obligations and Transfers	
FY 14 Budget Appropriation	\$ -
Prior Year Balance Carried Forward	\$ 26,183,688
Beginning FY 14 Balance	\$ 26,183,688
Estimated Expenditures	
ACE ITDS Development	\$ 2,000,000
ACE ITDS IWS Onboarding Expansion Sustainment	\$ 1,398,950
ITDS Security Certificate	\$ 309
ITDS.gov - DHS Server	\$ 60,000
ITDS Maintenance & Government Salaries	\$ 6,123
Total Projected Estimated FY 14 Obligations	\$ 3,465,382
* ACE program is transitioning to agile development methodology. All estimated expenditures for FY 14 are currently being updated to reflect how much can be applied towards ACE/ITDS priorities in FY 14.	

CONSISTENCY OF ITDS WITH INTERNATIONAL STANDARDS

Benefits of International Standardization

Today, countries have different data requirements and electronic data formats for essentially similar customs processes. Standardizing these reporting requirements could reduce costs for traders, who now must use a different format for each country and invest in different software for reporting to each country. In the current environment, however, the greatest potential benefit of adopting international standards may be to enhance security. Providing a platform for customs administrations to share information and providing advance notice of risky shipments could effectively extend the enforcement perimeter beyond U.S. borders. Moreover, obtaining export data reported to authorities in the country of export may provide a less costly alternative to requiring advance filing of import data. (However, sharing of U.S. information with other countries is subject to U.S. laws and applicable agency policies.)

World Customs Organization (WCO) Data Model

The SAFE Port Act requires the ITDS Board of Directors to ensure that the ITDS data requirements are compatible with the WCO Data Model. The WCO Data Model consists of standardized data requirements, data definitions, reporting codes¹¹, and “messages” for transmitting data from traders to governments.¹²

The ITDS Standard Data Set conforms in part to WCO standards. CBP has recently worked with WCO and Canadian authorities to review the compatibility of ITDS data requirements with the WCO data model. However, CBP has not yet undertaken steps to implement the WCO standard messages within ACE. Implementation has been notionally considered as a second reporting option, to be developed after other ACE functions are completed.

¹¹ “Reporting Codes” relate to the reporting of particular data or information. For example, when the country of export is reported, the reporting code might be UK (for United Kingdom) or MX (for Mexico).

¹² The WCO messages are a version of the UN/EDIFACT Customs messages (CUSCAR, CUSDEC, etc.) which are the functional equivalent to the entry, entry summary, and manifest messages currently required by CBP. The WCO messages have been agreed to by the WCO member countries, including the United States. In both the WCO Framework Agreement and in G-7 communiqués, the United States has committed to implement the WCO messages.

PROGRESS ON RECOMMENDATIONS FROM PAST REPORTS

Progress on 2012 Recommendations

1. **CBP should begin using the PGA Message Set to collect data for other agencies, the Document Image System, and Interoperable Web Services, and move quickly to extend that functionality to all entries for all transportation modes.**

Result: The PGA Message Set is being tested by FSIS and EPA. The Document Image System is in a pilot phase. Interoperability Web Services has been tested with several agencies.

2. **As soon as the work of re-engineering the Automated Export System (AES) on a new hardware and software platform is completed, the Census Bureau and CBP should add to the few additional data elements required by other agencies for reporting exports, and at the same time provide the ability to use the Document Imaging System in conjunction with AES. This would make exporters' reporting substantially electronic and would advance the goals of both the National Export Initiative and the Export Control Reform Initiative.**

Result: CBP has begun work to add data elements to the re-engineered AES. CBP has implemented a pilot using DIS for ocean export manifests.

3. **In addition to technical work related to processing electronic data, ITDS agencies should complete necessary regulatory work associated with collection of electronic information, including establishing authority to collect data electronically and completing data interchange MOUs and Interconnectivity Security Agreements (ISAs).**

Result: More MOUs and ISAs have been completed. Some regulatory work is underway.

Progress on 2011 Recommendations

1. **CBP should complete and make operational the three import priorities, (PGA Message Set, Document Imaging System, and Interoperability Web Services), so other agencies and import filers can begin to use single-window filing.**

Result: The PGA Message Set is being tested by FSIS and EPA. The Document Image System is in a pilot phase. Interoperability Web Services has been tested with several agencies.

2. **The ACE Portal, a website through which ITDS agencies can view data collected by CBP, should be enhanced to include the additional PGA Message Set data elements. The capacity of the search function should be enhanced to allow retrieval of more data in a single search.**

Result: The ITDS Board has established a group to work with CBP to identify and correct deficiencies in the ACE Portal.

3. **CBP and other ITDS agencies should use the “Interoperable Web Services” capability to expand sharing of data already collected by CBP.**

Result: Testing of this system has been undertaken by several agencies.

4. **ITDS agencies should complete listing of their export data and processing requirements. CBP should ensure necessary staffing to prepare for development of ITDS export functionality.**

Result: This work has begun.

5. **CBP and other ITDS agencies should accelerate completion of Memoranda of Understanding and Interconnection Security Agreements, the legal steps required for sharing data.**

Result: Twelve MOUs have been completed.

6. **CBP should provide basic admissibility and release processing, such as license verification and notification of release, as early deliverables, for Cargo Release and Simplified Entry.**

Result: These capabilities are being implemented for formal and informal entry types using simplified entry processes in the air mode.

Progress on 2010 Recommendations

1. **Using ITDS funding already available, CBP should finish work by the end of FY 2011 on the three priority projects contained in Recommendation 2009-1.** Completing this work quickly will accelerate interagency cooperation and provide immediate benefits to both the government and the private sector.

Result: Testing of the PGA message Set, the Document Imaging System, and Interoperable Web Services has begun.

2. **CBP should complete the necessary work for the ACE Cargo Release business case by the spring of 2011.**

Result: Work in preparation for Cargo Release continues.

3. **By the summer of 2011, CBP, Census, and other appropriate agencies should examine the potential for enhancing the Automated Export System to provide functionality for additional ITDS agencies, including a detailed examination of ITDS agencies export requirements.** Introducing enhancements to these systems could have minimal impact on ongoing work in the import systems.

Result: CBP and Commerce have developed an aggressive plan to enhance AES and to build an electronic export manifest.

4. **CBP should use the functionality developed for system-to-system communication to transmit data CBP already collects to other ITDS agencies.** This will enable agencies to obtain data that supports their mission objectives without waiting for further deployment of additional ACE functionality.

Result: Data transmission between CBP and some ITDS agency systems is underway.

Progress on 2009 Recommendations

Recommendation 2009-1: CBP should immediately add data elements required by other agencies to the major import reporting messages (manifest, entry, entry summary).

Result: CBP has built the PGA Message Set, the vehicle for collecting data required by other agencies. The PGA message Set is being tested and implemented.

Recommendation 2009-2: CBP should develop the capability to accept transmission of “imaged” forms (such as .pdf files) which may currently only be submitted on paper.

Result: CBP has developed and tested a Document Imaging System.

Recommendation 2009-3: CBP should complete its plans for ITDS and make decisions related to the technical interoperability with other agencies’ systems, in order to allow other agencies to continue with their plans for using ITDS and investing in automated systems to work with ACE/ITDS.

Result: CBP has completed work on its Concept of Operations for operating in the ITDS framework. CBP and other agencies have developed and tested an Interoperable Web Services facility for exchanging data between systems, which is in use.

Progress on 2008 Recommendations

Recommendation 2008-1: The ITDS Board of Directors should ensure adequate resources are devoted to completing the harmonization of agency data requirements.

Result: Adequate resources were devoted to data harmonization to complete the PGA Message Set. Additional resources may be needed in the future if additional agencies’ requirements are added to the message set and for work on ITDS export functionality.

Recommendation 2008-2: CBP should make all import data it currently collects electronically available to agencies through the ACE Portal.

Result: No additional data have been made available.

Recommendation 2008-3: CBP and the other participating government agencies should use a widely accepted standard identifier, such as the Data Universal Numbering System (DUNS) Number as an alternative to identify parties in ACE transactions and CBP should build that capability into ACE in order to reduce the reporting burden on traders, obtain more accurate and complete identification of parties to international trade transactions, and enhance compliance, security, and safety.

Result: More agencies are considering use of the DUNS Number.

Recommendation 2008-4: Agencies participating in ITDS that require product codes should strive to use standard product codes based wherever possible on commercial or other consensus standards in compliance with OMB Circular A-119.

Result: Some agencies are exploring using the GTIN as a product identifier.

Recommendation 2008-5: The ITDS Board of Directors should be directly represented in the appropriate bodies making decisions regarding the ACE schedule and priorities.

Result: ITDS Chair participates in ACE Executive Steering Committee.

Recommendation 2008-6: To enhance the effectiveness of the OMB E-Government tracking of agencies' plans to implement interfaces to ITDS, the dates associated with the milestones for those plans should be adjusted to reflect changes in the ACE schedule. To make the monitoring more accurate and effective milestones should be set and tracked at the component-agency level while maintaining accountability at the department level.

Result: OMB had adjusted the milestones dates to reflect ACE schedule changes.

Recommendation 2008-7: The ITDS Program Office and the ACE Team should ensure that agencies' requirements for data, data processing, and communication are fully documented and tracked (in a manner transparent to ITDS agencies and the ITDS Board of Directors) throughout the development and implementation process. Particular attention should be paid to the handoff from the ITDS Program Office to other ACE entities that will implement agency functionality.

Result: ITDS requirements are now stored in "DOORS", a repository tool.

Recommendation 2008-8: The ITDS Program Office should take the lead in establishing a Board within CBP to review MOUs and Concept of Operations plans and to establish a schedule for review of those documents. Such Board should include the appropriate CBP Headquarters staff. The ITDS Program Office working with each agency should identify responsible persons in those agencies to meet with this Board as appropriate.

Result: CBP has published the CBP ITDS Concept of Operations to be used as the foundation for Cargo Release process decisions. CBP has established a Board to review Memoranda of Understanding and Concept of Operations plans.

Recommendation 2008-9: CBP should implement in ACE the ability to report transactions in a manner consistent with the WCO Data Model international standards. Standardization can reduce costs for traders and facilitate security cooperation between governments.

Result: No action has been taken.

Progress on 2007 Recommendations

Recommendation 2007-1: In 2007, we noted that several new agencies joined ITDS after the SAFE Port Act was enacted in October 2006, but that agency participation in ITDS had been uneven and that, although agencies are able to obtain detailed import information through the ACE Portal, not all agencies are taking full advantage of that information. ***We recommended that agencies, particularly those with an import safety mission, should accelerate development of plans for their participation in ITDS in order to take full advantage of ITDS capabilities.***

Result: OMB directed agencies to participate in ITDS. While all agencies required to join did so, participation remains uneven.

Recommendation 2007-2: ***We recommended that the ITDS Board of Directors should ensure that a Standard ITDS Data Set is established by January 1, 2008.***

Result: See Recommendation 2008-1 above.

