



## Information Notice: Document Image System

Effective no earlier than April 6, 2012, U.S. Customs and Border Protection will deliver capabilities within the Document Image System (DIS) to CBP, Participating Government Agency (PGA) and Trade users. The DIS will serve as a single automated gateway for the submission of documents and specific data by participating trade partners to CBP and PGAs.

Via DIS, the trade community will have the ability to electronically send images of specific CBP and PGA forms and supporting information to CBP via the Electronic Data Interchange (EDI) in lieu of conventional paper methods. These documents will be stored in the DIS and made available for CBP and PGA users for review, acceptance or rejection. DIS will provide for the storage of all submitted documents in a secure centralized location in order to link to the corresponding ACE entry summaries.

The trade benefits of DIS include:

- Initiation of single window submissions from Trade to CBP and PGAs,
- Nationwide visibility of CBP and PGAs to trade-submitted documents,
- Central repository for documents submitted by the trade, and
- Reduction in time and cost surrounding paper processes.

### **Eligibility**

Capabilities within the DIS will be available to **ACE entry summary filers** and for **ACE entry summaries** only. This includes ACE entry summaries certified for release. Key eligibility criteria for the initial DIS test include the following:

- Participating importers and/or brokers must be ACE entry summary filers.
- DIS may only be used to transmit documents for ACE Entry Summaries in response to an electronic request.
- Unsolicited document submissions are not allowed; however, for the purposes of PGA forms and invoices/packing lists that are associated to ACE entry summaries certified for cargo release, the trade may submit the required documentation without a prior request by CBP or the participating government agency (PGA). In this case, all imaged documents must be submitted when the entry summary is filed.

For the purposes of this test, original documents must be retained and made available in paper if requested by CBP or PGAs

### **Documents Included**

The CBP forms and commercial documents supported in the first phase of the DIS test are as follows:



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- Commercial Invoice
- Packing List
- Invoice Working Sheet

The PGA related forms and documents supported in this first phase of the DIS test are as follows:

- TSCA Import Certification Form
- 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
- APHIS Ingredients List
- APHIS Phytosanitary Certificate
- APHIS Import Permit
- APHIS Transit Permit
- APHIS Notice of Arrival
- APHIS Pre-Clearance 203
- NOAA Form 370 Fisheries Certificate of Origin
- NOAA Toothfish Pre-Approval

Note: The APHIS, EPA and NOAA forms can only be submitted with ACE entry summaries that are certified for release.

### **Technical Specifications**

DIS will allow the Trade to send documents and associated data to CBP using XML messages that may be submitted via:



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- Secure FTP, or
- Secure Web Services, or
- Existing ABI MQ mechanism.

There are no technical restrictions on the Multipurpose Internet Mail Extension (MIME) types that DIS will accept, however, the following are preferred:

- jpeg
- gif
- pdf
- doc
- xls

All responses back to the importer, broker and/or surety, will also be sent in the form of an XML message.

### **Use of DIS for Export Ocean Manifest Pilot**

On March 28, 2012, CBP began a pilot project to have export ocean manifests filed via e-mail into the Document Image System (DIS) in place of the physical paper document being presented at the port. The paper manifest for those pilot participants would be submitted via a readable PDF attachment to an e-mail. The initial phase of this pilot will be conducted at the following Atlanta Field Office ports:

- Ports of Norfolk and Newport News, VA;
- Ports of Wilmington and Beaufort-Morehead City, NC;
- Ports of Charleston and Georgetown, SC and
- Ports of Savannah and Brunswick, GA.

#### Requirements for participation

- Pilot participants will submit a readable PDF copy of the paper export manifest via e-mail to CBP;
- The e-mail must contain key manifest data elements in the subject line and body of the email (the key data elements are needed for the system to save, search and process the document).
- Pilot participants will **NOT** be required to present a paper copy of their CBP Form 1302A and/or their paper Bill of Ladings (BOLs) to the ports listed above during the pilot.

It is anticipated that the pilot in the Atlanta Field Office will run for 30 to 90 days. At the end of the pilot period, CBP will determine whether to expand the pilot to the additional CBP Ocean Ports. CBP has updated the AES Trade Interface Requirements (see 19 C.F.R. 4.76(b)), to reflect the updated operational standards



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and procedures for the electronic submission of outbound vessel manifest information, accordingly.

This pilot is an interim step to the full development of an electronic export manifest that will replace the current paper process. This process should help to alleviate some of the cost (printing, mailing, couriering, etc) associated with the presentation of the paper export manifest to CBP for the trade.

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### **Additional Resources Available:**

CBP announced the specific terms of the DIS test in the April 6, 2012 Federal Register Notice (FR 77 20845).

The Implementation Guide for DIS and related documents are available on the CBP website at:

[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_edi\\_messages/catair\\_main/abi\\_catair/catair\\_chapters/document\\_imaging\\_igs/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_edi_messages/catair_main/abi_catair/catair_chapters/document_imaging_igs/)

For policy-related questions, contact Monica Crockett at [Monica.Crockett@dhs.gov](mailto:Monica.Crockett@dhs.gov)  
For technical questions related to ABI transmissions, contact your assigned client representative. Anyone without an assigned client representative should direct their questions to Susan Maskell at [Susan.Maskell@dhs.gov](mailto:Susan.Maskell@dhs.gov).

If you are interested in participating in the export ocean manifest pilot or would like additional details, please contact Mr. Robert Rawls, Outbound Branch Chief, Outbound Enforcement Division, at [Robert.Rawls@cbp.dhs.gov](mailto:Robert.Rawls@cbp.dhs.gov) or Mr. William Delansky, Branch Chief, Multi-Modal Manifest, Cargo Control and Release, at [William.S.Delansky@cbp.dhs.gov](mailto:William.S.Delansky@cbp.dhs.gov).