Recommendation 2007-3: In 2007, we noted that development of the ITDS program requires the involvement of the appropriate policy and operational offices of all agencies. ***We recommended that agencies realign resources to accommodate the increasing ITDS***

workload and that the ITDS Board of Directors and OMB should take steps to ensure that agency participation is adequate and that ITDS Project Team resources are focused on the development of the ITDS IT infrastructure.

Result: The Import Safety Working Group recommendations and OMB mandates spurred participation in ITDS, but participation remains uneven.

Recommendation 2007-4: We recommended that agency legal offices (including CBP) engage in drafting MOUs so that work on these documents is accelerated.

Result: Initial progress has been made. MOUs were split into a Data MOU and an operational policy MOU in order to prevent policy/operations issues from delaying work on the data interchange system. Work on MOUs still needs to be done.

Recommendation 2007-5: We recommended acceleration of plans to add all import information currently reported electronically to CBP to the ACE "Data Warehouse" so that it could be accessed by agencies through the ACE Portal. The ISWG made the same recommendation and OMB directed CBP to proceed.

Results: CBP explored this action but decided not to proceed. CBP is considering making some data already collected available to some agencies through ACS, CBP's current processing system.

Recommendation 2007-6: We recommended Implementation of software to limit users to specified classes of data, in order to control access to data and to limit the expensive higher-level security clearances required for wide access to data.

Results: Access control software, or security filters, have not been implemented, and therefore, all agency personnel are required to obtain full background investigations in order to obtain access to the ACE Portal. The cost and time required to obtain these clearances have limited some agencies' use of ACE.

Recommendation 2007-7: We recommended accelerated implementation of World Customs Organization Data Model messages (international standard for customs reporting) in order to: Reduce costs for traders by promoting a single international format for communicating to replace each country's different electronic communication protocols, and facilitate exchange of data between authorities for enforcement cooperation and to extend our enforcement perimeter beyond our border. Implementation of the WCO Data Model is also an ISWG recommendation, an OMB mandate, and a requirement of the SAFE Port Act.

Result: No concrete steps have been taken to implement the WCO standard messages within ACE. CBP has taken steps to examine the cost of implementing WCO Data Model standards alongside the legacy standards currently being implemented in ACE, but this work has not been completed.

Recommendation 2007-8: We recommended that ITDS Agencies should determine which edits are critical for their purposes and provide timely input to the ACE development team.

Result: After review by the Commerce Department, the International Trade Commission, and the private sector, some edits originally scheduled to be dropped from production have been reinstated.

Recommendation 2007-9: *In 2007, we noted that some features to be used by ITDS agencies that were scheduled to be implemented had been delayed and recommended that ITDS Board of Directors be directly represented in bodies making decisions regarding the ACE schedule.*

Result: ITDS Chair participates in ACE Executive Steering Committee.

Recommendation 2007-10: *We recommended that the ITDS Board of Directors continue to closely track program expenditures to ensure charges lead directly to delivery of IT capabilities, and that those capabilities are delivered on schedule.*

Result: The ITDS Board of Directors is monitoring expenditures and delivery.

Recommendation 2007-11: *We recommended that agencies participating in ITDS ensure their capital planning and investment control processes incorporate plans for utilizing ITDS.*

Result: OMB instituted a tracking procedure of agency progress (since discontinued). The tracking exercise has focused attention on ITDS, and further coordination is underway between OMB, ITDS agencies, and CBP to enhance the effectiveness of each agency's implementation plan and milestones.



Import Forms to be Automated

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3	CBP	CEP 3299	Declaration of Free Entry of Unaccompanied Articles	N/A OMB No. 1651-0014	No	N/A	N/A	N/A	Yes	CBP CF 3299 is in DIS	N/A	Yes	N/A
4	AMS	AMS FV-237	Request for Inspection, Reinspection, Appeal Inspection	OMB No. 0581-0125	Yes	Yes	Yes	Yes	N/A	No	No	No	7 CFR part 51.7
5	AMS	AMS FV-356	Application for Inspection FV-356 (PPB)	OMB No. 0581-0234	Yes	Yes	Yes	Yes	No	PDF, TIFF	No	Yes	7 CFR 52.7 & 7 CFR 932.149, 944.401, 966.200, 968.300 7 CFR 969.1
6	AMS	AMS FV-6	Importers Exempt Commodity Form	OMB No. 0581-0167	Yes	Yes	Yes	Yes	No	N/A	No	Yes	944.350(d), 980.501(d) and 999.500(d)
	AMS				AMS verifies quantity declaration import request, confirms receipt at declared destination and final disposition of hatching eggs								
7	AMS	AMS PY-222	Import Request (Hatching Eggs)	OMB No. 0581-0113	Yes	Yes	Yes	No	Yes	PDF	Yes Verify Sequential Import Request Number	Yes	7 CFR 57
	AMS				AMS verifies quantity of table eggs declare on import request and import documents				Yes, in addition to foreign government certificate accompanying shipment		Yes Verify Sequential Import Request Number	Yes	7 CFR 57
8	AMS	AMS PY-222	Import Request Shell eggs - (Table Eggs)	OMB No. 0581-0113	Yes	Yes	Yes	No		PDF		Yes	7 CFR 57

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9	APHIS	APHIS 2000	Interstate Movement, Importation or Courtesy Permit	OMB No. 0579-0085	No	No	No	No	Yes	No	No	No	7 CFR
10	APHIS	APHIS and FSIS None	Foreign Meat Certificate		No	N/A	N/A	N/A	Yes (Already in DIS)	Yes (Already in DIS)			
11	APHIS	APHIS None	Veterinary Health Certificates and Manufacturer Statements (STATS) Manufacturer/Schipper's declaration that the product complies with permit restrictions	N/A	No	N/A	N/A	N/A	Yes	No	Yes	No	9 CFR 94.6c3 and others 95.20 and others and 122.2
12	APHIS	APHIS PPO-203	Foreign Site Certificate of Inspection and/or Treatment	OMB No. 0579-0159 and 0173	Yes - Permit No.	No	No	No	Yes (Already in DIS)	Yes (Already in DIS)	No	No	7 CFR part 305
13	APHIS	APHIS PPO-368	Notice of Arrival	OMB No. 0579-0049 and 0076	Yes - Permit No.	No	No	No	Yes (Already in DIS)	Yes (Already in DIS)	No	No	7 CFR 319.321, 322, & 325
14	APHIS	APHIS PPO-505	Lacey Act Data	OMB No. 0579-0349	Yes (being programmed in PGA MS)	Yes	Yes	Yes	No	N/A	No	No	7 CFR 16 U.S.C. 3372
15	APHIS	APHIS PPO-506B	Lacey Act Supplemental Form	OMB No. 0579-0349	Yes	Yes	Yes	Yes	No	N/A	No	No	7 CFR 16 U.S.C. 3372
16	APHIS	APHIS PPO-425B	Permit to Import Sol	OMB No. 0579-0054	Yes - Permit No.	No	N/A	No	Yes	No	No	No	7 CFR part 330
17	APHIS	APHIS PPO-526	Application for Permit to Move Live Plant Pests or Noxious Weeds	OMB No. 0579-0054 and 0213	Yes - Permit No.	No	N/A	No	Yes	No	No	No	7 CFR 330 & 360
18	APHIS	APHIS PPO-585	Application for Permit to Import Timber or Timber Products (SPDS)	OMB No. 0579-0043	Yes - Permit No.	No	N/A	No	Yes	No	No	No	7 CFR 319.40

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19	APHIS		Application to Transit Plants or Plant Products Through the U.S.	OMB No. 0579-0043	Yes - Permit No.	No	N/A	No	Yes (Already in DIS)	Yes (Already in DIS)	No	No	7 CFR 352
20	APHIS		Application for Permit to Import Plant or Plant Products	OMB No. 0579-0172	Yes - Permit No.	No	N/A	No	Yes (Already in DIS)	Yes (Already in DIS)	No	No	7 CFR 319.37 and 319.56
21	APHIS		Controlled Import Permit	OMB No. 0579-0115	Yes - Permit No.	No	N/A	No	Yes	No	No	No	7 CFR Part 340.
22	APHIS		Permit to Import Plant and Plant Products (PPQ597)		Yes - Permit No.	No	N/A	No	Yes	No	No	No	7 CFR 319.37 and 319.56
23	APHIS		General Permit to Engage in the Business of Importing, Exporting, or Re-Exporting Terrestrial Plants	OMB No. 0579-0076	Yes - Permit No.	No	N/A	No	Yes	No	No	No	50 CFR 17.12 and 23.23
24	APHIS		Foreign Phytosanitary Certificate (Varied numbers) (issued by country of origin)		No	N/A	N/A	N/A	Yes (Already in DIS)	Yes (Already in DIS)	Yes	No	7 CFR 97, 305, 319 and 353
25	APHIS		Foreign Sanitary Health Certificates	N/A	No	N/A	N/A	N/A	Yes (Already in DIS)	Yes (Already in DIS)	Yes	No	9 CFR 95.4(c)7, 96.2(a)3 and others
26	APHIS		Meat Inspection Certificate	N/A	No	N/A	N/A	N/A	Yes	No	Yes	No	9 CFR 94.2(d)1 and others
27	APHIS		Owner/Shipper Certificate - Fitness to Travel to a Slaughter Facility	OMB No. 0579-0160	No	N/A	N/A	N/A	Yes	No	Yes	No	9 CFR 88
28	APHIS		U. S. Veterinary Permit for Importation & Transportation of Controlled Materials and Organisms and Vectors	OMB No. 0579-0015 and 0094	Yes - Permit No.	No	N/A	No	Yes	No	Yes	No	9 CFR 94.6(c)3 and others, 95.20 and 122.2

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29	APHIS	APHIS VS17-135	U.S. Permit to Import (Includes Transit)		OMB No. 0579-0040 Yes - Permit No. 0324	No	N/A	No	Yes	No	Yes	No	9 CFR 93.404, 93.204 and various other sections	
30	APHIS	APHIS VS17-135A	U.S. Permit to Transit Poultry, Pigeons, Hatching Eggs or Birds		OMB No. 0579-0040 Yes - Permit No.	No	N/A	No	Yes	No	Yes	No	9 CFR 93.204, 93.103	
31	APHIS	APHIS VS17-29	Declaration of Importation (required to accompany animal)		Omb No. 0579-0040 and 0324	No	N/A	N/A	Yes	No	Yes	No	9 CFR 93.407 and others	
32	APHIS	APHIS VS17-32	Application for Inspection and Dipping		Omb No. 0579-0040 and 0324	No	N/A	N/A	Yes	No	Yes	No	9 CFR 93.424, 93.327-93.428	
33	APHIS	APHIS VS17-3	Agreement of Pet Bird Owner (U.S. origin returning)		Omb No. 0579-0040 Yes - Permit No.	No	N/A	No	Yes	No	Yes	No	9 CFR 93.101,c.3 E.2 and others	
34	APHIS	APHIS 2005	U .S Veterinary Biological Product Permit		N/A	Yes - Permit No.	N/A	No	Yes	No	No	No	9 CFR 104	
35	APHIS	Validation Documentation	All Documents required to determine entry suitability.(bills, packing lists, invoices, etc)		Omb No. 0579-0046, 0579-0076	No	N/A	N/A	Yes	No	Yes	No	7 CFR 301.32, 319.37-11	
36	ATF	ATF 2 (5320.2)	Notice of Firearms Manufactured or Imported		Omb No. 1140-0012	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Title 27, CFR Part 479.112	
37	ATF		Release and Receipt of Imported Firearms, Ammunition and Implements of War		Omb No. 1140-0005	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	27 CFR 478.112(c)(1);27 CFR 478.113(c)(1);27 CFR 478.113(a)c(1)27 CFR 478.114(d)(1)	

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38	ATF	ATF 6 Part I (4530.3A)	Application and Permit for Importation of Firearms, Ammunition and Implements of War	OMB No. 1140-0007	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	27 CFR 478.112, 27 CFR 478.113, 27 CFR 478.113a
39	ATF	ATF 6 Part II (4530.3B)	Application and Permit for Importation of Firearms, Ammunition and Implements of War	OMB No. 1140-0006	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	27 CFR 478.114
40	ATF	ATF 6 NIA(4530.3C)	Application/Permit for Importation of Firearms, and Ammunition by nonimmigrant Alien	OMB No. 1140-0084	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	27 CFR 478
41	CDC	CDC Form 0.0728	Permit to Import or Transfer Etiologic Agents or Vectors of Human Disease	None. OMB No. for application-not permit.	Yes	Yes	Yes	No	Yes (Already in DIS)	Yes (Already in DIS)	No	Yes	42CFR71 Subpart F
42	CDC	CDC Letters of Permission (unnumbered permit)	Permits to Import African rodents, civets or turtles	Not required due to small numbers issued	Yes	No	Yes	No	Yes (Already in DIS)	Yes (Already in DIS)	No	Yes	42CFR71 Subpart F
43	CDC	CDC Form 75.37	Notice to Owners and Importers of Dogs- completed for dogs not arriving with a valid rabies vaccine	OMB No. 0920-0134	Yes	No	Yes	No	Yes	Yes	No	No	42CFR71 Subpart F
44	DCMA	Certificate of Duty Free Entry	Certificate allows for duty free entry of certain Government contracted shipments						Yes (Already in DIS)	Yes (Already in DIS)			
45	DDTC	DSP-61	Application/License for Temporary Import of Unclassified Defense Articles	Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined
46	DDTC	DSP-73	Application/License for Temporary Export of Unclassified Defense Articles (Must be presented for reimportation)	Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined

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2			Application/License for Permanent/Temporary Export or Temporary Import of Classified Defense Articles and Classified Technical Data										
47	DDTC	DSP-65		Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined
49	DEA	DEA Form-486 (Import / Export Declaration for List I and List II Chemicals)	To export any List I or List II chemical	OMB No. 1117-0023	Yes	Yes	No	No	No	N/A	No	Currently Undetermined	21 CFR § 1313.23 (c)
50	DEA	DEA Form 486A	Improve Declaration for Ephedrine, Pseudoephedrine, and Phenylpropandamine	OMB No. 1117-0023	Yes	Yes	Yes	No	No	N/A	No	Currently Undetermined	
51	EPA	EPA 3520-1	(CAA, motor vehicles) Certificate of Conformity, EPA Declaration	OMB No. 2060-0085	Yes	Yes	Yes	Yes	No	Yes (Provisionally in DIS)	No	No	40 C.F.R. §§5.1501 et seq., §§9.601 et seq., §§9.601 et seq., §§9.703 et seq., §§9.803 et seq., §§9.803 et seq., §§9.803 et seq., and 19 C.F.R. §§12.73 and 12.74.

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2	EPA												40 C.F.R. §§5.1501 et seq., §§9.601 et seq., §§90.601 et seq., §§1.703 et seq., §§2.803 et seq., §§4.803 et seq., §1068.301 et seq., and 19 C.F.R. §§12.73 and 12.74.
52		EPA 3520-21	(CAA, non road vehicles) Certificate of Conformity, EPA Declaration Form 3520-21	OMB No. 2060-032	Yes	Yes	Yes	Yes	Yes	Yes (Provisionally in DIS)	No	No	
53	EPA	EPA None	Pesticide Label	See see agency comments	Yes	No	No	Yes	Yes	Yes (Already in DIS)	No	Yes	19 C.F.R. §§12.110 – 12.117
54	EPA	EPA 3540-1	(Pesticides) NOA (Notice of Arrival)	OMB No. 2070-0020	Yes	Yes	Yes	Yes	No	Yes (Provisionally in DIS)	No	Yes	19 C.F.R. §§12.110 – 12.117
55	EPA	EPA None	(TSCA) Import Certification	The certification does not constitute an information collection under the PRA	Yes	N/A	Yes	Yes	Yes	Yes (Provisionally in DIS)	No	Yes	19 C.F.R. § 12.116 – 12.127 and § 127.28

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56	EPA	EPA None	Exemption/Exclusion Letter for Engines	OMB No. 2060-0032	Yes	N/A	Yes	Yes	Yes	Yes (Already in DIS)	No	No	40 C.F.R. §§5.1501 et seq., §§9.601 et seq., §§9.601 et seq., §§9.703 et seq., §§2.003 et seq., §§4.803 et seq., §1068.301 et seq., and 19 C.F.R.
57	EPA	EPA None	(CAA) Import of Ozone Depleting Substances (ODS)	OMB No. 2060-0170, 2060-0498, and 2060-0482	Yes	N/A	Yes	Yes	No	N/A	No	No	40 C.F.R. Part 82 Subpart A
58	FAS	FAS 951	Sugar Quota Certificate	OMB No. 0551-0014	Yes- Certificate number collected on Entry Form	Yes	Yes	No	No	N/A	No	No	15 CFR 2011
59	FAS	None	Specialty Sugar Certificate	OMB No. 0551-0025	Yes- Certificate number collected on Entry Form	Yes	Yes	No	No	N/A	No	No	15 CFR 2011
60	FAS	None	Dairy and Sugar Import Licenses	OMB No. 0551-0001	Yes- Ag License Number collected on Entry Form	Yes	Yes	No	No	N/A	No	No	Dairy 7 CFR Part 6 ; Sugar 7 CFR Part 1530
61	FCC	FCC 740	Statement regarding the importation of the radio frequency device capable of causing harmful interference	OMB No. 3000-0059	Yes	Already collected electronically by CBP			No	N/A	No	No	
62	FSIS	FSIS 5010-1	Application For The Return Of Exported Products to the United States	OMB No. 0583-0138	No	No	No	No	Yes	Yes (Already in DIS)	No	No	9 CFR 327.17

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63	F/SIS	FSIS 9540-1	Import Inspection Application and Report	OMB No. 0583-0084	Yes	Yes	Yes	Yes	No	N/A	No	Yes	9 CFR 327.5
64	F/SIS	FSIS 9540-4	Permit for the Importation of Undenatured Inedible Meat or Poultry Product	OMB No. 0583-0083	No	No	No	No	Yes	Yes (Already in DIS)	No	No	9 CFR 325.11(e)
65	F/SIS	FSIS 9540-5	Application for samples	0583-0094	No	No	No	No	Yes	Yes (Already in DIS)	No	No	9 CFR 327.11
66	F/SIS	FSIS None	Foreign Health Certificate	Not a form. No OMB number required	Yes	Yes	Yes	Yes	Yes	Yes (Already in DIS)	No	No	9 CFR 327.4; 381.197; 590.915
67	E&C	E&C Foreign Government export licenses and certificates	Required pursuant to the various suspension agreements and bilateral agreements. CBP is instructed to deny entry to material not accompanied by the original stamped export license and certificate	NA	No	NA	NA	NA	Yes	No	No	Potentially	19 CFR 351.208
68	E&C	E&C Reimbursement certificates	Certificate stating that the importer has not been reimbursed by the exporter or manufacturer for the amount of the AD or CVD duties	NA	Yes	No	No	No	No	No	No	Potentially	19 CFR 351.402(h)(2)
69	E&C	E&C Country of Origin/Producer Certificates; IA Anticircumvention Certs.	Certificate identifying the country of origin of the merchandise (or component thereof) and/or identifying the producer of the merchandise in question.	NA	No	NA	NA	NA	Yes	No	No	(Undetermined)	19 CFR 351.208 and 19 CFR 351.225;

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2	E&C		Other Suspension Agreement Certifications (e.g. US Processing and Re-export)										19 CFR 351.208 These are filed in multiple AD/CVD proceeding segments, as determined and directed pursuant to bilateral agreements.
70	E&C		Certificate identifying that merchandise is being imported for processing and re-export within a certain period.	NA	No	N/A	N/A	N/A	Yes	No	No	Undetermined	Section 484 of Tariff Act of 1930, as amended
71	E&C		Certificate required for imports of Lumber that originate in Canada.	NA	No	NA	NA	NA	Yes	No	No	Undetermined	
72	E&C		Importers who are registered with IATA to import steel receive a unique ID to be filed with individual shipments	OMB No. 0325-0245	Yes	No	No	No	No	NA	No	No	19 CFR 300
73	OTEXA		Textile Visa issued by Foreign Government	NA	No	NA	NA	NA	Yes	No	No	Yes	Public Law 106-200, 107-210, 108-274, 109-432, 110-436, 112-183, CBTFA; Public Law 105-200, 107-210, 108-429, 109-432, 110-246

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1													
2	OTEXA												Public Law 106-200 (3/19/00), 107-210 (8/6/02), 108-249 (6/25/04), 109-280 (8/17/06), 110-460 (12/23/08); 15 C.F.R. 335
74	OTEXA	OTEXA Wood TRQ License	Wood Tariff Rate Quota license (decree/menting)	OMB No. 0625-0240	No	NA	NA	NA	Yes	No	No	No	
75	OTEXA	OTEXA Dominican Republic Earned Import Allowance Program	Similar to Wood TRQ	NA	No	NA	NA	NA	Yes	No	No	No	Public Law 109-53 (8/30/2005) and 110-436 (10/16/2008)
76	OTEXA	OTEXA Haiti Earned Import Allowance Program	Similar to Wood TRQ	NA	No	NA	NA	NA	Yes	No	No	No	Public Law 110-246 (6/19/08) and 111-171 (5/24/10)
77	E&C	ITA-340P	Permit to enter watches and watch movements into the customs territory of United States	OMB No. 0625-0134	No	NA	NA	NA	Yes	No	No	Yes	15 CFR 303, P.L. 97-446, as amended by P.L. 103-465
78	E&C	ITA-338P	Confirmation that import will be used in accordance with guidelines under the Florence Agreement	OMB No. 0625-0037	No	NA	NA	NA	Yes	No	No	Yes	19 CFR 301.1-10
79	IRS	IRS Form 2250 and Schedule 1	Proof of payment Schedule 1 of Form 2250 - Heavy Highway Vehicle Use Tax Return for foreign truck operator (VIN database). (Domestic truck operators show proof of payment to obtain tags.)	OMB No. 1545-0413	N/A	N/A	N/A	N/A	Yes	No	Yes	No	25 CFR 41.6001-3

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80	NHTSA	NHTSA HS-474	Bond to Ensure Conformance with motor vehicle safety and bumper standards	OMB No. 2127-0002	Yes - DIS Indicator	Yes	Yes	No	Yes	No	No	No	49 CFR 591.6(c)
81	NHTSA	NHTSA HS-7	Declaration Form	OMB No. 2127-0002	Yes	Yes	Yes	N/A	No	No	No	No	49 CFR 591.5
82	NHTSA	Box 7 Sponsoring Statement	Statement describing use for vehicle or equipment if imported by manufacturer without NHTSA permission letter	OMB No. 2127-0002	Yes - Box No., DIS indicator	N/A	Yes	No	Yes	No	No	No	49 CFR 591.6(f)(3)
83	NHTSA	Box 7 Permission Letter	Letter from NHTSA permitting import	OMB No. 2127-0002	Yes - Box No., Letter No.	N/A	Yes	N/A	No	No	No	No	49 CFR 591.6(f)(2)
84	NHTSA	Box 8 Sponsoring Statement	Statement substantiating that the vehicle was not manufactured for on-road use or the equipment is not motor vehicle equipment	OMB No. 2127-0002	Yes - Box No., DIS indicator	N/A	Yes	N/A	No	No	No	No	49 CFR 591.6(a)(1)
85	NHTSA	Box 6 Copy of Official Orders	Official Orders for tour of duty in United States	OMB No. 2127-0002	Yes - Box No., DIS indicator	N/A	Yes	N/A	Yes	No	No	No	49 CFR 591.6(e)
86	NHTSA	Box 12 Copy of Official Orders	Official Orders for tour of duty in United States	OMB No. 2127-0002	Yes - Box No., DIS indicator	N/A	Yes	N/A	Yes	No	No	No	49 CFR 591.6(e)
87	NHTSA	Box 9 Incomplete Vehicle Document	Manufacturer's instruction on how to complete vehicle to comply with safety standards	OMB No. 2127-0002	Yes - Box No., DIS indicator	N/A	N/A	N/A	No	No	No	No	49 CFR 591.6(b)
88	NHTSA	Box 10 Permission Letter	Letter from NHTSA permitting import	OMB No. 2127-0002	Yes - Box No., Letter No.	N/A	Yes	N/A	No	No	No	No	49 CFR 591.6(f)(2)

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89	NHTSA	Box 13 Permission Letter	Letter from NHTSA permitting import	OMB No. 2127-0002	Yes - Box No., Letter No.	N/A	Yes	N/A	No	No	No	No	49 CFR 591.6(g)(1)
90	NHTSA	Box 1 Date of Manufacture	Vehicle's date of manufacture	OMB No. 2127-0002	Yes	N/A	Yes	N/A	No	No	No	No	49 CFR 591.5(i)(1)
91	NHTSA	Box 5 Passport Information	Importer's passport number and country of issuance	OMB No. 2127-0002	Yes	N/A	Yes	N/A	No	No	No	No	49 CFR 591.5(d)(4)
92	NHTSA	Box 6 Name of Embassy	Name of Embassy to which importer is assigned, when applicable	OMB No. 2127-0002	Yes	N/A	Yes	N/A	No	No	No	No	49 CFR 591.6(e)
	NMFS												Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; Tuna Conventions Act of 1950, 16 U.S.C. 951 et seq.; 50 CFR 300.182(a)
93		NMFS None	Highly Migratory Species International Trade Permit	[OMB No. 0548-0327 EXP 07-31-2015]	Yes	N/A	Yes	No	No	N/A	No	Yes	50 CFR 300.184(b); 50 CFR 300.184(c)
94	NMFS	NMFS None	CCSBT Catch Monitoring Form	OMB No. 0648-0040 Expires 1/31/2014	Yes	No	Yes	No	Yes	No	No	Yes	50 CFR 300.184(b); 50 CFR 300.185(c)
95	NMFS		CCSBT Re-export/import after Landing of Domestic Product	OMB No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	50 CFR 300.184(b); 50 CFR 300.185(c)

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96	NMFS	NMFS None	IATTC Bigeye Tuna Statistical Document	OME No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(b)(2)
97	NMFS		IATTC Bigeye Tuna Re-export Certificate	OME No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	Tuna Conventions Act of 1950, 16 U.S.C. 951 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(c)
98	NMFS	NMFS None	ICCAT Bigeye Tuna Statistical Document	OME No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	Tuna Conventions Act of 1950, 16 U.S.C. 951 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(b)(2)
99	NMFS		ICCAT Bigeye Tuna Re-export Certificate	OME No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(c)

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2	NMFS												Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50 CFR 300.185(c)
100	NMFS	NMFS None	ICCAT Bluefin Tuna Re-Export Certificate	OME No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	
101	NMFS		ICCAT Bluefin Tuna Catch Document	OME No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50 CFR 300.185(a)(2)
102	NMFS		US Bluefin Tuna Catch Document	OME No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.
103	NMFS	NMFS None	ICCAT Swordfish Statistical Document	OME No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50 CFR 300.185(a)(2)

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104	NMFS		ICCAT Swordfish Re-export Certificate	OMB No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(d); 50 CFR 300.185(c)
105	NMFS	NMFS None	IOTC Bigeye Tuna Statistical Document	OMB No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	50 CFR 300.184(c); 50 CFR 300.185(a)(2)
106	NMFS		IOTC Bigeye Tuna Re-export Certificate	OMB No. 0648-00040	Yes	No	Yes	No	Yes	No	No	Yes	50 CFR 300.184(c); 50 CFR 300.185(c)
107	NMFS	NMFS None	AMLR Dealer Permit	OMB No. 0648-0194	Yes	No	Yes	No	No	No	No	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(c)(6) and (7)

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2	NMFS												Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(c)(6) and (7)
108	NMFS	NMFS None	Dissostichus Catch Document - CCAMLR	OME No. 0648-0194	Yes	No	Yes	No	Yes	No	No	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(c)(6) and (7)
109	NMFS		Dissostichus Re-export document	OME No. 0648-0194	Yes	No	Yes	No	Yes	No	No	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(c)(6) and (7)
110	NMFS		Reporting form for Catch Documents Accompanying Fresh, Air-shipped shipments of toothfish	OME No. 0648-0194	Yes	No	Yes	No	Yes	No	No	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(c)(6) and (7)

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111	NMFS	NMFS Toothfish Pre-Approval	Toothfish Import Approval Form (also called -Pre-Approval of Catch Documents of Toothfish)	OMB No. 0648-0194	Yes	Yes	Yes	No	Yes	Yes	No	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(g)(6) and (7)
112	NMFS	NOAA 370	Fisheries Certificate of Origin (NOAA Form 370)	OMB No. 0648-0335	Yes	Yes	Yes	No	Yes	Yes	No	Yes	50 CFR Part 216.24(f)
113	NMFS	None	IDGP Member Nation Certification	Associated with OMB No. approval 068-00335	No	No	No	No	Yes	No	No	Yes	50 CFR Part 216.24(f)
114	NMFS	N one	Captain's statement	Associated with OMB No. approval 068-00335	No	No	No	No	Yes	No	No	Yes	50 CFR Part 216.24(f)
115	NMFS	None	Observer's statement	Associated with OMB No. approval 068-00335	No	No	No	No	Yes	No	No	Yes	50 CFR Part 216.24(f)
116	NRC	NRC FORM 250	Import License for Nuclear Material						Yes	No	No	Yes	50 CFR Part 216.24(f)
117	TB	TTB FS100.11	Notice of Release of Tobacco Products	OMB No. 1513.0025	Yes	No	N/A	N/A	No	No	No	Yes	27 CFR 41.86
118	TB	TTB F 5100.31	Application For And Certification/Exemption Of Label/Bottle Approval CBP Action?	OMB No. 1513-0020	Cois No.	No	Yes	No	No	N/A	No	Yes	27 CFR 4.40, 5.51, 7.31

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2						No	N/A	N/A	N/A	Yes	No	No	Yes	27 CFR 4.45, 5.52, 4.46, 5.53
19	TTB	Foreign Forms	Certificate of Identity/Origin											



Export Forms to be Automated

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1													
2	AMS		Export Form Certificate that certifies that a particular lot meets the requirements of the Export Apple Act and regulations. It's a certificate of inspection for Canadian destinations.	OMB Collection Number									
3	AMS	FV-205	Export Form Certificate that certifies that a particular lot meets the requirements of the Export Apple Act and regulations. It's a certificate of inspection for Canadian destinations.	N/A, Inspection Form completed by the Government	Yes	No	Pending	No	Yes	PDF	No	Yes	7 CFR 33 and 7 CFR 35
4	AMS	FV-205-1	Export Form Certificate that certifies that a particular lot meets the requirements of the Export Apple Act and regulations. It's a certificate of inspection for Canadian destinations.	N/A, Inspection Form completed by the Government	Yes	No	Pending	No	Yes	PDF	No	Yes	7 CFR 33 and 7 CFR 35
5	AMS	FV-207	Export Form Certificate that certifies that a particular lot meets the requirements of the Export Apple Act and Plum Act. It's a certificate of inspection for non-Canadian destinations.	N/A, Inspection Form completed by the Government	Yes	No	Pending	No	Yes	PDF	No	Yes	7 CFR 33 and 7 CFR 35
6	AMS	FV-207-1	Export Form Certificate that certifies that a particular lot meets the requirements of the Export Apple Act and Plum Act. It's a certificate of inspection for non-Canadian destinations.	N/A, Inspection Form completed by the Government	Yes	No	Pending	No	Yes	PDF	No	Yes	7 CFR 33 and 7 CFR 35

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2	AMS		Export Form Certificate that certifies that a particular lot meets the requirements of the Export Grape and Plum Act and Export Apple Act. It's a certificate of inspection for Canadian destinations.	OMB Collection Form completed by the Government	Yes	No	Pending	No	Yes	PDF	No	Yes	7 CFR 33 and 7 CFR 35
7		C-000-0174-00008	Export Form Certificate that certifies that a particular lot meets the requirements of the Export Grape and Plum Act and Export Apple Act. It's a certificate of inspection for non-Canadian destinations.	N/A. Inspection Form completed by the Government	Yes	No	Pending	No	Yes	PDF	No	Yes	7 CFR 33 and 7 CFR 35
8	AMS	X-000-0174-00003	Export Form Certificate that certifies that a particular lot meets the requirements of the Export Grape and Plum Act and Export Apple Act. It's a certificate of inspection for non-Canadian destinations.	N/A. Inspection Form completed by the Government	Yes	No	Pending	No	Yes	PDF	No	Yes	7 CFR 33 and 7 CFR 35
9	ATF	ATF Form 9 (5320.9)	Currently undetermined	OMB No. 1512-0020	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Title 27, CFR Part 479.114
10	DDTC	DSP-5	Dept. of State Permanent Export License	Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	
11	DDTC	DS-61	Dept. of State Temporary Import License	Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	
12	DDTC	DSP-73	Dept. of State Temporary Export License	Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	
13	DDTC	DSP-85	Dept. of State Classified Export License	Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	

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14	DDTC	DSP-6	Amendment to the DSP-5 License	Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	
15	DDTC	DSP-62	Amendment to the DSP-61 License	Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	
16	DDTC	DSP-74	Amendment to the DSP-73 License	Not Provided	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined	Currently Undetermined		Currently Undetermined	Currently Undetermined	
17	DEA	DEA Form-236 (Controlled Substances Import / Export Declaration)	To export any non-narcotic controlled substance in Schedule III or IV or any controlled substance in Schedule V	OMB No. 1117-0009	Yes	No	No	No	No	No	No	Currently Undetermined	21 CFR § 1312.28 (c)
18	DEA	DEA Form-36 (Permit to Export Controlled Substances)	Permit to export any controlled substance in Schedule I or II or any narcotic controlled substance in Schedule III	Not Provided	Yes	No	No	No	No	No	No	Currently Undetermined	Not Provided
19	DEA	DEA Form-486 (Import / Export Declaration for List I and List II Chemicals)	To export any List I or List II chemical	OMB No. 1117-0023	Yes	No	No	No	No	No	No	Currently Undetermined	21 CFR § 1313.23 (c)
20	EPA	EPA Form 8700-22	Uniform Hazardous Waste Manifest (RCRA Manifest)	Approval for manifest form is 2050-0039, approval for requirement to give copy of manifest to Customs is 2050-0035	Manifest number, UN/DOT ID	Yes	N/A	Yes	No	No	No	Yes	RCRA Subtitle C, 40 CFR sections 262,265

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EPA	Acknowledgement of Consent (AOC) Letter (no form number)	Letter from EPA to Primary exporter of the hazardous waste documenting the receiving country's consent	Approval for exporter requirement to give copy of AOC to transporter is 2050-0035, approval for transporter requirement to keep AOC with export shipment is 2050-0039	AOC number only	Yes	N/A	Yes	No	No	No	Yes	RCRA Subtitle C, 40 CFR sections 262-265
EPA	EPA Form 8700-22	Uniform Hazardous Waste Manifest (RCRA Manifest)	Approval for manifest form is 2050-0039, approval for requirement to give copy of manifest to Customs is 2050-0035	Manifest number, UN/DOT ID	No	N/A	Not yet	No	No	No	Yes	RCRA Subtitle C, 40 CFR sections 262-265
FSIS	FSIS Form 9060-5	Meat and Poultry Export Certificate of Wholesomeness	No OMB number required NOTE: FSIS Form 9060-6 is the application for an export certificate (OMB No. 0583-0094)	No	No	No	TBD	Yes	No	Yes	Yes	9 CFR Part 322 (322.2)
FSIS		Animal Casings Export Certificate for Countries Requiring Ante-Mortem, Post-Mortem and Fit for Human Food Statement	No OMB No. required	No								
FSIS	FSIS 9060-7	Animal Casings Export Certificate for Countries Requiring Ante-Mortem, Post-Mortem and Sound and Clean Statement	No OMB No. required	No	No	No	TBD	Yes	No	No	Yes	9 CFR Part 322 (322.2)
FSIS	FSIS 9060-18		No OMB No. required	No	No	No	TBD	Yes	No	No	Yes	9 CFR Part 322 (322.2)

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2	FSIS	FSIS Form 9135-3 (used in rule-of FSIS Form)	Certificate for Export of Meat and Poultry (Canada)	No OMB No. required	No	No	No	TBD	Yes	No		Yes	9 CFR Part 322 (322.2)
26					No declaration is already collected electronically through FWS filing system (eDecs)								
27	FWS		Declaration for the Importation and Exportation of Fish or Wildlife	OMB No. 1018-0012 Expiration 04/30/2016	No	No	No	N/A	No	N/A	No	No	50 CFR § 14.63
	NMFS		CCSBT Catch Monitoring Form -Certificate required by treaty/convention for regional fisheries management organization (RFMO)	(pending OMB action - replaces CCSBT forms via OMB No. 0648-0040)	Yes - (limited-unique - specific document number)	No	Yes	No	Yes	No	No	Yes	50 CFR 300.184(d); 50 CFR
28		None											
	NMFS		CCSBT Re-Export/Export After Landing of Domestic Product - Certificate required by treaty/convention for regional fisheries management organization (RFMO)	(pending OMB action - replaces CCSBT forms via OMB No. 0648-0040)	Yes - (limited-unique - specific document number)	No	Yes	No	Yes	No	No	Yes	50 CFR 300.184(d); 50 CFR
29		None											
	NMFS		IATTC Bigeye Statistical Document - Certificate required by treaty/convention for regional fisheries management organization (RFMO)	OMB No. 0648-0040	Yes - (limited-unique - specific document number)	No	Yes	No	Yes	No	No	Yes	50 CFR 300.184(d); 50 CFR
30		None											
	NMFS		IATTC Bigeye Tuna Re-Export Certificate - Certificate required by treaty/convention for regional fisheries management organization (RFMO)	OMB No. 0648-0040	Yes - (limited-unique specific document number)	No	Yes	No	Yes	No	No	Yes	Tuna Conventions Act of 1950, 16 U.S.C. 951 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(d)
31		None											
	NMFS		IATTC Bigeye Tuna Re-Export Certificate - Certificate required by treaty/convention for regional fisheries management organization (RFMO)	OMB No. 0648-0040	Yes - (limited-unique specific document number)	No	Yes	No	Yes	No	No	Yes	Tuna Conventions Act of 1950, 16 U.S.C. 951 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(d)

Export Forms to Be Automated Through ITDS

A	B	C	D	E	F	G	H	I	J	K	L	M
				Task Completed				Red	Uncompleted			
Agency	Form Number	Form Name/Description	OMB Collection Number	Data from Form to be Collected Using AES	Agency has Translated Paper Forms into Draft Message Set Record	Agency has Provided Reporting Codes for Data to be Collected	Developed Electronic Reporting Guidance for the Public	This Form to be Collected Using the Document Image System	Image Registered for DIS	Data from Form to be Collected as part of the Export Manifest Filing	Are Regulatory Changes Required to Collect this Information Electronically?	CFR Citation for Applicable Regulations
		ICCAT Bigeye Tuna Statistical Document - Certificate required by treaty/convention for regional fisheries management organization (RFMO)		Yes - (limited-unique-specific document number)	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(e)(2)
32	None	ICCAT Bigeye Tuna Re-export Certificate - Certificate required by treaty/convention for regional fisheries management organization (RFMO)	OMB No. 0648-0040	Yes - (limited-unique-specific document number)	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(e)(2)
33	None	ICCAT Bluefin Tuna Re-export Certificate	OMB No. 0648-0040	Yes - (limited-unique-specific document number)	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(e)(2)
34	None	ICCAT Bluefin Tuna Catch Document (Certificate required by treaty/convention for regional fisheries management organization) (RFMO)	OMB No. 0648-0040	Yes - (limited-unique-specific document number)	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(e)(2)
35	None	US Bluefin Tuna Catch Document - US version of Certificate required by treaty/convention for regional fisheries management organization (RFMO)	OMB No. 0648-0040	Yes - (limited-unique-specific document number)	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(e)(2)
36	None	ICCAT Swordfish Statistical Document - Certificate required by treaty/convention for regional fisheries management organization (RFMO)	OMB No. 0648-0040	Yes - (limited-unique-specific document number)	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.
37	None	ICCAT Swordfish Statistical Document - Certificate required by treaty/convention for regional fisheries management organization (RFMO)	OMB No. 0648-0040	Yes - (limited-unique-specific document number)	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(d); 50 CFR 300.185(e)(2)

Export Forms to Be Automated Through ITDS

	A	B	C	D	E	F	G	H	I	J	K	L	M
	Task Completed												
	Uncompleted												
	Agency	Form Number	Form Name/Description	OMB Collection Number	Data from Form to be Collected Using AES	Agency has Translated Paper Forms into Draft Message Set Record	Agency has Provided Reporting Codes for Data to be Collected	Developed Electronic Reporting Guidance	This Form to be Collected Using the Document Image System	Image Registered for DIS	Data from Form to be Collected as part of the Export Manifest Filing	Are Regulatory Changes Required to Collect this Information Electronically ?	CFR Citation for Applicable Regulations
1	NMFS		ICCART Swordfish Re-export Certificate - Certificate required by treaty/convention for regional fisheries management organization (RFMO)		Yes - (limited-unique - specific document number)	No	Yes	No	Yes	No	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(d); 50 CFR 300.185(a)(2)
2		None		OMB No. 0648-0040									
38	NMFS		IOTC Bigeye Tuna Statistical Document - Certificate required by treaty/convention for regional fisheries management organization (RFMO)		Yes - (limited-unique - specific document number)	No	Yes	No	Yes	No	No	Yes	50 CFR 300.184(c); 50 CFR 300.185(a)(2)
39		None		OMB No. 0648-0040									
40	NMFS		IOTC Bigeye Tuna Re-export Certificate- Certificate required by treaty/convention for regional fisheries management organization (RFMO)		Yes - (limited-unique - specific document number)	No	Yes	No	Yes	No	No	Yes	50 CFR 300.184(c); 50 CFR 300.185(a)(2)
40		None		OMB No. 0648-0040									
41	NMFS		AMLR Dealer Permit -US Permit required by NMFS for international trade to assure compliance with international convention.		Yes - Permit No.	No	Yes	No	Yes	No	No	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(c)(6) and (7)
41		None		OMB No. 0648-0194									
42	NMFS		Dissostichus Catch Document - CCAMLR - Certificate required by treaty/convention for regional fisheries management organization (RFMO)		Yes - (limited-unique - specific document number)	No	Yes	No	Yes	No	No	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(c)(6) and (7)
42		None		OMB No. 0648-0194									

Export Forms to Be Automated Through ITDS

A	B	C	D	E	F	G	H	I	J	K	L	M
				Task Completed				Red	Uncompleted			
Agency	Form Number	Form Name/Description	OMB Collection Number	Data from Form to be Collected Using AES	Agency has Translated Paper Forms into Draft Message Set Record	Agency has Provided Reporting Codes for Data to be Collected	Developed Electronic Reporting Guidance for Public the Public	This Form to be Collected Using the Document Image System	Image Registered for DIS	Data from Form to be Collected as part of the Export Manifest Filing	Are Regulatory Changes Required to Collect this Information Electronically?	CFR Citation for Applicable Regulations
1												
2		Reporting form for Catch Documents Accompanying Fresh, Air-shipped shipments of toothfish. - Certificate required by treaty/convention for regional fisheries management organization (RFMO)	OMB No. 0648-0194	Yes - (limited-unique - specific document number)	No	Yes	No	Yes	No	No	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(c)(6) and (7)
43	NMFS	Disostichus Re-export Document - Certificate required by treaty/convention for regional fisheries management organization (RFMO)	OMB No. 0648-0194	Yes - (limited-unique - specific document number)	No	Yes	No	Yes	No	No	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq.; 50 CFR 300.107(c)(6) and (7)
44	NMFS	Highly Migratory Species International Trade Permit	OMB No. 0648-0327 EXP 07-31-2015	Yes - Permit No.	No	Yes	No	No-only the number	N/A	No	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; Tuna Conventions Act of 1950, 16 U.S.C. 951 et seq.; 50 CFR 300.182(e)
45	TTB	Withdrawal of Spirits, Specially Distilled, Spirits, or Wines for Exportation	OMB No. 1512-0037	Yes	No	No	No	No	No	No	Yes	
46	TTB	Claim for Drawback of Tax on Tobacco Products, Cigarette Papers and Cigarette Tubes										
47	TTB	Taxable Without Articles Payment of Tax	OMB No. 1513-0026	Yes	No	N/A	No	No	No	No	Yes	27 CFR 44-221-252
48	TTB	Shipper's Export Declaration for Intransit Goods	OMB No. 1513-0027	Yes	No	N/A	No	No	No	No	Yes	27 CFR 44-203-205
49	USACE	Shipper's Export Declaration for Intransit Goods	OMB No. 0710-0013	Only if not captured through Manifest	No	Yes	No	No	No	Yes	No	33 CFR 207.800



Appendices



APPENDICES

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APPENDIX A.1: LIST OF AGENCIES – ALPHABETICAL BY DEPARTMENT

ITDS Agencies		
	Department or Independent Agency	Agency/Acronym
1	Agriculture	AMS, Agricultural Marketing Service
2	Agriculture	APHIS, Animal and Plant Health Inspection Service
3	Agriculture	FAS, Foreign Agricultural Service
4	Agriculture	FSIS, Food Safety and Inspection Service
5	Agriculture	GIPSA, Grain Inspection, Packers and Stockyards Administration
6	Commerce	BIS, Bureau of Industry and Security
7	Commerce	Census, Bureau of the Census
8	Commerce	E&C, Enforcement and Compliance (formerly Import Administration)
9	Commerce	FTZB, Foreign Trade Zones Board
10	Commerce	NMFS, National Marine Fisheries Service
11	Commerce	OTEXA, Office of Textiles and Apparel
12	Defense	USACE, U.S. Army Corps of Engineers
13	Defense	DCMA, Defense Contracts Management Agency
14	Energy	EIA, Energy Information Administration
15	Energy	OFE, Office of Fossil Energy
16	Energy	OGC, Office of General Counsel
17	Interior	FWS, U.S. Fish and Wildlife Service
18	Justice	ATF, Bureau of Alcohol, Tobacco, Firearms, and Explosives
19	Justice	DEA, Drug Enforcement Administration
20	Labor	BLS, Bureau of Labor Statistics
21	Health and Human Services	CDC, Centers for Disease Control and Prevention
22	Health and Human Services	FDA, Food and Drug Administration
23	Homeland Security	CBP, U.S. Customs and Border Protection
24	Homeland Security	TSA, Transportation Security Administration
25	Homeland Security	USCG, U.S. Coast Guard
26	State	A/LM, State Despatch Office, Office of Logistics and Management
27	State	DDTC, Directorate of Defense Trade Controls
28	State	OES, Bureau of Oceans and International Environmental and Scientific Affairs
29	State	OFM, Office of Foreign Missions
30	Transportation	BTS, Bureau of Transportation Statistics
31	Transportation	FAA, Federal Aviation Administration
32	Transportation	FHWA, Federal Highway Administration
33	Transportation	MARAD, Maritime Administration
34	Transportation	NHTSA, National Highway Traffic Safety Administration
35	Transportation	PHMSA, Pipeline and Hazardous Materials Safety Administration
36	Transportation	FMCSA, Federal Motor Carrier Safety Administration
37	Treasury	FinCEN, Financial Crimes Enforcement Network
38	Treasury	IRS, Internal Revenue Service
39	Treasury	OFAC, Office of Foreign Assets Control
40	Treasury	TTB, Alcohol and Tobacco Tax and Trade Bureau
41	Independent Agency	CPSC, Consumer Product Safety Commission
42	Independent Agency	EPA, Environmental Protection Agency
43	Independent Agency	FCC, Federal Communications Commission
44	Independent Agency	FMC, Federal Maritime Commission
45	Independent Agency	ITC, U.S. International Trade Commission
46	Independent Agency	NRC, U.S. Nuclear Regulatory Commission
47	Independent Agency	USAID, U.S. Agency for International Development
48	Independent Agency	USTR, U.S. Trade Representative

APPENDIX A.2: LIST OF AGENCIES – ALPHABETICAL BY AGENCY NAME

ITDS Agencies		
	Agency/Acronym	Department or Independent Agency
1	AMS, Agricultural Marketing Service	Agriculture
2	APHIS, Animal and Plant Health Inspection Service	Agriculture
3	A/LM, State Despatch Office, Office of Logistics and Management	State
4	ATF, Bureau of Alcohol, Tobacco, Firearms, and Explosives	Justice
5	BIS, Bureau of Industry and Security	Commerce
6	BLS, Bureau of Labor Statistics	Labor
7	BTS, Bureau of Transportation Statistics	Transportation
8	CBP, U.S. Customs and Border Protection	Homeland Security
9	CDC, Centers for Disease Control and Prevention	Health and Human Services
10	Census, Bureau of the Census	Commerce
11	CPSC, Consumer Product Safety Commission	Independent Agency
12	DEA, Drug Enforcement Administration	Justice
13	DCMA, Defense Contracts Management Agency	Defense
14	DDTC, Directorate of Defense Trade Controls	State
15	E&C, Enforcement and Compliance (formerly Import Administration)	Commerce
16	EIA, Energy Information Administration	Energy
17	EPA, Environmental Protection Agency	Independent Agency
18	FAA, Federal Aviation Administration	Transportation
19	FAS, Foreign Agricultural Service	Agriculture
20	FCC, Federal Communications Commission	Independent Agency
21	FDA, Food and Drug Administration	Health and Human Services
22	FHWA, Federal Highway Administration	Transportation
23	FinCEN, Financial Crimes Enforcement Network	Treasury
24	FMC, Federal Maritime Commission	Independent Agency
25	FMCSA, Federal Motor Carrier Safety Administration	Transportation
26	FSIS, Food Safety and Inspection Service	Agriculture
27	FTZB, Foreign Trade Zones Board	Commerce
28	FWS, U.S. Fish and Wildlife Service	Interior
29	GIPSA, Grain Inspection, Packers, and Stockyards Administration	Agriculture
30	IRS, Internal Revenue Service	Treasury
31	ITC, International Trade Commission	Independent Agency
32	MARAD, Maritime Administration	Transportation
33	NHTSA, National Highway Traffic Safety Administration	Transportation
34	NMFS, National Marine Fisheries Service	Commerce
35	NRC, U.S. Nuclear Regulatory Commission	Independent Agency
36	OES, Bureau of Oceans and International Environmental and Scientific Affairs	State
37	OFAC, Office of Foreign Assets Control	Treasury
38	OFE, Office of Fossil Energy	Energy
39	OFM, Office of Foreign Missions	State
40	OGC, Office of General Counsel	Energy
41	OTEXA, Office of Textiles and Apparel	Commerce
42	PHMSA, Pipeline and Hazardous Materials Safety Administration	Transportation
43	TSA, Transportation Security Administration	Homeland Security
44	TTB, Alcohol and Tobacco Tax and Trade Bureau	Treasury
45	USACE, U.S. Army Corps of Engineers	Defense
46	USAID, U.S. Agency for International Development	Independent Agency
47	USCG, U.S. Coast Guard	Homeland Security
48	USTR, U.S. Trade Representative	Independent Agency

APPENDIX B: AGENCY BOARD MEMBERS AND CONTACTS

Agency Board Members and Contacts				
AGENCY	ACRONYM	Board Member	Lead Contact	Sr. Official
Department of Agriculture				
Agricultural Marketing Service	AMS	Sonia Jimenez	Kimberly Coy	
Food Safety and Inspection Service	FSIS	Mary Stanley	Mary Stanley	William Smith
Animal and Plant Health Inspection Service	APHIS	Matthew Rhoads	Cindy Walters	Matthew Rhoads
Foreign Agricultural Service	FAS	Ron Lord	Ron Lord	
Grain Inspection, Packers, and Stockyards Administration	GIPSA	Bryon Reilly	Bryon Reilly	Randall Jones
Department of Commerce				
Bureau of the Census (Census)	CENSUS	Diane Oberg	Steve Bulman	Nick Orsini
Foreign Trade Zones Board	FTZB	Pierre Duy	Elizabeth Whiteman	Ronald Lorentzen
National Marine Fisheries Service	NMFS	Dale Jones	Chris Rogers/John Reghi	Paul Doremus
Enforcement and Compliance	E&C	Wendy Frankel	Wendy Frankel	Ronald Lorentzen
Bureau of Industry and Security	BIS	Gerry Horner	Gerry Horner	Gerry Horner
Department of Defense				
U.S. Army Corps of Engineers	USACE	Doug McDonald	Doug McDonald	
Defense Contract Management Agency	DCMA	Erika Veney	Erika Veney	James Rardon
Department of Energy				
Energy Information Administration	EIA	Mark Mayo	Mark Mayo	Douglas Macintyre
Office of Fossil Energy	OFE	John Anderson	Lisa Tracy	Guido Dehoratiis
Office of General Counsel	OGC	Laura Barhydt	Laura Barhydt	
Department of Health and Human Services				
Food and Drug Administration	FDA	Max Castillo	Max Castillo	Eric Perakslis
Centers for Disease Control and Prevention	CDC	James Seligman	Sheryl Shapiro/Vondguraus Mcclee	James Seligman
Department of Homeland Security				
Transportation Security Administration	TSA	Robert Moore	Dominique Tapey	
U.S. Customs and Border Protection	CBP	Susan Dyszel	Susan Dyszel	Richard DiNucci
United States Coast Guard	USCG	Susan Henry	Carmen Carter	Dana Goward
Department of the Interior				
U.S. Fish and Wildlife Service	FWS	Benito Perez	Sheila Einsweiler/Tamesha Woulard	Benito Perez
Department of Justice				
Bureau of Alcohol, Tobacco, Firearms, and Explosives	ATF	Marvin Richardson	Lee Alston-Williams	Richard Holgate
Drug Enforcement Administration	DEA	Mark Via	Mark Via	Joe Rannazzisi
Department of Labor				
Bureau of Labor Statistics	BLS	Steven Paben	Jeffrey Blaha	William Alterman
Department of State				
Office of Foreign Missions	OFM	Cliff Seagroves	Cliff Seagroves	
State Despatch Office, Office of Logistics and Management	A/LM	Gerry Marandino	Gerry Marandino	
Directorate of Defense Trade Controls	DDTC	Patricia Slygh	Patricia Slygh	
Bureau of Ocean and Scientific Affairs	OES	David Hogan	Marlene Menard	
Department of Transportation				
Federal Aviation Administration	FAA	Long Nguyen	Long Nguyen	Donna Seymour
National Highway Traffic Safety Administration	NHTSA	Long Nguyen	Coleman Sachs	
Federal Motor Carrier Safety Administration	FMCSA	Long Nguyen	Marcelo Perez	
Maritime Administration	MARAD	Long Nguyen	Long Nguyen	
Bureau of Transportation Statistics	BTS	Long Nguyen	Steven Beningo	
Pipeline and Hazardous Materials Safety Administration	PHMSA	Long Nguyen	Long Nguyen	
Federal Highway Administration	FHWA	Long Nguyen	Long Nguyen	
Department of Treasury				
Internal Revenue Service	IRS	Linda Morris	Linda Morris	Holly McCann
Alcohol and Tobacco Tax and Trade Bureau	TTB	Jerry Bowerman	Deborah Pereira	Robert Hughes
Office of Foreign Assets Control	OFAC	Dale Thompson	Dale Thompson	
Financial Crimes Enforcement Network	FINCEN	Kate Zernes	Kate Zernes	
Board Chairman	TREAS	Tim Skud		
Independent Agencies				
Federal Communications Commission	FCC	Gabriel Collazo	Gabriel Collazo	
U.S. International Trade Commission	ITC	Cynthia Wilson	Cynthia Wilson	
Federal Maritime Commission	FMC	Sandra Kusumoto	Jim Carey	Peter King
Environmental Protection Agency	EPA	Andy Battin	Roy Chaudet	
Consumer Product Safety Commission	CPSC	Carol Cave	Jim Joholske	Carol Cave
U.S. Nuclear Regulatory Commission	NRC	Janice Owens	Steve Baker	
Office of U.S. Trade Representative	USTR	David Walters	David Walters	
U.S. Agency for International Development	USAID	Paul Vicinanza	Kenneth Kerttula	

APPENDIX C: PERSONS WITH ACCESS TO USE ACE PORTAL, BY AGENCY

AMS	Agricultural Marketing Service, Dept. of Agriculture	39
APHIS	Animal & Plant Health Inspecting Service, Dept. of Agriculture	102
ATF	Bureau of Alcohol, Tobacco, Firearms & Explosive, Dept of Justice	82
BIS	Bureau of Industry & Security, Dept. of Commerce	2
BLS	Bureau of Labor Statistics, Dept. of Labor	8
BTS	Bureau of Transportation Statistics, Dept of Transportation	1
CDC	Center for Disease Control & Prevention	2
CENSUS	U.S. Census Bureau, Dept. of Commerce	32
CPSC	Consumer Product Safety Commission	39
DOE	Department of Energy	7
DOT	Department of Transportation	1
E&C	Enforcement and Compliance (formerly Import Administration) Department of Commerce	140
EPA	Environmental Protection Agency	6
ERS	Economic Research Service, Dept. of Agriculture	1
FAS	Foreign Agricultural Service, Dept. of Agriculture	8
FCC	Federal Communications Commission	1
FDA	Food and Drug Administration	35
FMC	Federal Maritime Commission	11
FSIS	Food Safety & Inspection Service, Dept. of Agriculture	11
FTZB	Foreign Trade Zones Board, Dept. of Commerce	2
FWS	Fish & Wildlife Service, Dept. of Interior	123
ICE	Immigrations & Customs Enforcement	8
IRS	Internal Revenue Service, Dept. of Treasury	3
ITC	International Trade Commission	3
NHTSA	National Highway Traffic Safety Administration, Dept of Transportation	1
NMFS/NOAA	National Marine Fisheries Service, Dept. of Commerce	31
NRC	Nuclear Regulatory Commission	1
OFAC	Office of Foreign Assets Control, Dept. of Treasury	1
FINCEN	Financial Crimes Enforcement Network, Dept. of Treasury	3
TTB	Alcohol & Tobacco Tax & Trade Bureau, Dept. of Treasury	11
USCG	U.S. Coast Guard	15
GRAND TOTAL (November 2013)		730

APPENDIX D: SAFE PORT ACT TEXT

H.R. 4954

An Act

To improve maritime and cargo security through enhanced layered defenses, and
for other purposes.

*Be it enacted by the Senate and House of Representatives of
the United States of America in Congress assembled,*

SECTION 1. SHORT TITLE; TABLE OF CONTENTS.

(a) SHORT TITLE.—This Act may be cited as the “Security and Accountability For Every Port Act of 2006” or the “SAFE Port Act”.

SEC. 405. INTERNATIONAL TRADE DATA SYSTEM.

Section 411 of the Tariff Act of 1930 (19 U.S.C. 1411) is amended by adding at the end the following:

“(d) INTERNATIONAL TRADE DATA SYSTEM.—

“(1) ESTABLISHMENT.—

“(A) IN GENERAL.—The Secretary of the Treasury (in this subsection, referred to as the ‘Secretary’) shall oversee the establishment of an electronic trade data interchange system to be known as the ‘International Trade Data System’ (ITDS). The ITDS shall be implemented not later than the date that the Automated Commercial Environment (commonly referred to as ‘ACE’) is fully implemented.

“(B) PURPOSE.—The purpose of the ITDS is to eliminate redundant information requirements, to efficiently regulate the flow of commerce, and to effectively enforce laws and regulations relating to international trade, by establishing a single portal system, operated by the United States Customs and Border Protection, for the collection and distribution of standard electronic import and export data required by all participating Federal agencies.

“(C) PARTICIPATION.—

“(i) IN GENERAL.—All Federal agencies that require documentation for clearing or licensing the importation and exportation of cargo shall participate in the ITDS.

“(ii) WAIVER.—The Director of the Office of Management and Budget may waive, in whole or in part, the requirement for participation for any Federal agency based on the vital national interest of the United States.

“(D) CONSULTATION.—The Secretary shall consult with and assist the United States Customs and Border Protection and other agencies in the transition from paper to electronic format for the submission, issuance, and storage of documents relating to data required to enter cargo into the United States. In so doing, the Secretary shall also consult with private sector stakeholders, including the Commercial Operations Advisory Committee, in developing uniform data submission requirements, procedures, and schedules, for the ITDS.

“(E) COORDINATION.—The Secretary shall be responsible for coordinating the operation of the ITDS among the participating agencies and the office within the United States Customs and Border Protection that is responsible

for maintaining the ITDS.

“(2) DATA ELEMENTS.—

“(A) IN GENERAL.—The Interagency Steering Committee (established under paragraph (3)) shall, in consultation with the agencies participating in the ITDS, define the standard set of data elements to be collected, stored, and shared in the ITDS, consistent with laws applicable to the collection and protection of import and export information. The Interagency Steering Committee shall periodically review the data elements in order to update the standard set of data elements, as necessary.

“(B) COMMITMENTS AND OBLIGATIONS.—The Interagency Steering Committee shall ensure that the ITDS data requirements are compatible with the commitments and obligations of the United States as a member of the World Customs Organization (WCO) and the World Trade Organization (WTO) for the entry and movement of cargo.

“(3) INTERAGENCY STEERING COMMITTEE.—There is established an Interagency Steering Committee (in this section, referred to as the ‘Committee’). The members of the Committee shall include the Secretary (who shall serve as the chairperson of the Committee), the Director of the Office of Management and Budget, and the head of each agency participating in the ITDS. The Committee shall assist the Secretary in overseeing the implementation of, and participation in, the ITDS.

“(4) REPORT.—The President shall submit a report before the end of each fiscal year to the Committee on Finance of the Senate and the Committee on Ways and Means of the House of Representatives. Each report shall include information on—

“(A) the status of the ITDS implementation;

“(B) the extent of participation in the ITDS by Federal agencies;

“(C) the remaining barriers to any agency’s participation;

“(D) the consistency of the ITDS with applicable standards established by the World Customs Organization and the World Trade Organization;

“(E) recommendations for technological and other improvements to the ITDS; and

“(F) the status of the development, implementation, and management of the Automated Commercial Environment within the United States Customs and Border Protection.

“(5) SENSE OF CONGRESS.—It is the sense of Congress that agency participation in the ITDS is an important priority of the Federal Government and that the Secretary shall coordinate the operation of the ITDS closely among the participating agencies and the office within the United States Customs and Border Protection that is responsible for maintaining the ITDS.

“(6) CONSTRUCTION.—Nothing in this section shall be construed as amending or modifying subsection (g) of section 301 of title 13, United States Code.

“(7) DEFINITION.—The term ‘Commercial Operations Advisory Committee’ means the Advisory Committee established pursuant to section 9503(c) of the Omnibus Budget Reconciliation Act of 1987 (19 U.S.C. 2071 note) or any successor committee.”.

APPENDIX E: HISTORY OF ITDS

1993: Origins

The original concept for ITDS is documented in the 1993 Future Automated Commercial Environment Team (FACET) Report. Customs commissioned FACET to make recommendations for the redesign of its commercial processing systems. Customs directed the team to examine international trade processes from both the government and the trade community perspectives and to employ modern information management technologies.

The FACET Report included the following key recommendations:

- Original commercial data should be used as the basis for government trade processing.
- Import and export requirements should be standardized and integrated.
- Integrated government oversight of trade.

An integrated trade database and processing infrastructure should address both the needs of the various government agencies as well as the public's need for international trade information.

1995: ITDS Established

In June 1994, the Office of the Vice President issued a report of the National Performance Review entitled Creating a Government That Works Better and Costs Less - Reengineering through Information Technology. That sub-report identified thirteen Information Technology initiatives expected to provide "the essential infrastructure for government of the 21st century...and give citizens broader, timelier access to information and services through efficient, customer-responsive processes."

A multi-agency task force was formed representing 53 agencies to address the sixth recommendation that calls for the implementation of an **International Trade Data System**. This system is to meet the needs of the Federal Government agencies involved in international trade, those of the business community, and the general public.

This report led to Vice Presidential Memorandum IT-06 on September 15, 1995, which chartered the ITDS Project Office in the Department of the Treasury. The project office oversaw the federal government information technology initiative that was tasked to implement an integrated, government-wide system for the electronic collection, use, and dissemination of international trade data. ITDS would provide a single window through which the trade community would submit its commercial data, promising to create a government that works better and costs less by:

- Reducing the cost, and burden of processing international trade transactions for both the private trade community and the government
- Improving the enforcement of and compliance with government trade requirements (e.g., public health, safety, export control, etc.)
- Providing access to more accurate, thorough, and timely international trade data and information

A memorandum from then Vice President Gore chartered the ITDS Board of Directors (ITDS BoD). The ITDS BoD was charged with the responsibility of implementing the ITDS vision by working with federal agencies with missions tied to international trade and transportation on policymaking, planning, and management activities. The ITDS BoD charter was reaffirmed in the February 1997 report “Access America: Reengineering through Information Technology”. The ITDS BoD reported to and received authority from, the Government Information Technology Services Board.

1999: ITDS Project Office is Transferred to the U.S. Customs Service

By September 1998, significant progress had been made in understanding and documenting ITDS requirements, and a formal Design Report and Concept of Operations (CONOPS) (along with many other documents) were produced. The multi-agency ITDS BoD gave approval to begin work on a pilot system. The ITDS pilot was called the North American Trade Automation Prototype (NATAP) and was the proof of concept for ITDS demonstrating not only domestic harmonization/sharing but also international harmonization with Canada and Mexico. As the work began, it became obvious that ITDS would provide benefits to multiple federal agencies, especially the U.S. Customs Service. As a result, in November 1999, the ITDS Project Office was transferred from the Department of the Treasury headquarters to the U.S. Customs Service.

2001: The Short-lived ITDS Pilot Goes Live

ITDS design and implementation were integrated with Customs modernization and the Automated Commercial Environment (ACE) design and development in early 2000, under the joint oversight of the Customs Modernization Office (CMO) and the ITDS BoD. Under this arrangement, the goals for the ITDS pilot were refined to fit better into the Customs operational environment and to reduce the impact on filers who needed to continue to use the Automated Commercial System (ACS) for the vast majority of their electronic interactions with Customs. In August 2001, the ITDS pilot project went live in Buffalo, New York. However, it was suspended on September 11, 2001 due to operational considerations at the port following the terrorist attacks, and not re-implemented.

2003 & Going Forward: The ITDS Vision to be Fulfilled Through PGA Integration into ACE

In March 2003, the ITDS Project Office moved to the Department of Homeland Security (DHS) with the creation of U.S. Customs and Border Protection (CBP). The ITDS BoD and CBP are working together to aid these participating government agencies (PGAs) in making use of ACE to support their border security, national safety and international trade missions. Today, ITDS is the program that assists the PGAs as they prepare for, integrate their business requirements into, deploy, and sustain ACE. In addition, the program provides guidance on the legal implications of PGA integration into ACE and serves as a forum for agency issues. True to its domestic and global harmonization roots, the ITDS program also spearheads the development and maintenance of the ACE/ITDS Standard Data Set (SDS). This SDS is intended to provide the data needs of the collective PGAs within the ACE development effort as it applies to the collecting and processing of import, export and transportation-related transaction information. The SDS will be aligned to the international standards set by the World Customs Organization (WCO). The goal is to eliminate redundant and obsolete reporting requirements. This allows ACE to offer single window filing to the trade community and supports the WCO's efforts to facilitate the exchange of information between those government agencies that regulate international trade worldwide.

2006: The SAFE Port Act Provides Statutory basis for ITDS

In October 2006, Congress recognized the value of the ITDS concept in the SAFE Port Act, (P.L. 109-347, October 13, 2006) which directed the Secretary of the Treasury to oversee the establishment of an electronic trade data interchange system to be known as the 'International Trade Data System' (ITDS) with the purpose of eliminating redundant information requirements, to efficiently regulate the flow of commerce, and to effectively enforce laws and regulations relating to international trade, by establishing a single portal system, operated by CBP, for the collection and distribution of standard electronic import and export data required by all participating Federal agencies. The Secretary of the Treasury was directed to coordinate interagency participation, in consultation with an interagency committee that included agencies participating in ITDS and the Office of Management and Budget. The Act mandated that all "agencies that require documentation for clearing or licensing the importation and exportation of cargo" participate in ITDS, unless granted a waiver by OMB.

APPENDIX F: STATUS OF MOUs

Status of Information Sharing MOUs - November 2013	
Federal Motor Carrier Safety Administration (FMCSA), Dept. of Transportation	MOU Signed
Agricultural Marketing Service (AMS), Dept. of Agriculture	MOU Signed
Consumer Product Safety Commission (CPSC)	MOU Signed
Nuclear Regulatory Commission (NRC)	MOU Signed
Food Safety and Inspection Service (FSIS), Dept. of Agriculture	MOU Signed
Federal Maritime Commission (FMC)	MOU Signed
Office of Foreign Assets Control (OFAC), Dept. of Treasury	MOU Signed
National Marine Fisheries Service (NMFS), Dept. of Commerce	MOU Signed
Foreign Trade Zones Board (FTZB), Dept. of Commerce	MOU Signed
United States Coast Guard (USCG), Dept. of Homeland Security	MOU Signed
Transportation Security Administration (TSA), Dept. of Homeland Security	MOU Signed
Bureau of Labor Statistics (BLS), Dept. of Labor	MOU Signed
Census Bureau, Dept. of Commerce	Draft MOU Submitted to CBP
Food and Drug Administration (FDA)	Draft MOU Submitted to CBP
Fish and Wildlife Services (FWS), Dept. of Interior	Draft MOU Submitted to CBP
Center for Disease Control and Prevention (CDC)	Draft MOU Submitted to CBP
Alcohol, Tobacco, Firearms and Explosives Bureau (ATF), Dept. of Justice	Draft MOU Submitted to CBP
Dept. of Transportation (DOT) MOU which includes: National Highway Traffic Safety Administration (NHTSA), Bureau of Transportation Statistics (BTS), Federal Aviation Administration (FAA), Federal Highway Administration (FHWA), Maritime Administration (MARAD), Pipeline and Hazardous Materials Safety Administration (PHMSA) (and superseding existing Federal Motor Carrier Safety Administration (FMCSA) MOU)	Draft MOU Submitted to CBP
Alcohol and Tobacco Tax and Trade Bureau (TTB), Dept. of Treasury	Draft MOU Submitted to CBP
Internal Revenue Service (IRS), Dept. of Treasury	Draft MOU Submitted to CBP
Office of General Counsel (OGC), Dept. of Energy	Draft MOU Submitted to CBP
Environmental Protection Agency (EPA)	Draft MOU Submitted to CBP
Foreign Agricultural Service (FAS), Dept. of Agriculture	Agency Preparing Draft
Energy Information Administration (EIA)	Agency Preparing Draft
Office of Textile and Apparel (OTEXA), Dept. of Commerce	Agency Preparing Draft
Enforcement and Compliance (E&C), Dept. of Commerce	Agency Preparing Draft
Animal and Plant Health Inspecting Service (APHIS), Dept. of Agriculture	Agency Preparing Draft
Defense Contract Management Agency (DCMA), Dept. of Defense	Agency Preparing Draft
Drug Enforcement Administration (DEA), Dept. of Justice	Agency Preparing Draft
Industry and Security Bureau (BIS), Dept. of Commerce	Agency Preparing Draft
Federal Communications Commission (FCC)	Agency Preparing Draft
Bureau of Oceans and International Environmental and Scientific Affairs (OES), Dept. of State	Agency Preparing Draft
Office of Logistics and Management (A/LM), Dept. of State	Agency Preparing Draft
Office of Foreign Missions (OFM), Dept. of State	Agency Preparing Draft
Directorate of Defense Trade Controls (DDTC), Dept. of State	Agency Preparing Draft
U.S. Army Corps of Engineers (USACE), Dept. of Defense	Agency Preparing Draft
Office of Fossil Energy (OFE), Dept. of Energy	Agency Preparing Draft

An Act

To improve maritime and cargo security through enhanced layered defenses, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,

SECTION 1. SHORT TITLE; TABLE OF CONTENTS.

(a) SHORT TITLE.—This Act may be cited as the “Security and Accountability For Every Port Act of 2006” or the “SAFE Port Act”.

SEC. 405. INTERNATIONAL TRADE DATA SYSTEM.

Section 411 of the Tariff Act of 1930 (19 U.S.C. 1411) is amended by adding at the end the following:

“(d) INTERNATIONAL TRADE DATA SYSTEM.—

“(1) ESTABLISHMENT.—

“(A) IN GENERAL.—The Secretary of the Treasury (in this subsection, referred to as the ‘Secretary’) shall oversee the establishment of an electronic trade data interchange system to be known as the ‘International Trade Data System’ (ITDS). The ITDS shall be implemented not later than the date that the Automated Commercial Environment (commonly referred to as ‘ACE’) is fully implemented.

“(B) PURPOSE.—The purpose of the ITDS is to eliminate redundant information requirements, to efficiently regulate the flow of commerce, and to effectively enforce laws and regulations relating to international trade, by establishing a single portal system, operated by the United States Customs and Border Protection, for the collection and distribution of standard electronic import and export data required by all participating Federal agencies.

“(C) PARTICIPATION.—

“(i) IN GENERAL.—All Federal agencies that require documentation for clearing or licensing the importation and exportation of cargo shall participate in the ITDS.

“(ii) WAIVER.—The Director of the Office of Management and Budget may waive, in whole or in part, the requirement for participation for any Federal agency based on the vital national interest of the United States.

“(D) CONSULTATION.—The Secretary shall consult with and assist the United States Customs and Border Protection and other agencies in the transition from paper to electronic format for the submission, issuance, and storage of documents relating to data required to enter cargo into the United States. In so doing, the Secretary shall also consult with private sector stakeholders, including the Commercial Operations Advisory Committee, in developing uniform data submission requirements, procedures, and schedules, for the ITDS.

“(E) COORDINATION.—The Secretary shall be responsible for coordinating the operation of the ITDS among the participating agencies and the office within the United States Customs and Border Protection that is responsible

for maintaining the ITDS.

“(2) DATA ELEMENTS.—

“(A) IN GENERAL.—The Interagency Steering Committee (established under paragraph (3)) shall, in consultation with the agencies participating in the ITDS, define the standard set of data elements to be collected, stored, and shared in the ITDS, consistent with laws applicable to the collection and protection of import and export information. The Interagency Steering Committee shall periodically review the data elements in order to update the standard set of data elements, as necessary.

“(B) COMMITMENTS AND OBLIGATIONS.—The Interagency Steering Committee shall ensure that the ITDS data requirements are compatible with the commitments and obligations of the United States as a member of the World Customs Organization (WCO) and the World Trade Organization (WTO) for the entry and movement of cargo.

“(3) INTERAGENCY STEERING COMMITTEE.—There is established an Interagency Steering Committee (in this section, referred to as the ‘Committee’). The members of the Committee shall include the Secretary (who shall serve as the chairperson of the Committee), the Director of the Office of Management and Budget, and the head of each agency participating in the ITDS. The Committee shall assist the Secretary in overseeing the implementation of, and participation in, the ITDS.

“(4) REPORT.—The President shall submit a report before the end of each fiscal year to the Committee on Finance of the Senate and the Committee on Ways and Means of the House of Representatives. Each report shall include information on—

“(A) the status of the ITDS implementation;

“(B) the extent of participation in the ITDS by Federal agencies;

“(C) the remaining barriers to any agency’s participation;

“(D) the consistency of the ITDS with applicable standards established by the World Customs Organization and the World Trade Organization;

“(E) recommendations for technological and other improvements to the ITDS; and

“(F) the status of the development, implementation, and management of the Automated Commercial Environment within the United States Customs and Border Protection.

“(5) SENSE OF CONGRESS.—It is the sense of Congress that agency participation in the ITDS is an important priority of the Federal Government and that the Secretary shall coordinate the operation of the ITDS closely among the participating agencies and the office within the United States Customs and Border Protection that is responsible for maintaining the ITDS.

“(6) CONSTRUCTION.—Nothing in this section shall be construed as amending or modifying subsection (g) of section 301 of title 13, United States Code.

“(7) DEFINITION.—The term ‘Commercial Operations Advisory Committee’ means the Advisory Committee established pursuant to section 9503(c) of the Omnibus Budget Reconciliation Act of 1987 (19 U.S.C. 2071 note) or any successor committee.”.